

AGENDA

Regional Planning and Highways Committee Meeting

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, December 2, 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 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 Bartlett

1. Public Comments

Special Calendar

There are no Special Calendar matters.



AGFNDA

Consent Calendar (Items 2 through 10)

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

2. **Approval of Minutes**

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

3. Amendment to Cooperative Agreement with the California Department of Transportation for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

Ross Lew/James G. Beil

Overview

On June 12, 2017, the Orange County Transportation Authority Board of Directors approved a cooperative agreement with the California Department of Transportation to establish roles, responsibilities, and funding obligations for the preparation of plans, specifications, and estimates, and to advertise and award the construction contract for the State Route 55 improvement project between Interstate 405 and Interstate 5. Board of Directors' approval is requested to amend this cooperative agreement for additional funding.

Recommendations

- Authorize the use of an additional \$1.5 million in federal Α. Surface Transportation Block Grant Program funds for the State Route 55 improvement project between Interstate 405 and Interstate 5.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-7-1753 between the Orange County Transportation Authority and the California Department of Transportation to update Funding Summary No. 3, in the amount of \$1.5 million, for design funding for the State Route 55 improvement project between Interstate 405 and Interstate 5. This will increase the maximum obligation of funding for the plans, specifications, and estimates to a total contract value of \$22.2 million.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above recommendation.



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Regional Planning and Highways Committee Meeting

4. Amendment to Cooperative Agreement with the California Department of Transportation for the Interstate 5 High-Occupancy Vehicle Improvement Project Between Pacific Coast Highway and San Juan Creek Road

Hamid Torkamanha/James G. Beil

Overview

On March 11, 2013, the Orange County Transportation Authority Board of Directors approved a cooperative agreement between the Orange County Transportation Authority and the California Department of Transportation to implement the construction phase of the Interstate 5 high-occupancy vehicle improvement project between Pacific Coast Highway and San Juan Creek Road. An amendment to the cooperative agreement is required to modify and increase construction capital funding to complete and close out the construction phase of the project.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Cooperative Agreement No. C-3-1504 between the Orange County Transportation Authority and the California Department of Transportation to increase construction capital funding, in the amount of \$900,000, for construction of the Interstate 5 high-occupancy vehicle improvement project between Pacific Coast Highway and San Juan Creek Road. This will increase the maximum obligation of the construction phase of the agreement to a total contract value of \$63,954,500.
- B. Authorize the use of up to \$900,000 Measure M2 funds for construction capital funding for the Interstate 5 high-occupancy vehicle improvement project between Pacific Coast Highway and San Juan Creek Road.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute any necessary amendments and/or agreements to facilitate associated programming actions.





Regional Planning and Highways Committee Meeting

5. Amendment to Agreement for Additional Design Services for State Route 55 Improvement Project Between Interstate 405 and Interstate 5

Jeannie Lee/James G. Beil

Overview

On September 11, 2017, the Orange County Transportation Authority Board of Directors authorized an agreement with WKE, Inc., for the preparation of plans, specifications, and estimates for the State Route 55 improvement project between Interstate 405 and Interstate 5. An amendment to the existing agreement is required for additional design services.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-7-1719 between the Orange County Transportation Authority and WKE, Inc., in the amount of \$1,219,977, for additional design services for the State Route 55 improvement project between Interstate 405 and Interstate 5. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$18,609,141.

6. 2020 Technical Steering Committee Membership Joseph Alcock/Kia Mortazavi

Overview

The Orange County Transportation Authority Technical Advisory Committee provides feedback and input on local streets and roads related items. To accomplish this, the committee relies on a Technical Steering Committee made up of nine representatives from local agencies to provide guidance on major technical items. Technical Steering Committee members serve two-year terms, with the exception of one-year terms for the chair and vice chair. This year, five positions are open for consideration, and proposed 2020 Technical Steering Committee membership recommendations are presented for review and approval.

Recommendation

Approve proposed 2020 Technical Steering Committee membership.



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Regional Planning and Highways Committee Meeting

7. Comprehensive Transportation Funding Programs Semi-Annual Review - September 2019

Joseph Alcock/Kia Mortazavi

Overview

The Orange County Transportation Authority has completed the September 2019 semi-annual review of projects funded through the Comprehensive Transportation Funding Programs. This process regularly reviews the status of Measure M2 grant-funded projects and provides an opportunity for local agencies to update project information and request project modifications, as well as a mechanism for the Orange County Transportation Authority to ensure timely progress on grant-funded projects. Recommended project adjustments are presented for review and approval.

Recommendation

Approve the requested adjustments to Comprehensive Transportation Funding Programs projects and Local Fair Share Program funds.

8. Measure M2 Environmental Mitigation Program Update Lesley Hill/Kia Mortazavi

Overview

Measure M2 includes a program to deliver comprehensive mitigation for the environmental impacts of 13 freeway projects in exchange for streamlined project approvals from the state and federal resources agencies. A biannual status report of these efforts and program update is presented.

Recommendation

Receive and file as an information item.

9. Fiscal Year 2019-20 Measure M2 Annual Eligibility Review Kelsey Imler/Kia Mortazavi

Overview

Measure M2 requires all local agencies in Orange County to annually satisfy eligibility requirements in order to receive Measure M2 net revenues. Required documentation for this review period has been received and reviewed by the Taxpayer Oversight Committee and Orange County Transportation Authority staff. Findings and recommendations are presented for Board of Directors' review and approval.





Regional Planning and Highways Committee Meeting

9. (Continued)

Recommendations

- A. Approve 33 currently eligible local agencies as eligible to continue to receive Measure M2 net revenues.
- B. Receive and file the Measure M2 eligibility verification documents submitted by the cities of Santa Ana and Stanton.

Measure M2 Quarterly Progress Report for the Period of July 2019 Through September 2019

Tamara Warren/Kia Mortazavi

Overview

Staff has prepared a Measure M2 quarterly progress report for the period of July 2019 through September 2019, for review by the Orange County Transportation Authority Board of Directors. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

Recommendation

Receive and file as an information item.

Regular Calendar

11. Active Transportation Update

Charlie Larwood/Kia Mortazavi

Overview

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

Recommendation

Receive and file as an information item.





12. Draft 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy

Warren Whiteaker/Kia Mortazavi

Overview

Every four years, the Southern California Association of Governments prepares a long-range regional transportation plan for the six-county region under its jurisdiction. Staff has completed a preliminary review of the draft 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy, the associated program environmental impact report, and prepared draft comments for discussion.

Recommendation

Direct staff to prepare and submit comments on the draft 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy, and the associated program environmental impact report prior to the January 24, 2020, comment deadline.

13. Options for Future Express Lane Corridors in Orange County Stephanie Chhan/Kia Mortazavi

Overview

The Orange County Transportation Authority 2018 Long-Range Transportation Plan's Short-Term Action Plan recommended an Express Lanes Network Study to identify planning and policy positions in response to an initiative by the California Department of Transportation to implement express lanes in Orange County. In May 2019, staff initiated this study, and a status report has been prepared.

Recommendation

Direct staff to return in spring 2020 with draft recommendations on a preferred approach to implementation of express lanes.

Discussion Items

14. California Department of Transportation Proposed High-Occupancy Toll Lanes in North Orange County

The California Department of Transportation will provide a presentation on the proposed high-occupancy toll lanes in North Orange County.



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15. Update on State Route 55 Improvement Project from Interstate 405 to Interstate 5

Ross Lew/James G. Beil

Staff will provide an update.

- 16. Chief Executive Officer's Report
- 17. Committee Members' Reports
- 18. Closed Session

There are no Closed Session items scheduled.

19. Adjournment

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Monday, January 6, 2020,** at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07, Orange, California.





Regional Planning and Highways Committee Meeting

Committee Members Present

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

Staff Present

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

Committee Members Absent

Lisa A. Bartlett

Call to Order

The November 4, 2019 regular meeting of the Regional Planning and Highways (RP&H) Committee was called to order by Committee Chairman M. Murphy at 10:30 a.m.

Pledge of Allegiance

Committee Vice Chair Delgleize 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 7)

2. Approval of Minutes

A motion was made by Director Muller, seconded by Committee Vice Chair Delgleize, and declared passed by those present, to approve the minutes of the Regional Planning and Highways Committee meeting of October 7, 2019.

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

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Regional Planning and Highways Committee Meeting

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

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 Cooperative Agreement No. C-9-1620 between the Orange County Transportation Authority and the California Department of Transportation for fiscal year 2019-20 Freeway Service Patrol Program State Highway Account funding of approximately \$2,294,286.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1620 between the Orange County Transportation Authority and the California Department of Transportation for fiscal year 2019-20 Freeway Service Patrol Program Senate Bill 1 funding of approximately \$1,969,345.
- C. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreements between the Orange County Transportation Authority and the California Department of Transportation each year for fiscal years 2020-21 through 2028-29 Freeway Service Patrol Program State Highway Account funding in an amount not to exceed \$20,545,608, for the nine fiscal years.
- D. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreements between the Orange County Transportation Authority and the California Department of Transportation each year for fiscal years 2020-21 through 2028-29 Freeway Service Patrol Program Senate Bill 1 funding in an amount not to exceed \$17,635,726, for the nine fiscal years.

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

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4. Consultant Selection for the Safe Travels Education Program Campaign

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

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

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

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

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

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

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

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

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

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

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7. (Continued)

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

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

Regular Calendar

There were no Regular Calendar items scheduled.

Discussion Items

8. Measure M2 Interstate 5 Corridor Improvements

Kurt Brotcke, Director of Strategic Planning, provided an overview of the Measure M2 (M2) Interstate 5 (I-5) corridor projects and a PowerPoint presentation for this item as follows:

- I-5 Comprehensive Improvements;
- M2 I-5 Project A:
 - State Route (SR) 55 to SR-57;
- M2 I-5 Project B:
 - Interstate 405 to SR-55;
- M2 I-5 Projects C/D:
 - State Route 73 to El Toro Road;
- M2 I-5 Project D:
 - El Toro Road Interchange,
 - I-5/Ortega Highway Interchange;
- M2 I-5 Projects C/D:
 - Avenida Pico to San Juan Creek Road;
- M2 I-5 Schedule:
- Public Outreach; and
- Summary.

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Regional Planning and Highways Committee Meeting

8. (Continued)

A discussion ensued as follows:

- Director Muller stated the following:
 - Expressed his concern about the California Department of Transportation (Caltrans) converting high-occupancy vehicle (HOV) lanes to high-occupancy toll (HOT) lanes.
 - o If Caltrans were to make the determination to convert Project A's carpool lanes to HOT lanes, can the Orange County Transportation Authority (OCTA) ask Caltrans to refund the M2 dollars spent to build them?
 - Staff needs to communicate with Caltrans and ask if they are considering adding HOT lanes in the Project B area.
 - At Monday's Board of Directors (Board) meeting, Caltrans made it very clear what the State's position is on HOT lanes and who owns and operates those roads.
- Committee Vice Chair Delgleize stated the following:
 - A lot of the plans for these projects started a long time ago and one should probably assume conversion to HOT lanes would be in future plans.
 - OCTA does a terrific job of communicating with the residents of Orange County regarding M2, and it would be a good idea for OCTA and Caltrans to work together.
- Ryan Chamberlain, Caltrans District 12 Director, stated the following:
 - Caltrans has a plan for managed lanes and express lanes in Orange County. The managed lane study was completed a couple of years ago and identifies four near-term corridors to explore express lanes or HOT lanes.
 - o In some of the segments in the PowerPoint, Caltrans does not identify a conversion from HOV to HOT lanes near term.
 - The segment north of the SR-55 on the I-5, was Caltrans' number one priority for exploring a conversion from HOV to HOT lanes.
 - Caltrans understands M2 and the commitments made to the voters and believes a discussion about what is consistent with those commitments should happen and would be happy to engage in a dialogue with OCTA.
 - Explained the different functionality between HOT lanes and pure express lanes or a toll facility.
 - OCTA staff can share Caltrans' managed lane network study with the Board to see Caltrans vision in the documents.
 - He would be happy to give a presentation to the RP&H Committee.

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Regional Planning and Highways Committee Meeting

8. (Continued)

- Darrell E. Johnson, Chief Executive Officer (CEO), and Mr. Brotcke responded as follows:
 - OCTA does not have a recourse, from a contractual standpoint, to ask Caltrans to reimburse M2 dollars.
 - When Caltrans approves the environmental document, they also approve a project, known as project approval.
 - There is a reasonable expectation that "project approval" has a 20 year horizon on it, and Caltrans switching midstream is of concern to OCTA.
 - There are situations where HOT lanes should be considered, however, the responsibility for that discussion sits with the OCTA Board.
 - The Next 10 Delivery Plan, approved by the Executive Committee and going to the Board for approval, includes recommendation to advance Project B into final design, and staff believes the project can be delivered on schedule and fully funded.
 - Caltrans has a project study report (PSR) nearing completion that is looking at HOT lanes on the I-5, north of the SR-55, to the Los Angeles County line.
 - OCTA staff is not aware that Caltrans has any PSRs that look at HOT lanes between the SR-73 and the SR-55 on the I-5.
 - Every four years, OCTA prepares a long-range transportation plan (LRTP) that feeds the Southern California Association of Governments (SCAG) Regional Transportation Plan.
 - In 2014, staff discussed the role of HOT lanes with the Board, and the Board felt that HOT lanes should not be included in the LRTP.
 - In 2018, the Board was again presented with options for future HOT lanes in the County and these were included in the LRTP, as a future strategy that is seen to be beyond the M2 horizon.
 - Staff's concern is not being able to deliver what was in the Measure M voter pamphlet.
 - Next month, staff will bring forward to the RP&H Committee OCTA's network phasing study and can incorporate what Caltrans has done so far.
 - At the RP&H Committee's request, staff will invite Caltrans to present its countywide managed lanes/HOT lanes study.
 - SCAG, as the metropolitan planning organization, also has some assumptions in its regional transportation plan about future HOT lanes, and staff will bring some of that information to the RP&H Committee in December.

No action was taken on this discussion item.

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MINUTES

Regional Planning and Highways Committee Meeting

9. Chief Executive Officer's Report

Darrell E. Johnson, CEO, reported the following:

Veterans Appreciation Event -

- On Thursday, November 7th, OCTA will be hosting its annual Veterans Appreciation event to honor OCTA employees who have served in the United States Armed Forces, as well as recognize employees who have a child or grandchild in the military.
- The event will take place at 2:00 p.m. at the Garden Grove bus base.
- The Committee Members were invited to participate in the event.

10. Committee Members' Reports

There were no Committee Members' reports.

11. Closed Session

There were no Closed Session items scheduled.

12. Adjournment

The meeting adjourned at 10:58 a.m.

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Monday, December 2, 2019,** at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07, Orange, California.

ATTEST	
Mark A. Murphy Committee Chairman	Olga Prado Assistant Clerk of the Board

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December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Amendment to Cooperative Agreement with the California

Department of Transportation for the State Route 55 Improvement

Project Between Interstate 405 and Interstate 5

Overview

On June 12, 2017, the Orange County Transportation Authority Board of Directors approved a cooperative agreement with the California Department of Transportation to establish roles, responsibilities, and funding obligations for the preparation of plans, specifications, and estimates, and to advertise and award the construction contract for the State Route 55 improvement project between Interstate 405 and Interstate 5. Board of Directors' approval is requested to amend this cooperative agreement for additional funding.

Recommendations

- A. Authorize the use of an additional \$1.5 million in federal Surface Transportation Block Grant Program funds for the State Route 55 improvement project between Interstate 405 and Interstate 5.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-7-1753 between the Orange County Transportation Authority and the California Department of Transportation to update Funding Summary No. 3, in the amount of \$1.5 million, for design funding for the State Route 55 improvement project between Interstate 405 and Interstate 5. This will increase the maximum obligation of funding for the plans, specifications, and estimates to a total contract value of \$22.2 million.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above recommendation.

Discussion

The State Route 55 improvement project between Interstate 405 (I-405) and Interstate 5 (I-5) (Project) is part of Project F in the Measure M2 (M2) freeway program. The updated Next 10 Delivery Plan, adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in November 2019. identified the Project as one of the M2 freeway projects to be completed by 2026. The Project will add general purpose and high-occupancy vehicle lanes in each direction between I-405 and I-5, and will also add auxiliary lanes between interchanges.

OCTA has entered into a cooperative agreement with the California Department of Transportation (Caltrans) to define the roles and responsibilities of both agencies during the design phase. OCTA is the implementing agency for the plans, specifications, and estimates (PS&E) phase with Caltrans providing a portion of the design to meet the Project schedule. This Caltrans work is funded through the State Highway Operation and Protection Program at no cost to OCTA. Caltrans will also provide oversight and independent quality assurance of the PS&E production to ensure the Project meets Federal Highway Administration and Caltrans standards. Caltrans' oversight of the PS&E will also be at no cost to OCTA.

The proposed Amendment No. 2 to Cooperative Agreement No. C-7-1753 includes additional effort required from OCTA's consultant designer. The additional effort includes right-of-way (ROW) and utility coordination and documentation, waterline relocation design, Lane Channel reconstruction design, electrical design, and environmental revalidation services. In addition, several 35 percent tasks originally identified to be performed by Caltrans will now be performed by OCTA's consultant, including preparation of the report to support exceptions to design standards and additional geotechnical exploration to support Caltrans' pavement design report.

Caltrans will be responsible for the advertisement and award of the construction contract. As part of the PS&E phase, OCTA will reimburse Caltrans, in the amount of \$400,000, for the direct support costs associated with the final contract document packaging, advertisement, and award of the Project's construction contract. The construction phase roles, responsibilities, and funding will be the subject of a separate future cooperative agreement.

Design funding needs to be increased for the consultant to perform additional work and for Caltrans to perform advertisement and award services. The Project has been programmed with a combination of local, state, and federal funds through construction. There are sufficient federal Surface Transportation Block Grant Program (STBG) funds available in contingency to cover this cost increase. As a result, \$1.5 million in STBG funds will be redirected from ROW to design. This does require a programming change in the Federal Transportation Improvement Program (Attachment A). The ROW budget will be reassessed once appraisals are completed and acquisition risks are further analyzed. This process should be completed in approximately the third quarter of 2020, and any needed ROW funding or programming adjustments will be made at that time.

Fiscal Impact

Funding for the Project is included in OCTA's Fiscal Year 2019-20 Budget, Capital Programs Division, Account 0017-7519-FF101-F17, and is funded with federal STBG funds.

Summary

Staff requests Board authorization for the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-7-1753, to update Funding Summary No. 3 to increase the federal STBG funds by \$1.5 million to meet the estimated PS&E cost for the Project. This will increase the maximum obligation to a total contract value of \$22.2 million.

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Attachment

A. California Department of Transportation, Cooperative Agreement No. C-7-1753 Fact Sheet

Prepared by:

Ross Lew, P.E. Program Manager

(714) 560-5775

Approved by:

James G. Beil, P.E.

Executive Director, Capital Programs

MRC

(714) 560-5646

Virginia Abadessa

Director, Contracts Administration and

Materials Management

(714) 560-5623

California Department of Transportation Cooperative Agreement No. C-7-1753 Fact Sheet

- 1. June 12, 2017, Cooperative Agreement No. C-7-1753, \$17,500,000, approved by the Board of Directors (Board).
 - Define the terms, conditions, and funding responsibilities between the California Department of Transportation (Caltrans) and the Orange County Transportation Authority (OCTA) for the preparation of plans, specifications, and estimates (PS&E), and to advertise and award construction contract for the State Route 55 improvement project between Interstate 405 and Interstate 5.
 - Includes funding for PS&E in the amount of \$17,500,000.
- 2. February 12, 2018, Amendment No. 1 to Cooperative Agreement No. C-7-1753, \$3,200,000, approved by the Board.
 - To add \$3,200,000 for additional PS&E services.
 - Transfer \$500,000 in federal Surface Transportation Block Grant Program funds from Caltrans to OCTA.
- 3. December 2, 2019, Amendment No. 2 to Cooperative Agreement No. C-7-1753, \$1,500,000, pending Board approval.
 - To add \$1,100,000 for additional PS&E services.
 - To add \$400,000 for advertise and award services.

Total committed to Caltrans after approval of Amendment No. 2 to Cooperative Agreement No. C-7-1753: \$22,200,000.



December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Amendment to Cooperative Agreement with the California

Department of Transportation for the Interstate 5 High-Occupancy Vehicle Improvement Project Between Pacific Coast Highway and

San Juan Creek Road

Overview

On March 11, 2013, the Orange County Transportation Authority Board of Directors approved a cooperative agreement between the Orange County Transportation Authority and the California Department of Transportation to implement the construction phase of the Interstate 5 high-occupancy vehicle improvement project between Pacific Coast Highway and San Juan Creek Road. An amendment to the cooperative agreement is required to modify and increase construction capital funding to complete and close out the construction phase of the project.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Cooperative Agreement No. C-3-1504 between the Orange County Transportation Authority and the California Department of Transportation to increase construction capital funding, in the amount of \$900,000, for construction of the Interstate 5 high-occupancy vehicle improvement project between Pacific Coast Highway and San Juan Creek Road. This will increase the maximum obligation of the construction phase of the agreement to a total contract value of \$63,954,500.
- B. Authorize the use of up to \$900,000 Measure M2 funds for construction capital funding for the Interstate 5 high-occupancy vehicle improvement project between Pacific Coast Highway and San Juan Creek Road.

Amendment to Cooperative Agreement with the California Department of Transportation for the Interstate 5 High-Occupancy Vehicle Improvement Project Between Pacific Coast Highway and San Juan Creek Road

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

Discussion

The Interstate 5 (I-5) high-occupancy vehicle (HOV) improvement project (Project) added HOV lanes in both directions of the I-5 between Pacific Coast Highway and San Juan Creek Road. Construction of the Project commenced on March 2, 2014, and was completed on July 2, 2018.

On May 13, 2016, Shimmick Construction Company Inc. (Shimmick) submitted a claim for time-related delay costs associated with construction of retaining wall 349 with differing site conditions and bird nesting delay for construction of soundwall 340, in the amount of \$7,375,529. California Department of Transportation (Caltrans) staff, in coordination with Orange County Transportation Authority (OCTA) staff, has reviewed all of the documents provided by Shimmick and determined that there was some merit from the documentation. As a result, three contract change orders (CCO) totaling \$1,710,148 were issued; however, Shimmick disputed the amount and asserted it was entitled to additional compensation for costs incurred. Over the past year, Caltrans and OCTA staff have coordinated with Shimmick to close out the Project. However, the disputed claim has hindered the closeout. On June 6, 2019, Shimmick submitted a proposed final estimate of \$8,420,016, which included the balance of the unpaid time-related delay costs and bid item adjustments.

In October 2019, Caltrans and Shimmick mutually decided to negotiate a final settlement, in the amount of \$2,122,686, to close out the Project, resolve current costs, and eliminate future legal costs. Caltrans staff has initiated the final CCO for the settled amount. After the current remaining funds in the construction contract allotment are used, the supplemental construction capital funding needed is \$900,000 to pay for the final CCO and close out the project. Use of these funds is consistent with the Measure M2 (M2) program and the OCTA Board of Directors' Capital Programming Policies. This action will increase the available funding in the cooperative agreement from \$63,054,500 to \$63,954,500 (Attachment A).

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Fiscal Impact

The Project is included in OCTA's Fiscal Year 2019-20 Budget, Capital Programs Division, Account 0017-9084-FC104-073, and is funded with M2 funds.

The changes that are requested in this report have been added to the overall Capital Funding Program for highways as shown in Attachment B.

Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Amendment No. 4 to Cooperative Agreement No. C-3-1504 between the Orange County Transportation Authority and the California Department of Transportation to increase construction capital funding, in the amount of \$900,000, to close out the construction phase of the Interstate 5 high-occupancy vehicle improvement project between Pacific Coast Highway and San Juan Creek Road. This will increase the maximum obligation of the construction phase of the agreement to a total contract value of \$63,954,500.

Attachments

- A. California Department of Transportation, Cooperative Agreement No. C-3-1504 Fact Sheet
- B. Capital Funding Program Report

Prepared by:

Hamid Torkamanha, P.E.

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

California Department of Transportation Cooperative Agreement No. C-3-1504 Fact Sheet

- 1. March 11, 2013, Cooperative Agreement No. C-3-1504, \$4,390,000, approved by the Board of Directors (Board).
 - To define the roles and responsibilities of the California Department of Transportation (Caltrans) and Orange County Transportation Authority (OCTA) for the Interstate 5 high-occupancy vehicle improvement project between Pacific Coast Highway and San Juan Creek Road (Project).
 - OCTA's maximum obligation toward construction support is \$3,000,000 in Measure M2 (M2) funds and \$1,390,000 in Congestion Mitigation Air Quality (CMAQ) funds.
- 2. April 22, 2013, Amendment No. 1 to Cooperative Agreement No. C-3-1504, \$52,272,000, approved by the Board.
 - To add funding for construction capital.
 - Caltrans to reimburse OCTA for field office related expenses, in the maximum amount of \$500.000.
 - Caltrans to reimburse OCTA for public outreach efforts, in the maximum amount of \$280,000.
- 3. April 30, 2014, Funding Summary No. 2 to Cooperative Agreement No. C-3-1504, (-\$6,232,000), approved by Contracts Administration and Materials Management Department.
 - To reduce total cooperative agreement amount by \$6,232,000.
 - To transfer federal funds from construction capital to construction support to reflect market average hourly billing rates for support personnel.
- 4. October 12, 2015, Amendment No. 2 to Cooperative Agreement No. C-3-1504, \$5,800,000, approved by the Board.
 - To add supplemental funding for construction capital costs, time-related overhead, fixed costs, and construction management team costs for Project.
- 5. May 9, 2016, Amendment No. 3 to Cooperative Agreement No. C-3-1504, \$6,824,500, approved by the Board.
 - To reduce CMAQ funding and increase M2 funding for construction capital costs, time-related overhead, fixed costs, and construction management team costs for Project.

- 6. December 9, 2019, Amendment No. 4 to Cooperative Agreement No. C-3-1504, \$900,000, pending Board approval.
 - To increase supplemental construction capital funding with M2 funds for balance of funds owed to construction contractor.

Total committed to Caltrans after approval of Amendment No. 4 to Cooperative Agreement No. C-3-1504: \$63,954,500. OCTA's maximum obligation under this cooperative agreement will be \$33,423,500.

ATTACHMENT B

Capital Funding Program Report

Pending Board of Directors (Board) Approval - December 9, 2019

			Sta	State Highway Project	, Project							
				F	Federal Funds	ls	S	State Funds			Local Funds	
	Project Title	M Code	M Code Total Funding	STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 from SR-55 to SR-57, add one HOV lane each direction	e HOV lane each direction	4	\$39,052	\$33,743							\$5,309	
I-5 Widening from I-405 to SR-55 (Env. Phase)	55 (Env. Phase)	В	\$8,000	\$8,000								
I-5 Widening, I-405 to Yale (Segment 1)	ment 1)	В	\$215,430	\$47,884			\$95,338	\$44,791			\$27,417	
I-5 from SR-73 to El Toro Road I	-5 from SR-73 to El Toro Road landscaping/replacement planting	O	\$12,245				\$6,000				\$6,245	
I-5 widening (Alicia to El Toro) Segment 3	segment 3	O	\$181,327	\$49,897		\$4,728		\$86,6\$			\$117,314	
I-5 widening (Oso to Alicia) Segment 2	ment 2	C	\$205,695	\$47,676		\$7,921					\$150,098	
I-5 widening (SR-73 to Oso) Segment 1	ment 1	C	\$213,267	\$28,167		\$6,433	\$91,977		\$29,832		\$58,85\$	
I-5 at Los Alisos / El Toro: add ramps	amps	٥	\$4,400	\$4,400								
SR-55 (I-5 to SR-91)		ш	\$5,000	\$5,000								
SR-55 OC Central Corridor improvements from I-405 to I-5	ovements from I-405 to I-5 ²	ш	\$410,932	\$103,805		\$46,800	\$80,000	\$70,000			\$110,327	
SR-57 Orangewood to Katella		9	\$2,500	\$2,500								
SR-91 (SR-57 to SR-55) operational improvements	onal improvements	_	000′6\$	\$7,000							\$2,000	
1-405 from SR-73 to 1-605 improvements	wements	×	\$1,900,000	\$35,000		\$10,648	\$82,000		\$7,771		\$1,135,651	\$628,930
I-405 (I-5 to SR-55)		7	\$8,000	\$8,000								
I-405 s/b aux lane - University to	-405 s/b aux lane - University to Sand Canyon and Sand Canyon to SR-133	- L	\$2,328				\$2,328					
I-605/ Katella interchange		Σ	\$4,824				\$3,000				\$1,824	
241/91 Express Lanes (HOT) connector	nnector		\$33,728									\$33,728
SR-74 widening, Calle Entradero-City/County line	o-City/County line		\$16,653				\$14,303				\$1,950	\$400
SR-74 widening, City/County line to Antonio Parkway	e to Antonio Parkway		\$40,905	\$5,285			\$10,000					\$25,620
State Highway Project Totals	otals		\$3,313,286	\$386,357		\$76,530	\$384,946	\$124,179	\$37,603		\$1,614,993	\$688,678
Federal Funding Total	\$462,887											
State Funding Total	\$546,728											
Local Funding Total	\$2,303,671											
Total Funding (000's)	\$3,313,286											

		State High	tate Highway Project Completed	t Comple	eted						
			Fed	Federal Funds	ls	O,	State Funds	S		Local Funds	
Project Title	M Code Tota	Total Funding	Il Funding STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 HOV lane each direction s/o PCH to San Juan Creek Road ¹	C	\$71,558	\$11,796					\$20,789		\$38,973	
I-5 HOV lanes from s/o Avenida Vista Hermosa to s/o PCH	O	\$71,100	\$13,472			\$46,779				\$10,849	
I-5 HOV lanes: s/o Avenida Pico to s/o Vista Hermosa	U	\$90,441	\$31,741		\$1,600	\$43,735				\$13,365	
I-5/SR-74 interchange improvements	Q	\$80,300				\$48,683		\$24,109	\$2,500		\$2,008
I-5/SR-74 interchange landscaping/replacement planting	۵	\$1,440			\$752	\$688					
SR- 57 n/b widening, Katella Avenue to Lincoln Avenue - landscaping	ŋ	\$2,172								\$2,172	
SR- 57 n/b widening, SR-91 to Yorba Linda Boulevard - landscaping	9	\$946								\$946	
SR-57 n/b widening, Yorba Linda to Lambert Road - landscaping	9	\$1,193								\$1,193	



Capital Funding Program Report

Pending Board of Directors (Board) Approval - December 9, 2019

		State High	State Highway Project Completed	ct Compl	eted						
			Ē	Federal Funds	JS SF	0,	State Funds	ls		Local Funds	S
Project Title	M Code	Total Funding	Funding STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
SR-91 w/b connect existing aux lanes, I-5 to SR-57	I	\$62,977						\$27,227		\$35,750	
SR-91 w/b connecting existing aux lanes, I-5 to SR-57 - landscaping	I	\$2,290								\$2,290	
SR-91 w/b (SR-55 - Tustin interchange) improvements	_	\$43,753				\$15,753		\$14,000		\$14,000	
SR-91 e/b widening, SR-241 to SR-71	<u></u>	\$57,773			\$45,911					\$6,942	\$4,920
SR-91 w/b Routes 91/55 - e/o Weir replacement planting	<u></u>	\$2,898				\$2,898					
SR-91 widening, SR-55 to Gypsum Canyon (Weir/SR-241)	<u></u>	\$76,993				\$22,250		\$54,045		869\$	
SR-57 n/b widening, Katella Avenue to Lincoln Avenue	M1/G	\$35,827						\$24,127		\$11,700	
SR-57 n/b widening, SR-91 to Yorba Linda Boulevard	M1/G	\$51,354						\$39,475		\$11,879	
SR-57 n/b widening, Yorba Linda to Lambert Road	M1/G	\$52,871						\$41,250		\$11,621	
I-405/SR-22/I-605 HOV connector - landscaping		\$4,600	\$4,600								
HOV connectors from I-405 and I-605	M1	\$173,091	\$14,787					\$135,430	\$16,200		\$6,674
HOV connectors from SR-22 to I-405	M1	\$115,878	\$64,375		\$49,625				\$1,878		

Federal Funding Total State Funding Total Local Funding Total

State Highway Project Completed Totals

\$238,659 \$561,238 \$199,558 \$999,455

Total Funding (000's)

\$16,602

\$162,378

\$20,578

\$380,452

\$180,786

\$97,888

\$140,771

\$999,455



Capital Funding Program Report

Pending Board of Directors (Board) Approval - December 9, 2019

Board Action:

capital funding for the Interstate 5 High-Occupancy Vehicle Improvement Project 1. Authorize the use of up to \$900,000 of Measure M2 funds for construction between Pacific Coast Highway and San Juan Creek Road.

Project Notes:

2. Project has unfunded need of \$70 million. Staff will return to the Board with a funding plan at a later date.

Acronyms:

Aux - Auxilliary

CMAQ - Congestion Mitigation Air Quality Improvement

Program

FTA - Federal Transit Administration

FY - Fiscal Year

HOT - High-Occupancy Toll

HOV - High-Occupancy Vehicle

Hwy - Highway

I-405 - Interstate 405

l-5 - Interstate 5

I-605 - Interstate 605

LA - Los Angeles

M Code - Project Codes in Measure M1 and M2

M1 - Measure M1

M2 - Measure M2

N/B - Northbound

OC - Orange County

OCTA - Orange County Transportation Authority

PCH - Pacific Coast Highway

RSTP - Regional Surface Transportation Program

S/B - Southbound

S/O - South of

SR-133 - State Route 133 SR-241 - State Route 241

SR-55 - State Route 55

SR-57 - State Route 57

SR-71 - State Route 71

SR-73 - State Route 73

SR-90 - State Route 90

SR-91 - State Route 91

SS - Southside

STBG - Surface Transportation Block Grant

STIP - State Transportation Improvement Program

W/B - Westbound



December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Amendment to Agreement for Additional Design Services for

State Route 55 Improvement Project Between Interstate 405 and

Interstate 5

Overview

On September 11, 2017, the Orange County Transportation Authority Board of Directors authorized an agreement with WKE, Inc., for the preparation of plans, specifications, and estimates for the State Route 55 improvement project between Interstate 405 and Interstate 5. An amendment to the existing agreement is required for additional design services.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-7-1719 between the Orange County Transportation Authority and WKE, Inc., in the amount of \$1,219,977, for additional design services for the State Route 55 improvement project between Interstate 405 and Interstate 5. This will increase the maximum cumulative obligation of the agreement to a total contract value of \$18,609,141.

Discussion

The State Route 55 (SR-55) improvement project between Interstate 405 (I-405) and Interstate 5 (I-5) (Project) is part of Project F in the Measure M2 (M2) freeway program. The updated Next 10 Delivery Plan, adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in November 2019, identified the Project as one of the M2 freeway projects to be completed by 2026. The Project will add general purpose and high-occupancy vehicle lanes in each direction between I-405 and I-5, and will also add auxiliary lanes between interchanges. The Project is currently in the final design phase.

Additional Project scope has been identified which requires further design effort. An amendment to the Project design contract is recommended, and the additional design services to be provided include the following:

Right-of-Way (ROW) Design Support

On September 11, 2017, the Board authorized Cooperative Agreement No. C-7-1936 with the California Department of Transportation (Caltrans) to establish ROW roles and responsibilities for both agencies. OCTA is the lead agency implementing ROW activities, which include property appraisals and acquisitions, relocation assistance for displacees, and coordination of utility relocations for the Project. Caltrans is the lead agency for ROW engineering activities, which include preparation of appraisal maps.

To meet the accelerated Project delivery schedule, ROW requirements have to be identified and appraised timely. The design effort includes preparation of exhibits for affected parcels to display areas of acquisition, temporary construction easements (TCE), and utility easements, along with a letter that describes the purpose for the ROW requirements. For all TCEs, a Director's Deed and Plats are prepared for Caltrans' review. Additional coordination and reviews are also required with the Caltrans ROW engineering office assigned to prepare the ROW appraisal maps.

Lane Channel Reconstruction

The existing large Orange County Flood Control District (OCFCD) Lane Channel, along southbound SR-55, in the City of Santa Ana (City), requires reconstruction to accommodate Project improvements. Since the ends of the Lane Channel connect to Caltrans' reinforced concrete boxes (RCBs), extensive coordination between OCFCD and Caltrans was required. To ensure that maintenance access and safety requirements were met for both agencies, the design for the channel and RCBs was modified several times. Each redesign required coordination, review, and approval from the Caltrans structures office and OCFCD.

Utility Coordination and Relocation

During the development of the Project design, it was determined that the freeway widening will impact the existing water pressure reducing station that is owned by the City and located adjacent to the freeway. The water facility serves nearby communities; therefore, it must be relocated as part of the Project. Relocation of the water facility, along with two large encased waterlines (12-inch and 24-inch) under the freeway, requires extensive design effort and coordination with the City.

The Project utility coordination has determined that several large utility facilities, including the Southern California Gas Company (SCGC) 30-inch gas main and Southern California Edison (SCE) electrical poles and overhead electrical lines within the MacArthur Boulevard and Dyer Road interchanges, can be protected. However, Caltrans requires that a utility encroachment exception be prepared for both facilities. Caltrans' Encroachments and Utilities policy requires that utilities crossing state ROW be encased. Since the SCGC 30-inch gas main does not have an encasement and is an existing condition, the exception will be prepared to allow the gas main to remain in its existing condition. Regarding the SCE facility, Caltrans policy does not allow an electrical facility to be within state ROW longitudinally. Since the SCE facility is extensive and spans two interchanges, the utility encroachment exception will be prepared to avoid significant utility impacts and costly relocations.

Electrical Design

Identified as a traffic mitigation measure in the environmental document, the existing non-signalized intersection at the I-5 northbound on-ramp and Newport Avenue will be converted to a signalized intersection. This mitigation measure was confirmed with Caltrans and the City of Tustin during the design phase, necessitating additional design services for the new signalized intersection.

Currently, the Project design includes relocation of the existing communication system along the four-mile corridor, which does not have fiber optic conduits. Caltrans is requiring fiber optics for its communication network, so fiber optic conduits will be included with the relocation design.

The Project includes widening of the freeway bridge over the Metrolink railroad tracks. The existing bridge structure does not have lighting as trains pass under the bridge. Since the bridge widening will make the bridge structure larger, Metrolink has requested that lighting be placed to meet Metrolink safety requirements.

Environmental Services

As part of the environmental regulations, permit packages are required to clear environmental areas for construction activities. The permit packages consist of developing and gaining approval from the Army Corps of Engineers, the California Department of Fish and Wildlife, and the State Water Resources Control Board. The approvals must be obtained before Caltrans can finalize the design phase and proceed into construction advertisement.

The Project includes the widening of four freeway bridges, which are common habitat roosting locations for bats. Positive field identification of bat habitat, along with mitigation measures, must be documented in a report and provided to Caltrans and the California Department of Fish and Wildlife for approval before the start of construction.

Engineering Reports

On June 12, 2017, the Board authorized Cooperative Agreement No. C-7-1753 with Caltrans to establish roles, responsibilities, and funding obligations for the preparation of plans, specifications, and estimates (PS&E) for both agencies. In the cooperative agreement, Caltrans is responsible for the preparation and approval of reports to support exception decisions for design standards. During the final stage of design development, Caltrans requested that the report responsibility be handed to OCTA's consultant, WKE, Inc. (WKE), since WKE is the engineer of record for the Project.

Caltrans is also responsible for the development of the pavement design report which requires geotechnical exploration to determine the subsurface condition that will be used to calculate the design for the new pavement widening. To meet the accelerated design delivery schedule, Caltrans requested field exploration and lab testing assistance to supplement its geotechnical services. WKE provided the requested service to ensure the Project delivery schedule is met.

Procurement Approach

This procurement was handled in accordance with OCTA's Board-approved procedures for architectural and engineering services which conform to both state and federal laws. The original firm-fixed price agreement was issued on February 5, 2018, in the amount of \$16,891,455. The agreement was amended previously as shown in Attachment A. It has become necessary to amend the existing agreement to include additional design services so that the PS&E can be finalized

OCTA staff negotiated the required level of effort with WKE to provide the additional design services. OCTA found WKE's price proposal, in the amount of \$1,219,977, to be fair and reasonable relative to the negotiated level of effort. Proposed Amendment No. 3 to Agreement No. C-7-1719 will increase the total contract value to \$18,609,141.

Amendment to Agreement for Additional Design Services for *Page 5*State Route 55 Improvement Project Between Interstate 405 and Interstate 5

Fiscal Impact

Funding for the Project is included in OCTA's Fiscal Year 2018-19 Budget, Capital Programs Division, Account 0017-7519-FF101-0KU, and is funded with federal Surface Transportation Block Grant funds.

Summary

Staff requests Board of Directors' authorization for the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-7-1719 between the Orange County Transportation Authority and WKE, Inc., to increase funding, in the amount of \$1,219,977, for additional design services for the State Route 55 improvement project between Interstate 405 and Interstate 5.

Attachment

A. WKE, Inc., Agreement No. C-7-1719 Fact Sheet

Prepared by:

Jeannie Lee, P.E. Senior Project Manager

(714) 560-5735

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

WKE, Inc. Agreement No. C-7-1719 Fact Sheet

- 1. September 11, 2017, Agreement No. C-7-1719, \$16,891,455 approved by the Board of Directors (Board).
 - Agreement was executed on February 5, 2018, to prepare plans, specifications, and estimates (PS&E) for the State Route 55 (SR-55) improvement project between Interstate 405 and Interstate 5 (Project).
- 2. June 10, 2019, Amendment No. 1 to Agreement No. C-7-1719, \$248,784, approved by Contracts Administration and Materials Management (CAMM) Department.
 - Additional project management for coordination with California Department of Transportation (Caltrans) District 12 and Orange County Flood Control District.
 - Assistance to Caltrans design for the identification of new and modified design exceptions.
 - Design of a non-standard retaining wall.
 - Right-of-way (ROW) design support.
- 3. Amendment No. 2 to Agreement No. C-7-1719, \$248,925, approved by CAMM Department and scheduled to be executed by the end of November 2019.
 - Additional surveying to resolve aerial mapping.
 - Environmental re-validation for geometric refinements, including supplemental reports to six environmental technical studies.
 - Pressure reducing station site investigation, feasibility study, and coordination with City of Santa Ana.
- 4. Amendment No. 3 to Agreement No. C-7-1719, \$1,219,977, pending Board approval.
 - ROW requirement parcels and letters, coordination with Caltrans, and development of temporary construction easement documents.
 - Design services for the Lane Channel reconstruction.
 - Pressure reducing station design, coordination with City of Santa Ana, and development of utility encroachment exception for two utility facilities.
 - Electrical design for new signalized intersection and fiber optic upgrade.
 - Development of environmental permit packages and bat study.
 - Development of Design Standard Decision Document and geotechnical exploration services to support Caltrans.

Total funds committed to WKE, Inc., after approval of Amendment No. 3 to Agreement No. C-7-1719: \$18,609,141.



December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: 2020 Technical Steering Committee Membership

Overview

The Orange County Transportation Authority Technical Advisory Committee provides feedback and input on local streets and roads related items. To accomplish this, the committee relies on a Technical Steering Committee made up of nine representatives from local agencies to provide guidance on major technical items. Technical Steering Committee members serve two-year terms, with the exception of one-year terms for the chair and vice chair. This year, five positions are open for consideration, and proposed 2020 Technical Steering Committee membership recommendations are presented for review and approval.

Recommendation

Approve proposed 2020 Technical Steering Committee membership.

Background

The Orange County Transportation Authority (OCTA) Technical Advisory Committee (TAC) provides input regarding the allocation of Measure M2 competitive grant funds. The TAC also provides technical advice to staff on issues related to streets and roads planning. The TAC is comprised of representatives from all Orange County cities and the County of Orange (County). It also includes non-voting representatives from the California Department of Transportation and the Transportation Corridor Agencies. The TAC uses a Technical Steering Committee (TSC) to vet, review, and discuss major technical items prior to submittal to the TAC for final review and consideration. The chair and vice chair of the TAC also serve as the chair and vice chair of the TSC.

The TSC consists of a total of nine voting members chosen by the TAC and appointed by the OCTA Board of Directors (Board). There is one position for each of Orange County's five supervisorial districts, two at-large positions, and the TSC chair and vice chair positions. The TSC membership selection process is administered by the President of the City Engineers Association of Orange County (CEAOC) and the TAC/TSC chair (with staff support from OCTA), before recommendations are advanced to the full TAC for consideration. In recommending and selecting TSC members, priority is given to maintaining a balance between small and large jurisdictions (small jurisdictions are currently defined as those with populations equal to/or less than 63,542). Balance among supervisorial districts and north/ south Orange County jurisdictions is also evaluated.

Discussion

In August 2019, OCTA solicited letters of interest from local jurisdictions to fill TSC vacancies for the 2020 calendar year. At that time, it was noted that five of the nine regular TSC positions were open for consideration and appointment. These positions included the Chair, Vice Chair, First District, Fourth District, and one At-Large position. In September, letters of interest from five eligible TAC members were received. In accordance with OCTA procedures for administering the TSC, the president of the CEAOC and the chair of the TSC/TAC reviewed all letters of interest and with input from OCTA, developed 2020 TSC membership recommendations (Attachment A).

Consistent with past practice, the vice chair is recommended to become the 2020 chair. In order to ensure that both north and south Orange County are represented in TSC leadership positions, the current District 4 representative from the City of Anaheim is being recommended for the 2020 vice chair position. If approved, this appointment would result in an opening in the District 4 seat, which is recommended to be filled by a representative from the City of Placentia. The First District position is recommended for reappointment by a representative of the City of Westminster, and the open At-Large position is recommended for reappointment by a representative of the County.

In finalizing these recommendations, the president of the CEAOC and the TSC chair emphasized the need to maintain a strong balance between both small/large and north/south Orange County cities, and their consensus recommendations were ultimately endorsed by the TAC in November, and are now recommended for Board consideration and approval.

Summary

The TSC provides guidance and direction on major technical issues before presentation to the full TAC. Members of the TSC serve two-year terms, with the exception of the chair and vice chair, who serve one-year terms. There are five positions recommended for appointment in the next calendar year. Presented for consideration and approval is a recommended list of 2020 TSC appointments.

Attachments

- A. Proposed 2020 Technical Steering Committee Membership List
- B. Technical Steering Committee Policies and Procedures

Prepared by:

Joseph Alcock Section Manager,

Measure M2 Local Programs

(714) 560-5372

Approved by:

Kia Mortazavi

Executive Director, Planning

(714) 560-5741

Proposed 2020 Technical Steering Committee Membership List[†]

NAME	AGENCY	2019* POPULATION	MEDIAN POPULATION SIZE	DISTRICT	NORTH/ SOUTH	SEAT EXPIRES			
Tom Wheeler	Lake Forest	86,346	Large	Chair	South	December 31, 2020			
Rudy Emami	Anaheim	359,339	Large	Vice Chair	North	December 31, 2020			
Marwan Youssef	Westminster	92,610	Large	1	North	December 31, 2021			
Raja Sethuraman	Costa Mesa	115,830	Large	2	North	December 31, 2020			
Doug Stack	Tustin	81,369	Large	3	North	December 31, 2020			
Luis Estevez	Placentia	52,333	Small	4	North	December 31, 2021			
Tom Bonigut	San Clemente	65,405	Large	5	South	December 31, 2020			
Matthew Sinacori	Dana Point	Dana Point 34,249		At-Large	South	December 31, 2020			
Nardy Khan	County of Orange	3,222,498	N/A	At-Large	North/ South	December 31, 2021			

[†] Shading indicates positions recommended for consideration for the 2020 Technical Steering Committee.

^{*} State of California, Department of Finance, *E-1 Population Estimates for cities, counties, and the state with annual percent change — January 1, 2018 and 2019.* Sacramento, California, May 2019.

Technical Steering Committee Policies and Procedures

Overview

The Orange County Transportation Authority's (OCTA) Technical Steering Committee (TSC) is a subcommittee of the OCTA Technical Advisory Committee (TAC). The TAC relies on the TSC to review and discuss technical issues prior to action by the TAC.

The TSC consists of nine voting members and one non-voting ex-officio member. The voting members will be chosen by the TAC and appointed by OCTA Board of Directors (Board). The non-voting ex-officio member will be a representative of the California Department of Transportation (Caltrans) District 12 as selected by the Caltrans District Director. Of the voting members, there is one position representing each of Orange County's five supervisorial districts, two at-large positions, and the TAC chair and vice chair. The chair and vice chair serve one-year terms, while all other representatives serve two-year terms, with no limit on the number of terms. TSC tenure terms are staggered to ensure continuity and consistency. Current policy states that there are to be no more than two representatives from any district, and there should be a balance between large and small cities.

TSC Membership Process

- OCTA communicates to the TAC about TSC positions that are up for consideration, as well as the schedule for the selection process.
- TAC members interested in serving on the TSC must submit a letter of intent to the Chairman of the TAC/TSC, Chairman of the City Engineers Association of Orange County (CEAOC), and the OCTA department manager (no nominations shall be accepted from the floor).
- A critical success factor for selection to serve on the TSC is active participation at TAC meetings during the preceding 12 months.
- The President of the CEAOC, in consultation with the Chair of the OCTA TAC/TSC, shall review the letters of intent and provide a recommendation for the new TSC membership.
- There shall be no more than two representatives from any one district, exclusive of the chair and vice chair positions.
- The County of Orange can only serve in at-large or chair/vice chair positions.
- There will be a balance between small and large jurisdictions (small jurisdictions defined as those with populations less than 63,542) and a balance of large/small jurisdictions between the chair and vice chair positions. Consideration will be given to balance north and south Orange County.
- The CEAOC membership recommendations can be reviewed by the TSC but are forwarded to and recommended for approval by TAC.
- The TAC recommendations for new TSC appointments are then approved by the OCTA Board, typically in December of the prior calendar year.



December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Comprehensive Transportation Funding Programs Semi-Annual

Review – September 2019

Overview

The Orange County Transportation Authority has completed the September 2019 semi-annual review of projects funded through the Comprehensive Transportation Funding Programs. This process regularly reviews the status of Measure M2 grant-funded projects and provides an opportunity for local agencies to update project information and request project modifications, as well as a mechanism for the Orange County Transportation Authority to ensure timely progress on grant-funded projects. Recommended project adjustments are presented for review and approval.

Recommendation

Approve the requested adjustments to Comprehensive Transportation Funding Programs projects and Local Fair Share Program funds.

Background

The Comprehensive Transportation Funding Programs (CTFP) is the mechanism which the Orange County Transportation Authority (OCTA) uses to administer funding for street, road, signal, transit, and water quality projects. The CTFP contains a variety of funding programs and sources, including Measure M2 (M2) revenues, State-Local Partnership Program funds, and Local Partnership Program funds. The CTFP provides local agencies with a comprehensive set of guidelines for administration and delivery of various transportation funding grants.

Since the inception of M2, OCTA has made \$501 million (including approximately \$38 million in state and federal funds) competitively available to support 668 project phases. Previous changes to this original allocation amount reflect an estimated reduction in programming of approximately \$4.5 million, resulting in a total revised allocation of approximately \$497 million.

As of the publishing of this report, 341 project phases have been completed (including four phases during this semi-annual review period), 211 project phases are considered currently active, including approximately 86 project phases which are pending (meaning that work is completed, and final submittals are pending and/or need to be finalized), and 66 are planned, which means the local agency has not awarded a contract or started work. For reference, the table below provides a snapshot summary of the current status of all 668 project phases, including cancelled phases.

M2 CTFP Summary Table												
	March 2019 Sem	·	019 Semi-Annual eview									
Project Status	Project Phases	Allocation (after adjustments)	Project Phases	Allocations (after adjustments) ¹								
Planned ²	69	\$ 64.2	66	\$ 33.7								
Started 3	128	\$183.4	125	\$204.2								
Pending ⁴	73	\$ 60.4	86	\$ 54.1								
Completed 5	337	\$154.8	341	\$166.9								
Cancelled ⁶	39	\$ 22.7	50	\$ 37.9								
Total	646	\$485.5	668	\$496.8								

- ^{1.} Subject to change pending final reconciliation.
- ² Planned indicates that funds have not been obligated and/or are pending contract award.
- 3. Started indicates that the phase is underway, and funds are obligated.
- Pending indicates that phase work is completed, and final report submittal/approval is pending.
- 5. Completed indicates that phase work is complete, final report is approved, and final payment has been made.
- 6. Cancelled indicates that the phase work will not be completed, and project savings will be returned to the program

Twice annually, OCTA meets with representatives from local agencies, as needed, to review the status of all active and pending project phases to review any local agency proposed changes. This process is known as the M2 semi-annual review process. Its goals are to review project status, determine the continued viability of projects, address local agency concerns, confirm availability of local match funds, and ensure timely closeout of all projects funded through the CTFP.

Discussion

As part of the semi-annual review process, local agencies can request any of the following five types of project adjustments:

- Delays local agencies can request a one-time delay of up to 24 months to obligate funds,
- Timely use of funds extensions once obligated, funds expire 36 months from the contract award date. Local agencies can request a one-time extension of up to 24 months,

^{*} Note: the project phase and allocations listed above are subject to frequent and regular changes due primarily to project status updates, final reconciliations, and project closeout processes.

- Scope changes local agencies may request minor scope changes to projects if they can assure OCTA that the project benefits as committed to in the initial application can still be delivered,
- Transfers local agencies may request to transfer up to 100 percent of project savings to subsequent project phases within a project as long as the subsequent phase has been awarded M2 competitive funds,
- Cancellation local agencies may request to cancel projects for any reason. Cancelled projects are eligible to reapply for M2 funds upon resolution of the issues that led to the original project cancellation.

During the September 2019 semi-annual review, proposed adjustments included two timely-use of funds extensions for CTFP projects, nine timely-use of funds extensions for the Local Fair Share Program, four scope changes, and one project transfer. Adjustments are itemized in Attachment A and are described further in Attachment B.

Local agencies identified several reasons for this semi-annual review cycle's requested project adjustments, which included the following:

- Extensions (delays in obtaining permits/project complexities and contract phasing coordination),
- Scope changes (enhanced project benefits, equipment changes to better facilitate project delivery, inability to secure timely approvals/permits, and route modifications to enhance efficiency and ridership), and
- Transfers (project savings from an earlier project phase).

Based upon staff review of the September 2019 semi-annual review proposed project adjustments, the proposed changes are consistent with prior semi-annual review requests and are also appropriate from a CTFP administration perspective. These changes have also been reviewed and approved by the OCTA Technical Advisory Committee. As such, Board of Directors (Board) approval of these proposed adjustments is recommended. Upon Board approval, staff will monitor the implementation of these proposed changes through both its normal project administration and future semi-annual reviews, which are conducted and reported to the Board biannually.

Summary

During the September 2019 semi-annual review process, OCTA reviewed the status of all active project phases funded through the M2 CTFP, and staff is recommending approval of all project adjustments requested by local agencies for this semi-annual review cycle. The next semi-annual review is scheduled for March 2020.

Attachments

- A. Comprehensive Transportation Funding Programs, September 2019 Semi-Annual Review Adjustment Requests
- B. Comprehensive Transportation Funding Programs, September 2019 Semi-Annual Review Adjustment Request Descriptions

Prepared By:

Joseph Alcock Section Manger,

Measure M2 Local Programs

(714) 560-5372

Approved By:

Kia Mortazavi

Executive Director, Planning

(714) 560-5741

ATTACHMENT A

Comprehensive Transportation Funding Programs

September 2019 Semi-Annual Review Adjustment Requests

		Programs*						
Agency	Project Number	Project	Project Title	Phase	Current Allocation	Proposed Time Extension (Months)	Project Start Date	Proposed Expenditure Deadline
Santa Ana	13-SNTA-ECP-3680 ¹	Х	Santa Ana Delhi Channel Diversion	CON	\$ 2,572,875	12	12/6/2016	12/6/20
Santa Ana	16-SNTA-ICE-3815 ²	0	Bristol Street and Memory Lane Intersection Widening	ENG	\$ 67,500	24	2/25/2017	2/25/22
Comprehe	nsive Transportation F							

 Reasons for Project Adjustments
 Acronyms

 1. Delays in obtaining necessary permits and project complexities
 FY - Fiscal Year

 2. Project phasing coordinatoin
 CON - Construction

 ENG - Engineering

^{*}Once obligated Comprehensive Transportation Funding Programs funds expire 36 months from the contract award date. Local agencies may request a one-time extension of up to 24 months.

Comprehensive Transportation Funding Programs

September 2019 Semi-Annual Review Adjustment Requests

	Timely-Use of Funds Extension Requests - LFS*														
Agency	FY	Disbursement Date	Dis	bursement		Proposed Extension Amount	Extension Deadline								
		11/15/2016	\$	148,772	\$	148,772	11/15/2021								
		1/10/2017	\$	180,151	\$	180,151	1/10/2022								
Brea	16/17	3/14/2017	\$	157,185	\$	157,185	3/14/2022								
Diea		5/23/2017	\$	138,338	\$	138,338	5/23/2022								
		6/30/2017	\$	166,743	\$	166,743	6/30/2022								
	17/18	9/12/2017	\$	145,797	\$	145,797	9/12/2022								
		11/15/2016	\$	157,784	\$	157,784	11/15/2021								
Yorba Linda	16/17	1/10/2017	\$	188,632	\$	188,632	1/10/2022								
		3/14/2017	\$	165,905	\$	165,905	3/14/2022								
	LFS Timely-Use	of Funds Extens	sions	(14) - Total	\$	1,449,307									

*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. The Orange County TransportationAuthority uses the check disbursement date as the date of receipt of funds. Requests for extensions must be submitted as part of the semi-annual review.

Acronyms

FY - Fiscal Year

LFS - Local Fair Share

Comprehensive Transportation Funding Programs

September 2019 Semi-Annual Review Adjustment Requests

Scope Change Requests														
Agency	Project Number	Project	Project Title	Current Allocation	Proposed Allocation									
Costa Mesa	17-CMSA-TSP-3873 ¹	Р	Bear Street Signal Synchronization	IMP	17/18	\$ 467,872	\$ 467,872							
OCTA	15-OCTA-TSP-3774 ²	Р	Alicia Parkway Traffic Signal Synchronization Project	IMP	15/16	\$ 1,754,400	\$ 1,754,400							
OCTA	15-OCTA-TSP-3778 ³	Р	Coast Highway Traffic Signal Synchronization Project	IMP	16/17	\$ 1,713,770	\$ 1,713,770							
Dana Point	14-DPNT-CBT-3742 ⁴	V	Summer Weekend Trolley/Harbor Shuttle	O&M	14/15	\$ 2,342,591	\$ 2,342,591							
			Scope Changes (4) - Tota	I Phase	Allocations	\$ 6,278,633	\$ 6,278,633							

Reasons for Project Adjustments

- 1 Enhanced project benefits design modifications, enhanced communications system, and system modernization.
- 2. Equipment change to accommodate on-site conditions and better facilitate traffic signal coordination and communication.
- 3. Cost and challenges in securring appropriate approvals.
- 4. Discontinue Harbor Shuttle Program and modify Dana Point Trolley routing to support greater efficiency and enhanced ridership.

Acronyms

FY - Fiscal Year

IMP - Implementation

O&M - Operations and Maintenance

OCTA - Orange County Transportation Authority

Comprehensive Transportation Funding Programs

September 2019 Semi-Annual Review Adjustment Requests

	Transfer Requests													
Agency	Project Number	Project	ect Project Title Phase Current FY Current Allocation					Proposed Allocation						
Anaheim	14-ANAH-ICE-3713 ¹ 15-ANAH-ICE-3764 ¹	0	Ball Road and Anaheim Boulevard Intersection	ROW	14/15	\$ 1,168,127	\$ (726,346.87)	\$ 441,780.13						
			Ball Road and Anahelm Bodievard intersection	CON	16/17	\$ 2,886,658	\$ 726,346.87	\$ 3,613,004.87						
		\$ 4,054,785	\$ -	\$ 4,054,785										

Reasons for Project Adjustment

Project savings in earlier phases/years can support
 FY - Fiscal Year
work in later awarded phases/years
 CON - Construct

<u>Acronyms</u>

FY - Fiscal Year CON - Construction ROW - Right-of-Way

Comprehensive Transportation Funding Programs September 2019 Semi-Annual Review Adjustment Request Descriptions

<u>Comprehensive Transportation Funding Programs (CTFP) Timely Use of Funds Extensions</u>

Once obligated, CTFP funds expire 36 months from the contract award date. Local agencies may request a one-time extension of up to 24-months. During this semi-annual review cycle, the following timely use of funds extension requests were submitted.

The City of Santa Ana (Santa Ana) is requesting a 12-month timely use of funds extension for the construction phase of the Santa Ana Delhi Channel Diversion Project (13-SNTA-ECP-3680), from December 2019 to December 2020. Additional time is required due to delays in obtaining necessary permits and project complexities.

Santa Ana is requesting a 24-month timely use of funds extension for the Engineering phase of the Bristol Street and Memory Lane Intersection Widening Project (16-SNTA-ICE-3815), from February 2020 to February 2022. The extension request will provide additional time for project phasing coordination.

Local Fair Share (LFS) Timely Use of Funds Extensions

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. The Orange County Transportation Authority (OCTA) uses the check disbursement date as the date of receipt of funds. Requests for extensions 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 and must include a plan of expenditure for the funds.

The City of Brea (Brea) is requesting a 24-month timely use of funds extension of \$936,986. The funds being considered for extension were disbursed in six separate installments and must be expended by the extension deadlines shown in Attachment A. Brea is proposing to use these funds primarily on future slurry/seal program and alley work.

The City of Yorba Linda (Yorba Linda) is requesting a 24-month timely use of funds extension of \$512,321. The funds being considered for extension were disbursed in three separate installments and must be expended by the extension deadlines shown in Attachment A. Yorba Linda is proposing to use these funds for various improvements including drainage, intersections, traffic signal timing and synchronization, traffic calming, and various other local improvements.

Comprehensive Transportation Funding Programs September 2019 Semi-Annual Review Adjustment Request Descriptions

Scope Changes

Agencies may request minor scope changes for CTFP projects if they can assure that the project benefits as committed to in the initial application can still be delivered. During this semi-annual review cycle, the following scope change requests were submitted.

The City of Costa Mesa (Costa Mesa) is requesting a scope change for the implementation phase of the Bear Street Signal Synchronization Project (17-CMSA-TSP-3873). The scope change involves providing enhanced project benefits to better facilitate traffic flow, which were identified during the design phase, installation/replacement of old and damaged fiber optic conduit and cables to better facilitate connections to Costa Mesa's communications backbone, and minor field system modernization.

OCTA, as administrative lead, is requesting scope changes for the implementation phases for the following two projects.

- Alicia Parkway Regional Traffic Signal Synchronization Project (15-OCTA-TSP-3774). This scope change is comprised of installing new conduit, fiber optic cable, and controllers. These changes will facilitate better communication and connectivity with local agencies' traffic management centers (TMC) and peer-to-peer operations.
- Coast Highway Regional Traffic Signal Synchronization Project (15-OCTA-TSP-3778). The scope change involves removing installation of fiber optic cable for intelligent transportation services communications between the City of Laguna Niguel's TMC and City Hall. Installation alternatives were evaluated but proved to be too costly and challenging in terms of securing appropriate approvals.

The City of Dana Point (Dana Point) is requesting a scope change for the operations and maintenance phase of the Summer Weekend Trolley/Harbor Shuttle Project (14-DPNT-CBT-3742). The scope change is comprised of cancellation of the Harbor Shuttle component of the grant, due primarily to ridership concerns. Dana Point is proposing to use savings (and the vehicle) from the cancelled Harbor Shuttle to support route restructuring, which would allow the Dana Point Trolley to expand from one route to two (i.e. north and south) routes, which Dana Point believes will support greater efficiency and increased ridership.

Comprehensive Transportation Funding Programs September 2019 Semi-Annual Review Adjustment Request Descriptions

Transfers

The CTFP Guidelines allow agencies to request to transfer 100 percent of savings of funds between subsequent phases within a project. Funds can only be transferred to a phase that has already been awarded competitive funds. Such requests must be made prior to the acceptance of a final report and submitted as part of the semi-annual review process. During this review cycle, the following transfer request was submitted.

The City of Anaheim is requesting to transfer unused project savings from the Ball Road and Anaheim Boulevard Intersection Project (14-ANAH-ICE-3713) right-of-way phase to the Ball Road and Anaheim Boulevard Intersection Project (15-ANAH-ICE-3764) construction phase.



December 2, 2019

To: Regional Highways and Planning Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Measure M2 Environmental Mitigation Program Update

Overview

Measure M2 includes a program to deliver comprehensive mitigation for the environmental impacts of 13 freeway projects in exchange for streamlined project approvals from the state and federal resources agencies. A biannual status report of these efforts and program update is presented.

Recommendation

Receive and file as an information item.

Background

Measure M2 (M2) includes an innovative Environmental Mitigation Program (EMP) to address certain impacts, as well as streamline the M2 freeway projects. This was achieved through a Natural Community Conservation Plan/Habitat Conservation Plan (Conservation Plan), approved by the California Department of Fish and Wildlife (CDFW) and the United States Fish and Wildlife Service (Wildlife Agencies) in mid-2017. An endowment was also established for the long-term management of the conservation properties (Preserves).

In a parallel process, the United States Army Corps of Engineers (Corps) and the State Water Resources Control Board (SWRCB) have also established a framework to expedite the regulatory permitting process. The EMP delivers more effective mitigation while supporting streamlined delivery of M2 freeway improvements.

The acquisition of seven conservation properties, as well as the funding of 12 habitat restoration projects, have largely met the mitigation needs for the M2 freeway projects. These Preserves and projects are depicted in Attachment A.

Through the Conservation Plan, the Orange County Transportation Authority (OCTA) is well underway to satisfying these obligations. Many of the restoration projects are close to or have obtained signoff from the Wildlife Agencies that the work has met the success criteria.

Discussion

Conservation Plan Update

As a commitment of the Conservation Plan, OCTA is required to prepare an annual report on the implementation processes. The First Annual Report was completed and provided to the OCTA Board of Directors (Board) in August 2019. The report available website is on the OCTA http://www.octa.net/Projects-and-Programs/OC-Go/OC-Go-(2011-041)/Freeway-Mitigation/Conservation-Plan/. OCTA will continue with its efforts to complete the required objectives in a timely manner. The next Conservation Plan Annual Report is anticipated to be completed in early 2020 and will be provided to the Board in the next EMP update.

The Conservation Plan requires the establishment of a \$34.5 million endowment to fund the long-term management of the Preserves. It is estimated this will take between 12 to 15 years, dependent on financial market conditions. To date, OCTA has made four endowment deposits. Quarterly investment reports are provided to the Board, with the most recent one in November 2019. As of September 30, 2019, the endowment balance is \$12,393,157, and on par with baseline assumptions with respect to interest earnings. The goal for this fiscal year is to reach a minimum of \$12,440,408 by June 30, 2020. Staff will continue to oversee and provide regular endowment updates to the Finance and Administration Committee and the Environmental Oversight Committee (EOC).

Preserve Management Update

OCTA began acquiring the seven Preserves in mid-2011 as part of the commitment of the EMP. The seventh Preserve was acquired in mid-2015. Resource management plans (RMPs) were developed for each Preserve, which provide guidelines for the management and monitoring of each Preserve in accordance with the goals and objectives outlined in the Conservation Plan. Key components of the RMPs include guidance for ongoing protection, preservation, and adaptive management of the protected natural resources found within each Preserve. Each of the seven Preserve RMPs were released for a 90-day public review and comment period, with the final RMP completed in September 2018.

OCTA is currently managing these Preserves, consistent with the commitments within the Conservation Plan and associated approved RMPs. OCTA will continue with this management until a long-term land manager has been identified and the Preserve ownership and management responsibilities are transferred. Staff is developing a process to transfer these lands while taking into consideration many variables for the long-term management and disposition of each Preserve. A schedule, applicable contracting process, and outreach efforts to potential long-term land managers are currently being developed. Staff will continue to work with the EOC for guidance on this process.

Fire Management Plans Update

In consultation with the local fire authority, OCTA began developing fire management plans (Plans) for the Preserves in 2018. The Plans will provide guidelines for decision-making at all stages, including fire prevention, pre-fire vegetation management, suppression activities, and post-fire responses that are compatible with conservation and stewardship responsibilities. These Plans are a requirement of the Conservation Plan and must be approved by the Wildlife Agencies. An overview of the proposed content for the Plan and the development process was provided to the EOC in July 2019. OCTA staff, the consultant, and the responsible fire entity for each Preserve have had multiple meetings and site visits to the Preserves while developing the Plans, which are anticipated to be completed in late 2020.

Clean Water Act Permits Update

The M2 freeway projects are anticipated to impact jurisdictional waters, which will require mitigation. Before construction activities can occur, OCTA must obtain Sections 401 and 404 Clean Water Act permits from the Corps and SWRCB (regulatory agencies). To maximize the benefits of OCTA's investments, Conservation Plan mitigation was able to be utilized to help obtain programmatic 401 and 404 permits. These permits were issued in late 2017 and early 2018, and have streamlined the project-level permitting processes. These efforts are the result of years of collaboration between OCTA and the regulatory agencies, and constitute another groundbreaking milestone for the M2 EMP.

Freeway Projects Update

The following projects are either in or near construction and were able to benefit from the EMP:

- Project C (Interstate 5 [I-5] Improvement Project from State Route 73 [SR-73] to El Toro Road);
- Project K (Interstate 405 Improvement Project from SR-73 to the Los Angeles County line); and
- Project M (Interstate 605 and Katella Avenue Interchange Project).

Without the EMP's established process, these projects could have incurred costly mitigation-related requirements, resulting in project schedule risks. A strong partnership has been forged through collaboration with the environmental community as exemplified by their participation on the EOC.

I-5 Improvement Project Update

At the July 2019 EOC meeting, unforeseen complications with the CDFW Streambed Alteration Agreement (1602) permit for the I-5 Widening Project were discussed. These complications were a result of the implementation of SB 857 (Chapter 589, Statutes of 2005), which requires steelhead trout fish passage to be assessed for federally funded transportation projects. The CDFW, OCTA, and the California Department of Transportation staff were able to develop multiple options that would satisfy the requirements of SB 857 while minimizing schedule delays and cost increases to the I-5 Widening Project. On September 18, 2019, the I-5 Widening Project 1602 permit was issued by CDFW. Attachment B provides more information pertaining to this outcome.

Summary

M2 includes an EMP that provides funding for programmatic mitigation to offset impacts of the 13 individual freeway projects. To expedite the delivery of the freeway projects, this program was initiated to implement early project mitigation through preservation and habitat restoration. This program is administered through a Conservation Plan, which was approved by the Wildlife Agencies in mid-2017. To maximize the benefits of the investments, OCTA has utilized some of that same mitigation to obtain Clean Water Act permits.

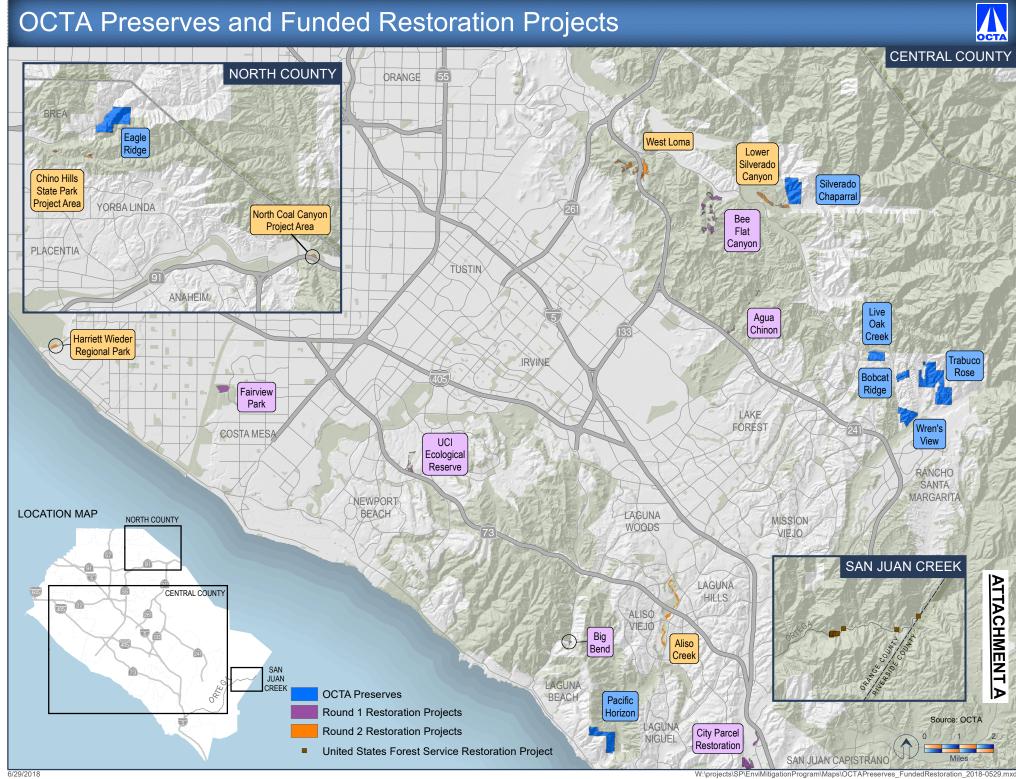
Attachments

- A. OCTA Preserves and Funded Restoration Projects
- B. Interstate 5 Improvement Project Update

Prepared by:

Lesley Hill Project Manager (714) 560-5759 Approved by:

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



Interstate 5 Improvement Project Update

Background: At the July Environmental Oversight Committee meeting, unforeseen complications with the California Department of Fish and Wildlife (CDFW) Streambed Alteration Agreement (1602) permit for the Interstate 5 (I-5) Widening Project were discussed. These complications were a result of the implementation of SB 857 (Chapter 589, Statutes of 2005) which requires steelhead passage to be assessed for federally funded transportation projects. The CDFW, the Orange County Transportation Authority (OCTA), and the California Department of Transportation (Caltrans) staff were able to develop multiple options that would satisfy the requirements of SB 857 while minimizing schedule delays and cost increases to the I-5 Widening Project. On September 18, 2019, the I-5 Widening Project 1602 permit was issued by CDFW. Below is a summary of the outcome for the project 1602 conditions related to SB 857.

Streambed Alteration Agreement (1602 Permit) Additional Measures

Future On-site Steelhead Barrier Remediation

The 1602 permit includes a commitment from Caltrans (as the Permittee) "to not prevent future remediation of the steelhead barrier involved (I-5 Aliso Creek structure) with this project so that it passes steelhead at all life stages."

Off-site Measures to Protect Fish Resources

In addition, OCTA will conduct two off-site measures to protect fish resources. The first offsite measure will be for OCTA to fund the removal of 17 dams within Trabuco and Holy Jim creeks. OCTA previously allocated funding to the United States Forest Service (USFS) for the removal of 14 dams within San Juan Creek. This project was approved by the OCTA Board of Directors in February 2017, and is one of 12 Environmental Mitigation Program restoration projects. The dam removal is nearly complete and approximately \$70,000 under the budgeted amount of \$185,000. The remaining funds (\$70,000) will be utilized to remove an additional 17 dams within Trabuco and Holy Jim creeks. In total, OCTA will have funded the removal of 31 dams in this very successful ecosystem (including fish passage) restoration project. See the enclosure for more information pertaining to the USFS dam removal efforts. Staff is working with the USFS to administratively amend the contract agreement scope of work to include the removal of these additional 17 dams without an increase to the budget.

The second 1602 off-site measure is to fund a one-time grant (\$100,000) to a local non-profit entity, Laguna Canyon Foundation (LCF), to support steelhead restoration within the Aliso Creek watershed. OCTA will provide a one-time grant to the Laguna Canyon Foundation (LCF) for an additional project to improve steelhead passage and/or habitat in the Aliso Creek watershed. This funding will be accompanied by an agreement with LCF that includes a requirement for written concurrence from CDFW before LCF proceeds with a project.

Discussion: Although these additional project measures were not anticipated, staff believes that the outcome of this collaboration was successful. OCTA, Caltrans, and CDFW will continue to monitor upcoming Measure M freeway projects to ensure that no delays occur in regard to SB 857.

1



Before

Reporting Our Progress in Caring for the Land and Serving People

Trabuco District Dam Removal Project

Fisheries FY2018 Accomplishments

Cleveland National Forest, Trabuco Ranger District

State: California

Congressional District: California's 45th and

49th Congressional Districts

Accomplishments:

44 dams removed

Forest Service Contribution: \$180,000 to date Orange County Transportation Authority

Partner Contribution: \$500,000 to date

Project Costs: \$680,000 to date

Approx. \$1,000,000 total project

External Partners:

US Fish and Wildlife Service California Department of Fish and Wildlife California Department of Transportation

Orange County Parks

US Marine Corps

Federal Highways Administration

This project is part of a nation-wide initiative to restore stream function and remove barriers to fish and aquatic organism passage. 81 total manmade dams occurring in several stream segments totaling approximately 4.75 stream miles are targeted for removal. These dams are partial or complete barriers to native fish and other aquatic organisms, especially during periods of low flow. Currently 44 of these dams have been removed using multiple methods of removal; excavator, explosives, and pneumatic devices. The remainder of these dams are planned for removal within the next couple years.



Before



Directly after (Explosives)

All of the project areas are within streams or watersheds where the Recovery Plan for Southern Steelhead has identified removal of dams as a priority to promote species recovery.

Project Contact: Kirsten Winter (858) 674-2956 kwinter@fs.fed.us Julie Donnell (951) 736-1811 juliedonnell@fs.fed.us



December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Fiscal Year 2019-20 Measure M2 Annual Eligibility Review

Overview

Measure M2 requires all local agencies in Orange County to annually satisfy eligibility requirements in order to receive Measure M2 net revenues. Required documentation for this review period has been received and reviewed by the Taxpayer Oversight Committee and Orange County Transportation Authority staff. Findings and recommendations are presented for Board of Directors' review and approval.

Recommendations

- A. Approve 33 currently eligible local agencies as eligible to continue to receive Measure M2 net revenues.
- B. Receive and file the Measure M2 eligibility verification documents submitted by the cities of Santa Ana and Stanton.

Background

Local agencies are required to meet Measure M2 (M2) eligibility requirements and submit eligibility verification packages to the Orange County Transportation Authority (OCTA) annually in order to remain eligible to receive M2 net revenues. There are 13 eligibility requirements which local agencies must either meet and/or adhere to. However, not all 13 eligibility components require verification each eligibility cycle. For reference, a summary of M2 eligibility requirements and their respective due dates is provided in Attachment A.

Per the M2 Ordinance, the Taxpayer Oversight Committee (TOC) is responsible for the review of five of the 13 eligibility requirements. These include the Congestion Management Program (CMP), Mitigation Fee Programs (MFPs),

Local Signal Synchronization Plans (LSSPs), Pavement Management Plans (PMP), and Expenditure Reports (ERs)¹. The CMP, MFPs, LSSPs, and PMPs are due on June 30 and are reviewed in the fall. ERs are due on December 31, six months after the close of the fiscal year and are reviewed in the spring².

To assist with its eligibility review responsibilities, the TOC has designated an Annual Eligibility Review (AER) Subcommittee to initially receive and review required M2 Eligibility submittals prior to review by the TOC. Both the AER Subcommittee and TOC convened earlier this year and have completed their respective reviews. Their findings are discussed below.

Discussion

During this past summer, all 35 local agencies (34 cities and the County of Orange) submitted all required M2 eligibility verification documents, prior to OCTA's June 30, 2019 deadline. Through late summer and early fall, OCTA reviewed all local agencies' eligibility verification documents to ensure completion, accuracy, and consistency with M2 Ordinance requirements. Once OCTA's review was complete, the AER Subcommittee was convened with the goal of reviewing and discussing the three required eligibility components that were due and were also under the purview of the subcommittee. These included the CMP, MFPs, and 14 PMP submittals³.

At this meeting, the AER Subcommittee reviewed and confirmed that all 35 local agencies had submitted appropriate required documentation in order to satisfy M2 eligibility submittal requirements and recommended that these findings be communicated to the TOC for its review and consideration. On October 8, 2019, the TOC reviewed the AER Subcommittee's findings and recommendations, and concurred that all local agencies' CMP, MFPs, and 14 PMP submittals were sufficient and recommended that these findings be submitted to the OCTA Board of Directors (Board) for final review and approval.

The TOC's findings on the CMP, MFPs, and 14 PMPs are presented for Board consideration. In addition to these findings, OCTA staff's findings for the other eight M2 eligibility components, which OCTA is responsible for reviewing, are also provided in Attachment B. Based upon the findings identified in Attachment B, staff is recommending that 33 currently eligible Orange County local agencies be found eligible to continue to receive net M2 revenues. The cities of Santa Ana and Stanton submitted the required documentation to satisfy M2 eligibility submittal requirements this cycle; however, these cities are currently ineligible to receive net M2 revenues due to a previous and separate Board action.

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¹ Note: The other eight required M2 eligibility components are reviewed by OCTA.

² Note: 14 agencies update their PMPs on odd-numbered fiscal years, while 21 agencies update their PMPs on even-numbered fiscal years.

³ Note: LSSPs were not required to be submitted for this eligibility review cycle.

Although the M2 eligibility verification documents submitted by these two local agencies fulfill the respective requirements, this review will not modify their existing M2 ineligible status. The review of these materials will be helpful in ensuring and maintaining timely M2 compliance should the Board find these cities eligible for M2 funds upon resolution of prior maintenance of effort shortcomings.

Summary

All local agencies in Orange County have submitted all required M2 documentation due at this time. The TOC and OCTA have reviewed all required documentation, and a finding of eligibility is requested for 33 currently eligible Orange County local agencies, and a receive and file action of the submitted M2 eligibility verification documents is requested for the two currently ineligible local agencies.

Attachments

- A. Measure M2 Eligibility Requirements and Submittal Schedule Summary, Fiscal Year 2019-20
- B. Fiscal Year 2019-20, Measure M2 Eligibility Review Summary

Prepared by:

Kelsey Imler Associate Transportation Funding Analyst (714) 560-5397 Kia Mortazavi Executive Director, Planning (714) 560-5741

Approved by:

Measure M2 Eligibility Requirements and Submittal Schedule Summary Fiscal Year 2019-20

Compliance Category	Frequency	Required
Capital Improvement Program	Annual (June 30)	✓
Circulation Element/Master Plan of Arterial Highways Consistency	Biennial (June 30)	✓
Congestion Management Program	Biennial (June 30)	✓
Expenditure Report	Annual (December 31)	✓
Local Signal Synchronization Plan	Every Three Years (i.e. June 30, 2020)	
Maintenance of Effort	Annual (June 30)	✓
Mitigation Fee Program (MFP)	Biennial (June 30) ¹	✓
No Supplanting of Developer Fees	Annual (June 30)	✓
Pavement Management Plan (PMP)	Biennial (June 30) ²	✓
Timely Submittal of Project Final Reports	Within Six Months of Project Completion	✓
Timely Use of Net Revenues	Annual (June 30)	✓
Traffic Forum Participation	Annual (June 30)	✓
Transit and Non-Motorized Transportation Land-Use Planning Strategies	Annual (June 30)	✓

¹ A jurisdiction must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their MFP and/or nexus study.

²14 agencies update their PMPs on odd-numbered fiscal years, while 21 agencies update their PMPs on even-numbered fiscal years.

Measure M2 Eligibility Review Summary Fiscal Year 2019-20

Traffic Forum	>	^	^	>	^	>	>	,	>	>	^	>	>	>	,	`	^	,	^	>	,	`	>	^	<i>></i>	^	`	^	^	^	^	^	>	`	>	35
Timely Use of Net Revenues	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	35
Timely Submittal of Final Reports	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	35
¹ Pavement Management Plan	N/A	Satisfactory	Satisfactory	N/A	N/A	Satisfactory	Satisfactory	Satisfactory	N/A	N/A	N/A	N/A	Satisfactory	Satisfactory	N/A	N/A	N/A	N/A	N/A	Satisfactory	Satisfactory	N/A	Satisfactory	N/A	N/A	N/A	Satisfactory	Satisfactory	N/A	N/A	Satisfactory	Satisfactory	N/A	N/A	N/A	14
No Supplanting of Developer Fees	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	35
Mitigation Fee Program	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Pending ²	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	35
Maintenance of Effort	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	N/A ³	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	35
Land-Use Planning Strategies	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	35
Expenditure Report	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	Pending	
Congestion Management Program	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	35
Circulation Element/ MPAH Consistency	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Pending ²	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	35
Capital Improvement Program	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	Satisfactory	35
Agency	Aliso Viejo	Anaheim	Brea	Buena Park	Costa Mesa	County of Orange	Cypress	Dana Point	Fountain Valley	Fullerton	Garden Grove	Huntington Beach	Irvine	La Habra	La Palma	Laguna Beach	Laguna Hills	Laguna Niguel	Laguna Woods	Lake Forest	Los Alamitos	Mission Viejo	Newport Beach	Orange	Placentia	Rancho Santa Margarita	San Clemente	San Juan Capistrano	Santa Ana ⁴	Seal Beach	Stanton ⁴	Tustin	Villa Park	Westminster	Yorba Linda	Totals

MPAH - Master Plan of Arterial Highways PMP- Pavement Management Plan MFP - Mitigation Fee Program N/A - Not applicable

County - County of Orange M2 - Measure M2 HUTA - Highway Users Tax Account Board - Board of Directors

² OCTA staff requested revision to the County's MPAH and MFP resolution. The County's approval is anticipated to secure approval of a revised resolution in November. These submittals are noted as pending due to the fact that the County's approval is anticipated to occur 14 agencies update their PMPs on odd-numbered fiscal years, while 21 agencies update their PMPs on even-numbered fiscal years.

after this report has been finalized.

³ Maintenance of effort is based on a three-year average of discretionary fund expenditures for transportation purposes prior to 1990, plus adjustments permitted by the M2 Ordinance. However, Orange County Public Works and their predecessor agencies did not set discretionary funds for transportation purposes. The sources of their transportation funds have been various restricted or partially restricted funds e.g., HUTA, federal grants, assessment districts, developer impact fees, community facilities districts, Subdivision Map Act Highway, and bridge fees etc. It should be noted that about 40 percent of the HUTA revenues that come to Orange County local agencies go to the County.

⁴ The cities of Stanton and Santa Ana submitted the required documentation to satisfy M2 eligibility submittal requirements this cycle, however, they are currently ineligible to receive net M2 revenues due to a previous and separate Board action. Staff is recommending the acceptance of the M2 eligibility verification documents submitted by these two local agencies as a receive and file action. This will not modify their existing M2 ineligible status but will be helpful in ensuring and maintaining timely M2 compliance once the Board ultimately approves to return them to an eligible status.

Note: Local Signal Synchronization Plans are not shown on the table due to these submittals not being required during this eligibility cycle.



December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Measure M2 Quarterly Progress Report for the Period of

July 2019 Through September 2019

Overview

Staff has prepared a Measure M2 quarterly progress report for the period of July 2019 through September 2019, for review by the Orange County Transportation Authority Board of Directors. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

Recommendation

Receive and file as an information item.

Background

On November 7, 2006, Orange County voters, by a margin of 69.7 percent, approved the Renewed Measure M Transportation Investment Plan (Plan) for the Measure M2 (M2) one half-cent sales tax for transportation improvements. The Plan provides a 30-year revenue stream for a broad range of transportation and environmental improvements, as well as a governing ordinance, which defines the requirements for implementing the Plan. Ordinance No. 3 designates the Orange County Transportation Authority (OCTA) as responsible for administering the Plan and ensuring that OCTA's contract with the voters is followed.

OCTA is committed to fulfilling the promises made in M2. This means not only completing the projects described in the Plan, but adhering to numerous specific requirements and high standards of quality called for in the measure, as identified in the ordinance. Ordinance No. 3 requires that quarterly status reports regarding the major projects detailed in the Plan be brought to the

OCTA Board of Directors (Board). On September 25, 2017, the Board approved rebranding M2 externally to OC Go to promote OCTA's Measure M awareness and public perception, as well as to avoid confusion with the recently approved, similarly named, Los Angeles County Metropolitan Transportation Authority's "Measure M." M2 progress is summarized in these quarterly progress reports, which are posted online for public review.

Discussion

This quarterly report reflects current activities and progress across all M2 programs for the period of July 1, 2019 through September 30, 2019 (Attachment A).

The quarterly report is designed to be easy to navigate and public friendly, reflecting OCTA's Strategic Plan transparency goals. The report includes budget and schedule information provided from the Capital Action Plan, and Local Fair Share and Senior Mobility Program payments made to cities during the quarter, as well as total distributions from M2 inception through September 2019.

Additionally, Attachment A includes a summary of the Program Management Office activities that have taken place during the quarter. Two areas in particular are highlighted below.

Future Outlook

At the Boards' direction, OCTA contracts with two local economists to monitor and analyze key early warning indicators affecting the construction market. The information is incorporated in a cost pressure index model to provide insight on OCTA's delivery of the Next 10 Delivery Plan. The results of the analysis were presented to the Board on October 28, 2019, and identified a potential that OCTA will experience a moderate cost environment of two to six percent inflation during 2020 through 2022. The consultant's analysis on measurable cost pressures has tempered compared to the 2018 analysis. Staff will continue to monitor market conditions and effects on the advancement of the Next 10 Delivery Plan and provide updates to the Board as appropriate.

Next 10 Delivery Plan

As part of the annual review, staff reviewed the Board-adopted commitments included in the Next 10 Delivery Plan, and incorporated changes in revenues and project costs to ensure the plan remains deliverable. The 2019 review was completed in November and the updated Next 10 Delivery Plan was presented

to the Board on November 11, 2019. The review incorporates the revised 2019 sales tax revenue forecast of \$13.4 billion (presented to the Board on October 28, 2019), updated project and program cash flows, and incorporated information provided through the updated construction cost pressure index (presented to the Board on October 28, 2019).

Progress Update

The following provides an overview of M2 accomplishments to date by mode, as well as highlights of activities that occurred during the first quarter of fiscal year (FY) 2020.

Freeway Program

The M2 Freeway Program consists of 30 projects or project segments to be delivered by 2041. Currently, while in year nine of the 30-year program, 12 segments are complete, three are in construction, and another three are readying for construction. The remaining 12 segments are in various stages of project development, with eight (included in the 2019 updated Next 10 Delivery Plan) of those slated to go into construction and be complete or nearing completion by 2026.

Key freeway project activities taking place this quarter, along with updates, are highlighted below.

- Construction activities continued on Interstate 5 (I-5) between State Route 55 (SR-55) and State Route 57 (SR-57) Project. The I-5/Main Street carpool bridge was demolished on August 2 and August 3, 2019. The demolished bridge will make room for a second carpool lane on the I-5. (Project A)
- The I-5 Project between State Route 73 (SR-73) and Oso Parkway, which includes the Avery Parkway interchange, was advertised for construction bids in late August 2019. This is the southernmost of three segments of the I-5 widening between SR-73 and El Toro Road. The California Department of Transportation (Caltrans) opened bids on October 15, 2019, with the apparent low bid at 3.27 percent below the engineer's estimate. Caltrans is currently reviewing the bid for responsiveness and determination to award the contract. (Project C and Project D)

- An update was provided to the Regional Planning and Highways Committee on September 5, 2019, and to the Board on September 9, 2019, for the SR-55 between I-5 and State Route 91 (SR-91) Project, sharing proposed project improvements and that the draft environmental document was circulated for public input. (Project F)
- A consultant was selected by the Board to prepare the plans, specifications, and estimates for the SR-91 Project between SR-55 and Lakeview Avenue on September 9, 2019. This is the easternmost of three segments of the SR-91 Project between SR-57 and SR-55. Contract negotiations are underway and design is expected to begin in early 2020. (Project I)
- The Board approved the release of request for proposals for consultant services for the preparation of plans, specifications, and estimates for the SR-91 between La Palma Avenue and SR-55 Project on September 23, 2019. This is the middle of three segments of the SR-91 between SR-57 and SR-55 Project. Design work is anticipated to begin in mid-2020. (Project I)
- An update was provided to the Board on September 9, 2019, for the Interstate 405 (I-405) between SR-73 and Interstate 605 Project, sharing the August 30, 2019, completion date of the Slater Avenue bridge. With a total of 11 bridges currently under construction, the completion of the Slater Avenue bridge marks the first of 18 bridges to be replaced as part of this project. (Project K)

Streets and Roads

Since 2011, approximately \$787 million¹ has been allocated to local jurisdictions for transportation improvements through the streets and roads competitive and formula funding programs. Additionally, M2 provided a portion of the \$664 million to grade separate seven street and rail crossings, leveraging the majority of the funds (\$520 million) from local, state, and federal sources.

 The 2020 annual call for projects (call) for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program were authorized by the Board and issued on August 12, 2019, providing up to \$40 million.

¹ Excludes suspended funds. On May 13, 2019, the Board determined the City of Santa Ana and City of Stanton ineligible to receive all net M2 revenues.

Funding applications were due on October 24, 2019. Staff is reviewing applications and will present final programming recommendations in mid-2020.

Transit

The M2 transit mode includes a number of programs designed to provide additional transportation options. M2 is the main funding source for Metrolink commuter rail service in Orange County and provides funding for rail station improvements and transit connections to extend the reach of the services.

Since 2011, M2 has provided competitive funding commitments for bus and station van extension projects to Metrolink (\$483,133 to date), local community-based transit circulators and planning studies (\$31 million to date), bus stop improvements (\$1.8 million to date), and funding to support specific programs to meet the needs of seniors and persons with disabilities (\$71.7 million² to date). Key transit project activities taking place this quarter are highlighted below.

On October 14, 2019, OCTA, along with other Southern California Regional Rail Authority member agencies, implemented service improvements to provide new weekday service between Orange County and the City of Los Angeles (Los Angeles) on the Orange County (OC) and 91/Perris Valley lines. Three midday intracounty roundtrips between the cities of Laguna Niguel/Mission Viejo and Fullerton were replaced with two midday round trips from the cities of Laguna Niguel/Mission Viejo to Los Angeles on the OC Line. These extensions are for later morning trips to Los Angeles and later evening trips from Los Angeles and will only affect weekday service. In addition, on the 91/Perris Valley Line, three intracounty trips from Perris-South to Riverside-Downtown were replaced with one roundtrip from Perris-South to Los Angeles Union Station, with stops in the cities of Buena Park and Fullerton. This will give riders another option to get to Los Angeles and will only affect weekday service. The next phase of service improvements is planned to be implemented in April 2020. (Project R)

² Excludes suspended funds. On May 13, 2019, the Board determined the City of Santa Ana and the City of Stanton ineligible to receive all net M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020.

- A quarterly update was provided to the Transit Committee on July 11, 2019, and to the Board on July 22, 2019, for the OC Streetcar Project. (Project S)
- A ridership report for transit community circulators was provided to the Board on August 12, 2019. At the same meeting, staff provided a report on local agencies' interest to the Board, along with consideration of issuing a fourth call. On October 14, 2019, the fourth call, for \$9 million, was authorized by the Board. (Project V)

Environmental Programs

The M2 Program includes two innovative programs, the Environmental Cleanup Program (ECP) with specific activity, and the Environmental Mitigation Program (EMP) with funding from the freeway program. The ECP improves water quality by addressing transportation related pollutants, while the EMP off-sets biological impacts of freeway projects.

Since 2011, the ECP has awarded \$48.1 million to local jurisdictions through a competitive process, which funded 170 projects for trash removal devices (Tier 1), and 20 projects for large scale water quality best management practices projects (Tier 2). More than 6.2 million cubic feet of trash (or over 2,600 40-foot shipping containers) have been captured so far.

Additionally, the Board has authorized \$55 million for the EMP to acquire conservation lands, fund habitat restoration projects, and to develop the Conservation Plan. OCTA has acquired more than 1,300 acres and funded 12 restoration projects across Orange County. The wildlife and habitat on the acquired lands are protected in perpetuity, and long-term management of the properties will be funded by an established endowment. It is estimated that it will take 12 years to fully fund the endowment with annual deposits, or until the fund totals approximately \$46.2 million. As of June 30, 2019, the balance of the endowment was \$9,534,374. The fourth deposit, of approximately \$2.9 million, took place on July 3, 2019.

- Final programming recommendations for the ninth Tier 1 call were approved by the Board on September 9, 2019, which included 11 projects, totaling \$2 million. (Project X)
- An update and annual report for the M2 EMP was provided to the Board on August 12, 2019.

Challenges

As with all major programs, challenges arise and need to be monitored and addressed. A few key challenges are highlighted below.

The May 13, 2019, Board action finding the City of Santa Ana and City of Stanton ineligible (first time in the life of Measure M1 and M2), suspended M2 funding allocations until confirmation by audit of compliance and subsequent Board action. As of October 22, 2019, both the cities of Santa Ana and Stanton have executed settlement agreements with OCTA to correct and remedy the FY 2017-18 audit issues. Upon notification in writing to OCTA of the cities finalized Comprehensive Annual Financial Report, reflecting an unmodified opinion and receipt by OCTA of the FY 2018-19 Expenditure Report, OCTA staff will expedite, as feasible, the required audit. The audit will review each city's FY 2018-19 Expenditure Report and FY 2018-19 maintenance of effort. The Board will revisit the status of compliance by May 2020 or sooner, as appropriate.

On all M2 projects, staff is committed to develop and implement the most cost-effective design that provides the highest congestion relief with the least impact to businesses and communities. Four projects are facing challenges, which are detailed below.

- The I-5 between I-405 and SR-55 Project (Project B) is nearing completion of the environmental phase. OCTA has submitted fact sheets to Caltrans for review and approval of exceptions to mandatory and advisory design standards and is awaiting Caltrans approval in order to complete environmental and proceed into design.
- The SR-91 between SR-57 and SR-55 is also nearing completion of the environmental phase and facing some difficulties. The finalization of the document has been delayed due to a requirement by Caltrans that OCTA provide additional information prior to consideration of approval of design exceptions. The design exceptions will limit right-of-way needs at a recycling facility located adjacent to the project area. This effort includes a site investigation in the landscape area of a former landfill that is currently operating as a metals recycling facility. This requires a lengthy process and presents risk to the project.

- On October 2, 2019, OCTA met with the cities of Laguna Hills, Laguna Woods, and Lake Forest to discuss the lack of consensus on alternatives under consideration in the environmental phase for the I-5/EI Toro Road Interchange Project. As a result of the meeting, the stakeholder cities have been tasked with determining a mutually acceptable and viable alternative. Built into M2 is a promise that projects would be delivered in cooperation with local jurisdictions. As such, OCTA will not support finalization of the environmental document without consensus. The environmental phase was originally anticipated to be complete by the end of 2019, but will extend beyond. (Project D)
- Another M2 freeway project facing challenges is the SR-55 between I-405 and I-5 project (Project F), which is nearing final design. Caltrans recently informed OCTA that they will not prepare the required fact sheets for design variations (design standard decision document) as documented in the executed design phase cooperative agreement. This task was included as a Caltrans responsibility in the work sharing commitments in the cooperative agreement and was to be funded by Caltrans' State Highway Operation and Protection Program contribution. OCTA's design consultant will take over this effort, which poses risks as Caltrans approval is still required.

In addition, the Placentia Metrolink Station and Parking Structure Project (Project R) design has been completed and is construction ready, but the project cannot be advertised until Metrolink and Burlington Northern Santa Fe Railway (BNSF) successfully negotiate a memorandum of understanding for the Shared Use Agreement terms and conditions. The Shared Use Agreement will provide the required BNSF approvals for construction of the station. This external agency dependency is a challenge for forecasting project cost estimates, funding, and schedule.

M2 project delivery is monitored closely, and progress, as well as challenges, are presented to the Board through these quarterly staff reports, individual project staff reports, as well as through the Capital Action Plan quarterly performance metrics reports from the Capital Programs Division.

Summary

As required by M2 Ordinance No. 3, a quarterly report covering activities from July 2019 through September 2019 is provided to update progress in implementing the Plan. The above information and the attached details indicate significant progress on the overall M2 Program. To be cost-effective and to facilitate accessibility and transparency of information available to stakeholders and the public, the M2 Quarterly Progress Report is made available through the OCTA website. Hard copies are available by mail upon request.

Attachment

A. Measure M2 Progress Report, First Quarter Fiscal Year 2019-20, July 1, 2019 through September 30, 2019

Prepared by:

Tamara Warren Manager, Program Management Office (714) 560-5590 Approved by:

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







MEASURE M2 PROGRESS REPORT

First Quarter of Fiscal Year 2019 – 20 July 1, 2019 through September 30, 2019

First Quarter Highlights:

- Freeway Projects
- Streets and Roads
- Environmental Cleanup & Water Quality
- Freeway Mitigation Program
- Finance Matters
- Program Management Office
- Summary





SUMMARY

On November 7, 2006, Orange County voters, by a margin of 69.7 percent, approved the renewal of the Measure M one-half cent sales tax for transportation improvements. Voters originally endorsed Measure M in 1990 with a sunset in 2011. The renewal of Measure M continues the investment of local tax dollars in Orange County's transportation infrastructure for another 30 years to 2041.

As required by the Measure M2 (M2) Ordinance No. 3, a quarterly report covering activities from July 1, 2019, through September 30, 2019, is provided to update progress in implementing the Measure M2 Transportation Investment Plan. On September 25, 2017, the Board of Directors (Board) approved externally rebranding M2 to OC Go to promote OCTA's Measure M awareness and public perception and to avoid confusion with Measure M in Los Angeles County.

To be cost effective and to facilitate accessibility and transparency of information available to stakeholders and the public, Measure M2 progress reports are presented on the Orange County Transportation Authority (OCTA) website. Hard copies are mailed upon request.



The cover photo shows the demolition of the I-5/Main Street carpool bridge for the I-5, SR-57 to SR-55 project that took place in Santa Ana on August 2-3, 2019. The demolished bridge will make room for a second carpool lane on the I-5.



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Annual Eligibility Review	AER
Board of Directors	Board
Burlington Northern Santa Fe	BNSF
California Department of Fish and Wildlife	CDFW
California Department of Tax and Fee Administration	CDTFA
California Department of Transportation	Caltrans
California Transportation Commission	CTC
Capital Action Plan	CAP
Capital Investment Grant	CIG
Chief Executive Officer	CEO
Cost Estimate Review	CER
Congestion Mitigation and Air Quality	CMAQ
Draft Environmental Document	DED
Draft Project Report	DPR
Environmental Cleanup Allocation Committee	ECAC
Environmental Cleanup Program	ECP
Environmental Document	ED
Environmental Impact Report	EIR
Environmental Impact Statement	EIS
Environmental Mitigation Program	EMP
Environmental Oversight Committee	EOC
Federal Highway Administration	FHWA
Federal Transit Administration	FTA
Federal Transportation Improvement Program	FTIP
Freeway Service Patrol	FSP
Full Funding Grant Agreement	FFGA
High Occupancy Vehicle	HOV
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Interstate 5	I-5
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Local Faire Share Program	LFSP
Los Angeles – San Diego – San Luis Obispo	LOSSAN
Los Angeles County Metropolitan Transportation Authority	LA Metro
Measure M2 or Renewed Measure M	M2
Memorandum of Understanding	MOU
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Next 10 Delivery Plan	Next 10
Natural Community Conservation Plan/Habitat Conservation Plan	Conservation Plan
Orange County Transportation Authority	OCTA
Orange County Unified Transportation Trust	OCUTT
Pacific Coast Highway	PCH
Plans, Specifications and Estimates	PS&E
Program Management Office	PMO
Project Development Team	PDT
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Ready to List	RTL
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United States Fish and Wildlife Service	USFWS
United States Department of Transportation	USDOT















Conceptual

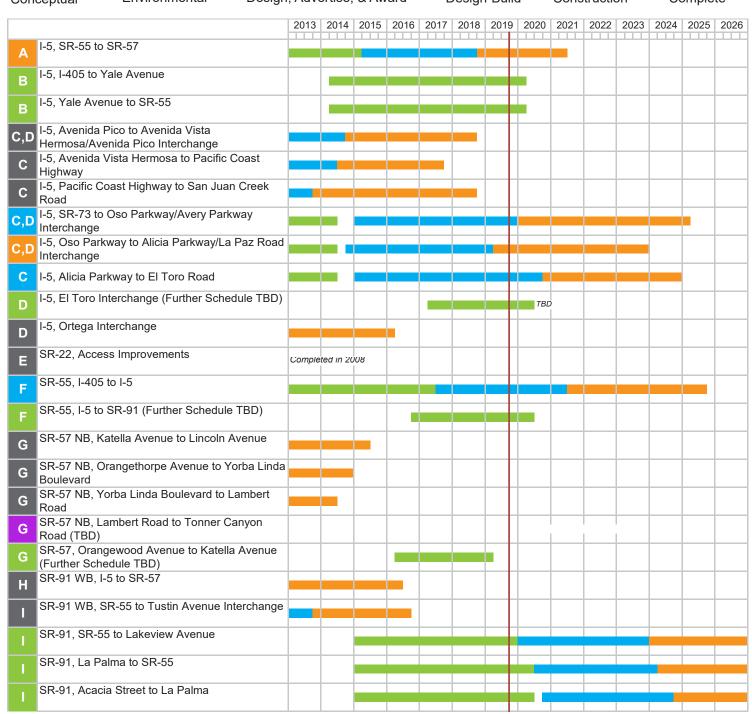
Environmental

Design, Advertise, & Award

Design-Build

Construction

Complete



Project schedules are based on phase start dates. Shown schedules are subject to change.

¹ Projects managed by local agencies



2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 | 2020 | 2021 | 2022 SR-91, SR-55 to SR-241 SR-91, SR-241 to SR-71 Completed in 2011 SR-91, SR-241 to I-15 (TBD) I-405, SR-55 to I-605 I-405, I-5 to SR-55 (Further Schedule TBD) I-605, Katella Avenue Interchange (Further Schedule TBD) Kraemer Boulevard Grade Separation 0 (Placentia) Lakeview Avenue Grade Separation (Anaheim/ 0 Placentia) Orangethorpe Avenue Grade Separation 0 (Anaheim/Placentia) Placentia Avenue Grade Separation (Placentia) 0 Raymond Avenue Grade Separation (Fullerton)¹ 0 State College Blvd Grade Separation (Fullerton)¹ 0 Tustin Ave/Rose Drive Grade Separation 0 (Anaheim/Placentia) Sand Canyon Grade Separation (Irvine) R Rail-Highway Grade Crossing Safety Completed in 2011 R Enhancement San Clemente Beach Trail Safety Enhancements R Anaheim Canyon Metrolink Station R Improvements Fullerton Transportation Center Improvements R Laguna Niguel/Mission Viejo Metrolink Station Americans with Disabilities Act (ADA) Ramps Orange Transportation Center Metrolink Parking R Structure Placentia Metrolink Station Improvements and Parking Structure San Clemente Pier Station Lighting R Laguna Niguel to San Juan Capistrano Metrolink Station Passing Siding Project Tustin Metrolink Station Parking Structure Completed in 2011 Anaheim Regional Transportation Intermodal Center (ARTIC)1 OC Streetcar

Project schedules are based on phase start dates. Shown schedules are subject to change.

¹ Projects managed by local agencies



M2 DELIVERY RISK UPDATE ▼

This section discusses the risks and challenges related to Measure M2 and the 2018 update of the Next 10 Delivery Plan (Next 10) that the Measure M2 Program Management Office (PMO) is monitoring – complete with associated explanations and proposed actions.

	Delivery Risk	Explanation	Proposed Action		
Fina	Financial				
1	The 2018 M2 revenue forecast estimate is \$13.1 billion, which represents a 46 percent decrease in forecasted revenue since M2 adoption.	Sales tax revenue has been impacted by the recession and changes in consumer spending habits.	The 2019 forecast that is planned to go to the Board on October 28, 2019 will reflect an updated review forecast of \$13.4 billion. The 2019 higher forecast provides a positive change which gives relief to the reliance on external funding to deliver the Freeway Program. OCTA will continue to actively pursue available state and federal revenue, and work with Caltrans to identify cost effective freeway alternatives.		
2	Inability to scale the Freeway Program to available revenue and still deliver the promise.	The M2 Freeway Program includes set project scopes leaving very little flexibility in what is delivered.	OCTA will work closely with Caltrans to apply value engineering strategies on projects to manage costs.		
3	Schedule and scope changes on critical capital projects impacting delivery and project costs.	Changes as a result of updated highway standards or issues identified in the field regularly impact scope and schedule and ultimately costs.	Continue tight rein on project delivery. Work closely with Caltrans and project contractors to keep changes in scope and schedule to a minimum.		
4	Sustain Metrolink train service as an attractive alternative to driving in Orange County with the limits of available revenue.	Operational cost of Metrolink service continues to grow as the system ages, track-sharing arrangements with BNSF are revised, and new air quality requirements are implemented.	Staff will continue to work closely with Metrolink and our partners to ensure cost increases are minimized, while seeking external revenue.		



	Delivery Risk	Explanation	Proposed Action
5	The Next 10 Market Conditions Forecast and Risk Analysis identified strong potential for an increasing-cost environment during the Next 10 delivery years.	OCTA continues to monitor and track key early warning indicators. A construction cost pressure model was created providing insight on forecasting capital cost risks.	Continue with early delivery of projects providing opportunity for cost savings (reduces outyear escalation). The cash flow includes built in economic uncertainty funding and extremely conservative bonding assumptions which can be increased if needed. While bid items have increased, changes to overall project costs remain manageable.
Res	ource		
6	Extremely low unemployment and substantial work underway in the region, has resulted in significant demand for professional and skilled labor which can impact delivery given the scope of the M2 capital program.	External demand for key talent creates shortages which drive up project delivery costs. Timely capital project completion is key to reduce project delivery risk.	Expert and timely coordination between OCTA and Caltrans are imperative to manage this risk. Staff is currently working with Caltrans to ensure resource needs are met. Internally OCTA's Human Resources Division continues to implement programs to retain and attract talent.
7	New operational responsibilities with the OC Streetcar.	With the implementation of the OC Streetcar service, OCTA will be increasing its overall role in operations. OCTA holds a strong track record in operating various transportation systems including both a fixed and demand-based bus network.	To ensure success of the OC Streetcar, OCTA hired a streetcar operations manager with proven start-up experience to oversee startup and daily operations.
Reg	ulatory		
8	New federal and statewide directives create additional limitations for use of transportation dollars which could affects freeway projects.	New directives with greenhouse gas reductions, managed lane corridors focus, as well as an emphasis on transit provides new hurdles that eliminate some sources of funding for OC Go freeway improvements.	OCTA will monitor new directives and work closely with our partners including Caltrans to ensure that M2 projects stay true to the voter commitment and compete for funding as appropriate.



Next 10 Delivery Plan ▼

Contact: Tami Warren, PMO Manager • (714) 560-5590

On November 14, 2016, the Board approved the Next 10 Delivery Plan (Next 10), providing guidance to staff on delivery of M2 projects and programs between 2017 and 2026. The Next 10 was updated to address and incorporate the 2018 sales tax revenue forecast of \$13.1 billion. With a revised sales tax revenue forecast provided to the Board in October 2019, staff is reviewing and updating project costs and schedules and incorporating updated revenue projections, bonding assumptions, making adjustments ensuring continued delivery of the complete M2 Program by 2041 as promised. An updated Next 10 Plan will be presented to the Board in November 2019.

Next 10 Plan Deliverables

The Next 10 Plan is based on ten deliverables intended to provide guidance on program and project delivery during the ten-year period. With two years of the ten-year plan complete, progress on the ten deliverables and accomplishments to date is provided. Significant progress has been made, with projects completing construction, projects in and advancing towards construction, as well as regular funding allocations to local jurisdictions through local programs.

1. Deliver \$3.5 billion of freeway improvements approved through construction (Projects A-M).

The M2 freeway program is currently made up of 30 projects or project segments (projects). While the total number of projects increased from 27 to 30, the project delivery commitment remains the same. At the point of Next 10 adoption, nine of the 30 total projects were completed for a total cost of \$463 million. Deliverable 1, includes 12 of the 30 projects to be delivered (or underway) within the Next 10 timeframe including SR-91 between SR-57 to SR-55 (Project I) funded with 91 Express Lanes excess revenue. Together, the projects designated for completion or near completion) by 2026 currently make up a \$3.1 billion delivery promise. The \$3.5 billion deliverable commitment includes prior completed projects. To date, three projects on Interstate 5 (I-5) between Avenida Pico and San Juan Creek Road, opened to traffic, adding six miles of carpool lanes. The remaining nine segments are in design or construction. For more details, see <u>pages iii-iv</u> (Project Schedules) and the project updates contained in the following pages.

2. Invest approximately \$715 million more in revenues, bringing the completed Freeway Program improvements to \$4.3 billion (Projects A-M).

The final nine remaining project segments (of the 30 total) are environmentally cleared or on track to be environmentally cleared by 2026, making them shelf-ready for future advancement. Using the guiding principles adopted by the Board, Deliverable 2 includes approximately \$715 million in funding to move projects directly into design and construction dependent on revenue, project costs and project readiness. These nine remaining projects are being reviewed in the Next 10 update currently underway with five projects planned for inclusion in the 2019 update going to the Board on November 11, 2019. In all, during the Next 10 time-period, approximately \$4.3 billion in freeway improvements promised to the voters in M2 will be completed or underway by 2026. For more details, see <u>pages iii-iv</u> (Project Schedules) and the project updates contained in the following pages.



3. Allocate \$1 billion, with \$400 million in competitive funding to local jurisdictions to expand road-way capacity and synchronize signals (Project O and P) and \$600 million in flexible funding to local jurisdictions to help maintain aging streets or for use on other transportation needs, as appropriate (Project Q).

Since the adoption of the Next 10 Plan in November 2016, OCTA has awarded approximately \$91 million in competitive funding through the Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P). Additionally, \$171.32¹ million in Local Fair Share (Project Q) funds have been distributed to local agencies. This brings the total allocation to date to \$262.3 million. On August 12, 2019, the Board approved the release of the 2019 Call for Projects with a target of approximately \$32 million for Project O and \$8 million for Project P funding. Final programming recommendations will be presented to the Board by June 10, 2020. Additionally, all seven bridges included in the OC Bridges program are complete. For more details, see the project updates on page 18.

¹Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020.

4. Extend Metrolink service from Orange County into Los Angeles County, contingent upon cooperation and funding participation from route partners; complete six rail station improvements (Project R).

Contingent upon cooperation and funding participation from route partners, OCTA will extend service on four intracounty trips to Los Angeles in two phases beginning in October 2019 and April 2020. Two northbound trips that currently operate between Laguna Niguel/Mission Viejo and Fullerton will be extended to Los Angeles and two southbound trips will begin in Los Angeles instead of Fullerton. Schedules for the extended service have been developed consistent with existing schedules.

Within this program, funding is provided for rail corridor and station improvements to accommodate increased passenger train service - including station upgrades, parking expansions, and safety enhancements. The Next 10 Plan identifies six projects to be completed by 2026: 1) Laguna Niguel/Mission Viejo Metrolink Station ADA ramps (completed September 2017), 2) Orange Metrolink Station Parking Structure (completed February 2019), 3) Placentia Metrolink Station (is ready to begin construction, however, it is contingent on a BNSF Construction and Maintenance Agreement being in place), 4) Anaheim Canyon Metrolink Station Improvement Project (construction to begin summer 2020), 5) Fullerton Transportation Center elevators (completed May 2019), and 6) San Clemente Pier Metrolink/Amtrak Station Lighting Project (completed March 2017). For more details, see the project updates on page 23.

5. Complete design and construction, secure vehicles, and begin operating the OC Streetcar (Project S) and work with local agencies to consider recommendations from planning studies to guide development of future transit connections (Project S).

OC Streetcar

With strong FTA support for the project, a FFGA was executed in November 2018. Activities continue to move forward, including coordination with third parties on utility relocation, reviewing the Operations and Maintenance



Request for Proposal submissions, and continued coordination with the Federal Transit Administration (FTA). The streetcar vehicle manufacturing contract has been executed and the notice to proceed has been issued. The streetcar construction contract has been executed and Notice to Proceed was issued on March 4, 2019. Construction activities are underway with completion anticipated in early 2022. See <u>page 27</u> for more information.

Bristol Street Transit Corridor Study

The study is focused on Bristol Street between West 17th Street and Sunflower Avenue (South Coast Metro); and will also evaluate connections to the John Wayne Airport and the Santa Ana Regional Transportation Center. The study will analyze and develop up to six conceptual transit alternatives for the Bristol Street Corridor. During the quarter, the study team focused on conducting the initial round of outreach, developing the conceptual transit alternatives, and identifying potential constraints. A stakeholder working group meeting was held on July 31st, to provide information and solicit input on the study. Two open houses and a bus operator's roundtable were held in early August. Staff also attended a number of community events and neighborhood meetings to disseminate information about the project and encourage participation in the study. Monthly Project Development Team (PDT) meetings were during the quarter. In addition to the monthly meetings staff held meetings with each of the agencies participating in the study, to provide additional opportunity for input and to identify potential issues and constraints. During the next quarter, staff will present the draft alternatives to the OCTA Transit Committee, Board of Directors, and the city councils in the study area, and initiate a second round of outreach to the stakeholders and the public.

6. Provide up to \$115 million in funding to expand mobility choices for seniors and persons with disabilities (Project U).

Approximately \$33² million has been provided for the Senior Mobility Program (SMP), the Senior Non-Emergency Medical Transportation Program (SNEMT), and the Fare Stabilization Program since the Next 10 Plan adoption. See page 29 for more information.

²Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020.

7. Work with local agencies to develop a plan for the next community circulator projects to provide grant opportunities for local agencies to implement effective local transit services (Project V).

IAlong with requests for letters of interest, the Board has authorized four calls for projects in total with two occurring since the Next 10 adoption. Five projects for a total of \$5.1 million were funded through the 2018 call with another \$9 million available for the 2019 call underway, more projects are anticipated. Nineteen transit circulators are currently active. Staff continues to work with local jurisdictions through letters of interest requests and workshops to fine tune this program and seek successful projects for implementation. For additional details and information on current project program performance and service see page 30.



8. Allocate up to \$7 million in funding to improve the top 100 busiest bus stops and support the modernization of the bus system to enhance the customer experience (Project W).

Through two calls for projects in total, Board approval has resulted in 79 city-initiated improvements to busy bus stops on the OCTA transit system. Since the Next 10 adoption, the Board has made \$3 million available of which \$872,000 was allocated to the eligible local jurisdictions. The program is designed to ease transfers between bus lines and provide passenger amenities such as installation of bus benches or seating, shelters, improved lighting, and other passenger related amenities. For additional details see <u>page 31</u>.

9. Ensure the ongoing preservation of purchased open space (Preserves) which provides comprehensive mitigation of the environmental impacts of freeway improvements and higher-value environmental benefits in exchange for streamlined project approvals (Projects A-M).

The Freeway Mitigation Program Preserves includes seven properties (1,300 acres), and 12 restoration projects (350 acres). In 2017, OCTA received biological resource permits after completing a state and federal Natural Community Conservation Plan/Habitat Conservation Plan (Conservation Plan) for the Environmental Mitigation Program, allowing streamlined project approvals for the freeway improvement projects. The Conservation Plan also includes a streamlined process for coordination of streambed alternation agreements. In January 2018, the OCTA secured programmatic permits and assurances for federal and state clean water permitting requirements. Receipt of these permits represent the culmination of years of collaboration and support by the Board, environmental community, and regulatory agencies.

To ensure ongoing preservation of the open space, an endowment was established to pay for the long-term management of the Preserves. Approximately \$2.9 million will be deposited annually. The third deposit was made in July 2019 bringing the total endowment funding to approximately \$12.4 million including interest. The total endowment balance to date is performing above original projections due to higher investment earnings and lower fees. For more details, see the project updates on page 33.

10. Work with the Environmental Cleanup Allocation Committee (ECAC) to develop the next tiers of water quality programs, with a goal of providing \$40 million in grants to prevent the flow of trash, pollutants, and debris into waterways from transportation facilities. In addition, focus on improving water quality on a regional scale that encourages partnerships among the local agencies as part of the Environmental Cleanup Program (ECP) (Project X).

Since adoption of the Next 10 Plan in November 2016, OCTA has issued three calls for Tier 1 ECP projects. The Board awarded approximately \$7.6 million to fund 39 Tier 1 projects. Staff anticipates the next Tier 2 call in 2021, dependent on projected cash flow and local jurisdictions' interest in potential viable Tier 2 projects. For more details, see the project updates on page 32.



INTERSTATE 5 (I-5) PROJECTS ▼

Segment: I-5, Between SR-55 and SR-57

Status: Construction Underway – 30% complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will increase high occupancy vehicle (HOV) capacity by adding a second HOV lane in both directions along I-5 between SR-55 and SR-57 for approximately 3 miles in Santa Ana. Construction began on February 20, 2019, and during the quarter activities included continued installation of retaining walls at Lincoln Avenue and demolition of the HOV ramp bridge at Main Street in early August 2019. The project is expected to be completed in early 2021.

Segment: I-5, I-405 to SR-55

Status: Environmental Phase Underway - 92% Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

PROJECT B

PROJECT A

Summary: This project is studying the addition of one general purpose lane in each direction of the I-5 corridor and improved interchanges in the area between just north of I-405 to SR-55 in the cities of Tustin and Irvine. Additional features include the addition of auxiliary lanes in some areas and re-establishment in other areas within the project limits. The Draft Environmental Document (DED) was circulated in May 2018 and two open house format public hearings were held in late May 2018. To limit community and business impacts, design variations were recommended to address tight right-of-way constraints in the project area. Due to a lack of agreement over design variations recommended, the completion of the environmental document was delayed 15 months. Following discussions and further study, agreement was reached, and the Project Development Team recommended a preferred alternative in mid-March 2019. The Design Standard Decision Document (formerly Fact Sheet) process is underway to address the agreed upon design variations and completion of the final ED is expected in early 2020. This project has been segmented into two segments for the design phase and will be recommended for advancement in the updated 2019 Next 10 Delivery Plan going to the Board on November 11, 2019.



PROJECT C AND PART OF PROJECT D

I-5, Avenida Pico to San Juan Creek Road is one project broken into three segments, as described below.

Segment: I-5, Avenida Pico to Avenida Vista Hermosa/Avenida Pico Interchange

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This segment added a carpool lane in each direction on I-5 between Avenida Pico and Avenida Vista Hermosa for approximately 0.7 miles in San Clemente and included major improvements through reconstruction of the Avenida Pico Interchange (part of Project D). The project also added bicycle lanes in both directions on Avenida Pico. Construction began in February 2015 and all three segments of the I-5 between Avenida Pico to San Juan Creek were opened to traffic on March 13, 2018. The project was officially completed on August 23, 2018, and the one-year plant establishment period for this segment was completed in May 2019.

Segment: I-5, Avenida Vista Hermosa to Pacific Coast Highway

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

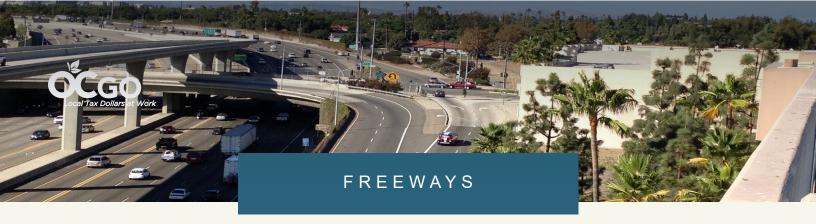
Summary: This segment added a carpool lane in each direction of I-5 between Avenida Vista Hermosa and Pacific Coast Highway (PCH) for approximately 2.5 miles in San Clemente, and also reconstructed on- and off-ramps at Avenida Vista Hermosa and Camino de Estrella. Construction began in September 2014 and all three segments of the I-5 between Avenida Pico to San Juan Creek were opened to traffic on March 13, 2018. The project was officially completed on July 31, 2017, and the one-year plant establishment period for this segment was completed in May 2018.

Segment: I-5, Pacific Coast Highway to San Juan Creek Road

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This segment added one carpool lane in each direction of the I-5 between PCH and San Juan Creek Road for approximately 2.5 miles in the Cities of San Clemente, Dana Point, and San Juan Capistrano. Project improvements also reconstructed the on and off ramps at PCH/Camino Las Ramblas. Construction began in March 2014 and all three segments of the I-5 between Avenida Pico to San Juan Creek were opened to traffic on March 13, 2018. The project was officially completed on July 3, 2018, and the one-year plant establishment period for this segment was completed in March 2019. While the project is complete, an outstanding contractor claim remains to be resolved.



I-5, SR-73 to El Toro Road is one project broken into three segments in early 2018, as described below. With a cost estimate for this project of \$557.11 million, the project was above the \$500 million threshold for a "Major Project" designation, as determined by the Federal Highway Administration (FHWA). Major projects require a Cost Estimate Review (CER) workshop, and a CER was conducted by the FHWA, Caltrans, and OCTA in February 2018 and resulted in an estimated project cost of \$612.6 million. The OCTA cost estimate for the three segments is currently \$595.7 million.

Segment: I-5, SR-73 to Oso Parkway/Avery Parkway Interchange

Status: Design Complete. Construction contract advertisement underway.

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will make improvements along I-5 between SR-73 and Oso Parkway in the Cities of Laguna Hills, Laguna Niguel, and Mission Viejo. The improvements include the addition of a 2.2-mile general-purpose lane in each direction and reconstruction of the Avery Parkway Interchange (part of Project D). During the quarter, the consultant continued working on ROW acquisition and coordination with utility agencies. Staff continued to coordinate with Caltrans and obtained approval of all Fact Sheets, ROW certification and Ready to List (RTL) the project. The 100 percent Plans, Specifications, and Estimates (PS&E) was re-submitted to Caltrans on March 15th implementing the latest Caltrans Highway Design Manual standards. The plans identified a higher cost estimate due to unit price increases, rise in Caltrans support costs, and schedule changes to address bird nesting season restrictions. Due to extended ROW coordination, this project is marked "red" in the CAP, with delay of 12 months beyond the original schedule. Funding allocation of \$73.73 million in STIP and \$30.26 million in TCIF were approved at the June 2019 CTC meeting. Advertisement started on August 26, 2019 and the bid opening will be on October 15, 2019. It is anticipated to start construction early February of 2020.

Segment: I-5, Oso Parkway to Alicia Parkway/La Paz Road Interchange

Status: Construction Underway – 7% Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will make improvements along I-5 between Oso Parkway and Alicia Parkway in the Cities of Mission Viejo, Laguna Hills, and Lake Forest. The proposed improvements include the addition of a 2.6-mile general-purpose lane in each direction and reconstruction of the La Paz Road Interchange (Part of Project D). The construction contract award was on April 4, 2019, and the first working day was May 29, 2019. Activities this quarter include clearing and grubbing, placing of K rail and restriping. In addition, the contractor began removal and disposal of Aerially Deposited Lead and preparation for the demolition of the northbound looped on-ramp at La Paz Road. The Construction Management team approved the contractor's Baseline Schedule. Staff also continued coordination of the service contract with SCRRA/Metrolink, and with Caltrans on ROW and utility relocations.



Segment: I-5, Alicia Parkway to El Toro Road

Status: Design Complete. Construction bid package preparation underway

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will make improvements along I-5 between Alicia Parkway to El Toro Road in the Cities of Lake Forest, Laguna Hills, Laguna Woods and Mission Viejo. The proposed improvements include the addition of a 1.7-mile general-purpose lane in each direction and the extension of the second HOV lane from El Toro Road to Alicia Parkway. Major activities this quarter included approval from the California Department of Fish and Wildlife to not construct a Fishway at Aliso Creek. Final ROW mapping and appraisals are approved. Due to extended ROW coordination with Caltrans and delayed design start date, this project is marked "red" in the CAP, with a delay of over 16 months beyond the original schedule. The 100 percent Design Submittal was on May 3, 2019, and the consultant is coordinating with the Caltrans Office Engineer to prepare for achieving Ready to List Status. The Board has approved \$49.9 million in federal funding and OCTA has received \$9.4 million in state funding.

PROJECT D

This project will update and improve key I-5 interchanges at Avenida Pico, Ortega Highway, Avery Parkway, La Paz, and at El Toro Road. Three interchange improvements at La Paz, Avery Parkway, and Avenida Pico are included and discussed as part of the respective segments in Project C.

Segment: I-5, Ortega Highway Interchange

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Construction began in February 2013 to reconstruct the SR-74 Ortega Highway Bridge over I-5 and improve local traffic flow along SR-74 and Del Obispo Street in the City of San Juan Capistrano. All lanes on the new bridge were opened to traffic on September 4, 2015. A dedication ceremony was held on October 1, 2015. The project was officially completed on January 15, 2016.

Segment: I-5, El Toro Interchange

Status: Environmental Phase Underway - 65% Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Caltrans is the lead in the environmental phase of this project which included the study of four build alternatives that consider modifications to the existing interchange, ranging from an I-5 southbound direct connector to El Toro Road to modifications in how existing on and off ramp intersections operate. The project area includes the cities of Laguna Hills, Laguna Woods and Lake Forest who are direct stakeholders of the project improvements. The study began in April 2017 and the Draft Initial Study/Environmental Assessment (IS/



EA) was completed in March 2019. The public comment review period was from April 2, 2019, through May 20, 2019, and a public hearing was held on April 18, 2019, in the City of Lake Forest. The four alternatives were reduced to two and the remaining two alternatives have large community and business impacts as a result of the project being in a densely built out area. The three stakeholder cities are not in consensus on a preferred alternative and costs identified for the remaining alternatives are significantly higher than the assumed cost in the Next 10 Plan which creates additional challenges. The environmental phase was anticipated to be completed in late 2019, however additional time to is needed. Without the cities' consensus, OCTA will not support finalization of the document. A meeting is scheduled with the three stakeholder cities on October 2, 2019 to request that the three cities work together to determine if they can jointly support an alternative. Until consensus is reached on an alternative, OCTA has requested Caltrans put completion of the environmental document on hold.

STATE ROUTE 22 (SR-22) PROJECTS ▼

Segment: SR-22 Access Improvements

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Completed in 2008, Project E made improvements at three key SR-22 interchanges (Brookhurst Street, Euclid Street, and Harbor Boulevard) in the City of Garden Grove to reduce freeway and street congestion in the area. This M2 project was completed early as a "bonus project" provided by the original Measure M (M1).



PROJECT E

STATE ROUTE 55 (SR-55) PROJECTS ▼

Segment: SR-55, I-405 to I-5

Status: Design Phase Underway - 85% Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will widen SR-55 between I-405 and I-5 in the Cities of Irvine, Santa Ana, and Tustin. The improvements will include a 4-mile general purpose lane and a second HOV lane in both directions between the I-405 and I-5. Auxiliary lanes will be added and extended in some segments, within the project limits. Through a cooperative agreement, Caltrans and OCTA's consultant initiated the design together. During the quarter, the 95 percent design was submitted to Caltrans on July 19, 2019. Caltrans originally agreed to be responsible for developing and gaining approval of the required Supplemental Fact Sheet addressing necessary design variations on the project; however, OCTA was notified that Caltrans will not complete the work. The Supplemental Fact Sheet was submitted for approval during the quarter and will work with Caltrans for approval. The project is anticipated to be ROW Certified and ready to list (RTL) by December 2020. The Board has approved \$103 million in federal funds and OCTA has received \$80 million in state funds through the 2018 STIP. Caltrans has committed \$46.8 million in SHOPP funds and OCTA will seek to capture another \$75 million in future SB1 funding to fully fund the carpool elements of the project.

PROJECT F



Segment: SR-55, I-5 to SR-91

Status: Environmental Phase Underway - 82% Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project is studying approximately 7.5 miles of SR-55 between I-5 and SR-91 in the Cities of Santa Ana, Tustin, Orange and Anaheim. The environmental study is looking at the addition of one general purpose lane in each direction between SR-22 and the I-5 and providing operational improvements between SR-22 and SR-91. During the quarter, the consultant continued working on technical studies and obtained approval on most. The Draft Environmental Document (ED) and Draft Project Report were approved in September 2019. The Draft ED was circulated to the public in late-September, and an open house format Public Hearing is scheduled to be held in mid-October. The Design Standard Decision Document (formerly Fact Sheet) process has been underway to address design variations needed to limit right-of-way impacts. The final ED is expected to be approved in early 2020. This project is recommended for advancement in the updated 2019 Next 10 Delivery Plan going to the Board on November 11, 2019.

STATE ROUTE 57 (SR-57) PROJECTS ▼

Segment: SR-57 Northbound, Katella Avenue to Lincoln Avenue

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project increased capacity and improved operations on northbound SR-57 between Katella Avenue and Lincoln Avenue in the City of Anaheim with the addition of a new 3-mile general purpose lane, on- and off-ramp improvements, and sound walls. Bridges at Katella Avenue and Douglas Road were also widened in the northbound direction. The project opened to traffic on November 19, 2014, and completed on April 21, 2015.

Segment: SR-57 Northbound, Orangethorpe Avenue to Yorba Linda Boulevard

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project increased capacity and improved operations on northbound SR-57 with a new 2.5-mile northbound general-purpose lane between Orangethorpe Avenue in the City of Placentia to Yorba Linda Boulevard in the City of Fullerton. In addition to the new lane, capital improvements include reconstruction of northbound on- and off-ramps, widening of seven bridges, and the addition of soundwalls. The new general purpose lane was opened to traffic on April 28, 2014. The project was completed on November 6, 2014.

PROJECT G



Segment: SR-57 Northbound, Yorba Linda Boulevard to Lambert Road

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Completed on May 2, 2014, this project improved capacity, operations, and traffic flow on SR-57 with the addition of a new 2.5-mile northbound general-purpose lane between Yorba Linda Boulevard in the City of Fullerton and Lambert Road in the City of Brea. Additional project benefits include on- and off-ramp improvements, the widening and seismic retrofit (as required) of six bridges in the northbound direction and the addition of soundwalls. Existing lanes and shoulders were also widened to standard widths, enhancing safety for motorists. The new general purpose lane was opened to traffic on September 23, 2013. The project was completed on May 2, 2014.

Segment: SR-57 Northbound, Lambert Road to Tonner Canyon Road

Status: Environmental phase expected to begin in mid-2020

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Caltrans previously completed a Project Study Report (PSR)/Project Development Support document for the Lambert Road to Tonner Canyon Road segment, which would add a truck-climbing lane from Lambert Road to Tonner Canyon Road in the City of Brea in the approximately 2.5 mile area. The mainline project includes interchange and ramp improvements at Lambert Road. Through the SB 1 Trade Corridor Enhancement Program, funds were allocated to initiate the construction phase for interchange improvements at Lambert Road which will complement and serve as a first phase to the freeway improvement project. Construction bids were opened for Phase 1 on February 13, 2019. The lowest responsive bidder was 16% under the engineers estimate. Phase 2, which is the mainline improvements, was approved for STIP funding in March 2018 to initiate the environmental phase to study the truck-climbing lanes in mid-2020. This project will coordinate with and take into consideration any related work by LA Metro across the county line.

Segment: SR-57 Northbound, Orangewood Avenue to Katella Avenue

Status: Environmental Phase Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

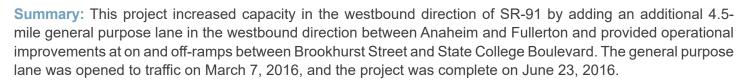
Summary: This project studied the addition of a new one mile northbound general purpose lane on SR-57 from Orangewood Avenue to Katella Avenue in the Cities of Anaheim and Orange. The northbound general-purpose lane would join the northbound general purpose lane which was opened to traffic in 2014 between Katella Avenue and Lincoln Avenue. The Final Environmental Document and Final Project Report were approved on March 29, 2019. This project is recommended for advancement in the updated 2019 Next 10 Delivery Plan going to the Board on November 11, 2019.

STATE ROUTE 91 (SR-91) PROJECTS ▼

Segment: SR-91 Westbound, I-5 to SR-57

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Segment: SR-91, SR-55 to Tustin Avenue Interchange

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

PLETE
ital Projects • (714) 560-5729

PROJECT I

PROJECT H

Summary: This project improved traffic flow at the SR-55/SR-91 interchange by adding a westbound auxiliary lane beginning at the northbound SR-55 to westbound SR-91 connector through the Tustin Avenue interchange in the City of Anaheim in the approximately 2-mile area. The project reduced weaving congestion in the area and included reconstruction of the westbound side of the Santa Ana River Bridge to accommodate the additional lane. The bypass lane was open to traffic on May 14, 2016, and construction was completed on July 15, 2016.

Segment: SR-91, SR-55 to SR-57

Status: Environmental Phase Underway - 93% Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

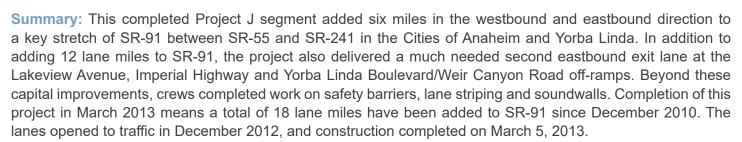
Summary: This project will improve traffic flow and operations along SR-91 within the Cities of Fullerton and Anaheim in the approximately 5-mile study area. The study is looking at the addition of one general purpose lane eastbound between SR-57 and SR-55, and one general purpose lane westbound from the NB SR-57 connector to State College Boulevard. Additional features of this project include improvements to various interchanges. Auxiliary lanes will be added in some segments and re-established in others within the project limits. The Project Development Team recommended the preferred alternative in late-March. Due to Caltrans requiring extra work to study interchange improvements outside of the completed PSR and the M2 promised project, the project is marked "red" in the CAP signifying a delay of 13 months from its original schedule. SR-91 Express Lanes excess revenue is designated to pay for the mainline freeway improvements included in M2. The Draft ED was circulated to the public late-November 2018 and an open house format public hearing was held in December 2018. The finalization of the document has been delayed due to a requirement by Caltrans that OCTA provide additional information at the recycling facility for Caltrans to consider approval of design exceptions. This effort includes a site investigation at landscape area of a former landfill and is currently operating as a metals recycling facility, which is a lengthy process and introduces risk to the project. The final ED is anticipated to be complete in June 2020. This project has been segmented into three segments for the design phase which is anticipated to begin in early 2020.



Segment: SR-91, SR-55 to SR-241

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Segment: SR-91, SR-241 to SR-71

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Completed in January 2011, this segment added six miles through a key stretch of SR-91 between Orange County's SR-241 and Riverside County's SR-71. The project improves mobility and operations by reducing traffic weaving from traffic exiting at SR-71 and Green River Road. An additional eastbound general purpose lane on SR-91 was added and all existing eastbound lanes and shoulders were widened. The new facilities were opened to traffic on December 2, 2010, and construction completed January 31, 2011. Because this project was shovel-ready, OCTA was able to obtain American Recovery and Reinvestment Act funding for this M2 project, saving M2 revenues for future projects.

Segment: SR-91, SR-241 to I-15

Status: RCTC's Design-Build - Initial Phase Complete March 20, 2017

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Freeway improvements that cross county lines require close coordination to maintain seamless travel. This project adds one general-purpose lane (bringing the total to 6 lanes in each direction) on SR-91 between SR-241 and I-15. Since the SR-91 corridor is one of the busiest in the region, implementation of this project requires constructing the improvements under multiple segments to minimize impacts to the traveling public. While the portion of this project between SR-241 and the Orange County/Riverside County line is part of OCTA'S OC Go Project J, the matching segment between the county line and SR-71 is part of RCTC's Measure A. The 6th lane addition requires joint implementation to ensure smooth delivery of the project. With significant SR-91 freeway improvements taking place as a result of both counties sales tax measures, the construction of the additional general-purpose lane between SR-241 and SR-71 was anticipated to take place post-2035.

PROJECT J



However, RCTC has requested OCTA's support accelerating a portion of the ultimate project in Orange County in the westbound direction to address a bottleneck issue affecting the City of Corona. With OCTA's support, RCTC has initiated the 91 Corridor Operation Project to look at moving the project forward sooner. Discussions and coordination between OCTA and RCTC are ongoing. In addition, OCTA and RCTC will be jointly conducting a feasibility study to determine how best to implement the 6th general-purpose lane in the eastbound direction between SR-241 and SR-71, while minimizing environmental and construction impacts.

INTERSTATE 405 (I-405) PROJECTS ▼

Segment: I-405, SR-73 to I-605

Status: Design-Build Underway

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: OCTA and Caltrans are working together to widen I-405 through the Cities of Costa Mesa, Fountain Valley, Garden Grove, Huntington Beach, Los Alamitos, Seal Beach, and Westminster in the approximately 16-mile project area. These improvements will add one general purpose lane, add a second lane to be combined with the existing HOV lane to provide a dual express lanes facility, and improve the local interchanges along the corridor from SR-73 to I-605.³

During the quarter, work continued on ROW acquisition, utility coordination, and public outreach. Other work includes review of design-builder submittals including design and construction submittals. OCTA's toll lanes system integrator, Kapsch, is now under contract and working with OCTA and the design-builder. Significant roadway construction activities, including installation of drainage systems, retaining walls, and paving operations are underway. Additionally, approximately 25 walls and 12 bridges were under construction at this time. The Slater Avenue bridge was the first new bridge completed and was opened to traffic on August 30, 2019. Significant bridge construction continues on McFadden Avenue, Fairview Road, Magnolia Street, Goldenwest Street, Bolsa Chica Road and Westminster Boulevard bridges. These are two-stage bridges, which means traffic is maintained on the remaining portion of the bridge while the first half of the new bridge is constructed. Construction also began at the Talbert Avenue and Bushard Street bridges as well as Beach Boulevard. Construction continues at the Santa Ana River and Harbor Boulevard bridges which consists of widening over both of those facilities. Lastly, OCTA continued targeted public outreach this past quarter in the form of neighborhood meetings in anticipation of the construction activities mentioned previously. Construction is scheduled to be completed in 2023.

PROJECT K

³The general purpose lane portion of the project is a M2 project and will be funded by a combination of local, state and federal funds, with the express lanes portion of the project financed and paid for by those who choose to pay a toll and use the 405 Express Lanes.



Segment: I-405, I-5 to SR-55

PROJECT L

Status: Environmental Phase Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project studied the addition of general purpose lanes on the I-405 corridor between I-5 and SR-55 in Irvine in the approximately 8.5-mile project area. The project development team reviewed the alternatives and public comments received during public circulation and as a result of the effort, recommended adding one general purpose lane in each direction. The final Project Report (PR) and Environmental Document (ED) were completed in August 2018. The Next 10 Plan sets direction through 2026; as projects listed are completed, schedules and revenues will be reviewed, and the Board will adopt a new delivery plan providing direction on further project advancement. Using only Measure M funding, this project is scheduled to move into design beyond 2026, however, projects that compete best for external funding are those that are already environmentally cleared. OCTA continually looks for opportunities to accelerate construction by taking advantage of state and federal dollars

INTERSTATE 605 (I-605) PROJECTS ▼

Segment: I-605, Katella Interchange Improvements

Status: Environmental Phase Complete

Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will improve freeway access and the arterial connection to I-605 at Katella Avenue in the City of Los Alamitos and the County of Orange. Improvements under this project will include enhancements at the on-ramps and off-ramps in addition to operational improvements on Katella Avenue at the I-605 Interchange. The final ED was approved in October 2018 and the final PR was approved in November 2018. This project is recommended for advancement in the updated 2019 Next 10 Delivery Plan going to the Board on November 11, 2019.

FREEWAY SERVICE PATROL ▼

Status: Service Ongoing

Contact:

Contact: Cliff Thorne • (714) 560-5975

PROJECT N

PROJECT M

Summary: M2's Freeway Service Patrol (FSP) began operation in June 2012 and provides tow truck service for motorists with disabled vehicles on the freeway system to help quickly clear freeway lanes and minimize congestion. During the quarter, the midday service provided assistance to 1,109 motorists and weekend service provided assistance to 708 motorists and no M2 funded construction service offered to motorists. Since inception, M2 and construction-funded FSP has provided a total of 78,889 assists to motorists on the Orange County freeway system.



REGIONAL CAPACITY PROGRAM ▼

Status: 2019 Call for Projects in Progress

Contact: Joseph Alcock, Planning • (714) 560-5372

Summary: This program, in combination with required local matching funds, provides funding for improvements on Orange County's Master Plan of Arterial Highways. Since 2011, 147 projects totaling more than \$296⁴ million, including \$24 million in external funding, have been awarded through nine calls for projects by the Board and the application for the tenth call closes on October 24, 2020.

⁴To date, 15 of the 183 phases awarded by OCTA totaling approximately \$21.1 million have been cancelled by the awarded local jurisdictions.

OC Bridges Railroad Program

This program built seven grade separations (either under or over passes) where high volume streets are impacted by freight trains along the BNSF Railroad in North County. With all seven grade separations open to traffic, an OC Bridges completion ceremony was held on October 24, 2017. To date, the Board has approved approximately \$664 million in committed M2 and external funds for all seven of the OC Bridges Program grade separation projects. Minor activities this quarter include warranty work and close out of projects.

Segment: Kraemer Boulevard Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The project located at Kraemer Boulevard railroad crossing is grade separated and open to traffic. The project separated the local street from railroad tracks in the City of Placentia by building an underpass for vehicular traffic. The grade separation was opened to traffic on June 28, 2014, and an event was held on July 8, 2014, to commemorate the opening. Project acceptance by the Cities of Anaheim and of Placentia, respectively, occurred in December 2014 and the cities assumed full maintenance responsibilities. In December 2015, the one-year warranty period expired with no issues or repairs identified.

PROJECT O



Segment: Lakeview Avenue Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The project located at Lakeview Avenue railroad crossing grade separated the local street from railroad tracks in the Cities of Anaheim and Placentia by building a bridge for vehicular traffic over the railroad crossing and reconfiguring the intersection of Lakeview Avenue and Orangethorpe Avenue. Construction began on July 1, 2014.

Lakeview Avenue was reopened on June 6, 2017. Construction acceptance from the Cities of Anaheim and Placentia was obtained on June 2, 2017, and OCTA has turned over the maintenance responsibilities to the cities and completed the one-year warranty on some constructed items. The one-year warranty was extended to July 2019 for some minor repair items and close-out activities are completed. Staff presented recommendation for final claim resolution to the Board on July 22, 2019, which was approved. Funding reimbursement and closeout were initiated and are ongoing.

Segment: Orangethorpe Avenue Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The project located at Orangethorpe Avenue railroad crossing is grade separated and open to traffic. The project separated the local street from railroad tracks in the Cities of Placentia and Anaheim by building a bridge for vehicular traffic over the railroad tracks. On May 17, 2016, a joint-grand opening event was held to commemorate the opening to traffic for the Orangethorpe and Tustin/Rose Grade Separation projects. Construction was completed in October 2016 and construction acceptance was obtained from the Cities of Anaheim and Placentia on October 25, 2016. OCTA has turned over the maintenance responsibilities to the cities and completed the one-year warranty on the majority of constructed items. The one-year warranty was extended to June 2019 for some minor repair items. Funding reimbursement and closeout are completed.

Segment: Placentia Avenue Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The project located at Placentia Avenue railroad crossing is grade separated and open to traffic. This project separated the local street from railroad tracks in the City of Placentia by building an underpass for vehicular traffic. An event was held on March 12, 2014, to commemorate the opening. Project acceptance by the Cities of Anaheim and Placentia occurred in December 2014 and the cities assumed full maintenance responsibilities. In December 2015, the one-year warranty period expired with no issues or repairs identified.





Segment: Raymond Avenue Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The project located at Raymond Avenue railroad crossing grade separated the local street from railroad tracks in the City of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton is managing construction and OCTA is providing construction oversight, public outreach, railroad coordination, and ROW support. Construction began on June 2, 2014. Raymond Avenue has been opened to traffic since October 2017. OCTA received conditional construction acceptance in May 2018. Activities this quarter include project closeout documentation and processing final invoices. Funding reimbursement and closeout were initiated and are ongoing.

Segment: State College Boulevard Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The project located at State College Boulevard railroad crossing grade separated the local street from railroad tracks in the City of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton managed the construction and OCTA provided construction oversight, public outreach, railroad coordination, and ROW support. State College Boulevard was opened to through traffic on November 1, 2017. Construction acceptance and maintenance responsibilities from the City of Fullerton was obtained on March 7, 2018, and the one-year warranty began. Close-out activities and warranty work will be ongoing through mid-2019. Funding reimbursement and closeout were initiated and are ongoing.

Segment: Tustin Avenue/Rose Drive Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The project located at Tustin Avenue/Rose Drive railroad crossing is grade separated and open to traffic. The project separated the local street from railroad tracks in the Cities of Placentia and Anaheim by building a bridge over the railroad crossing for vehicular traffic. On May 17, 2016, a joint-grand opening event was held to commemorate the opening to traffic for the Orangethorpe and Tustin/Rose Grade Separation projects. Construction was completed in October 2016 and construction acceptance was obtained from the Cities of Anaheim and Placentia on October 25, 2016. OCTA has turned over the maintenance responsibilities to the cities and completed the one-year warranty on the majority of constructed items. The one-year warranty was extended to November 2018 for some minor repair items. In November 2018, the warranty period expired with no additional issues or repairs identified.



REGIONAL TRAFFIC SIGNAL SYNCHRONIZATION PROGRAM ▼

Status: 2019 Call for Projects in Progress

Contact: Anup Kulkarni, Planning • (714) 560-5867

PROJECT P

Summary: This program provides funding and assistance to implement multi-agency signal synchronization. The target of the program is to regularly coordinate a network of 2,000 signalized intersections over 750 miles of roadway within Orange County. OCTA also leverages external funding to further enhance the efficiency of the street grid and reduce travel delay.

On June 10, 2019, the OCTA Board approved funding for five projects totaling \$7.7 million as part of the 2019 Call for Projects.

To date, OCTA and local agencies have synchronized more than 2,000 intersections over more than 705 miles of streets (79 completed projects). Through a competitive process, there have been nine rounds of M2 funding which awarded a total of 95 projects a total of more than \$95 million. Overall, the program has funded 111 projects⁵ totaling more than \$106 million, including \$13.6 million in leveraged external funding.

LOCAL FAIR SHARE ▼

Status: Ongoing

Contact: Ben Torres, Finance • (714) 560-5692

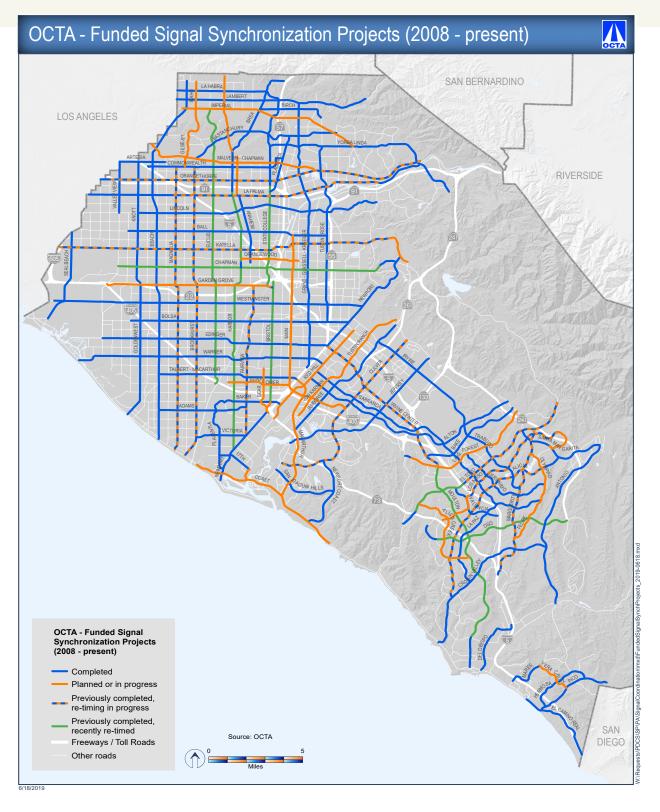
PROJECT Q

Summary: In order to help cities and the County of Orange keep up with the rising cost of repairing the aging street system, this program provides flexible funding intended to augment, not replace, existing transportation expenditures of the cities and the County. All local agencies except the City of Santa Ana and City of Stanton have been found eligible to receive Local Fair Share funds. On a bi-monthly basis, 18 percent of net revenues are allocated to local agencies by formula. Approximately \$407⁶ million in Local Fair Share payments have been provided to local agencies as of the end of this quarter.

See pages 49-50 for funding allocation by local agency.

⁵To date, three projects totaling approximately \$1.6 million have been cancelled by the awarded local jurisdictions.

⁶Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020.





HIGH FREQUENCY METROLINK SERVICE ▼

PROJECT R

Project R will increase rail services within the County and provides additional Metrolink service north of Fullerton to Los Angeles. The program provides for track improvements, the addition of trains and parking capacity, upgraded stations, and safety enhancements to allow cities to establish quiet zones along the tracks. This program also includes funding for grade crossing improvements at high volume arterial streets, which cross Metrolink tracks.

Project: Metrolink Grade Crossing Improvements

Status: PROJECT COMPLETE

Contact: Jennifer Bergener, Rail • (714) 560-5462



Summary: Enhancement at 50 of the designated 52 Orange County at-grade rail-highway crossings were completed in support of the Metrolink Service Expansion Program (MSEP) in October 2012. As a result of one private crossing which did not allow for OCTA to make enhancements and one street closure that eliminated the need for enhancements, the final count of enhanced rail-highway crossings was 50. Completion of the safety improvements provided each corridor city with the opportunity to establish a "quiet zone" at their respective crossings. Quiet zones are intended to prohibit the sounding of train horns through designated crossings, except in the case of emergencies, construction work, or safety concerns identified by the train engineer. The Cities of Anaheim, Dana Point, Irvine, Orange, Santa Ana, San Clemente, San Juan Capistrano, and Tustin have established quiet zones within their communities.

Project: Metrolink Service Expansion Program

Status: Service Ongoing

Contact: Jennifer Bergener, Rail • (714) 560-5462

Summary: Following the completion of the MSEP improvements in 2012, OCTA deployed a total of ten new Metrolink intracounty trains operating between Fullerton and Laguna Niguel/Mission Viejo, primarily during the midday and evening hours. Efforts to increase ridership through a redeployment of the trains without significantly impacting operating costs have been underway since 2014. Average daily passenger boardings on the ten intracounty trains combined has increased by 24 percent, from 288 boardings in Fiscal Year (FY) 2012-13 to 357 boardings averaged for FY 2018-19.

In April 2015, a schedule change added a connection between the 91/PV Line and the intracounty service at Fullerton to allow a later southbound peak evening departure from Los Angeles to Orange County. Ridership on these two trains combined has increased by 91 percent since the improvement was implemented, from 130 boardings averaged in FY 2015-16 to 249 boardings averaged for FY 2018-19.



Metrolink will implement the following service improvements to provide new weekday service between Orange County and Los Angeles, in alignment with OCTA's redeployment plan:

- •OC Line: Replace three midday intracounty round trips with two midday round trips from Laguna Niguel/Mission Viejo to Los Angeles, and add one evening round trip from Oceanside to Los Angeles.
- •91/PV Line: Extend two existing round trips in Riverside County, from Perris South to Los Angeles Union Station (with stops in Fullerton and Buena Park).

The service improvements are anticipated to roll out in two phases beginning in October 2019 and April 2020.

Rail Corridor and Station Improvements

Additionally, under MSEP, funding is provided for rail line and station improvements to accommodate increased service. Rail station parking lot expansions, better access to platforms, among other improvements have been made or are underway. For schedule information on station improvement projects, please see the CAP pages on pages 51-55.

Segment: Anaheim Canyon Metrolink Station Improvements

Status: Design Underway – 98% Complete

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: This OCTA-led project will include construction of a second main track and platform, lengthening the existing platform, and improved pedestrian circulation. The project will also include the addition of benches, shade structures, and ticket vending machines. The design plans have been completed to 98 percent. Plans are expected to be complete and ready to bid in December 2019. Construction of the project is expected to begin in March 2020 with completion anticipated in mid-2021.

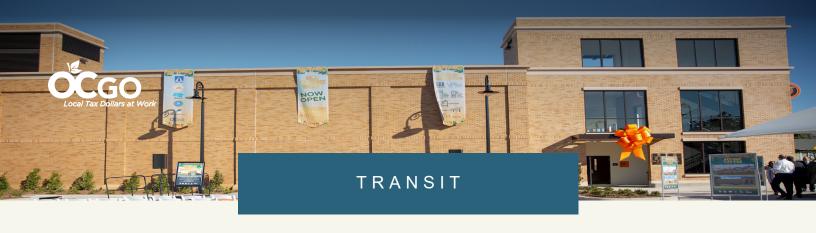
Segment: Fullerton Transportation Center Improvements

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: Completed early on, a new 5-level parking structure was constructed to provide additional transit parking at the Fullerton Transportation Center for both intercity rail service and commuter rail passengers. This City-led project was completed on June 19, 2012. After completion, an elevator upgrade project was initiated with leftover savings. The elevator project modified the existing pedestrian bridge to add two new traction elevators,

one on each side. The City of Fullerton was the lead on this project which was completed May 1, 2019. Closeout activities are underway and a final invoice from the city should be submitted in the last quarter of the year.



Segment: Laguna Niguel/Mission Viejo Metrolink Station Americans with Disabilities Act

(ADA) Ramps

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: The Laguna Niguel/Mission Viejo station accessibility improvements project was completed in September 2017. Improvements include new ADA-compliant access ramps on either side of the pedestrian undercrossing and a unisex ADA-compliant restroom, vending machine room, and three passenger canopies. Construction acceptance from the cities was obtained on September 20, 2017, and OCTA has turned over the maintenance responsibilities to the cities and commenced the one-year warranty. Close-out activities and final costs are underway.

Segment: Orange Transportation Center Metrolink Parking Structure

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: This project includes a 608-space, 5-level, shared use parking structure that is located on Lemon Street between Chapman Avenue and Maple Street in Orange. Per a cooperative agreement between OCTA and the City of Orange, the City of Orange led the design phase, and OCTA led the construction phase of the project. Construction began on July 17, 2017 and was completed on February 15, 2019. A dedication ceremony was held on February 19, 2019. The project is in the close out phase.

Segment: New Placentia Metrolink Station and Parking Structure

Status: Design Complete - Ready for Advertisement subject to BNSF construction and maintenance

agreement

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: Plans for the proposed Placentia Metrolink Station Project were near completion when the City of Placentia requested to modify them to include a parking structure to be built where surface parking had been designed. On June 27, 2016, the Board approved a new Cooperative Agreement with the City of Placentia that revised the project's scope and budget, and with the changes the City of Placentia will contribute towards the cost. The station will include platforms, parking, a new bus stop, and passenger amenities. OCTA is the lead agency for design and construction of the project. The project will also include a third track which should assist with the on-time performance of train operations and provide operational flexibility for both freight and passenger trains. BNSF will be the lead on the rail construction. Design plans for the station are complete and will be ready to advertise for bidding once a Construction and Maintenance (C&M) agreement with BNSF is in place. Due to the dependency on the C&M agreement, this project is marked as a cost/schedule risk in the CAP.



Segment: San Clemente Pier Station Lighting

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: This project was completed on March 17, 2017, and project closeout was completed in the same month. OCTA was the lead agency for design and installation of this project which added lighting to the existing platform and new decorative handrails at the San Clemente Pier Station.

Additional rail corridor improvements include: completed Control Point project at Fourth Street in the City of Santa Ana, which provides rail operational efficiencies; completed Positive Train Control implementation, which improves rail safety by monitoring and controlling train movement; continued with design and environmental work to replace the San Juan Creek railroad bridge in the City of San Juan Capistrano, which will not preclude a future bike trail on the south end along the creek (design is 95 percent complete, environmental clearance and ROW acquisition are in progress); continued with construction of the Railroad ROW Slope Stabilization project, which includes eight locations within the OCTA-owned LOSSAN rail corridor that have been identified for improvements to prevent future erosion and slope instability (construction began in June 2018 and is 75 percent complete); and continued implementation of video surveillance systems.

Segment: Sand Canyon Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The project separated the local street from railroad tracks in the City of Irvine by constructing an underpass for vehicular traffic. The westbound lanes were opened to traffic on June 12, 2014, and the eastbound lanes were opened to traffic on July 14, 2014. A road opening ceremony was held on August 11, 2014. The project is complete and construction acceptance was obtained from the City of Irvine on January 15, 2016. The project completed the one-year warranty period and no repairs were identified. The project closed out in January 2017.

Segment: Tustin Metrolink Station Parking Structure

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: This early completion project, provided additional parking at the Tustin Metrolink Station to meet requirements associated with the MSEP by constructing a new 4-story parking structure with approximately 735 spaces, plus on-site surface parking. The parking structure was opened to the public on September 22, 2011.





Segment: Laguna Niguel to San Juan Capistrano Passing Siding Project

Status: Construction Underway – 15% Complete

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: The project is currently in the construction phase and will add approximately 1.8-miles of new passing siding railroad track adjacent to the existing mainline track, which will enhance operational efficiency of passenger services within the LOSSAN rail corridor. The construction contract was awarded on January 14, 2019, and the Notice to Proceed was issued on March 12, 2019.

Construction continues with installation of conduits for railroad signals and communication, pull boxes, vaults, and continued to drill and set beams for retaining wall #1, began excavation for retaining wall #2 and installation of shoring for retaining wall #3. Fabrication of gravity blocks, modular blocks, and box culvert continues and deliveries are scheduled for next month. During this reporting period, there was an accident on the job site where a train struck a forklift the contractor was operating, subsequently the project was shut down for three weeks. This delay has potential schedule and cost impacts. This project is anticipated to be completed by early 2021. This project is marked "red" in the CAP, signifying a delay of 25 months due to design coordination with utilities and water quality control permitting concerns with the City of San Juan Capistrano.

TRANSIT EXTENSIONS TO METROLINK -

In order to broaden the reach of Metrolink to other Orange County cities, communities, and activity centers, Project S includes a competitive program which allows cities to apply for funding to connect passengers to their final destination via transit extensions. There are currently two categories for this program: a fixed guideway program (streetcar) and a rubber tire transit program.

Project: OC Streetcar

PROJECT S

Status: Full Funding Grant Agreement (FFGA) Executed November 30, 2018, Notice To Proceed Issued

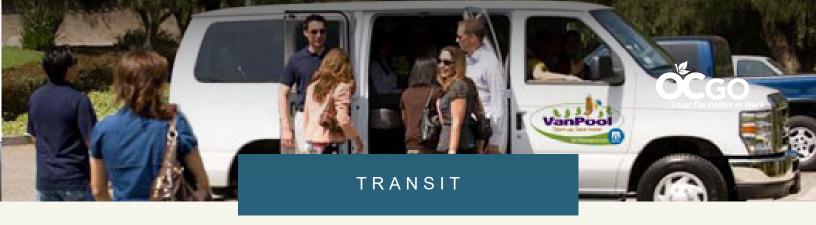
to Construction Contractor, Operation and Maintenance Request For Proposals are under

review, Vehicle Production Underway, Utility Relocation Work Ongoing

Contact: Mary Shavalier, Rail • (714) 560-5725

Summary: The OC Streetcar Project will serve the Santa Ana Regional Transportation Center through downtown Santa Ana, and the Civic Center to Harbor Boulevard in the City of Garden Grove. OCTA is serving as the lead agency for the project.

Construction activities have commenced throughout the project, with the focus on construction of the Santa Ana River and Westminster Avenue bridges, the MSF, storm drain, sewer and water systems relocations within the City of Santa Ana streets. Final design review commenced for the vehicles in preparation for the start of production in September for the first component of the car, the girder. During final design review, comments and



revisions are incorporated into a final design review package for OCTA's final review and approval. OCTA and Siemens also conducted all-day workshops to review spare-parts, special tools and vehicle manuals.

On July 22, 2019, the Board awarded a contract to Conduent for integration and engineering services of OCTA's Intelligent Transportation Management System (ITMS) with the streetcar vehicles. After NTP, coordination commenced between Conduent, OCTA and Siemens in identifying the space requirements of the CAD/AVL equipment on the vehicle

On September 5, 2019, OCTA and FTA conducted its quarterly meeting to discuss project status and report on the Project schedule and cost estimate.

Work continues to progress on other key OC Streetcar activities, including reviewing the Operations and Maintenance Request for Proposals submissions, coordination with third parties on utility relocation, public outreach and continued coordination with the FTA.

Project: Bus and Station Van Extension Projects

Status: Service Ongoing for Anaheim Canyon Metrolink Bus Connection

Contact: Joseph Alcock, Planning • (714) 560-5372

Summary: Bus and Station Van Extension projects help enhance the frequency of service in the Metrolink corridor by linking communities within the central core of Orange County to commuter rail. To date, the Board has approved one round of funding for bus and van extension projects, totaling over \$730,000. One project located within the City of Anaheim and three proposals within the City of Lake Forest were approved for funding by the Board on July 23, 2012. Currently, the Anaheim project is in service and the Lake Forest projects have been canceled. The Anaheim Canyon Metrolink Station Bus Connection began service in February 2013 and is anticipated to continue providing service between the station and the Anaheim Resort area through 2020.

METROLINK GATEWAYS ▼

Status: PROJECT COMPLETE

Contact: Jennifer Bergener, Rail • (714) 560-5462

PROJECT T

Summary: This project constructed the Anaheim Regional Transportation Intermodal Center (ARTIC) located at 2626 East Katella Avenue in the City of Anaheim. In addition to providing transit connections for OCTA bus service, Metrolink and Amtrak service, shuttle and charter bus service, taxis, bikes, and other public and private transportation services, ARTIC also accommodates future high-speed rail trains. The City of Anaheim, which led the construction effort, opened the facility to rail and bus service on December 6, 2014. A ribbon-cutting ceremony was held on December 8, 2014, with a grand opening celebration hosted on December 13, 2014. This facility replaced the former Anaheim Metrolink Station that was located on the opposite side of the freeway in the Los Angeles Angels of Anaheim Stadium parking lot.



EXPAND MOBILITY CHOICES FOR SENIORS AND PERSONS WITH DISABILITIES -

Project U expands mobility choices for seniors and persons with disabilities, and includes the SMP, the SNEMT Program, and the Fare Stabilization Program. Since inception, approximately \$71.7° million in Project U funding has been provided under M2.

Senior Mobility Program Project:

PROJECT U

Status:

Ongoing

Contact: Beth McCormick, Transit • (714) 560-5964

Summary: This program provides one percent of net M2 revenues to continue and expand local community transportation service for seniors under the SMP. According to the SMP Funding and Policy Guidelines, M2 revenue is allocated to local jurisdictions proportionally, relative to the total county's senior population, by the residents age 60 and above multiplied by available revenues. Remaining unallocated funds are distributed to the M2 Project U Fare Stabilization Program.

Since inception, approximately \$20.397 million and 2,230,000 boardings have been provided for seniors traveling to medical appointments, nutrition programs, shopping destinations, and senior and community center activities. This guarter, approximately \$872,000° was paid out to the 31 participating cities during the months of May and July. Additionally, on November 26, 2018, the Board approved revised Guidelines for the program.

Project: Senior Non-emergency Medical Transportation Program

Status: Ongoing

Contact: Beth McCormick, Transit • (714) 560-5964

Summary: This program provides one percent of net M2 revenues to supplement existing county-wide senior non-emergency medical transportation services. Since inception, more than \$22.2 million and 857,875 SNEMT boardings have been provided. This quarter, approximately \$1 million in SNEMT funding was paid⁸ to the County of Orange in the months of May and July.

 $^{^7}$ Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020.



Project: Fare Stabilization Program

Status: Ongoing

Contact: Sean Murdock, Finance • (714) 560-5685

Summary: Between years 2011-2015, one percent of net M2 revenues was dedicated to stabilizing fares and provide fare discounts for bus services and specialized ACCESS services for seniors and persons with disabilities. Effective January 28, 2016, an amendment to the M2 Ordinance No. 3, adjusted this amount to 1.47 percent of net M2 revenues to be dedicated to the Fare Stabilization Program.

Approximately \$882,000⁸ in revenue was allocated this quarter to support the Fare Stabilization Program. The amount of funding utilized each quarter varies based on ridership. During the quarter, based on 3,500,000 program-related boardings recorded on fixed route and ACCESS services, approximately \$967,000 was utilized. Since inception of the program, more than \$28 million and 112 million program-related boardings have been provided.

COMMUNITY BASED TRANSIT/CIRCULATORS ▼

Status: Service Updates

Contact: Joseph Alcock, Planning • (714) 560-5372

PROJECT V

Summary: This program provides funding for local jurisdictions to develop local bus transit services such as community-based circulators and shuttles that complement regional bus and rail services and meet needs in areas not adequately served by regional transit. To date, through a competitive process, OCTA has provided three rounds of funding (June 2013, June 2016, and June 2018) which have awarded 28 projects and 7 planning studies totaling \$42 million. Out of the transit circulator projects: 19 are currently active; seven have been cancelled (primarily due to low ridership); and one has been completed.

In March 2019, OCTA requested letters of interest for a future round of Project V funding. Ten responses from eligible local agencies were received by the end of the April deadline and staff reported these findings to the Board in August 2019. At that meeting, the Board directed staff to develop and evaluate potential revisions for the Project V Comprehensive Transportation Funding Programs Guidelines. These revisions as well as a request to authorize a fourth Project V call, for approximately \$9 million is scheduled to be presented to the Board in October 2019.

OCTA receives ridership reports from local agencies on a regular basis to monitor the success of these services against performance measures adopted by the Board. Currently, most of these services are generally meeting their required performance standards. The most recent Project V Ridership report was presented to the Transit Committee on August 8 and the Board on August 12, 2019. The next Project V Ridership report is scheduled for early 2020. Lessons learned from the success of implemented services are incorporated into recommendations for future funding guidelines and programming recommendations.

⁸Payments are made every other month (January, March, May, July, September, and November). July payments are based on June accruals, and therefore counted as June payments. The amount totaled for one fiscal year quarter either covers one or two payments, depending on the months that fall within that quarter.



SAFE TRANSIT STOPS ▼

PROJECT W

Status: City-Initiated Improvements Underway or Complete

Contact: Joseph Alcock, Planning • (714) 560-5372

Summary: This program provides funding for passenger amenities at the 100 busiest transit stops across Orange County. Stop improvements are designed to ease transfers between bus lines and provide passenger amenities such as installation of bus benches or seating, shelters, lighting, and other passenger related amenities.

In 2014, the Board approved the first round of funding in the amount of \$1,205,666 to support 51 city-initiated improvements and \$370,000 for OCTA-initiated improvements. The City of Anaheim postponed development of eight stops and the OCTA initiated improvements were funded through another grant source and the funds were de-allocated and returned to the program in June 2019. Improvements funded through the first effort at all 43 stops are now complete.

In October 2018, the Board authorized a second Project W allocation process; providing up to \$3 million (in total) to eligible agencies to support bus stop amenity improvements. Eligible agencies were able to receive between \$20,000 to \$35,000 (per identified bus stop based on ridership). On June 13, 2019, funding recommendations were approved by the Board providing just under \$1 million to support improvements at 36 locations within the seven⁹ eligible agencies and OCTA.

⁹ The City of Santa Ana (City) submitted 36 Project W funding request applications. However, on May 13, 2019, the Board determined the City ineligible to receive M2 revenues, due to failure to meet maintenance of effort requirements and therefore these applications were not funded.

CLEAN UP HIGHWAY AND STREET RUNOFF THAT POLLUTES BEACHES ▼

Project: Environmental Cleanup Program

Status: Ongoing

Contact: Dan Phu, Planning • (714) 560-5907

Summary: This program implements street and highway-related water quality improvement programs and projects that assist agencies countywide with federal Clean Water Act standards for urban runoff. It is intended to augment, not replace existing transportation-related water quality expenditures and to emphasize high-impact capital improvements over local operations and maintenance costs. The ECAC is charged with making recommendations to the Board on the allocation of funds for the ECP. These funds are allocated on a countywide,

competitive basis to assist agencies in meeting the Clean Water Act standards for controlling transportation-

related pollution.

Project X is composed of a two-tiered funding process focusing on early priorities (Tier 1), and a second program designed to prepare for more comprehensive capital investments (Tier 2). To date, there have been nine rounds of funding under the Tier 1 grants program. A total of 177 projects, amounting to more than \$24 million, have been awarded by the Board since 2011. There have been two rounds of funding under the Tier 2 grants program. A total of 22 projects in the amount of \$27.89 million have been awarded by the Board since 2013. To date, all Orange County cities plus the County of Orange have received funding under this program. A tenth Tier 1 call for projects is anticipated to be released in spring 2020 with funding recommendations anticipated by late summer. Staff anticipates the next Tier 2 call in 2021, dependent on projected cash flow and local jurisdictions' interest in potential viable Tier 2 projects.

Staff estimates that over 6.2 million cubic feet of trash has been captured as a result of the installation of Tier 1 devices since the inception of the Tier 1 Program in 2011. This is equivalent to over 2,600 forty-foot shipping containers. Over time, the volume of trash captured is expected to increase. It is estimated that the funded Tier 2 projects, once fully functional, will have an annual groundwater recharge potential of approximately 157 million gallons of water from infiltration or through pumped and treated recharge facilities.

PROJECT X

FREEWAY MITIGATION -

Project: Environmental Mitigation Program

Status: Biological Permits Issued and Conservation Plan in Place

Contact: Dan Phu, Planning • (714) 560-5907

Summary: In June 2017, the United States Fish and Wildlife Service, and the California Department of Fish and Wildlife (Wildlife Agencies) finalized the issuance of their respective biological opinion, findings, and associated permits, as well as signed the Conservation Plan Implementing Agreement. Receipt of these permits represent the culmination of years of collaboration and support by the Board, environmental community, and Wildlife Agencies. As a result, the environmental process will be streamlined, allowing OCTA to move forward with the M2 freeway projects (as described in the Conservation Plan) with little additional coordination from the Wildlife Agencies. The OCTA Conservation Plan is unique as it is only the second state/federal conservation plan approved in Orange County.

The Conservation Plan also includes a streamlined process for coordination for streambed alteration agreements for portions of freeway projects that cross through streams and riverbeds. In 2017, the United States Army Corps of Engineers (Corps) issued a programmatic permit to OCTA and Caltrans (as owner/operator of the state highway system). The State Board provided a letter to OCTA in 2018, which further secured assurances related to advanced mitigation and freeway project permit issuance. These efforts are the result of years of collaboration between OCTA, the Corps, and State Board, and constitute another groundbreaking milestone for the M2 Environmental Mitigation Program.

The program is proceeding as planned, with seven properties (Preserves) acquired (1,300 acres), and 12 restoration projects approved for funding by the Board, totaling approximately 350 acres. The restoration project plans have been approved by the wildlife agencies and are currently at various stages of implementation. The Board authorized \$42 million (inclusive of setting aside funds for long-term land management) for property acquisitions, \$10.5 million to fund habitat restoration activities, and \$2.5 million for conservation plan development and program support, for a total of approximately \$55 million.

As part of the Conservation Plan requirement, an endowment has been established to pay for the long-term management of the Preserves. It is estimated that it will take approximately 12 years to fully fund the endowment with deposits annually. Approximately \$2.9 million will be deposited annually. The most recent deposit was made in August 2018. The next deposit is scheduled for July 2019. Staff will continue to oversee and provide endowment updates to the Finance and Administration and the Environmental Oversight Committee (EOC) on a regular basis.

Resource management plans (RMPs) for the Preserves were finalized in September 2018. These RMPs guide the management of the Preserves as outlined within the Conservation Plan. Staff will continue to oversee and manage the Preserves until a long-term manager(s) is established.



In consultation with the local fire authority, staff has begun to work with a consultant to draft fire management plans (Plans) for the seven Preserves. The Plans will provide guidelines for decision-making at all stages including fire prevention, pre-fire vegetation management, suppression activities, and post-fire responses that are compatible with conservation and stewardship responsibilities. These Plans are a requirement of the Conservation Plan and will require approval by the Wildlife Agencies. The Plans are anticipated to be complete in 2020.

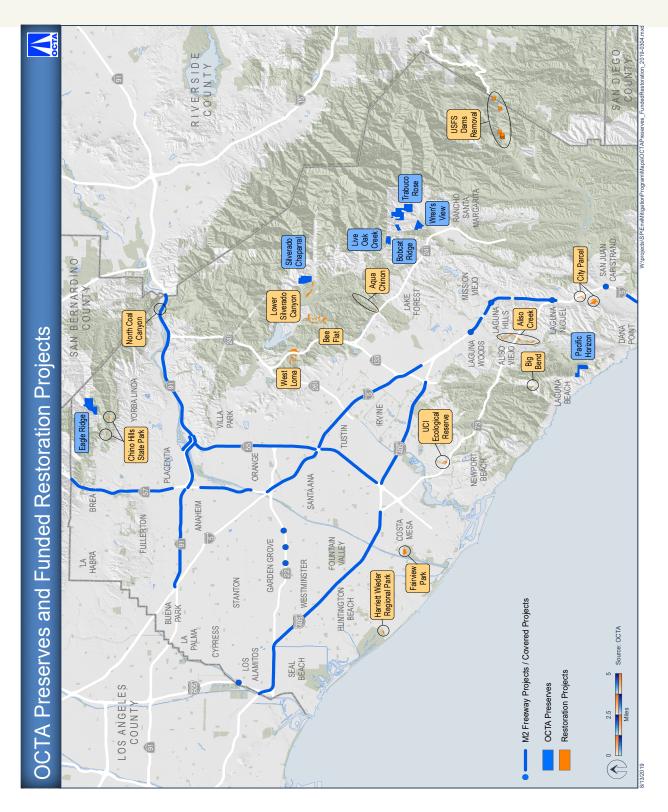
The first Conservation Plan Annual Report was presented to the EOC in July 2019. This report includes the tracking of impacts associated with covered freeway improvement projects, other management and monitoring activities on Preserves, status and activities, progress of the restoration projects, plan administration, and public outreach activities. In summary, the Annual Report documents that OCTA's activities through 2018 are in compliance and on target with the Conservation Plan commitments. OCTA will continue with its' efforts to complete the required objectives in a timely manner. This Annual Report has been reviewed and approved by the Wildlife Agencies. The Annual Report is available for public review at www.PreservingOurLegacy.org.

To date, multiple freeway projects have utilized the Conservation Plan and/or the Clean Water Act streamlined permitting process. Some of the projects that benefit from these mechanisms include: Project K (I-405 Improvement Project from SR-73 to I-605), Project C (I-5 from SR-73 to El Toro Road), and Project M (I-605 and Katella Interchange Project). If these mechanisms were not in place, it is anticipated that these projects would incur an additional \$700,000 to \$2.5 million (in 2018 dollars) in mitigation related costs and unknown schedule risks. Furthermore, a strong partnership has been forged through collaboration with the environmental community.

OCTA provides docent led hikes and equestrian rides in the Preserves. A list of scheduled 2019 wilderness Preserve tours is also available on the M2 website at www.PreservingOurLegacy.org.

As part of the safeguards in place for the M2 Program, a 12-member EOC makes recommendations on the allocation of environmental freeway mitigation funds and monitors the implementation of the Conservation Plan between OCTA and state and federal Wildlife Agencies. The EOC has led efforts with policy recommendations to the Board and has operated in an open and transparent manner that has garnered the trust of stakeholders, ranging from the environmental community to the recreational community to Orange County citizens.

See map of Preserves and funded restoration properties on the following page.







PROGRAM MANAGEMENT OFFICE ▼

Contact: Tami Warren, PMO Manager • (714) 560-5590

The M2 PMO provides inter-divisional coordination for all M-related projects and programs. To ensure agency-wide compliance, the PMO holds a bi-monthly committee meeting comprised of executive directors and key staff from each of the divisions, who meet to review significant issues and activities within the M2 programs. This quarter, the focus of the PMO has been on several major items, including the following.

Market Conditions Forecast and Risk Analysis

In September 2017, the Board was presented with a Next 10 Delivery Plan Market Conditions Forecast and Risk Analysis Report conducted by Dr. Wallace Walrod and Dr. Marlon Boarnet. The consultant's analysis identified a strong potential for OCTA to experience an increasing cost environment during the Next 10 delivery years. This, coupled with a reduction in revenue, could present the potential for significant challenges in the delivery of M2 and Next 10.

Given this analysis, the Board directed staff to continue to work with the consultant to monitor and track key early warning indicators and provide the Board with updates in a timeline consistent with updates on the M2 sales tax revenue forecast. With a rapidly changing construction market, staff looked to our contracted local economists for insights to better anticipate cost implications to our freeway program delivery. The consultant team continues to analyze trends in material costs, labor costs, and general economic conditions to determine a range of potential cost impacts.

This quarter, the consultant team worked with staff to prepare an updated market conditions forecast based sharing the results of their analysis for presentation to the Board on October 28, 2019.

Next 10 Delivery Plan

On November 14, 2016, the Board adopted the Next 10 Delivery Plan (Next 10) providing staff guidance on the delivery of M2 projects and programs between 2017 and 2026. The PMO monitors the progress on the ten deliverables identified in the Plan and reports on them in this report. See pages 3-6 for the status on deliverables.

Annually, OCTA reviews the M2 program assumptions and updates the cash flows and Next 10 assumptions as needed based on changes to the revenue forecast and project cost and schedule updates. The 2019 review is underway, incorporating an updated sales tax of \$13.4 billion and insight from an updated construction market forecast which will be presented to the Board on October 28, 2019. The updated 2019 Next 10 Plan will be presented to the Board at the November 11, 2019 meeting.

M2 Performance Assessment

The M2 ordinance includes a requirement for a performance assessment to be conducted at least once every three years to evaluate OCTA's efficiency and effectiveness in delivery of M2 as promised to the voters. Three prior performance assessments have been completed covering fiscal years FY 2006-07 through FY 2008-09,



FY 2009-10 through FY 2011-12, and FY 2012-13 through FY 2014-15. A fourth assessment covering the period between July 1, 2015 and June 30, 2018 along with findings and recommendations for enhancements were presented to the Board on March 11, 2019. The PMO is monitoring progress and implementing the recommendations for enhancements as appropriate. Staff plans to complete the implementation by the end of 2019 and will report to the Board in January 2020.

M2 Ordinance Tracking Matrix

The M2 Ordinance and Transportation Investment Plan (Ordinance No. 3) includes numerous requirements that staff must follow in order to keep the promise to Orange County voters through the passage of M2. The PMO annually updates the M2 Ordinance Tracking Matrix to verify that OCTA is in compliance with all requirements detailed in Ordinance No. 3. The tracking matrix update for 2019 is underway and will be completed by early 2020.

PMO M2 Tracking Tools

The PMO has developed several tracking tools to assist in reporting consistency and increased transparency of the M2 program. See the following for a brief explanation of PMO M2 tracking tools and their current status:

Local Jurisdiction Fact Sheets

Fact Sheets have been created for the County of Orange and each of Orange County's 34 cities. The Fact Sheets provide data on transportation and transit projects (funded through Measure M, state, and federal grants) in a format which emphasizes key points concisely on a single printed page. The City Fact Sheets are utilized when speaking with the jurisdictions to provide a summary overview of how OCTA has provided the local agency with funding (M2 and other) and transportation improvements. During the quarter, staff updated the City Fact Sheets to include the March 2019 semi-annual review of CTFP projects approved by the Board on June 10, 2019 Regional Capacity Program and signal synchronization projects also approved by the Board on June 10, 2019 and the 2019 Project W projects approved by the Board on June 24, 2019, as well as other programming updates. Updated City Fact Sheets were completed this quarter. The next update effort will begin in December 2019.

M2 Financial Picture

The M2 Financial Picture report provides a summary of each M2 project's total expenditures to date (external and internal), programmed funding, current estimate at completion per the latest quarter, and M2 program cash flow assumptions through 2041. This document allows the PMO to appropriately track and answer questions regarding the M2 investment. The FY 2018-19 fourth quarter Financial Picture was updated in Agust 2019.

Next 10 Tracking

The Next 10 Tracking report compares the current Next 10 Delivery Plan cash flow assumptions with the latest Project Controls quarterly assumptions. It highlights variances for a project's estimate at completion, project costs, and contingency utilization. The purpose of the Next 10 Tracking report is to highlight the impact to the



bottom line when variances occur from the current plan and each quarterly update. The FY 2018-19 fourth quarter Next 10 Tracking report was updated in August 2019.

Engineer's Estimate versus Bids Tracking

The Estimate versus Bid Tracking process allows the PMO to monitor the bidding environment for capital projects in the M2 Program. Capital projects that were planned for and began construction early in the M2 program have shown cost savings due to a favorable bidding environment during the recession. For these earlier M2 projects, savings can be primarily traced back to construction costs.

More recent market conditions analyses have indicated that OCTA will experience an increasing cost environment related to increased demand for construction services, lack of labor resources, and increased construction material costs. It should be noted that the engineer's estimate is based on a number of factors – such as bidding history and historical and current market rates (materials, labor, equipment, etc.) – and adjusted accordingly for the project's conditions. Because the estimate uses prior information, there may be a lag between an uptick or downtick in the market.

During the quarter, the construction contract for Project C (I-5 between SR-73 and Oso Parkway, including Avery Parkway Interchange) was advertised. Bid opening is planned for October 15, 2019, after which staff will update the tracking spreadsheet with the bid results.

M2 Administrative Safeguards

M2 includes a one percent cap on administrative expenses for salaries and benefits of OCTA administrative staff on an annual basis. In a legal opinion on M2, it was determined that in years where administrative salaries and benefits are above one percent, only one percent can be allocated with the difference borrowed from other, non-M2 fund sources. Conversely, in years where administrative salaries and benefits are below one percent, OCTA can still allocate the full one percent for administrative salaries and benefits but may use the unused portion to repay the amount borrowed from prior years in which administrative salaries and benefits were above one percent.

Based on the original M2 revenue projections, OCTA expected to receive \$24.3 billion in M2 funds, with one percent of total revenues available to fund administrative salaries and benefits over the life of the program. As M2 revenue projections declined (currently \$13.1 billion or 46 percent lower) as a result of economic conditions, the funds available to support administrative salaries and benefits have also declined from the original expectations. While revenue has declined, the administrative effort needed to deliver M2 remains the same. Additionally, the initiation of the Early Action Plan (EAP) in 2007 required administrative functions four years prior to revenue collection. While the EAP resulted in project savings and significant acceleration of the program, administrative functions were required during this time with associated administrative costs.

As a result of the aforementioned factors, OCTA has incurred higher than one percent administrative costs. OCTA currently has Board approval to use funds from the Orange County Unified Transportation Trust (OCUTT) fund to cover costs above the one percent, with the understanding that those funds will be repaid with interest in future years that OCTA administrative costs fall below the one percent cap. As of June 30, 2012, OCTA had borrowed approximately \$5.2 million from OCUTT. Over the last few years, OCTA has experienced under-runs in the one



percent administration cap and has made payments to OCUTT to reduce the outstanding balance. As of the most recent September 2019 Taxpayer Oversight Committee Report, the outstanding principal balance was \$0.3 million.

Staff meets quarterly to review all labor costs to ensure proper cost allocation under M2. After the quarter ended, staff met on October 31, 2019 to review labor reports for this quarter to ensure costs attributed to the one percent cap were accurately reported and there were no misplaced project related costs, as well as to ensure project costs were applied to the correct projects. Staff will meet again on January 22, 2020 to conduct this quarterly review.

Taxpayer Oversight Committee

The M2 Ordinance requires a Taxpayer Oversight Committee (TOC) oversee the implementation of the M2 plan and ensure compliance with all requirements of Measure M2 Ordinance No. 3. With the exception of the elected Auditor/Controller of Orange County who is identified as the chair in the Ordinance, all other members are not elected or appointed officials. Members are recruited and screened for expertise and experience independently by the Orange County Grand Jurors Association and are selected from the qualified pool by lottery. The TOC meets every other month. The TOC upholds the integrity of the measure by monitoring the use of M2 funds and ensuring compliance. The responsibilities of the 11-member Measure M2 TOC are to:

- Ensure all transportation revenue collected from M2 is spent on the projects approved by the voters as part of the plan
- Ratify any changes in the plan and recommend any major changes go back to the voters for approval
- Participate in ensuring that all jurisdictions in Orange County conform with the requirements of M2 before receipt of any tax monies for local projects
- Hold annual public meetings regarding the expenditure and status of funds generated by M2
- Review independent audits of issues regarding the plan and performance of the Orange County local Transportation Authority regarding the expenditure of M2 sales tax monies
- Annually certify whether M2 funds have been spent in compliance with the plan.

The TOC met on August 13, 2019. At the August meeting, a New Member Orientation was held for those were selected in the lottery by the Board of Directors. New members learned about Measure M's history, the duties of the Taxpayer Oversight Committee and its subcommittees. Following the orientation, a regularly scheduled TOC meeting was held. OCTA's Chief Executive Officer, Darrell Johnson, came to welcome the five new members to the committee. He spoke about the importance of taxpayer safeguards and thanked the TOC for their civic engagement.

The TOC areceived presentations on the Measure M2 Environmental Mitigation Program as well as the Comprehensive Transportation Funding Programs (CTFP). In addition, updates on both the OC Streetcar and Project V were given. Staff Updates were provided on the I-405 Improvement Project and City Eligibility.



Two subcommittees assist the TOC with their safeguard responsibilities: the Annual Eligibility Review (AER) Subcommittee and the Audit Subcommittee. The AER Subcommittee meets a few times per year, as needed, to ensure local jurisdictions have submitted the following documents in order to be deemed eligible to receive M2 funding: Congestion Management Program, Mitigation Fee Program, Local Traffic Signal Synchronization Plan, Pavement Management Plan, and an Expenditure Report. The Audit Subcommittee meets bi-monthly and is responsible for reviewing the quarterly M2 Revenue and Expenditure Reports and the Annual M2 Audit, as well as any other items related to M2 audits.

M2 FINANCING AND SCHEDULE OF FUNDING -

Contact: Sam Kaur, Revenue and Grants • (714) 560-5685

Revenue Forecast and Collection

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 purposes of planning projects and program expenditures.

In the past, OCTA averaged the three university taxable sales projections to develop a long-range forecast of M2 taxable sales. On March 28, 2016, the Board approved a new sales tax forecast methodology as part of the FY 2016-17 budget development process. This methodology includes a more conservative approach by utilizing MuniServices, Inc forecast for the first five years and the three-university average for the remaining years. Historically, MuniServices, Inc. has been more conservative than the three universities over the first five years of M2 revenue collection.

Revenue forecast information is updated quarterly based on the actual revenues received for the previous quarter. As required by law, OCTA pays the California Department of Tax and Fee Administration (CDTFA) a fee to collect the sales tax. The M2 Ordinance estimated this fee to be 1.5 percent of the revenues collected over the life of the program.



Current Forecast

Based on long-term forecasts provided during the quarter, OCTA staff forecasts total nominal sales tax collections over the life of M2 to be approximately \$13.4 billion. Original projections in 2005 during the development of M2 estimated total nominal M2 sales tax collections at \$24.3 billion. This is approximately \$10.9 billion (45 percent) less than the original 2005 projection.

OCTA's assumed growth rate for FY 2019 budget was 3.7 percent. The actual growth rate for FY 2019 came in slightly lower at 3.4 percent with a total net annual sales tax receipts of \$332 million. For FY 2020, the assumed budget growth rate is 2.5 percent. Based on the sales tax forecast information provided by Muni Services to date, the actual growth rate is expected to exceed the assumed budget growth rate. The forecasted amount of sales tax to support the M2 Program is \$13.4 billion (will be reported to the Board October 28, 2019).

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(\$ in thousands)		Quarter Ended Sept 30, 2019	Year to Date Sept 30, 2019	Period from Inception to Sept 30, 2019
(\$ III IIIOUSANUS)		Зерт 30, 2019	(A)	(B)
Devenues				
Revenues: Sales taxes	\$	78,221	\$ 78,221	\$ 2,491,948
Other agencies' share of Measure M2 costs:	Ψ	70,221	Ψ 70,221	Ψ 2,431,340
Project related		25,145	25,145	692,930
Non-project related		-	-	453
Interest:				
Operating: Project related		(160)	(160)	1,068
Non-project related		5,584	(160) 5,584	57,940
Bond proceeds		2,629	2,629	64,116
Debt service		111	111	924
Commercial paper		2	2	395
Right-of-way leases		40	40	981
Proceeds on sale of assets held for resale		-	-	12,201
Donated assets held for resale Project related				2,071
Miscellaneous:		-	-	2,071
Project related		17	17	287
Non-project related		-	-	100
- · ·				
Total revenues		111,589	111,589	3,325,414
Expenditures:				
Supplies and services:				
Sales tax administration fees		1,001	1,001	27,293
Professional services:		0.050	0.050	204.004
Project related		2,259	2,259	384,061
Non-project related Administration costs:		612	612	27,397
Project related		2,517	2,517	75,785
Non-project related:		2,0	2,0	. 0,. 00
Salaries and Benefits		643	643	25,750
Other		1,325	1,325	43,342
Other:		_	_	
Project related		5	5	5,031
Non-project related Payments to local agencies:		49	49	4,965
Project related		12,410	12,410	958,267
Capital outlay:		,	,	,
Project related		14,234	14,234	1,040,217
Non-project related		-	-	31
Debt service:				=====
Principal payments on long-term debt		-	-	50,500
Interest on long-term debt and commercial paper		17,518	17,518	196,132
commercial paper		17,010	17,010	130,102
Total expenditures		52,573	52,573	2,838,771
Excess (deficiency) of revenues				
over (under) expenditures		59,016	59,016	486,643
Other financing sources (uses):				
Transfers out:				
Project related		(5,345)	(5,345)	(210,024)
Transfers in:		, , ,	, ,	
Project related		-	-	158,470
Non-project related		-	-	(70,243)
Bond proceeds Payment to refunded bond escrow agent		-	-	804,625 (45,062)
rayment to retunded bond escrow agent				(45,062)
T.1. (1) (2)				
Total other financing sources (uses)		(5,345)	(5,345)	637,766
Excess (deficiency) of revenues				
over (under) expenditures				
and other sources (uses)	\$	53,671	\$ 53,671	\$ 1,124,409
52 554.555 (4566)	<u> </u>	55,5.1		,.2.,.50



(\$ in thousands)		uarter Ended ept 30, 2019 (actual)	-	ear to Date ept 30, 2019 (actual) (C.1)	;	Period from Inception through Sept 30, 2019 (actual) (D.1)		Period from October 1, 2019 through March 31, 2041 (forecast) (E.1)		Total (F.1)
Revenues:										
Sales taxes	\$	78,221	\$	78,221	\$	2,491,948	\$	10,881,259	\$	13,373,207
Operating interest		5,584		5,584		57,940		295,147		353,087
Subtotal		83,805		83,805		2,549,888		11,176,406		13,726,294
Other agencies share of M2 costs		-		-		453		-		453
Miscellaneous		_		_		100		_		100
Total revenues	_	83,805		83,805	_	2,550,441		11,176,406		13,726,847
Administrative expenditures:										
Sales tax administration fees		1,001		1,001		27,293		120,348		147,641
Professional services		612		612		23,622		103,993		127,615
Administration costs:										
Salaries and Benefits		643		643		25,750		125,083		150,833
Other		1,325		1,325		43,342		213,829		257,171
Other		30		30		1,945		8,649		10,594
Capital outlay		-		-		31		-		31
Environmental cleanup		383		383		42,248		217,590		259,838
Total expenditures		3,994		3,994		164,231	_	789,492	_	953,723
Net revenues	\$	79,811	\$	79,811	\$	2,386,210	\$	10,386,914	\$	12,773,124
Bond revenues:				(C.2)		(D.2)		(E.2)		(F.2)
Proceeds from issuance of bonds	\$		\$		\$	804.625	\$	298,950	\$	1,103,575
Interest revenue from bond proceeds	Φ	2,629	φ	2,629	Φ	64,116	Φ	85,077	φ	149,193
Interest revenue from debt service funds		2,029		2,029		924		4,668		5,592
Interest revenue from commercial paper		2		2		395		4,000		395
Total bond revenues	_	2,742		2,742	_	870,060	_	388,695	_	1,258,755
Financing expenditures and uses:										
Professional services		-		-		3,775		1,046		4,821
Payment to refunded bond escrow		-		-		45,062		-		45,062
Bond debt principal		-		-		50,500		929,889		980,389
Bond debt and other interest expense		17,518		17,518		196,132		608,303		804,435
Other		19		19		3,020		-		3,020
Total financing expenditures and uses		17,537		17,537	_	298,489		1,539,238	_	1,837,727
Net bond revenues (debt service)	\$	(14,795)	\$	(14,795)	\$	571,571	\$	(1,150,543)	\$	(578,972)



Project	Description		Net Revenues through Sept 30, 2019		Total Net Revenues
	(G)		(H)		(1)
	(\$ in thousands)				
	Freeways (43% of Net Revenues	s)			
Α	I-5 Santa Ana Freeway Interchange Improvements	\$	94,053	\$	503,454
В	I-5 Santa Ana/SR-55 to El Toro		60,074		321,568
С	I-5 San Diego/South of El Toro		125,469		671,628
D	I-5 Santa Ana/San Diego Interchange Upgrades		51,629		276,364
E	SR-22 Garden Grove Freeway Access Improvements	ts	24,013		128,542
F	SR-55 Costa Mesa Freeway Improvements		73,241		392,053
G	SR-57 Orange Freeway Improvements		51,769		277,114
Н	SR-91 Improvements from I-5 to SR-57		28,016		149,965
1	SR-91 Improvements from SR-57 to SR-55		83,347		446,146
J	SR-91 Improvements from SR-55 to County Line		70,480		377,269
K	I-405 Improvements between I-605 to SR-55		214,680		1,149,161
L	I-405 Improvements between SR-55 to I-5		63,976		342,456
М	I-605 Freeway Access Improvements		4,002		21,424
N	All Freeway Service Patrol		30,017		160,677
	Freeway Mitigation		51,304		274,622
	Subtotal Projects		1,026,070		5,492,443
	Net (Bond Revenue)/Debt Service		-		-
	•				
	Total Freeways %	\$	1,026,070	\$	5,492,443
	/6				
	Street and Roads Projects (32% of Net R	Rev	enues)		
0	Regional Capacity Program	\$	238,624	\$	1,277,329
P	Regional Traffic Signal Synchronization Program	•	95,445	·	510,909
Q	Local Fair Share Program		429,518		2,299,162
	Subtotal Projects		763,587		4,087,400
	Net (Bond Revenue)/Debt Service		-		-,007,400
	Total Street and Roads Projects	\$	763,587	\$	4,087,400



	Expenditures for through Sept 30, 2019 (J)		imbursements through ept 30, 2019 (K)	5	Net M2 Cost (L)		
\$	7,500	\$	7,101	\$	399		
	9,636		6,515		3,121		
	145,347		46,730		98,617		
	2,220		527		1,693		
	5		-		5		
	28,454		14,605		13,849		
	51,191		12,217		38,974		
	34,823		824		33,999		
	23,337		6,782		16,555		
	6,935		5,294		1,641		
	499,853		106,328		393,525		
	9,178		6,954		2,224		
	2,114		16		2,098		
	2,406		-		2,406		
	53,597		2,775		50,822		
	876,596		216,668		659,928		
_	50,328		-		50,328		
\$	926,924	\$	216,668	\$	710,256		
					37.4%		
\$	745,599	\$	483,192	\$	262,407		
	61,400		4,957		56,443		
	412,442		77		412,365		
	1,219,441		488,226		731,215		
_	55,901		-		55,901		
\$	1,275,342	\$	488,226	\$	787,116		



Project	Description		Net Revenues through Sept 30, 2019		Total Net Revenues
(\$	in thousands)				
	Transit Projects (25% of Net Reve	nues)			
Tr Me	gh Frequency Metrolink Service ansit Extensions to Metrolink etrolink Gateways	\$	225,401 210,647 30,552	\$	1,273,930 1,127,571 65,286
Co	cpand Mobility Choices for Seniors and Persons with Disabilities ommunity Based Transit/Circulators afe Transit Stops		76,975 47,712 5,266		442,910 255,395 28,189
Ne	Subtotal Projects et (Bond Revenue)/Debt Service		596,553 <u>-</u>		3,193,281
	Total Transit Projects %	\$	596,553	\$	3,193,281
	Environmental Cleanup (2% of Re	evenu	es)		
	Clean Up Highway and Street Runoff that Pollutes Beaches	\$	50,998	\$	274,526
	Net (Bond Revenue)/Debt Service	_	-	_	
_	Total Environmental Cleanup %	\$	50,998	\$	274,526
	Taxpayer Safeguards and Au	ıdits			
-	Collect Sales Taxes (1.5% of Sales Taxes) %	\$	37,379	\$	200,598
_	Oversight and Annual Audits (1% of Revenues) %	\$	25,499	\$	137,263



	Expenditures through Sept 30, 2019	eimbursement through Sept 30, 2019	s	Net M2 Cost
\$	290,466 61,662 98,220	\$ 98,736 2,133 60,956	\$	191,730 59,529 37,264
	73,708 9,939 1,105	88 883 26		73,620 9,056 1,079
	535,100 31,263	162,822		372,278 31,263
\$	566,363	\$ 162,822	\$	403,541 21.2%
\$	42,248	\$ 292	\$	41,956
	-			-
\$	42,248	\$ 292	\$	41,956
				1.6%
\$	27,293	\$ -	\$	27,293
_				1.1%
\$	25,750	\$ 251	\$	25,499 1.0%



M2 Funds							
ENTITY	1st Quarter	FUNDS TO DATE					
	FY 2019-20	TONDS TO DATE					
ALISO VIEJO	\$135,967	\$5,132,002					
ANAHEIM	\$592,657	\$43,972,899					
BREA	\$192,506	\$7,387,929					
BUENA PARK	\$291,132	\$11,553,185					
COSTA MESA	\$500,950	\$18,771,817					
CYPRESS	\$172,782	\$6,822,364					
DANA POINT	\$115,541	\$4,277,631					
FOUNTAIN VALLEY	\$207,028	\$8,014,372					
FULLERTON	\$435,672	\$16,784,051					
GARDEN GROVE	\$497,173	\$19,196,675					
HUNTINGTON BEACH	\$662,068	\$25,065,968					
IRVINE	\$963,870	\$34,741,023					
LAGUNA BEACH	\$85,415	\$3,294,284					
LAGUNA HILLS	\$113,706	\$4,399,983					
LAGUNA NIGUEL	\$221,402	\$8,602,124					
LAGUNA WOODS	\$41,953	\$1,646,345					
LA HABRA	\$177,208	\$6,791,965					
LAKE FOREST	\$273,213	\$10,198,231					



M2 Funds							
ENTITY	1st Quarter FY 2019-20	FUNDS TO DATE					
LA PALMA	\$50,451	\$2,137,745					
LOS ALAMITOS	\$43,795	\$1,674,762					
MISSION VIEJO	\$311,067	\$12,076,742					
NEWPORT BEACH	\$372,486	\$14,187,906					
ORANGE	\$554,879	\$21,261,547					
PLACENTIA	\$98,324	\$6,077,508					
RANCHO SANTA MARGARITA	\$141,140	\$5,469,386					
SAN CLEMENTE	\$192,247	\$7,246,720					
SAN JUAN CAPISTRANO	\$128,740	\$4,887,833					
SANTA ANA	\$0*	\$33,406,560					
SEAL BEACH	\$80,266	\$3,243,131					
STANTON	\$0*	\$3,605,030					
TUSTIN	\$304,923	\$11,528,011					
VILLA PARK	\$17,385	\$673,886					
WESTMINSTER	\$283,599	\$11,054,328					
YORBA LINDA	\$203,882	\$7,749,406					
COUNTY UNINCORPORATED	\$655,550	\$24,274,894					
TOTAL M2 FUNDS	\$9,118,980	\$407,208,246					

^{*}On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter by May 2020. Below are the M2 Funds withheld from the ineligible cities.

ENTITY	1st Quarter	SUSPENDED		
	FY 2019-20	FUNDS TO DATE		
SANTA ANA	\$933,086	\$2,499,721		
STANTON	\$98,617	\$264,686		
TOTAL M2 FUNDS	\$1,031,703	\$2,764,407		



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Non-bolded = Planned/Baseline

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

^{*}Status through September 2019. For detailed project information, please refer to the individual project section within this report.

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Non-bolded = Planned/Baseline

Capital Projects	Cost Baseline/Forecast	aseline/Forecast Plan/Forecast				
Oapital i Tojects	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction	
I-5, I-5/El Toro Road Interchange (on hold)	TBD	Apr-17	TBD	TBD	TBD	
Project D Cost/Schedule Risk	TBD	Apr-17	TBD	TBD	TBD	
SR-55, I-405 to I-5	\$410.9	Feb-11	Sep-17	Jul-21	Aug-25	
Project F Cost/Schedule Risk	\$410.9	May-11	Sep-17	Jul-21	Aug-25	
SR-55, I-5 to SR-91	TBD	Dec-16	TBD	TBD	TBD	
Project F	TBD	Dec-16	TBD	TBD	TBD	
SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue	TBD	Apr-16	TBD	TBD	TBD	
Project G	TBD	Apr-16	TBD	TBD	TBD	
SR-57 (NB), Katella Avenue to Lincoln Avenue	\$78.7	Apr-08	Jul-08	Aug-11	Sep-14	
Project G	\$38.0	Apr-08	Aug-08	Oct-11	Apr-15	
SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape)	N/A	N/A	N/A	N/A	N/A	
Project G	N/A	N/A	May-09	Sep-17	Jun-18	
SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard	\$80.2	Aug-05	Feb-08	Oct-10	May-14	
Project G	\$52.3	Aug-05	Feb-08	Oct-10	Nov-14	
SR-57 (NB), Yorba Linda Boulevard to Lambert Road	\$79.3	Aug-05	Feb-08	Oct-10	Sep-14	
Project G	\$54.1	Aug-05	Feb-08	Oct-10	May-14	
SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape)	N/A	N/A	N/A	N/A	N/A	
Project G	N/A	N/A	Oct-14	Feb-18	Apr-19	
SR-57 (NB), Lambert Road to Tonner Canyon	TBD	TBD	TBD	TBD	TBD	
Project G	TBD	Jul-20	TBD	TBD	TBD	

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Non-bolded = Planned/Baseline

Capital Projects	Cost Baseline/Forecast		Schedule Plan/Forecast				
Sapital 1 Tojests	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction		
SR-91 Westbound (WB), I-5 to SR-57	\$78.1	Jul-07	Oct-09	Nov-12	Apr-16		
Project H	\$59.2	Jul-07	Mar-10	Jan-13	Jun-16		
SR-91 Westbound (WB), I-5 to SR-57 (Landscape)	N/A	N/A	N/A	N/A	N/A		
Project H	N/A	N/A	Nov-14	Mar-17	Nov-17		
SR-91, SR-55 to Lakeview Avenue (Segment 1)	TBD	Jan-15	TBD	TBD	TBD		
Project I	\$102.5	Jan-15	Feb-20	Dec-23	Jul-27		
SR-91, La Palma Avenue to SR-55 (Segment 2)	TBD	Jan-15	TBD	TBD	TBD		
Project I	\$223.1	Jan-15	Jul-20	Apr-24	Nov-27		
SR-91, Acacia Street to La Palma Ave (Segment 3)	TBD	Jan-15	TBD	TBD	TBD		
Project I	\$109.7	Jan-15	Oct-20	Aug-24	Mar-28		
SR-91 (WB), Tustin Interchange to SR-55	\$49.9	Jul-08	Jul-11	Oct-13	Jul-16		
Project I	\$42.5	Jul-08	Jun-11	Oct-13	Jul-16		
SR-91, SR-55 to SR-241	\$128.4	Jul-07	Jun-09	Sep-11	Dec-12		
Project J	\$79.7	Jul-07	Apr-09	May-11	Mar-13		
SR-91, SR-55 to SR-241 (Landscape)	N/A	N/A	N/A	N/A	N/A		
Project J	N/A	N/A	May-12	Oct-13	Feb-15		
SR-91 Eastbound, SR-241 to SR-71	\$104.5	Mar-05	Jul-07	Jul-09	Nov-10		
Project J	\$57.8	Mar-05	Jul-07	Aug-09	Jan-11		
I-405, I-5 to SR-55	TBD	Dec-14	TBD	TBD	TBD		
Project L	TBD	Dec-14	TBD	TBD	TBD		
I-405, SR-55 to I-605 (Design-Build)	\$1,900.0	Mar-09	Mar-14	Nov-16	May-23		
Proiect K	\$1.900.0	Mar-09	Mar-14	Nov-16	May-23		

^{*}Status through September 2019. For detailed project information, please refer to the individual project section within this report.

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Non-bolded = Planned/Baseline

Capital Projects	Cost	Schedule ast Plan/Forecast				
	Baseline/Forecast					
		Begin	Begin		Complete	
	(millions)	Environmental	Design	Award Contract	Construction	
I-605, I-605/Katella Interchange	TBD	Aug-16	TBD	TBD	TBD	
Project M	TBD	Aug-16	TBD	TBD	TBD	
Grade Separation Projects:						
Kraemer Boulevard Railroad Grade Separation	\$70.4	Jan-01	Jan-09	Aug-11	Oct-14	
Project O	\$63.8	Jan-01	Feb-09	Sep-11	Dec-14	
Lakeview Avenue Railroad Grade Separation	\$70.2	Jan-01	Feb-09	May-13	Mar-17	
Project O	\$110.6	Jan-01	Feb-09	Nov-13	Jun-17	
Orangethorpe Avenue Railroad Grade Separation	\$117.4	Jan-01	Feb-09	May-12	Sep-16	
Project O	\$108.2	Jan-01	Feb-09	Jan-13	Oct-16	
Placentia Avenue Railroad Grade Separation	\$78.2	Jan-01	Jan-09	Jun-11	Nov-14	
Project O	\$64.5	Jan-01	Jan-09	Jul-11	Dec-14	
Raymond Avenue Railroad Grade Separation	\$77.2	Feb-09	Mar-10	May-13	Aug-18	
Project O	\$125.6	Feb-09	Mar-10	Feb-14	May-18	
State College Boulevard Railroad Grade Separation (Fullerton)	\$73.6	Dec-08	Jul-06	May-13	May-18	
Project O	\$100.3	Dec-08	Jul-06	Feb-14	Mar-18	
Tustin Avenue/Rose Drive Railroad Grade Separation	\$103.0	Jan-01	Feb-09	Aug-12	May-16	
Project O	\$98.3	Jan-01	Feb-09	Feb-13	Oct-16	
Rail and Station Projects:						
Sand Canyon Avenue Railroad Grade Separation	\$55.6	N/A	Jan-04	Feb-11	May-14	
Project R	\$61.9	N/A	Jan-04	Feb-11	Jan-16	

^{*}Status through September 2019. For detailed project information, please refer to the individual project section within this report.



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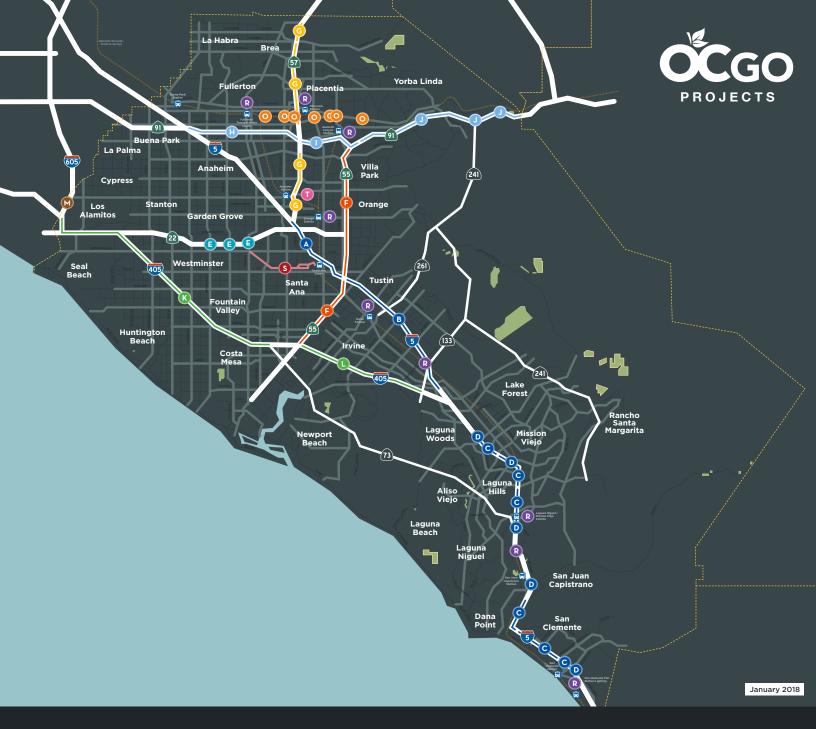
Yellow = Forecast milestone is one to three months later than plan Red = Forecast milestone is over three months later than plan

Non-bolded = Planned/Baseline

Capital Projects	Cost Baseline/Forecast	Schedule Plan/Forecast				
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction	
Rail-Highway Grade Crossing Safety Enhancement	\$94.4	Jan-08	Jan-08	Aug-09	Dec-11	
Project R	\$90.4	Jan-08	Jan-08	Aug-09	Dec-11	
San Clemente Beach Trail Safety Enhancements	\$6.0	Sep-10	Feb-12	Oct-12	Jan-14	
Project R	\$5.0	Sep-10	Feb-12	May-13	Mar-14	
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Mar-15	Dec-16	Feb-21	
	\$36.4	Aug-11	Mar-15	Mar-19	Feb-21	
Placentia Metrolink Station and Parking Structure	\$34.8	Jan-03	Oct-08	TBD	TBD	
Project R Cost/Schedule Risk	\$34.8	Jan-03	Oct-08	May-20	Dec-21	
Anaheim Canyon Station	\$27.9	Jan-16	Mar-19	Nov-19	Mar-21	
	\$29.9	Jan-16	Mar-18	Apr-20	Aug-21	
Orange Station Parking Expansion	\$33.2	Dec-09	Nov-10	Nov-16	Feb-19	
	\$30.9	Dec-09	Nov-10	Jun-17	Feb-19	
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	Jan-12	Sep-14	Mar-17	
	\$4.6	N/A	Jan-12	Apr-15	May-19	
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.5	Jul-13	Jul-13	Jan-15	Apr-17	
	\$5.0	Jul-13	Jul-13	Oct-15	Sep-17	
Anaheim Regional Transportation Intermodal Center	\$227.4	Apr-09	Jun-09	Jul-12	Nov-14	
Project R & T	\$232.2	Apr-09	Jun-09	Sep-12	Dec-14	
OC Streetcar	\$424.4	Aug-09	Feb-16	Aug-18	Dec-21	
Project S Cost/Schedule Risk	\$424.4	Aug-09	Feb-16	Sep-18	Feb-22	

^{*}Status through September 2019. For detailed project information, please refer to the individual project section within this report.





FREEWAY IMPROVEMENT PROGRAM

Interstate 5 (I-5) Projects

- (A) I-5, SR-55 to SR-57
- B I-5, El Toro "Y" Area to SR-55
- C I-5, SR-73 to El Toro Road
- C I-5, Avenida Pico to San Juan Creek Road
- D I-5 Highway Interchanges

State Route 22 (SR-22) Projects

E SR-22 Access Improvements

State Route 55 (SR-55) Projects

- **SR-55**, I-405 to I-5
- (F) SR-55, I-5 to SR-91

State Route 57 (SR-57) Projects

- G SR-57 NB, Orangewood Avenue to Katella Avenue
- © SR-57 NB, Katella Avenue to Lincoln Avenue
- G SR-57 NB, Orangethorpe Avenue to Lambert Road
- SR-57 NB, Lambert Road to Tonner Canyon Road

State Route 91 (SR-91) Projects

- R-91 WB, I-5 to SR-57
- SR-91, SR-57 to SR-55
- SR-91, SR-55 to Riverside County Line

Interstate 405 (I-405) Projects

- K I-405, I-605 to SR-73
- L I-405, SR-55 to El Toro "Y" Area

Interstate 605 (I-605) Projects

- M I-605 Katella Interchange Improvements
- Freeway Mitigation Restoration Projects
 Part of Projects A-M
- Freeway Mitigation Acquisition Projects
 Part of Projects A-M

STREETS & ROADS

- Grade Separation Program (shown)

TRANSIT PROJECTS

- R Grade Separation and Station Improvement Projects
- S Transit Extensions to Metrolink
- Metrolink Station Conversion to accept Future High-Speed Rail Systems

OC GO PROJECTS NOT SHOWN

Project N: Freeway Service Patrol

Project 0: Streets & Roads -Regional Capacity Program

Project Q: Local Fair Share Program

Project R: Grade crossing and

Project U: Senior Mobility Program (SMP), Senior Non-emergency Medical Transportation Program (SNEMT), and Fare Stabilization Programs

Project V: Community Based Transit/Circulators

Project W: Safe Transit Stops

Project X: Environmental Cleanup Program



December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Active Transportation Update

Overview

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

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority (OCTA) Board of Directors (Board) receives updates on regional active transportation actions regularly. These efforts support the OCTA vision for a multimodal system. This report provides an update on regional bicycle and pedestrian planning, educational efforts, collaboration with law enforcement agencies, and success in funding pursuits.

Discussion

A status update is provided on active transportation topics led by OCTA addressing education, enforcement partnerships, school engagement, infrastructure funding, OC Loop status, and a recent Go Human event.

Education

Over the past four years, OCTA has secured grant funding from the California State Office of Traffic Safety (OTS) Highway Safety Program. OCTA has used these funds to create educational safety videos, develop campaigns to distribute safety equipment, and host bicycle and pedestrian skills classes.

In 2016-17, OCTA utilized OTS funding for preparation of the two Play it Safe safety videos. The videos have been highly successful with nearly 400,000 views and were leveraged with an interactive game in early 2018 by the OCTA Marketing Department. The videos and interactive game are posted at the following OCTA website: https://www.octa.net/Bike/Play-It-Safe/.

For years 2018 and 2019 activities, OCTA utilized OTS funding to host 14 bicycle skills classes open to the public and two train-the-trainer courses to certify local instructors for future classes. The programs also included distribution of over 10,000 pedestrian safety lights to patrons riding on OCTA buses, as well as 600 helmets and 1,400 lights distributed to bicycle riders.

A program similar to the 2018-19 program activities is planned for implementation again in 2020 using a subsequent year 2019-20 grant from OTS. OCTA will continue working directly with OTS to address safety needs within Orange County.

Enforcement

Throughout 2019, OCTA completed the Partnerships with Police (PWP) Project. The PWP Project included presentations directly to law enforcement officers throughout Orange County addressing the following topics:

- Recommended actions to reduce bicycle crashes,
- Recommended actions to reduce pedestrian crashes, and
- Understanding new and relevant laws.

Presentation modules were developed based on review of local collision data and identification of dangerous behaviors leading to crashes affecting people walking and bicycling. The PWP Project established a forum for open dialogue with law enforcement staff to clarify and address common issues and questions related to active transportation. The project was funded using Southern California Association of Governments (SCAG) funding.

A total of 20 training sessions were conducted at seven police departments throughout Orange County, reaching over 320 police officers. Additionally, the California Highway Patrol (CHP) invited OCTA to present to officers in Sacramento. This presentation was recorded on video for review by CHP officers statewide. The project received positive responses from CHP officers and established a strong rapport between transportation professionals and public safety representatives.

Safe Routes to School

OCTA has received two grants related to Safe Routes to School (SRTS) efforts consisting of a planning study, as well as a program to lead educational activities at 25 schools countywide. These multi-pronged efforts will help demonstrate SRTS activities and increase the reach of SRTS programs countywide:

- The SRTS Action Plan (Action Plan) will evaluate ongoing SRTS efforts countywide and develop a list of action items with a clear definition of lead agencies and organizations. The Action Plan aims to improve safety for youth who walk and bike to school. This will be done through collaborative efforts, promotion of transportation safety education, strengthening of education and enforcement partnerships, and advancing encouragement programs that will benefit families throughout the County of Orange (County).
- The Safe Travels Education Program campaign will engage with 25 state-designated disadvantaged public elementary schools to lead education and encouragement activities for walking and biking. A range of activities will be offered based on local interest and time availability for school assemblies, walk/bike to school day events, and training activities. These student activities will be held during and after school, as well as with families on nights or weekends.

Both studies will continue to foster collaboration and partnership between OCTA, the Orange County Health Care Association, the cities, the County, law enforcement agencies, and the California Department of Transportation (Caltrans).

The Citizens Advisory Committee Bicycle and Pedestrian Subcommittee will be involved in advancement of both projects. Staff will provide regular updates to the Board during the projects, which will be in progress for the next two years.

Recent events included designated Walk to School Day events at three schools, with additional partner schools being sought in the upcoming year:

- October 2, 2019 Clinton-Mendenhall Elementary School in the City of Garden Grove,
- October 9, 2019 Orangethorpe Elementary School in the City of Fullerton, and
- October 23, 2019 Brywood Elementary School in the City of Irvine.

Active Transportation Grant Success

Over the past five years, OCTA staff have pursued and secured approximately \$2.1 million in active transportation grant funding. The topics covered by the grants include planning, evaluation, and education. OCTA has been able to leverage approximately \$200,000 of local planning funds to secure an additional \$1.9 million in funds from ten grants (Attachment A).

In 2018, state and regional funding opportunities were made available to local jurisdictions. The California Transportation Commission awarded approximately \$27 million in funding to Orange County agencies from the state Active Transportation Program (ATP) Cycle 4 for seven projects. In June 2019, the OCTA Board awarded \$25 million in the 2019 Bicycle Corridor Improvement Program to 17 projects countywide.

Local jurisdictions will have an opportunity to pursue ATP Cycle 5 funding when the grant funding program is published next year, with an expected application deadline in June 2020. As part of this process, Orange County projects are estimated to receive \$14 million through the SCAG Regional ATP Program. Orange County also has the opportunity to receive additional funds through the statewide ATP program.

OC Loop

The OC Loop envisions a 66-mile regional bikeway network serving the north and central portions of Orange County. It is comprised of the regional bikeway corridors identified in the OCTA-prepared regional bikeways strategies. Over the past few decades, multiple agencies have worked independently to implement portions of the OC Loop, completing approximately 70 percent. When complete, the OC Loop will primarily be an off-street system that will utilize the existing off-street trails along Coyote Creek, San Gabriel River, Santa Ana River, The Tracks at Brea, and the Union Pacific Railroad (UPRR) corridors.

In 2015, the County completed a feasibility study that provides recommendations and cost estimates on closing gaps along the OC Loop. Based on these recommendations, OCTA worked with the County to prepare the OC Loop 70/30 Plan, which provides an executive level summary fact sheet with estimated improvement costs for each segment of the OC Loop. Additional information can be found on the OC Loop website at www.octa.net/ocloop.

County staff has continued to pursue funding to advance OC Loop segments, with recent completion of Segment F in the City of Yorba Linda, and funding secured to construct segments D and H, serving residents in the cities of Anaheim, Brea, Placentia, and Yorba Linda. The status of the OC Loop, which is now over 80 percent complete, is provided in Attachment B.

OCTA is also facilitating negotiations between UPRR and the cities of Brea and La Habra to secure an easement for the OC Loop segments A and B. OCTA is coordinating the plan reviews and approvals with the California Public Utilities Commission and UPRR. Staff will continue to coordinate with the County and local cities to advance projects to complete the OC Loop.

Meet on Beach

Since 2015, OCTA has partnered with SCAG to develop the marketing campaign and encouragement events for the Go Human campaign. Go Human is the SCAG-sponsored campaign to improve safety and encourage more active transportation travel. SCAG has worked with local agencies to host the following demonstration events within Orange County:

- City of Westminster Experience Hoover (2016),
- City of Garden Grove Re: Imagine Garden Grove (2017),
- City of Brea Experience the Tracks at Brea (2017),
- OC Parks, cities of Anaheim and Yorba Linda Connect the Loop (2017),
- City of Santa Ana 18th Annual Cinco de Mayo Festival (2017),
- OC Public Works, cities of Garden Grove and Westminster Redefine Hazard Avenue (2017), and
- City of Costa Mesa Explore Merrimac (2018).

Go Human events have provided temporary demonstrations of separated bikeways, celebrated new trails, and supported open streets events, such as the third annual RE:Imagine event conducted by the City of Garden Grove. Attendance varied as marketing for each Go Human event was in scale with available agency resources. Each event had a set of goals developed by the local agency, such as exhibiting a new design concept or bringing a large number of people to a community festival. Based on the respective event goals, local agencies have expressed support with the SCAG collaboration and for Go Human events.

An additional Go Human demonstration has been coordinated by SCAG and the Beach Boulevard Coalition for the cities along Beach Boulevard. Branded "Meet on Beach," the event occurred on November 17, 2019. Meet on Beach included a day filled with family activities in the cities of Anaheim, Buena Park, Garden Grove, Huntington Beach, La Habra, Stanton, and Westminster. The project website www.meetonbeach.com provided details promoting the event. OCTA provided a free OC Bus day pass using the OC Bus mobile application to those who pledged to ride the bus on November 17.

Summary

OCTA has advanced planning, education, encouragement, and enforcement efforts to improve active transportation throughout Orange County. Coordination and collaboration will continue between SCAG, Caltrans, and stakeholders to encourage and support people walking and bicycling within Orange County.

Attachments

- A. Recent Orange County Transportation Authority Active Transportation Grant Success
- B. OC Loop, Bike. Walk. Connect.

Prepared by:

Charlie Larwood

Department Manager, Planning and

Analysis

(714) 560-5683

Approved by:

Kia Mortazavi

Executive Director, Planning

(714) 560-5741

ATTACHMENT A Recent Orange County Transportation Authority Active Transportation Grant Success

Grant Topic (Source)	Funding Secured	Local Match	Total Funding	Status
OC Active (State of California Active Transportation Program)	\$280,000	\$70,000	\$350,000	Completed
Active Transportation Counts Program (Caltrans Sustainable Transportation Planning)	\$177,000	\$23,000	\$200,000	Completed
2017 Active Transportation Safety Videos (OTS Highway Safety Program)	\$50,000	\$0	\$50,000	Completed
2018 Bicycle & Pedestrian Safety Program (OTS Highway Safety Program)	\$75,000	\$0	\$75,000	Completed
2019 Bicycle & Pedestrian Safety Program (OTS Highway Safety Program)	\$75,000	\$0	\$75,000	Completed
2020 Bicycle & Pedestrian Safety Program (OTS Highway Safety Program)	\$100,000	\$0	\$100,000	Planned 2020
Systemic Safety Plan (State of California Systemic Safety Analysis Report Program)	\$315,000	\$35,000	\$350,000	Underway
Partnerships with Police (SCAG Sustainable Communities Program)	\$100,000	\$0	\$100,000	Completed
Safe Routes to School Action Plan (Caltrans Sustainable Transportation Planning)	\$264,000	\$36,000	\$300,000	Underway
Safe Travels Education Program (State of California Active Transportation Program)	\$500,000	\$0	\$500,000	Planned 2020-22
Total	\$1,936,000	\$164,000	\$2,100,000	

Acronyms

Caltrans – California Department of Transportation
OTS – Office of Traffic Safety
SCAG – Southern California Association of Governments

WHAT IS THE OC LOOP?

The Orange County (OC) Loop vision is 66 miles of seamless connections and an opportunity for people to bike, walk and connect to some of California's most scenic beaches and nland reaches.



NEARLY COMPLETE!

and three railroads, and dedicating a sliver of land next to a commercial railroad corridor. Now over 80% complete, approximately \$88 million is needed to finish the final pieces to Coast Highway through a federal military base, crossing under the Interstate 5 freeway the OC Loop. The last segments will overcome key obstacles such as travel on Pacific Successful multi-agency collaboration has positioned the OC Loop well for completion.

SERVING COMMUNITIES:

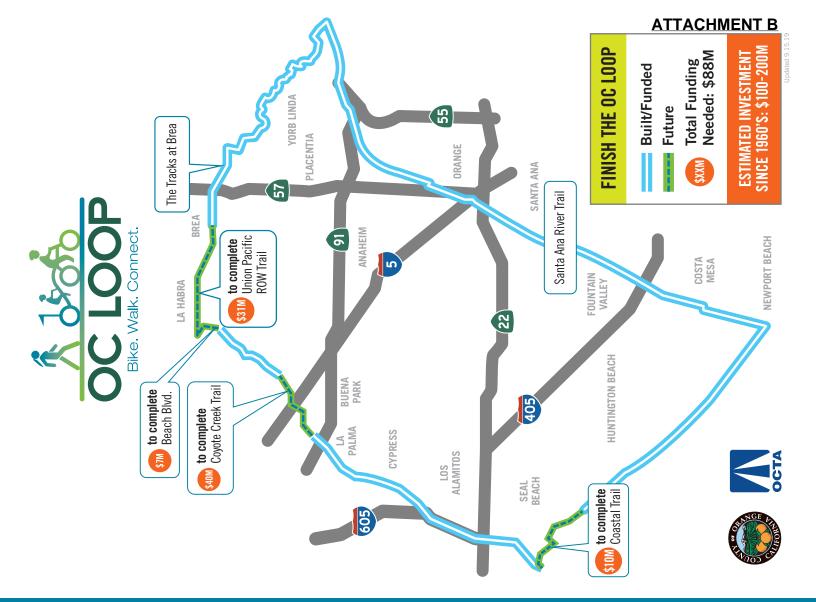
- 650,000 residents within 1 mile
 - 340,000 jobs within 1 mile
 - 200+ parks
- 180+ schools 17 cities
- Los Angeles & Orange Counties



OC LOOP BENEFITS:

The OC Loop is more than just a bicycling and walking path. Completing the OC Loop attractions, enhanced mobility, reduced car-dependency and improved quality of life. benefits the entire community with increased access to employment and popular

- Safer Journey to Serve Ages 8 to 80 The OC Loop provides a low-stress bicycling and walking route that is suitable for people of all ages!
- popular destinations such as bus stops, three train stations, jobs, schools, local **Expanded Transportation Options** — The OC Loop provides convenient paths to parks, beaches and downtown shopping areas.
- residents and thousands of visitors every year seeking refuge from the traffic and Improved Quality of Life — The OC Loop serves about 650,000 Orange County noise of urban life.
- abandoned space along rivers and railroad right of way into a community amenity. The return in benefits to economic development, health, mobility, recreation and Stretching the Dollar — Completing the OC Loop would turn underutilized, safety can be expected to exceed the cost of completing the OC Loop.



Active Transportation Update





Education

Office of Traffic Safety Funding:

- 2017: Safety Videos
- 2018, 2019, and 2020: Bicycle Skills Training and Safety Materials:
 - Themed bike ride/classes
 - Distribution of pedestrian safety lights on OC Bus
 - Distribution of bike helmets/lights

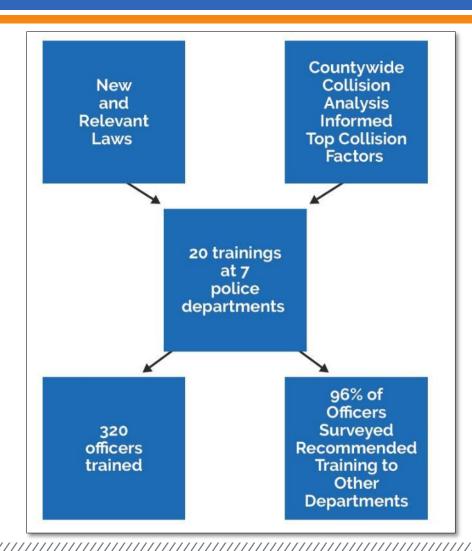


Enforcement

Partnerships With Police:

- Training Program for Officers:
 - Crash history/trends
 - Laws and regulations
- Southern California Association of Governments Funding
- Program Completed with 96% Positive Feedback





Safe Routes to School

Two Key Efforts Underway:

- Safe Routes to School Action Plan
 - Study underway to evaluate countywide efforts and recommend actions to increase reach
 - Includes ten Walk to School Day events
- Safe Travels Education Program
 - Education and encouragement activities at 25 schools countywide
- Both Efforts in Collaboration with Orange County Health Care Agency



Funding Planning and Implementation

Funding Success

- OCTA awarded \$25 million in BCIP funds to 17 locally sponsored bicycle projects
- OCTA support enabled seven local agencies to receive \$27 million in statewide ATP grants
- OCTA has received \$2.1 million in planning grant funding since 2014
 - Ten projects

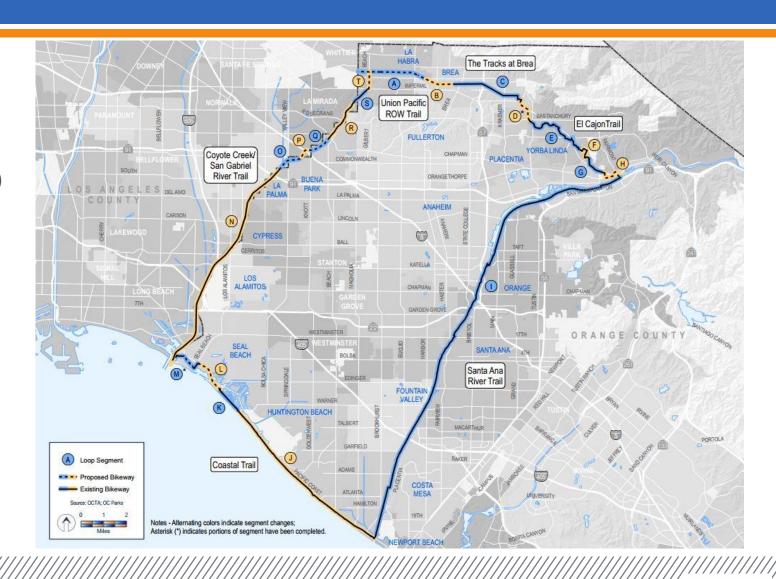
OCTA – Orange County Transportation Authority BCIP – Bicycle Corridor Improvement Program ATP – Active Transportation Program



OC Loop

Advancing Segments

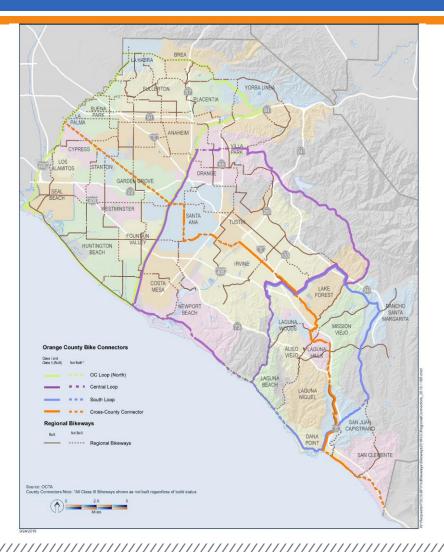
- Recent Completions
 - City of Brea (Segment C)
 - City of Huntington Beach (Segment K)
 - City of Yorba Linda (Segment F)
- Funding Secured by County
 - Cities of Brea/Placentia (Segment D)
 - Cities of Yorba Linda/Anaheim (Segment H)
- Engineering Work Underway
 - City of La Habra (Segment A) and City of Brea (Segment B)
 - City of Buena Park (segments O, P, and Q)



Explore New Regional Bike Connectors

Proposed Cross County Gap Closure Feasibility Study

- Identified in OC Active
- Provides Backbone Network Linking Regional and Local Bikeways
- Assess Bikeway Gaps in Central and South County



Recent "Meet on Beach" Event

November 17, 2019

- Encouragement Event Promoting Beach Boulevard
- Seven Distinct Activations along Beach Boulevard
- Includes Car-Free Street
 Event at Knott's Berry Farm
- Most Events: 10am-2pm
- www.meetonbeach.com

MEET-ON-BEACH

LA HABRA - BUENA PARK - ANAHEIM - STANTON GARDEN GROVE - WESTMINSTER - HUNTINGTON BEACH

NOV 17 2019 BEACH BLVD

PLEDGE TO RIDE OC BUS AND GET A FREE DAY PASS MORE AT MEETONBEACH.COM













Next Steps

- Return with updates on active transportation efforts including:
 - Progress on the Safe Routes to School planning and program efforts
 - Partnering with local agencies to implement active transportation projects
- Seek funding opportunities to support active transportation activities
 - Continue working with local agencies and community groups to advance active transportation measures for all Orange County residents



December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Draft 2020-2045 Regional Transportation Plan/Sustainable

Communities Strategy

Overview

Every four years, the Southern California Association of Governments prepares a long-range regional transportation plan for the six-county region under its jurisdiction. Staff has completed a preliminary review of the draft 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy, the associated program environmental impact report, and prepared draft comments for discussion.

Recommendation

Direct staff to prepare and submit comments on the draft 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy, and the associated program environmental impact report prior to the January 24, 2020, comment deadline.

Background

As the federally designated metropolitan planning organization for the counties of Imperial, Los Angeles, Orange, Riverside, San Bernardino, and Ventura, the Southern California Association of Governments (SCAG) must adopt a Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS) every four years, per state and federal laws. The draft 2020-2045 RTP/SCS includes planned transportation projects and demographic assumptions through the year 2045. This provides a long-term strategy for investments in the region's transportation system, at a projected total cost of \$638.6 billion (in year-of-expenditure dollars [YOE\$]). The RTP also includes demographic assumptions and an SCS element for the six-county SCAG region.

All regionally significant transportation projects must be included in the federally- approved RTP/SCS in order to advance through the project delivery process. The RTP/SCS must also demonstrate conformity with federal air quality standards, using funding sources that are identified as reasonably available through 2045. This requires that transportation activities resulting from the RTP/SCS must not cause new or worsen existing air quality violations and/or delay timely implementation of transportation control measure strategies that reduce mobile source emissions.

In addition, SB 375 (Chapter 728, Statutes of 2008) requires that the RTP/SCS demonstrate a reduction in greenhouse gas (GHG) emissions from cars and light duty trucks from 2005 per capita levels. The GHG reduction targets, currently assigned to the SCAG region by the California Air Resources Board (CARB), are eight percent per capita by 2020, and 19 percent per capita by 2035. Compared to the 2016 2040 RTP/SCS, the 2020 target is unchanged, but CARB raised the 2035 target by more than 45 percent (from 13 percent per capita).

Many of the issues commented on by the Orange County Transportation Authority (OCTA) in the 2016 2040 RTP/SCS are still prevalent in the 2020-2045 RTP/SCS, with some modifications and refinements over the past four years. These issues include ensuring that the RTP is consistent with OCTA's 2018 Long-Range Transportation Plan (LRTP), regional strategies assumed to demonstrate air quality conformity, assumed new revenue sources, passenger rail assumptions, SCAG's regional express lane concept, and other investments beyond the 2018 LRTP. These issues are further discussed below.

Discussion

Staff has completed a preliminary review of the draft 2020-2045 RTP/SCS to confirm consistency with OCTA's plans and policies, as well as to verify that the assumptions included are reasonable. The sections below discuss the key policy issues identified, and draft comments for consideration. At the Board of Directors' (Board) discretion, staff is prepared to submit a comment letter requesting that SCAG address the issues to ensure that the RTP/SCS is consistent with OCTA goals, and that it meets federal conformity.

LRTP Consistency

The draft 2020-2045 RTP/SCS is generally consistent with the 2018 LRTP in that it reflects the plans and projects identified in the LRTP for implementation.

This includes the Measure M programs for freeways, transit, and roadway capital and operational improvements, such as the signal synchronization program. A few discrepancies were identified in the draft 2020-2045 RTP/SCS with OCTA project data, consisting of only minor data input and typographic edits. Staff is currently working with SCAG to make the necessary corrections. Additionally, the latest planning and programming data is being provided to SCAG to ensure the RTP/SCS best reflects the current status of projects.

Regarding land use assumptions made by SCAG through the development of the SCS element, OCTA will defer to the findings of the review currently being performed by the Orange County Council of Governments (OCCOG). As a member of OCCOG, OCTA participates in the review process, and any comments submitted by OCTA regarding land use will be consistent with OCCOG. However, based on initial review, the financially constrained alternative in the draft 2020-2045 RTP/SCS appears to be consistent with the land use data reviewed and consented to by OCCOG and Orange County's local jurisdictions.

Conformity and Regional Strategies

The draft 2020-2045 RTP/SCS demonstrates that, between the 2016 model base year and the 2045 model horizon year, the region can successfully accommodate an additional 3.7 million residents and 1.6 million jobs, while meeting the federal requirements for both air quality and financial constraint. Furthermore, SCAG's analysis demonstrates that the draft 2020-2045 RTP/SCS meets the GHG reduction targets established by CARB, with reductions of eight percent per capita for 2020, and 19 percent per capita for 2035. These conformity findings are critical for projects to be eligible for state and federal funding and progress through project development processes. Final conformity determinations are made by the Federal Highway Administration and CARB after the final 2020-2045 RTP/SCS is submitted for approval in April 2020.

The 2020-2045 RTP/SCS achieves the GHG emission reduction targets through a combination of regional strategies that SCAG assumes above and beyond the transportation and land use plans and programs submitted by the County Transportation Commissions (CTCs) and local jurisdictions. While regional strategies are necessary to meet state and federal requirements, implementing agencies in the SCAG region are not required to carry out the regional strategies.

The GHG emission reductions from the regional strategies were estimated using the regional transportation demand model and off-model analysis tools.

Strategies assumed in the regional travel demand model account for GHG emission reductions of approximately 13 percent per capita (68 percent of the 2035 target). These regional strategies assumed by SCAG include:

- Conversion of select carpool lanes to tolled express lanes,
- Mileage-based user fee,
- Local pricing strategies (per mile charge and parking pricing at major activity centers),
- Congestion pricing (assumed only in Los Angeles County),
- Significant increases in passenger rail service,
- Infill development and increased density near transit infrastructure,
- Land use strategies,
- New/enhanced transit projects,
- Improved bike infrastructure, and
- Transportation demand management.

Several other regional strategies assumed by SCAG were analyzed using off-model tools. These strategies are estimated to reduce GHG emissions by approximately six percent per capita (32 percent of the 2035 target). These regional strategies assumed by SCAG include:

- Deregulation of parking requirements in certain priority growth areas,
- Increased average vehicle occupancy assumptions in job centers,
- Co-working at strategic locations,
- Increased electric vehicle charging infrastructure,
- Electric vehicle incentives.
- Improved pedestrian infrastructure,
- Multimodal dedicated lanes (e.g., bus-only lanes),
- Car share,
- Bike share and micromobility.
- Safe routes to school,
- Transit/transportation network companies (TNCs) partnership program,
- Telemedicine, and
- Online shopping/e-commerce.

In the following sections, some of the higher profile regional strategies noted above are discussed in more detail below. Draft comments are then recommended as needed for Board consideration.

Anticipated and Innovative Revenue Sources

The draft 2020-2045 RTP/SCS estimates the cost for capital improvements at \$287.0 billion (YOE\$). This includes projects submitted by the CTCs, as well as capital costs from regional strategies developed by SCAG. Again, while regional strategies go beyond the projects submitted by the CTCs, they help to ensure conformity with federal standards and state GHG requirements. It is also important to reiterate that inclusion of regional strategies in the RTP/SCS does not commit implementing agencies to carrying them out.

Operations and maintenance costs for the transportation system over the 25-year planning horizon are estimated at \$316 billion (YOE\$), with another \$35.6 billion (YOE\$) projected for debt service. SCAG's goal is to obtain and maintain a state of good repair throughout the transportation system. This requires a significant investment, which must also respond to inflation (assumed at 2.2 percent) and increasing construction costs (assumed at 4.5 percent) over the next 25 years.

SCAG has indicated that without the use of anticipated revenue sources and innovative financing strategies, the region faces a funding shortfall of approximately \$139.4 billion (YOE\$). Compared to the 2016 2040 RTP/SCS, the funding shortfall shrank from \$200.4 billion (YOE\$), primarily due to passage of SB 1 (Chapter 5, Statutes of 2017). Consistent with the 2016 2040 RTP/SCS, SCAG established the following guiding principles in the draft 2020-2045 RTP/SCS to identify reasonably available funding sources to address the shortfall:

- Establish a user fee-based system that better reflects the true cost of transportation, provides firewall protection for transportation funds, and ensures an equitable distribution of costs and benefits.
- Promote national and state programs that include return-to-source guarantees, while maintaining flexibility to reward regions that continue to commit substantial local resources.
- Leverage locally available funding with innovative financing tools (e.g., tax credits and expansion of the Transportation Infrastructure Finance and Innovation Act) to attract private capital and accelerate project delivery.
- Promote local funding strategies that maximize the value of public assets while improving mobility, sustainability, and resilience.

Utilizing these principles, the draft 2020-2045 RTP/SCS identifies seven anticipated revenue sources and innovative funding strategies projected to generate \$139.4 billion (YOE\$). The revenue sources, relevant assumptions,

and projected amounts (in billions of YOE\$) for each of these sources are summarized in Attachment A.

The TNCs mileage-based user fee and local road charge program are new as compared to the 2016-2040 RTP/SCS; however, these two sources, in combination with the mileage-based user fee as included in the draft 2020-2045 RTP/SCS, equate to roughly the same total revenue as the mileage-based user fee assumed in the prior plan (i.e., roughly \$125 billion [YOE\$]). Additionally, the net user cost of approximately four cents (in constant dollars) per mile is consistent across the two plans. For the 2020-2045 RTP/SCS, the division of the 2016-2040 RTP/SCS mileage-based user fee into a three separate funding sources reflects updated guidance from CARB. The inclusion of these sources not only serves as a long-term replacement for the current fuel tax mechanism, but also as key components in demonstrating conformity with federal air quality and state GHG requirements.

The other four anticipated and innovative revenue sources assumed by SCAG include a federal gas tax increase of ten cents, use of value capture strategies, federal credit assistance and bond proceeds, and private equity participation. These sources were also assumed in the 2016-2040 RTP/SCS. Noteworthy changes to the assumptions include additional use of enhanced infrastructure financing districts and tax increment financing, reduced revenues from federal credit assistance and bond proceeds previously assumed for the California High-Speed Rail (CHSR) Project, and an increase in private equity participation related to the Virgin Trains USA Project for high-speed rail service from the City of Victorville to the City of Las Vegas.

Draft Comment #1

SCAG staff should provide regular updates to its Transportation Committee and Regional Council regarding the key implementation factors of new transportation user fees, including but not limited to:

- Technology and associated privacy issues,
- Cost of implementation and administrative methods for fee collection/revenue allocation,
- Equity concerns and exemptions/credits, as applicable,
- Rate structures and associated impacts including evaluation of flat rates, differential pricing by type of vehicle including size and weight, time-of-day, and potentially emissions, including GHG emissions, and
- Economic assessment.

SCAG staff should also evaluate the impacts of the new transportation user fees on existing local transportation funding mechanisms, including local option sales tax measures, express lanes and toll facilities, and consider how best to integrate the various transportation funding mechanisms. Additionally, any new user fees should include return-to-source criteria to ensure equitable distribution of funds.

Passenger Rail Assumptions

The draft 2020-2045 RTP/SCS also assumes the Metrolink Southern California Optimized Rail Expansion (SCORE) Program capital components are completed by 2035 at a cost of \$10.5 billion (YOE\$). The SCORE Program would accommodate a significant increase in Metrolink service with up to 15-minute peak-period service on much of the Metrolink system. Capital components include additional track, improved sidings, expanded and lower emission fleet, upgraded and enlarged maintenance facilities, grade crossing treatments and separations, fencing and safety improvements, and features to support readiness for quiet zones. The draft 2020-2045 RTP/SCS assumes SCORE Program operating costs between 2035 and 2045 of \$3.2 billion (YOE\$), funded by new revenue sources and innovative funding strategies.

The draft 2020-2045 RTP/SCS includes phase one of the CHSR Project at a regional cost of \$34.6 billion (YOE\$). The CHSR 2018 Business Plan redefined the initial operating segment from between the City of Merced (in the San Joaquin Valley) and the Burbank Bob Hope Airport station to between the cities of Merced and Bakersfield, with revenue service starting in late 2028. Phase one, which would span from the City of San Francisco to the City of Anaheim, is anticipated to start revenue service in 2033.

Draft Comment #2

SCAG staff should provide regular updates to its Transportation Committee and Regional Council regarding both the CHSR Project and the Metrolink SCORE Program. Additionally, SCAG staff should assist Metrolink and the CTCs in detailing implementation steps for the SCORE Program, including securing new revenue sources to support operations at the levels assumed in the plan.

Regional Express Lane Network

The draft 2020-2045 RTP/SCS generally carries over the proposed regional express lane network included in the 2016-2040 RTP/SCS. This network would increase vehicle occupancy requirements to three-plus persons per vehicle on

select existing and planned high-occupancy vehicle (HOV) lanes throughout the region. Pricing for single-occupancy and dual-occupancy vehicles will then be used to increase the throughput of the corridor. The 2020-2045 RTP/SCS proposed regional express lane network segments would add the following Orange County express lane segments:

Facility	From	То
Interstate 405 (I-405)	State Route 55 (SR-55)	Los Angeles County line
State Route 73 (SR-73)	MacArthur Boulevard	I-405
SR-55	I-405	State Route 91 (SR-91)
Interstate 605 (I-605)	I-405	Los Angeles County line

The 2020-2045 RTP/SCS proposed regional express lane network also identifies express lane connectors in Orange County at the following interchanges: I-405/I-605, I-405/SR-73, I-405/SR-55, SR-55/I 5, and SR-55/SR-91.

Draft Comment #3

The 2020-2045 RTP/SCS should recognize that the OCTA Board has not approved conversion from HOV to tolled express lane for SR-55, SR-73, I-605, or north of I-605 on I-405 as depicted in the proposed regional express lanes network. Furthermore, the 2020-2045 RTP/SCS should clearly recognize that the proposed regional express lane network is subject to further study to evaluate right-of-way impacts, community issues, and overall feasibility.

Other Investments Beyond the 2018 LRTP

In addition to the Metrolink SCORE Program, there are other investment strategies being proposed within the draft 2020-2045 RTP/SCS that exceed investments assumed in the 2018 LRTP. For example, the draft 2020-2045 RTP/SCS proposes:

- \$6 billion (YOE\$) to expand bus service in high-quality transit corridors,
- \$2 billion (YOE\$) for a plug-in electric vehicle rebate program,
- \$5 billion (YOE\$) for safety initiatives.
- \$2 billion (YOE\$) in a mobility equity fund,
- \$3 billion (YOE\$) for housing-supportive infrastructure, and
- \$2 billion (YOE\$) for pooled incentives.

SCAG states that these investments are being funded with new revenue sources and innovative financing strategies.

An additional emphasis is also placed on active transportation improvements, with the draft 2020-2045 RTP/SCS proposing to invest \$22.5 billion (YOE\$). About \$3.7 billion (YOE\$) of the total investment reflects active transportation projects submitted by CTCs. SCAG proposes investing another \$14 billion (YOE\$) from the draft 2020-2045 RTP/SCS new revenue sources and innovative financing strategies. SCAG then estimates that the remaining \$4.8 billion (YOE\$) would be invested in active transportation components of roadway operations and maintenance efforts.

Draft Comment #4

The 2020-2045 RTP/SCS should clearly state that the regional strategies suggest improvements beyond the projects submitted by OCTA, and that the implementation of the strategies is subject to availability of new revenue sources and the necessary project development and review processes by the implementing agencies.

Next Steps

The public review period for the draft 2020-2045 RTP/SCS and the associated program environmental impact report is scheduled to conclude on January 24, 2020. In March 2020, SCAG staff will report back to SCAG policy committees and the Regional Council on comments, responses, and final adjustments to draft the 2020-2045 RTP/SCS and the Program Environmental Impact Report. The final draft will then be prepared and presented to the SCAG policy committees in March 2020, and to the Regional Council for adoption on April 2, 2020.

During the public review period, SCAG will conduct RTP/SCS elected official briefings in Orange County. The first briefing is scheduled for the Orange County Council of Governments' meeting on Thursday, November 21, 2019. The next two Orange County briefings will be held at OCTA, both concurrent with and immediately following the December 9 Board meeting. A fourth Orange County briefing has been scheduled for January 21, 2020, at the Laguna Niguel City Hall.

Summary

The draft 2016-2040 RTP/SCS was released by SCAG for public review on November 7, 2019. Staff has completed a preliminary review of the document and found it to be generally consistent with the OCTA 2018 LRTP. However, the draft 2020-2045 RTP/SCS also proposes several regional strategies and policy assumptions that go beyond the LRTP. With Board direction, staff will submit a comment letter to SCAG identifying precautionary concerns with the regional strategies and policy assumptions included in the draft 2020-2045 RTP/SCS.

Attachment

A. Draft 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy, Anticipated Revenue Sources and Innovative Funding Strategies

Prepared by:

Warren Whiteaker Senior Transportation Analyst (714) 560-5748 Approved by:

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

Draft 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy Anticipated Revenue Sources and Innovative Funding Strategies

Revenue Source	Assumption	Projection (\$Billions)
Mileage-Based User Fee (Replacement)	Starting in 2030, replacement of existing state and federal gas taxes with implementation of mileage-based user fees at \$0.025 per mile (in 2019 dollars and indexed at a rate of 2.4 percent).	\$42.7 (incremental only)
Local Road Charge Program	Starting in 2030, implementation of a \$0.015 (in 2019 dollars and indexed at a rate of 2.4 percent) per mile regional road charge program on a county basis to provide options (e.g., adjustments by time of day, location) tailored to local needs. A flat rate was assumed for all counties except parts of Los Angeles County, where congestion pricing (peak period charges) was assumed beginning in 2025. Also beginning in 2025, the cost of parking at 21 job centers representing 22 percent of the region's employment was assumed to growth so that the parking price would double by 2045.	\$77.8
TNC Mileage-Based Fee	Starting in 2021, implementation of user fees of \$0.05 (in 2019 dollars and indexed at a rate of 2.4 percent) per mile on TNC mileage within the SCAG region. Estimated to be equivalent of a \$0.50 flat fee for an average trip.	\$4.7
Federal Excise Gas Tax Adjustment	Historical extrapolation of gas tax revenues equivalent to additional \$0.10 (in 2019 dollars) per gallon gasoline tax imposed by the federal government starting in 2025 and continuing through 2029.	\$2.7
Value Capture Strategies	Formation of enhanced infrastructure finance districts and use of tax increment financing for transit supportive housing related infrastructure.	\$3.0
Federal Credit Assistance; Other Bond Proceeds	Credit assistance/debt financing is assumed to facilitate construction of regional initiatives, pledging new regional/local funding via road charge program.	\$2.2
Private Equity Participation	Reflect revenue estimate for San Bernardino County portion of Virgin Trains USA to construct and operate high speed rail service from the City of Victorville to the City of Las Vegas along the I-15 corridor.	\$6.3

I-15 – Interstate 15

SCAG - Southern California Association of Governments

TNC - Transportation Network Company

Draft 2020-2045 Regional Transportation Plan/ Sustainable Communities Strategy



Background on 2020 RTP/SCS

- Planned transportation investments and demographics through 2045
 - Includes Measure M2 and LRTP projects
- Reflects state and federal requirements
 - Demonstrate conformity with air quality standards
 - Reduce greenhouse gas emissions
 - Achieve financial constraint through existing and reasonably available sources
 - Outreach to the public
 - Conduct environmental analysis

SCAG RTP/SCS

- Four-year cycle
- 20+ year plan

FTIP

- Two-year cycle
- Six year funding program

OCTA

- Four-year cycle
- 20+ year plan

LRTP – Long-Range Transportation Plan / SCAG – Southern California Association of Governments / RTP/SCS - Regional Transportation Plan / Sustainable Communities Strategy -/ FTIP – Federal Transportation Improvement Program / OCTA – Orange County Transportation Authority

2020 RTP/SCS Challenges

- Respond to demographic changes
- Maintain assets in good repair
- Meet air quality and GHG goals
- Identify and pursue sustainable transportation revenue sources
- Improve mobility and travel choices
- Reduce traffic fatalities
- Improve public health
- Increase housing supply and affordability

Mobility Choices Safe & Healthy Environment Improved Air Quality Maximize Infrastructure Change Adaptation

Diverse Types of Houses

Communit

GHG - Greenhouse gas

Draft OCTA Staff Comments

- SCAG should provide regular updates to Transportation Committee and Regional Council regarding
 - Activities that support new transportation user fees
 - California High-Speed Rail Project and Metrolink's Southern California Optimized Rail Expansion (SCORE) Program
- The OCTA Board has not approved the tolled express lanes identified in the draft plan for Orange County
- The 2020 RTP/SCS should clearly state that regional strategies beyond those submitted by OCTA are subject to availability of new revenue sources and subsequent project development and approvals

Board - Board of Directors

Next Steps

December 9, 2019

- Kome Ajise, SCAG Executive Director to present to OCTA Board
- Elected official briefing following Board meeting (Conference Room 9)

December 10 and 14, 2019

Public hearings at SCAG's main office

January 21, 2020

Elected official briefing in Laguna Niguel

January 24, 2020

Public comment period closes

February – March 2020

 SCAG responds to comments, finalizes 2020 RTP/SCS

March 2020

SCAG reports on comments and responses

April 2, 2020

 SCAG Regional Council adoption of final 2020 RTP/SCS

June 1, 2020

 Transportation conformity expires on current plan (2016 RTP/SCS)



December 2, 2019

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Options for Future Express Lane Corridors in Orange County

Overview

The Orange County Transportation Authority 2018 Long-Range Transportation Plan's Short-Term Action Plan recommended an Express Lanes Network Study to identify planning and policy positions in response to an initiative by the California Department of Transportation to implement express lanes in Orange County. In May 2019, staff initiated this study, and a status report has been prepared.

Recommendation

Direct staff to return in spring 2020 with draft recommendations on a preferred approach to implementation of express lanes.

Background

As population and employment continue to grow in Orange County, congestion relief strategies are needed, but widening freeways is difficult primarily due to limited availability of land. Furthermore, high-occupancy vehicle (HOV) facilities are often congested and offer limited benefit to users. According to the 2017 California HOV Facilities Degradation Report and Action Plan, approximately 77 percent of Orange County HOV facilities do not meet federal operating standards. The California Department of Transportation (Caltrans) has considered increasing HOV occupancy requirements to three or more persons to improve speeds; however, Caltrans is concerned this may lead to underutilized HOV facilities.

Caltrans and other practitioners, such as the Southern California Association of Governments, have increasingly considered conversion of HOV facilities to tolled express lanes as a potential solution for addressing HOV performance standards. In this context, tolled express lanes typically allow vehicles with three or more persons to use the facility for free and offer any remaining capacity to other drivers

for a fee. This approach continues to incentivize carpooling for vehicles that meet the occupancy requirement while regulating demand to meet federal operating standards. Furthermore, it offers all motorists an option for a reliable travel time. However, it should be noted that tolled express lanes require certain conditions to be successful, and public opinion and existing policies must be considered.

Caltrans is required to identify strategies to address HOV facilities that do not meet the federal performance standards. Therefore, Caltrans District 12 developed the Orange County Managed Lanes Feasibility Study and Managed Lane Network Study to assess use of tolled express lanes as a strategy for meeting federal standards. Currently, Caltrans District 12 is conducting project-level studies to evaluate tolled express lane alternatives on Interstate 5 (I-5), approximately between State Route 55 and the Los Angeles/Orange County line. Caltrans District 12, in cooperation with the Transportation Corridor Agencies, is also developing the South County Traffic Relief Effort project, which includes several alternatives that propose tolled express lanes on various segments of I-5 south of Interstate 405 (I-405). Caltrans, as the owner and operator of the freeway system, has authority and responsibility to plan and implement these types of projects, subject to the Orange County Transportation Authority's (OCTA) approval as the county transportation commission. California Public Utilities Code Sections 130252, 130300, and 130303 require OCTA to exercise local leadership in multimodal transportation planning programming decisions (Attachment A). Specifically, Public Utilities Code Sections 130252 and 130303 grant OCTA the responsibility to approve the location and capacity of all capital development projects, including, but not limited to, exclusive public mass transit guideway systems, state highway projects, and federal-aid highway projects.

Discussion

Since 2003, OCTA has owned and operated the Orange County portion of the State Route 91 Express Lanes. Currently, OCTA is underway with the I-405 Improvement Project, which will add one regular lane in each direction between Euclid Street and Interstate 605 (I-605), and the 405 Express Lanes, which will incorporate the existing carpool lanes and a new lane in each direction between State Route 73 and I-605. As noted in the 2018 Long-Range Transportation Plan's Short-Term Action Plan, it is important for OCTA to continue to engage in planning efforts regarding express lanes.

Neighboring agencies, such as the Los Angeles Metropolitan Transportation Authority and the Riverside County Transportation Authority, have conducted long-term regional studies on tolled express lanes implementation. OCTA has been monitoring activities related to congestion management pricing strategies led by other agencies. However, as the County Transportation Commission and administrator of the Measure M Program, it is important for OCTA to consider a more proactive role in the development of express lane strategies.

In May 2019, OCTA staff initiated a 12-month Express Lanes Network Study to analyze the operational benefits and financial feasibility of tolled express lane network phasing alternatives in Orange County. The study also supports potential mainline capacity improvements that could accompany express lane implementation, but specific projects would be identified in subsequent studies. The study will ultimately identify OCTA's preferred tiered phasing priorities for tolled express lanes implementation and will be a resource plan in regional development of Orange County's tolled express lanes network.

Quantitative and qualitative factors will guide development of the strategy consistent with the draft goals and objectives in the table below.

Goal	Objective
Identify opportunity corridors	 a. Identify high-demand commute sheds b. Identify available capacity c. Leverage existing and planned express lanes d. Consider useful life of local tax measure projects
Improve corridor operations and reliability	 a. Reduce corridor daily delay from congestion b. Improve mainline peak period speeds c. Maintain free-flow speeds in express lanes d. Identify benefits to adjacent facilities
Ensure financial feasibility and corridor maintenance	 a. Demonstrate that revenues cover annual debt payments, financing requirements, and operations and maintenance costs b. Identify potential for excess revenues (subsequent studies to determine strategies for reinvestment in the transportation system)
Support local and regional goals	 a. Support community and economic development goals b. Address social equity/environmental justice c. Improve air quality and reduce greenhouse gas emissions

Staff is analyzing several tolled express lanes network concepts to determine an initial prioritization based on the stated goals and objectives. The network concepts include a configuration consistent with the managed lanes network developed by Caltrans. Other network concepts to be explored focus on specific objectives, including extending existing/planned tolled express lanes, serving intercounty commuters, and leveraging existing direct-connector ramps. A technical memo detailing the network concepts is provided in Attachment B.

Throughout the study process, OCTA will hold one-on-one meetings with Orange County thought leaders and engage local jurisdiction staff and elected officials through roundtable workshops. Several one-on-one meetings were conducted in the fall and will continue throughout the study.

Stakeholder engagement is important to establish priorities and create awareness of potential future phases of express lane implementation.

Next Steps

The consultant, HNTB Corporation, is conducting high-level mobility and financial analysis of the study. These results will be refined and compared against the goals and objectives to recommend a preferred approach on the potential implementation of tolled express lanes. Staff will return to the Board of Directors in spring 2020 with an update of the results and recommendations.

Summary

OCTA initiated the 12-month Express Lanes Network Study in May 2019. The study will establish OCTA's priorities for tolled express lanes implementation by evaluating quantitative and qualitative factors against stated goals and objectives to determine a preferred approach.

Attachments

- A. California Public Utilities Code Sections
- B. Memorandum from Shaumik Pal, Greg Hulsizer, HNTB, to Stephanie Chhan, Orange County Transportation Authority, dated October 18, 2019, OCTA Express Lanes Network Study

Prepared by:

Stephanie Chhan Transportation Analyst (714) 560-5572 Approved by:

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

California Public Utilities Code Sections

130252

- (a) All plans proposed for the design, construction, and implementation of public mass transit systems or projects, including exclusive public mass transit guideway systems or projects, and federal-aid and state highway projects, shall be submitted to the commission for approval. No such plan shall be approved unless it conforms to the appropriate adopted regional transportation plan pursuant to Chapter 2.5 (commencing with Section 65080) of Title 7 of the Government Code.
- (b) The commission shall have no approval authority over the projects, plans, and programs determined by the Department of Transportation to be necessary for the safety and maintenance of the state highway system. Such projects, plans, and programs shall be developed by the department and, to the extent feasible, be coordinated with the planning of the commission. Plans and programs involving significant rebuilding or rehabilitation of the state highway system, as determined by the department and the commission, shall be developed jointly by the department and the commission.
- (c) As used in this section, "plan" means a project description and not the detailed project plans, specifications, and estimates.

130300 The Legislature finds and declares:

- (a) That the near-term programming and budgeting requirements of state and federal law is a cooperative intergovernmental planning process intended to determine the foreseeable capital and operational needs of a multimodal transportation system.
- (b) That there is an absence of an adequate forum in which local officials may exercise leadership in multimodal transportation planning and programming.
- (c) Therefore, it is in the public interest to define the roles of various public entities with respect to long-range system planning and short-range capital and service planning and programming processes.

130303 With respect to the area under its jurisdiction, the commission shall be responsible for short-range capital and service planning directed to:

- (a) Determination, on an annual basis, of the total amount of funds that could be available to the commission for transportation planning and development.
- (b) Development and approval of a short-range three- to five-year transportation improvement program with an annual updated element reflecting all transportation capital and service priorities within the jurisdiction of the commission to be developed with all appropriate coordination and cooperation between the commission and state and local transportation agencies and operators.

California Public Utilities Code Sections

All projects utilizing federal and state highway and transit funds, and all exclusive public mass transit guideway projects no matter how funded, shall be included in a transportation improvement program adopted by the commission. The program shall also be developed in coordination with the multicounty designated transportation planning agency and the Department of Transportation, shall be consistent with the adopted regional transportation plan, and shall be reviewed and commented on pursuant to subdivision (j) of Section 130301.

- (c) Coordination and approval of all public mass transit service within the jurisdiction of the commission and between the jurisdiction of other commissions or transit operators.
- (d) Determination or approval of the location and capacity of all capital development projects, including, but not limited to, exclusive public mass transit guideway systems, state highway projects, and federal-aid highway projects.
- (e) Selection and specific approval of appropriate mass transit hardware and technology to be funded by the transportation improvement program.
- (f) Determination and approval of the staging and scheduling of construction and other development relative to all transportation improvement projects to be funded by the transportation improvement program.
- (g) Administration of the countywide program for the expenditure of funds allocated pursuant to Chapter 4 (commencing with Section 99200) of Part 11 of Division 10.

HNTB	From
ANID	Shaumik Pal
	Greg Hulsizer
Stephanie Chhan, OCTA	Date
	October 18, 2019
	Subject
	OCTA Express Lanes Network Study
	HNTB Job Number
	74087
Technical	
Memorandum	

INTRODUCTION

Orange County Transportation Authority (OCTA) has engaged HNTB to prepare Express Lanes Network Study that will identify and prioritize potential express lane facilities and its potential implementation in Orange County. This study follows up on the previous Managed Lanes Sketch study (using the Managed Lanes Feasibility Tool) which analyzed the high-level financial feasibility of 10 potential express lanes corridors.

This technical memorandum documents the six (6) alternatives being analyzed for the Mobility Analysis and Traffic and Revenue (T&R) estimation. A subsequent memorandum will summarize the various assumptions and results of the T&R analysis conducted for the six alternatives.

PROJECT ALTERNATIVES

Based on the segmentation analysis presented during Workshop #2 (July 23rd, 2019), OCTA staff went through detailed internal discussions to come up with six (6) alternative network scenarios. Out of the six alternatives, five (5) alternative networks are envisioned for the year 2030 Tier 1 scenario. The segments included as part of these 5 alternative networks are a combination of various freeway segments catering to one common theme for the alternative. Alternative 6 is a year 2045 vision network which includes all freeway segments identified as part of the first 5 alternatives. Essentially, the freeway segments which were not part of a specific Tier 1 alternative network will now become part of Tier 2 network. The details of the six alternative networks identified for this study are discussed in this section. Tier 3 segments (beyond 2045) are highlighted in grey in the alternative figures.

Alternative 1: Caltrans Phase I

The Tier 1 network is shown in orange and Tier 2 network is shown in blue in each of the figures. This alternative has the following features and the freeway segments are illustrated in **Figure 1**.

• This alternative is a modified version of Caltrans' Managed Lanes Feasibility Study's (2016) Phase 1 plan (built within 15 years). On I-5, at the western end, the EL is extended as one EL lane from SR-91 to the LA/OC county line

- Provides an opportunity to rank Caltrans' recommended near-term network in mobility, financial, and qualitative criteria compared to the other Tier I network alternatives developed
- No regional connections via SR-91 and SR-57
- Uses SR-91/SR-55, I-5/SR-91, I-405/SR-73, I-405/SR-55, and SR-55/I-5 direct connectors
- Includes express lanes on SR-73 (may be costly due to additional construction needs)
- Conflicts with OCTA's M2 HOV projects (may require differential toll policy)

Heights Firestone Santa Fe South Whittier (72) Eastvale Sleepy Hollow Springs Reservation La Habra Norco Chino Hills La Mirada Brea State Park Norwalk Yorba Linda Corona Home **Fullerton** Cerritos naheim El Ce Cypress Los Alamitos Orange Park Acres Stanton (39) range Garden Groy North Tustin Santiago Canyon estminster Silverado Santa An Beach Limestone Canyon legional Park SUNSET BEACH GOLDENWE Modjeska Canyon ntain Irvine hiting Ranch Huntington Costa Me Canyon Beach Lake Forest TURTLE ROCK (55) Newport Beach ion Viejo Crystal Cove State Park adera Ranch Ronald W. Laguna Beach Caspers Wilderness Rancho Laguna Niguel Mission Vielo Capis **Tier I Network** 2045 Vision a Point Tier III **OCTA Express Lanes** San Clemente **TCA Facilities** Planned/Built Direct Connectors

Figure 1: Alternative 1: Modified Caltrans Phase 1

Alternative 2: Existing Express Lanes Extension

This alternative has the following features and the freeway segments are illustrated in Figure 2.

- This alternative is a logical extension of existing/planned express lanes
- It makes use of SR-55/SR-91 & SR-55/I-405 direct connectors
- Conflicts with OCTA's M2 HOV projects (may require differential toll policy)

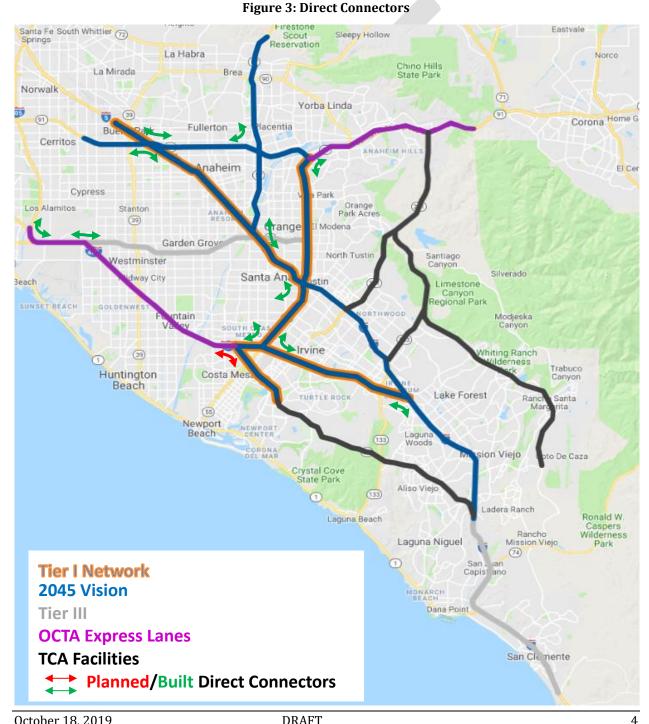
Santa Fe South Whittier 72 Springs Eastvale Sleepy Hollow Reservation La Habra Chino Hills La Mirada Brea Norwalk Yorba Linda Corona Home (91) Fullerton acentia Cerritos naheim ELC Cypress Orange Park Acres Los Alamitos Stanton (39) Drange Garden Grove North Tustin Santiago Vestminster Canyon Silverado Santa An each Limestone Canyon Regional Park Modjeska Irvine hiting Ranch Huntington Costa Me Canyon Beach Lake Forest TURTLE ROCK Santa (55) Newport NEWPORT Beach sion Viejo Crystal Cove State Park adera Ranch Ronald W. Laguna Beach Caspers Rancho Wilderness Laguna Niguel Mission Viejo Park Capist and **Tier I Network** MONARCH 2045 Vision Dana Point Tier III **OCTA Express Lanes** San Cle nente **TCA Facilities Planned/Built Direct Connectors**

Figure 2: Existing Express Lanes Extension

Alternative 3: Direct Connections

This alternative has the following features and the freeway segments are illustrated in **Figure 3**.

- This alternative was developed to minimize costs, moving forward with the existing HOV direct connectors. Utilizes I-405/SR-55, I-405/SR-73, SR-55/I-5, and SR-55/SR-91 direct connectors
- Provides intra-county connectivity
- Extends existing facilities on some freeways
- Includes express lanes on SR-73 (may be costly due to additional construction needs)
- Conflicts with OCTA's M2 HOV projects (may require differential toll policy)



October 18, 2019 DRAFT

Alternative 4: Intercounty Connections

This alternative has the following features and the freeway segments are illustrated in **Figure 4**.

- This alternative focuses on creating a network that would serve intercounty movement, and is in line with Metro's plans for I-5, SR-91, and SR-57 (planned to be converted within 15 years)
- Makes use of I-5/SR-57, I-5/SR-91, SR-57/SR-91 direct connectors
- Conflicts with OCTA's M2 HOV projects (may require differential toll policy)
- Lacks connectivity with I-405 and does not have any express lanes on the freeway segments in the southern region in the near term.

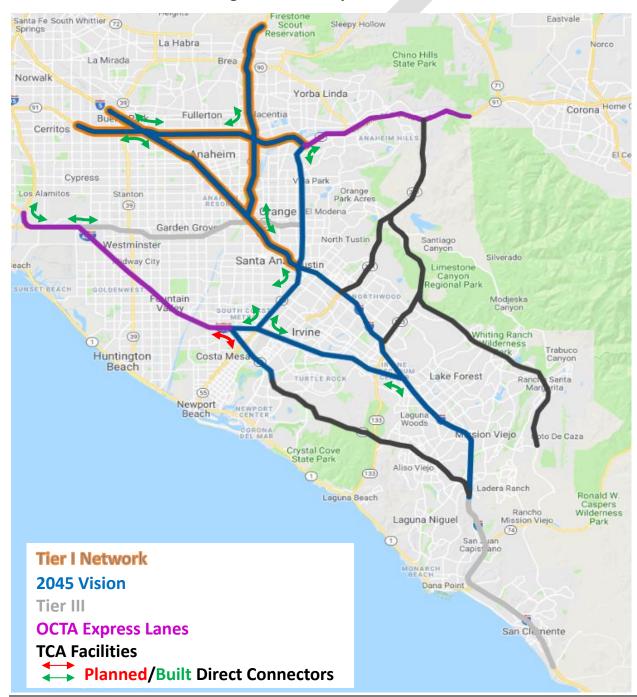
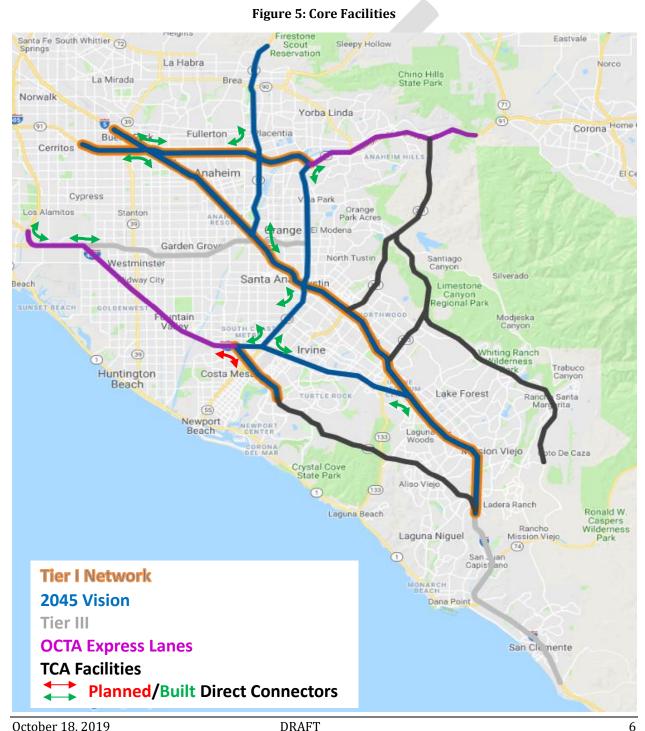


Figure 4: Intercounty Connections

Alternative 5: Core Facilities

This alternative has the following features and the freeway segments are illustrated in **Figure 5**.

- This alternative extends the SR-91 express lanes, connects the I-405 to SR-73, and creates a core express lanes facility via the I-5.
- Provides long express lane segments, serving the commuters who may use the whole corridor
- Underutilizes direct connectors
- Includes express lanes on SR-73 (may be costly due to additional construction needs)
- Integrates multiple TCA facilities via the I-5.



Alternative 6: 2045 Vision

This alternative includes all freeway segments (highlighted in blue) to be built by year 2045 and are illustrated in **Figure 6**.

Santa Fe South Whittier (72) Scout Eastvale Sleepy Hollow Springs Reservation La Habra Norco Chino Hills State Park La Mirada Brea Norwalk Yorba Linda (39) Corona Home (91) Fullerton Buei Cerritos naheim El Ce Cypress Orange Park Acres Los Alamitos Stanton (39) range Garden Grov North Tustin Santiago Canyon Vestminster Silverado Santa Ana way City each Limestone Canyon Regional Park SUNSET BEACH GOLDENW ntain Modjeska Canyon Irvine hiting Ranch (39) Trabuco Canyon Huntington Costa Mes Beach TURTLE ROCK Lake Forest Santa (55) Newport Beach Lagun Crystal Cove State Park Ladera Ranch Laguna Beach Ronald W. Caspers Rancho Wilderness Laguna Niguel Mission Viejo Park San Jan Capist and Dana Point 2045 Vision Tier III **OCTA Express Lanes** San Ci nente **TCA Facilities Built/Planned Direct Connectors**

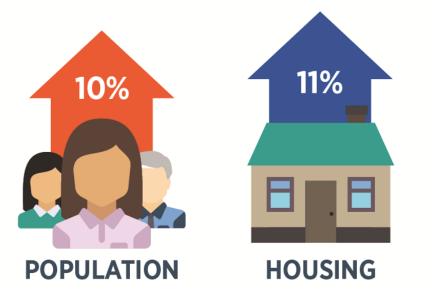
Figure 6: 2045 Vision

Options for Future Express Lane Corridors in Orange County



Intercounty Travel Demand

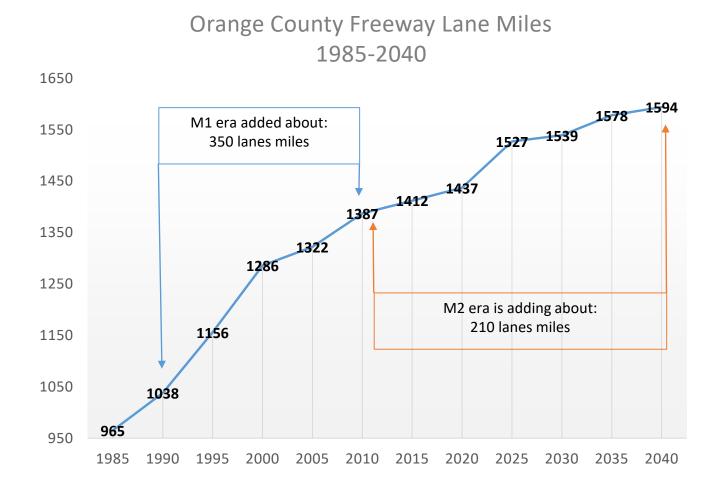
- In-bound workers
 - About 650,000 workers commute to OC
- Out-bound residents
 - Over 490,000 OC residents commute to jobs in other counties
- By 2040, in-bound commuters will increase by 25 percent





OC – Orange County

Freeway Development



Managed Lanes History

1980s – First carpool lanes



1990s – Buffered carpool lanes and 91 Express Lanes



2000s - Direct connectors



2010s – Dual HOV/priced managed lanes



Note: Does not include Toll Roads network

HOV – High-Occupancy Vehicle

M1 – Measure M1 M2 – Measure M2

Federal Performance Standards

 Federal regulations require HOV lanes to operate at 45+ mph during weekday peak periods at least 90 percent of the time over a consecutive 180 day period

 Today, approximately 77 percent of Orange County's HOV lanes <u>do not</u> meet this standard



Caltrans District 12 Plans

- Draft presented to OCTA Board in December 2016
- District 12 developed a Managed Lanes Feasibility Study (2017) to identify a strategy for compliance with federal standards
- Caltrans is currently developing project-level studies on I-5
- Plans and projects require OCTA approval
 - CA PUC §130252, §130300 and §130303(d)

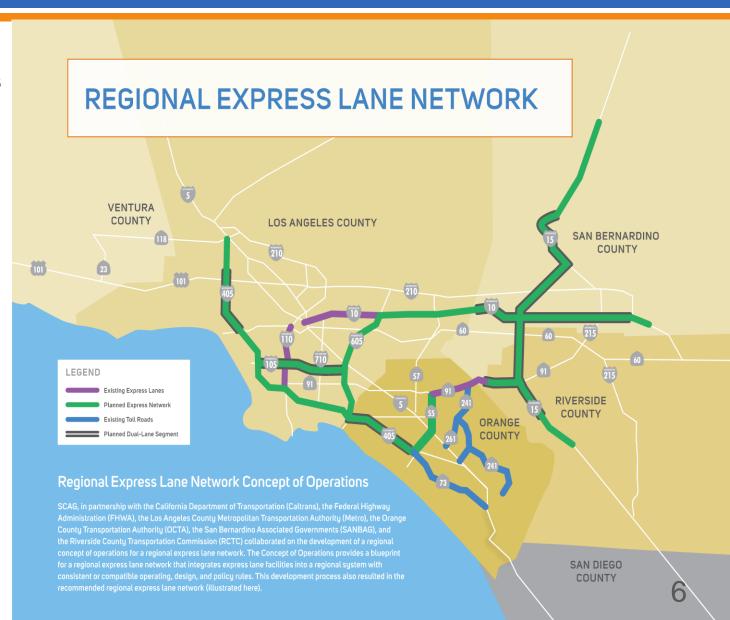
OCTA – Orange County Transportation Authority
Board – Board of Directors
Caltrans – California Department of Transportation
HOT – High-Occupancy Toll
I-5 – Interstate 5
CA PUC – California Public Utilities Code



Regional Perspective

- 2003 OCTA purchased SR-91 Express Lanes
- 2012-2013 LA Metro I-110 and I-10 Express Lanes projects opened
- 2017 RCTC Express lanes opened
- 2017 OCTA began Design-Build on I-405 Improvement Project
- 2017 LA Metro Countywide Express Lanes Strategic Plan
- 2018 RCTC I-15 Express Lanes Project begins construction
- 2018 SCAG Region Value Pricing Project –
 Regional Concept of Operations Technical Report
- 2019 RCTC Next Generation Toll Feasibility Study

SR-91 – State Route 91
LA Metro – Los Angeles County Metropolitan Transportation Authority
I-110 – Interstate 110
I-10 – Interstate 10
I-405 – Interstate 405
RCTC – Riverside County Transportation Commission
I-15 – Interstate 15
SCAG – Southern California Association of Governments



Long-Range Transportation Plan

Trend 2040 Managed Lane Scenarios						
Metrics	HOV 2+	HOV 3+	Tolled Express			
Meets federal performance standard	X					
Managed lane capacity used during morning drive time	70%	30%	60%			
Findings Summary	Does not meet federal standard due to overuse	Meets federal standard, but underused	Meets federal standard and doubles use compared to HOV 3+			

Express Lanes Network Study Goals

Goal	Objective
	a. Identify high-demand commute shedsb. Identify available capacity
Identify opportunity corridors	c. Leverage existing and planned express lanes
	d. Consider useful life of local tax measure projects
	a. Reduce corridor daily delay from congestion
Improve corridor operations and	b. Improve mainline peak period speeds
reliability	c. Maintain free-flow speeds in express lanes
	d. Identify benefits to adjacent facilities
	a. Demonstrate that revenues cover annual debt payments, financing
Ensure financial feasibility and	requirements, and operations and maintenance costs
corridor maintenance	b. Identify potential for excess revenues (subsequent studies to
	determine strategies for reinvestment in the transportation system)
	a. Support community and economic development goals
Support local and regional goals	b. Address social equity/environmental justice
	c. Improve air quality and reduce greenhouse gas emissions

Concept A: Caltrans District 12's 15-Year Plan

 Represents the Caltrans District 12 15-Year Plan for tolled express lanes implementation

- Tier I Priorities
 - I-5 from SR-55 to LA County line
 - SR-91 from SR-55 to I-5
 - SR-55 from I-405 to SR-91
 - SR-73 from I-405 to tolled portion of SR-73

SR-55 – State Route 55 SR-73 – State Route 73 TCA – Transportation Corridor Agencies



Concept B: Express Lanes Extensions

Extends existing/planned express lanes

- Tier I Priorities
 - SR-91 from SR-55 to LA County line
 - SR-55 from I-405 to SR-91
 - I-405 from SR-73 to I-5



Concept C: Direct Connectors

 Leverages existing direct connector ramps, providing users with a seamless tolled express lanes experience

- Tier I Priorities
 - I-5 from SR-55 to LA County line
 - SR-55 from I-405 to SR-91
 - I-405 from SR-73 to I-5
 - SR-73 from I-405 to tolled portion of SR-73



Concept D: Intercounty Connections

- Prioritizes a network that serves intercounty commuters
- Tier I Priorities
 - SR-57 from I-5 to LA County line
 - SR-91 from SR-55 to LA County line
 - I-5 from SR-55 to LA County line



Concept E: Core Facilities

- Provides continual tolled express lanes on I-5 and SR-91, and extends I-405 express lanes on SR-73
- Additional time savings for longer trips

- Tier I Priorities
 - SR-91 from SR-55 to LA County line
 - I-5 from SR-73 to LA County line
 - SR-73 from I-405 to tolled portion of SR-73



Next Steps

- Stakeholder engagement
 - One-on-one meetings with thought leaders
 - Roundtable workshops with elected officials, city staff, and key stakeholders

 Staff will return to Board in 2020 with an update of the results and recommendations for next steps

California Department of Transportation

Proposed High-Occupancy Toll Lanes in North Orange County

Caltrans Managed Lanes Updates

OCTA Regional Planning and Highways Committee

December 2, 2019



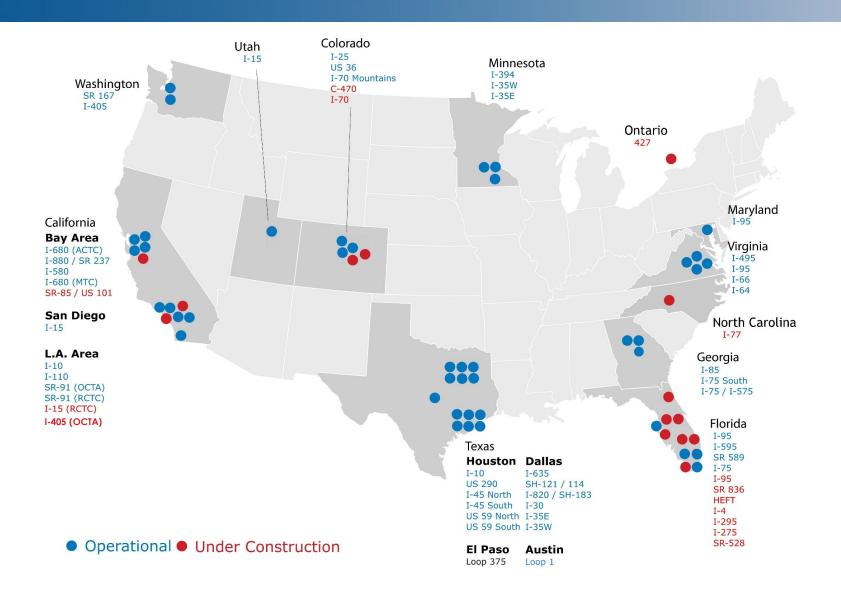
OC HOV Lane Degradation (2013)



OC HOV Lane Degradation (2017)



Express Lanes (2018)



Express Lane Benefits

- ✓ Comply with Federal regulations
- ✓ Support economic vitality
- ✓ Increase people throughput & maximize system productivity
- ✓ Provide reliable travel time & travel choice
- ✓ Enhance transit/carpooling & improve sustainability

Compliance and Study











HOV System Assessment Study

DD-43-R1

Orange County MLFS

Orange County MLNS

I-5 ML PSR Kickoff

I-5 ML PSR Final Approval

2011

2014

2015

2016

2017

2018

2019

CALFORNA DEPARTMENT OF TRANSPORTATION

CONTROL OF TRANSPORTATION

2017 CALFORNA MOST COUNTRY VISICE FACILITIES

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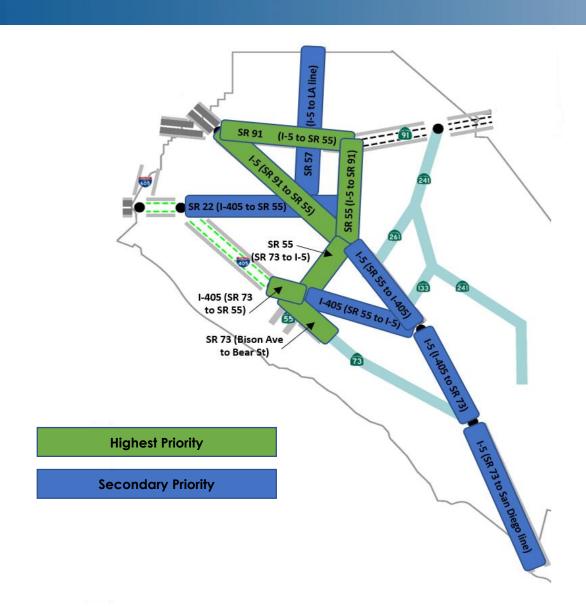
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2017 HOV Degradation Report



Express Lane Implementation Priority



I-5 Degradation Status North of SR 55 (2017)

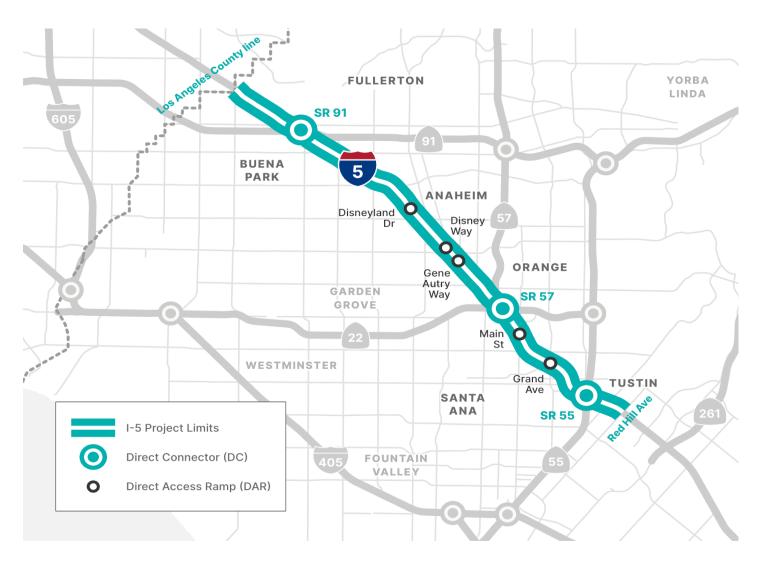


Segment Segment		Latest 5-Year Degradation Status Based on Peak Periods					
Dire	Dire	2013	2014	2015	2016	2017	
	SR 55 to SR 91	4	4	4	4	4	
NID		1	4	4	4	4	
INB		1	1	2	2	3	
	SR 91 to LA County	1	1	1	1	1	
	LA County to SR 91	1	1	1	1	2	
CD	CD	4	3	4	3	3	
SB SR 91 to SR 55	SR 91 to SR 55	3	4	3	2	4	
		1	2	2	4	4	

T = Not Degraded 2 = Slightly Degraded 3 = Very Degraded 4 = Exite	ot Degraded 2 = Slightly Degraded 3 = Very Degraded 4 = Extremely E	Degraded
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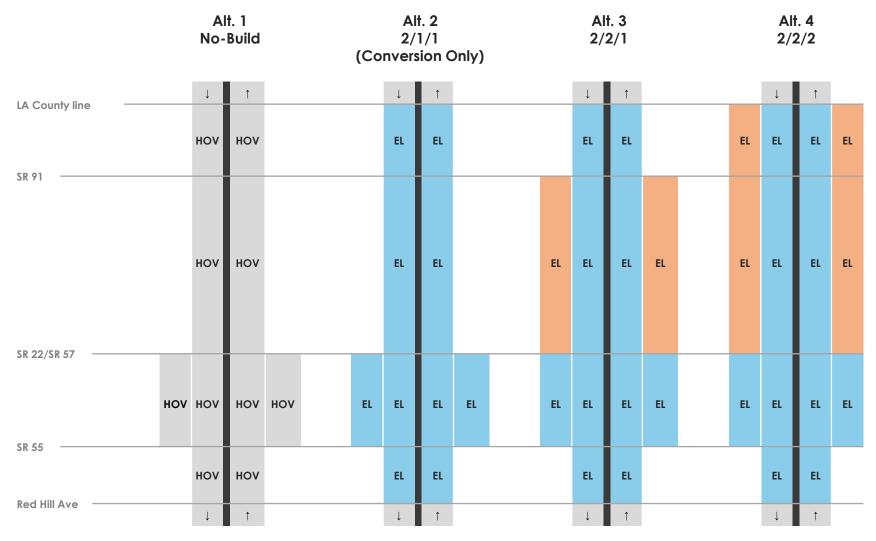
I-5 Express Lanes Project Limits





I-5 HOV/Express Lane Alternatives





Partners and Outreach

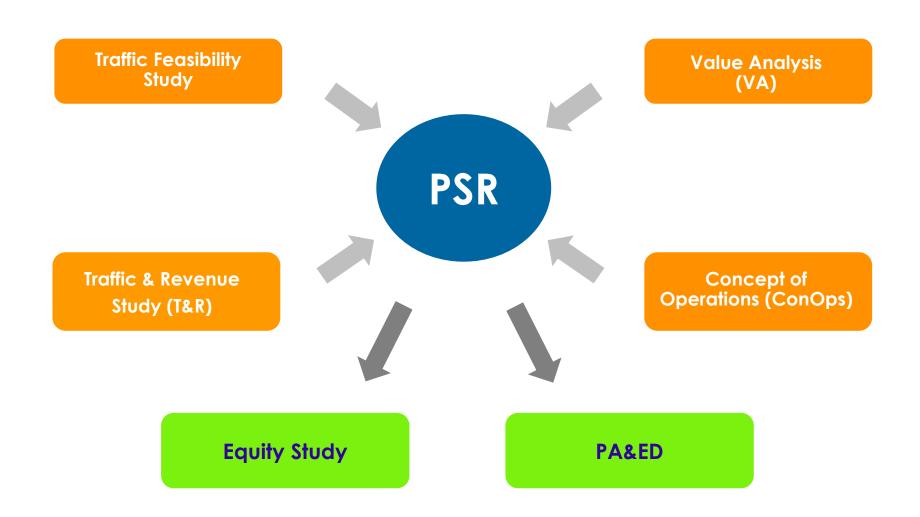
- Federal Highway Administration (FHWA)
- Southern California
 Association of Governments

 (SCAG)
- Orange County Transportation Authority (OCTA)
- Transportation Corridor Agencies (TCA)
- Los Angeles County Transportation Authority (LA Metro)

- California Highway Patrol
 (CHP)
- Caltrans Headquarters & D7
- Business Community
- County of Orange
- Local Cities (Anaheim, Santa Ana, Orange, Buena Park, Fullerton, Tustin)
- General Public Open Houses

I-5 Project Studies







Update on State Route 55 Improvement Project from Interstate 405 to Interstate 5





Project Limits and Background



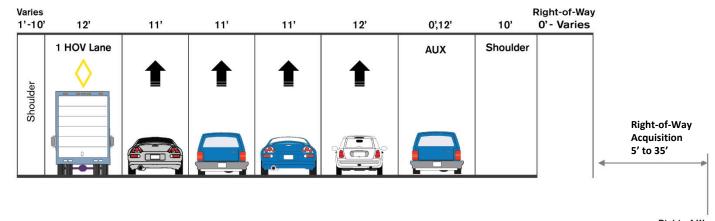


- Borders cities of Irvine, Santa Ana, and Tustin (Cities)
- Partnership with California Department of Transportation and Cities
- Project F in Measure M2
- Average daily traffic is expected to grow five percent from 261,700 to 274,800 by 2040

Project Improvements

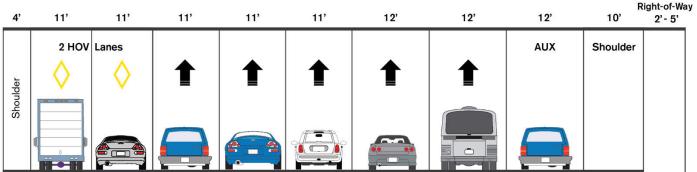


Existing



Project Improvements

- Add one high-occupancy vehicle lane in each direction
- Add one general purpose lane in each direction
- Add auxiliary lanes at certain locations



Project Update



Design

- Project design is 95 percent complete
- Design anticipated to be fully complete by early 2020

Right-of-Way (ROW)

- 32 parcels impacted (24 commercial, 3 residential, 5 public agencies)
- Appraisals were initiated in early 2019
- Property acquisition to commence in December 2019

Utility

- 12 utility companies impacted
- Utility relocation coordination was initiated in early 2018

Project Schedule



	2017	2018	2019	2020	2021	2022	2023	2024
Complete Environmental Phase	~	Septembe	er 2017					
Initiate 35 percent Design, ROW Need and Utility Conflicts	~	Septembe	er 2017					
Complete 35 percent Design		✓ Apr	il 2018					
Initiate ROW Appraisal Maps		✓ Jur	ne 2018					
Complete 65 percent Plans, Specifications, and Estimates (PS&E)			✓ January	2019				
Initiate ROW Appraisals			✓ Februa	ry 2019				
Complete 95 percent PS&E			✓ Ju	ly 2019				
Initiate First Offers to Property Owners			*	Decembe	r 2019			
Submit 100 percent PS&E				★ Januar	y 2020			
ROW Certification				*	October 20	20		
Ready To List				*	October 20	20		
Construction			Mid-202	21 to end-2	2024			

Next Steps



Activity/Milestone	Date			
ROW				
ROW Appraisals	February 2019 to May 2020			
Utility Agreements	April 2019 to April 2020			
First Offers to Property Owners	December 2019 to June 2020			
Obtain ROW Certification	October 2020			
Design and Construction				
Complete Design	Early 2020			
Obtain Ready to List	Late 2020			
Advertise for Construction	Early 2021			
Start Construction	Mid-2021			

Public Outreach



- Stakeholder ascertainment/briefings
- City Council presentations
- Civic organization briefings
- Business/school outreach
- Community events
- Collateral development
- Construction alerts
- Social media
- Closures/detours map



