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## **BOARD AGENDA**

Orange County Transportation Authority Board Meeting  
Orange County Transportation Authority Headquarters  
Board Room - Conference Room 07-08  
550 South Main Street  
Orange, California  
**Monday, March 9, 2020 at 9:00 a.m.**

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

### **Agenda Descriptions**

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

### **Public Comments on Agenda Items**

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

### **Public Availability of Agenda Materials**

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

### **Call to Order**

### **Invocation**

Director Chaffee

### **Pledge of Allegiance**

Director Chamberlain





## **BOARD AGENDA**

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### **Special Calendar**

#### **1. Presentation of Resolution of Appreciation**

Present Orange County Transportation Authority Resolution of Appreciation No. 2020-017 to Kenneth Phipps, Deputy Chief Executive Officer.

### **Consent Calendar (Items 2 through 16)**

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

### **Orange County Transportation Authority Consent Calendar Matters**

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

Approval of the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of February 24, 2020.

#### **3. Audit Responsibilities of the Finance and Administration Committee** Janet Sutter

##### **Overview**

The Finance and Administration Committee of the Board of Directors of the Orange County Transportation Authority serves as an audit committee in its oversight of audit activities. Annually, the Board of Directors approves the Audit Responsibilities of the Finance and Administration Committee to reaffirm the responsibilities of the Finance and Administration Committee with regard to audits.

##### **Recommendation**

Approve the Audit Responsibilities of the Finance and Administration Committee.





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**BOARD AGENDA****4. Approval of Board Members Travel**

Approve for Chairman Steve Jones, Vice Chairman Andrew Do, and Finance and Administration Committee Chairman Michael Hennessey to travel the week of June 15, 2020, to attend the annual New York rating agency trip in New York, New York.

**5. 91 Express Lanes Update for the Period Ending - December 31, 2019**  
Kirk Avila/Kenneth Phipps**Overview**

The Orange County Transportation Authority has owned and managed the operations of the 91 Express Lanes since January 2003. Since that time, traffic volumes and toll revenues have fluctuated with the changes in the economy and the additional capacity added to the State Route 91 corridor. Over the last quarter, there have been approximately 4.4 million trips taken on the 91 Express Lanes in Orange County. This report focuses on the operational and financial activities for the period ending December 31, 2019.

**Recommendation**

Receive and file as an information item.

**6. Fiscal Year 2019-20 Second Quarter Grant Reimbursement Status Report**  
Sam Kaur/Andrew Oftelie**Overview**

The Quarterly Grant Reimbursement Status Report summarizes grant activities for the Orange County Transportation Authority Board of Directors. This report focuses on activity for the period of October through December 2020.

**Recommendation**

Receive and file as an information item.





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## **BOARD AGENDA**

### **7. Grant Award Acceptance for Development of the Disaster Mitigation Plan**

Jennifer Haith Farinas/Kia Mortazavi

#### **Overview**

The California Governor's Office of Emergency Services awarded the Orange County Transportation Authority \$93,750 in competitive Hazard Mitigation Grant Program funding. The grant award will support the development of the Orange County Transportation Authority's first Local Hazard Mitigation Plan within the OC Bus service area and the Los Angeles - San Diego - San Luis Obispo Rail Corridor within Orange County.

#### **Recommendation**

Authorize the Chief Executive Officer, or designee, to accept California Governor's Office of Emergency Services Hazard Mitigation Grant Program award.

### **Orange County Transit District Consent Calendar Matters**

### **8. Interagency Fare Revenue Agreements, Internal Audit Report No. 20-505**

Gabriel Tang/Janet Sutter

#### **Overview**

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of interagency fare revenue agreements with the Southern California Regional Rail Authority and the Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency. Based on the audit, controls in place to ensure collection of revenues in accordance with these agreements are adequate and functioning.

#### **Recommendation**

Receive and file Interagency Fare Revenue Agreements, Internal Audit Report No. 20-505, as an information item.





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**BOARD AGENDA**

## **Orange County Local Transportation Authority Consent Calendar Matters**

### **9. Amendment to Cooperative Agreement with the City of Fountain Valley for the Interstate 405 Improvement Project**

Jeff Mills/James G. Beil

#### **Overview**

On March 14, 2016, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement No. C-5-3613 with the City of Fountain Valley for city services required during the design-build implementation of the Interstate 405 Improvement Project. An amendment to the cooperative agreement is needed to design and construct an eight-inch waterline along the freeway between Mount Baldy Circle and Euclid Street in the City of Fountain Valley.

#### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Cooperative Agreement No. C-5-3613 between the Orange County Transportation Authority and the City of Fountain Valley, in the amount of \$282,000, for the design and construction of an eight-inch waterline along the freeway between Mount Baldy Circle and Euclid Street, as part of the Interstate 405 Improvement Project. This will increase the maximum obligation of the cooperative agreement to a total value of \$4,649,708.

### **10. Amendment to Cooperative Agreement with the City of Westminster for the Interstate 405 Improvement Project**

Jeff Mills/James G. Beil

#### **Overview**

On March 14, 2016, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement No. C-5-3615 with the City of Westminster for city services required during the design-build implementation of the Interstate 405 Improvement Project. The cooperative agreement needs to be amended for additional city support services during the design and construction of the project.





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

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-5-3615 between the Orange County Transportation Authority and the City of Westminster, in the amount of \$838,791, 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 \$2,662,679.

**11. Supplemental Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 - Collection and Disposal of Unknown Hazardous Materials**

Jeff Mills/James G. Beil

**Overview**

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. A supplemental contract change order is needed to collect and dispose of unknown hazardous materials during construction through final project completion.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 8.3 to Agreement No. C-5-3843 between Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$1,900,000, to collect and dispose of unknown hazardous materials for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.





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**BOARD AGENDA**

**12. Cooperative Agreement with the Orange County Flood Control District for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5**

Ross Lew/James G. Beil

**Overview**

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the Orange County Flood Control District to define roles, responsibilities, process, and funding obligations for the Lane Channel reconstruction within the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1469 between the Orange County Transportation Authority and the Orange County Flood Control District for in-kind equivalent exchange relating to the Lane Channel reconstruction and property rights, and the amount of \$175,000 for project support services, including design plans, specifications and report reviews, permit issuance, right-of-way coordination, and construction inspection for the Lane Channel reconstruction within the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

**13. Approval to Release Request for Proposals for the Preparation of Plans, Specifications, and Estimates for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue**

Jeannie Lee/James G. Beil

**Overview**

Staff has developed a request for proposals to initiate a competitive procurement process to retain consultant services to prepare plans, specifications, and estimates for the State Route 91 improvement project between Acacia Street and La Palma Avenue.





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**BOARD AGENDA****13. (Continued)****Recommendations**

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2073 for consultant services for the preparation of plans, specifications, and estimates for the State Route 91 improvement project between Acacia Street and La Palma Avenue.
- B. Approve the release of Request for Proposals 0-2073 for consultant services for the preparation of plans, specifications, and estimates for the State Route 91 improvement project between Acacia Street and La Palma Avenue.

**14. Environmental Mitigation Program Endowment Fund Investment Report for December 31, 2019**

Robert Davis/Andrew Oftelie

**Overview**

The Orange County Transportation Authority has developed a Natural Community Conservation Plan/Habitat Conservation Plan, acquired conservation properties, and funded habitat restoration projects to mitigate the impacts of Measure M2 freeway projects. California Community Foundation manages the non-wasting endowment required to pay for the long-term management of the conservation properties. Each quarter, the California Community Foundation publishes a comprehensive report detailing the composition of the pool and its performance. Attached are the quarterly investment reports for the Endowment Pool for the period ending December 31, 2019. The reports have been reviewed and are consistent with the pool objectives.

**Recommendation**

Receive and file as an information item.





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**BOARD AGENDA**

**15. Measure M2 Quarterly Progress Report for the Period of October 2019 Through December 2019**

Tamara Warren/Kia Mortazavi

**Overview**

Staff has prepared a Measure M2 quarterly progress report for the period of October 2019 through December 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.

**16. Measure M2 Environmental Cleanup Program - Project X Tier 1 Grant Program Call for Projects**

Alfonso Hernandez/Kia Mortazavi

**Overview**

The Measure M2 Environmental Cleanup Program provides grants to projects that protect Orange County waterways and beaches from roadway runoff. Staff has updated the program implementation guidelines and is seeking authorization to release the next Environmental Cleanup Program Tier 1 call for projects.

**Recommendations**

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs Guidelines for the Environmental Cleanup Program Tier 1 Program.
- B. Authorize staff to issue the fiscal year 2020 Environmental Cleanup Program Tier 1 call for projects.





## **BOARD AGENDA**

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### **Regular Calendar**

There are no Regular Calendar Matters.

### **Discussion Items**

**17. Fiscal Year 2020-21 Budget Kick-off and Assumptions**

Victor Velasquez/Andrew Oftelie

Staff is in the process of developing the fiscal year 2020-21 annual budget. Staff will be presenting revenue and expenditure assumptions for the committee's consideration.

**18. Update on Interstate 5/El Toro Road Interchange Project**

Niall Barrett/James G. Beil

Staff will provide a project update.

**19. Public Comments**

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

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

**21. Directors' Reports**

**22. Closed Session**

A Closed Session will be held as follows:

Pursuant to Government Code Section 54956.9(a) - Conference with General Counsel - Existing Litigation; In Re Toll Roads Litigation, United States District Court - Central Division Case No. 8:16 CV 00262 AG.





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**BOARD AGENDA****23. Adjournment**

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, March 23, 2020**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07-08, Orange, California.



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

## **Call to Order**

The February 24, 2020 regular meeting of the Orange County Transportation Authority (OCTA) and affiliated agencies was called to order by Chairman Jones at 9:02 a.m. at the OCTA Headquarters, 550 South Main Street, Board Room – Conference Room 07-08, Orange, California.

## **Roll Call**

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

Directors Present:     Steve Jones, Chairman  
                               Andrew Do, Vice Chairman  
                               Lisa A. Bartlett  
                               Doug Chaffee  
                               Laurie Davies  
                               Barbara Delgleize  
                               Michael Hennessey  
                               Gene Hernandez  
                               Joseph Muller  
                               Mark A. Murphy  
                               Richard Murphy  
                               Miguel Pulido  
                               Tim Shaw  
                               Harry S. Sidhu  
                               Michelle Steel  
                               Donald P. Wagner  
                               Ryan Chamberlain, District Director  
                                     California Department of Transportation District 12

Director Absent:     Gregory T. Winterbottom

Also Present:     Darrell E. Johnson, Chief Executive Officer  
                           Kenneth Phipps, Deputy Chief Executive Officer  
                           Laurena Weinert, Clerk of the Board  
                           Sahara Meisenheimer, Deputy Clerk of the Board  
                           Cassie Trapesonian, Assistant General Counsel  
                           Members of the Press and the General Public



## **Special Calendar**

### **Orange County Transportation Authority Special Calendar Matters**

**1. Presentation of Resolutions of Appreciation for Employees of the Month for February 2020**

Darrell E. Johnson, Chief Executive Officer (CEO), presented the OCTA Resolutions of Appreciation Nos. 2020-014, 2020-015, and 2020-016 to Jose Garcia, Coach Operator; Curt Molenda, Maintenance; and Sue White, Administration, as Employees of the Month for February 2020.

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

**2. Approval of Minutes**

A motion was made by Director Sidhu, seconded by Director Davies, and declared passed by those present, to approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of February 10, 2020.

Director Pulido was not present to vote on this item.

**3. Approval of Local Transportation Fund Fiscal Year 2020-21 Apportionment Estimates**

A motion was made by Director Sidhu, seconded by Director Davies, and declared passed by those present, to approve the Local Transportation Fund Fiscal Year 2020-21 apportionment estimates and authorize the Chief Executive Officer to advise all prospective claimants of the amounts of all area apportionments from the Orange County Local Transportation Fund for the following fiscal year.

Director Pulido was not present to vote on this item.

**4. State Legislative Status Report**

Director Bartlett pulled this item and reported that at the recent Legislative and Communications Committee meeting, a discussion ensued about the legislation's proposed bills for free transit fares for youth and seniors of a specific age, as well as provided concerns about the farebox recovery, funding gap, and other comments about the proposed bills.

A discussion ensued about the bills' farebox recovery ratio requirements, the need to be able to use revenue neutral funding sources to receive credit, potential fare fraud and impacts to OCTA and other transit agencies, as well as, Attachment C of the staff report was referenced.



**4. (Continued)**

A motion was made by Director Bartlett, seconded by Director M. Murphy, and declared passed by those present, to approve a set of principles that should be considered for any legislation which seeks to require or facilitate programs to provide free transit fares for youth or seniors.

Director Wagner was not present to vote on this item.

**5. Federal Legislative Status Report**

Director Bartlett pulled this item and reported that this item was discussed at the recent Legislative and Communications Committee meeting. She commented on the federal highway trust funds depletion each year, the proposed federal Vehicles Miles Traveled pilot program, and how OCTA is reviewing ways to ensure federal and state funds for Orange County's transportation infrastructure.

A motion was made by Director Bartlett, seconded by Director M. Murphy, and declared passed by those present, to adopt the proposed Principles for Surface Transportation Reauthorization Legislation and direct staff to take necessary and appropriate actions in furtherance of these goals in Washington, D.C.

Director Wagner was not present to vote on this item.

**Orange County Transit District Consent Calendar Matters**

**6. Agreement for Maintenance Shop Floor Restoration at the Garden Grove Bus Base**

A motion was made by Director Sidhu, seconded by Director Davies, and declared passed by those present, to:

- A. Find Pacific Coast Contracting Services, Inc., the apparent low bidder, as non-responsive for failure to meet the federal requirement for Disadvantaged Business Enterprise participation.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1589 between the Orange County Transportation Authority and Golden Gate Steel, Inc., doing business as Golden Gate Construction, the lowest responsive, responsible bidder, in the amount of \$420,000, for the maintenance shop floor restoration at the Garden Grove Bus Base.

Director Pulido was not present to vote on this item.



**7. Approval to Release Invitation for Bids for Electric Vehicle Charging Stations at the Garden Grove and Santa Ana Bus Bases**

A motion was made by Director Sidhu, seconded by Director Davies, and declared passed by those present, to approve the release of Invitation for Bids 0-2071 for the electric vehicle charging stations at the Garden Grove and Santa Ana bus bases.

Director Pulido was not present to vote on this item.

**8. Approval to Release Invitation for Bids for Power Generator Replacement at the Anaheim and Irvine Construction Circle Bus Bases**

A motion was made by Director Sidhu, seconded by Director Davies, and declared passed by those present, to approve the release of Invitation for Bids 0-2074 for the replacement of power generators at the Anaheim and Irvine Construction Circle bus bases.

Director Pulido was not present to vote on this item.

**9. Agreement for the Purchase of Transit Police Services Vehicles**

A motion was made by Director Sidhu, seconded by Director Davies, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Blanket Purchase Order No. C-9-1732 between the Orange County Transportation Authority and FFBH Motors, LLC, doing business as Frontier Ford, in the amount of \$274,280, for the purchase of six Police Responder Full-Size Crew Cab Pick-Up Trucks and one Full-Size Police Interceptor Utility Hybrid Sports Utility Vehicle.

Director Pulido was not present to vote on this item.

**Orange County Local Transportation Authority Consent Calendar Matters**

**10. Agreement for Public Communications and Community Outreach Consultant Services for the Interstate 405 Improvement Project between State Route 73 and Interstate 605**

Director Bartlett pulled this item and referenced Attachment A of the staff report. She commented on Kleinfelder Construction Services, Inc. (Kleinfelder) total estimated project hours, complimented staff for a good procurement process, and expressed her reasons for supporting Kleinfelder and its' sub-contractors for this item.



**10. (Continued)**

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

- A. Approve the selection of Kleinfelder Construction Services, Inc., as the firm to provide public outreach consulting services for the Interstate 405 Improvement Project between State Route 73 and Interstate 605.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1571 between the Orange County Transportation Authority and Kleinfelder Construction Services, Inc., in the amount of \$3,326,544, for a four-year term, effective May 1, 2020, through April 30, 2024, with an option term of up to 24 months, to provide public outreach consulting services for the Interstate 405 Improvement Project between State Route 73 and Interstate 605.

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

**Regular Calendar**

**Orange County Transit District Regular Calendar Matters**

**11. Zero-Emission Bus Rollout Plan Update**

Darrell E. Johnson, CEO, provided opening comments and introduced Gary Hewitt, Transit Planning Manager, who provided a PowerPoint presentation for this item as follows:

- Innovative Clean Transit Regulation;
- OCTA Zero-Emission Bus (ZEB) Pilots;
- Existing OCTA Fleet;
- What is a ZEB Rollout Plan?;
- Elements of ZEB Deployment;
- Consultant Assistance;
- Vehicle Fueling Technology Comparison; and
- Next Steps.

A discussion ensued regarding the following:

- There were lessons learned, when OCTA purchased Liquified Natural Gas buses 20 years ago.
- OCTA will test both types of ZEB buses in a real-time environment with a measured approach.



**11. (Continued)**

- When comparing both types of ZEB buses, there are long-term benefits.
- Currently, there is no technology to fuel a ZEB bus mid-route.
- OCTA is reviewing charging stations at the end of the bus route.
- The ZEB buses will be “topped off” prior to starting the bus route.
- The Federal Transit Administration regulations require the useful life of ZEB buses to be at least 12 years or longer.

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

**Orange County Local Transportation Authority Regular Calendar Matters**

**12. Amendment to Agreement for Project Management Consultant Services for the OC Streetcar Project**

Jim Beil, Executive Director of Capital Programs, reported on the background of the original agreement, HDR Engineering, Inc. (HDR) consultant services support/tasks, and staff's recommendations for this item.

A discussion ensued regarding the following:

- Due to delays, staff recommends exercising the first two-year option term for approximately \$8 million.
- For the two-year option term, \$3.4 million will come from the OC Streetcar project contingency funds.
- The initial five-year term was for approximately \$20.9 million.
- There was an estimate for HDR's full services; however, the option terms were not part of the initial five-year term.
- Director Sidhu stated his concerns about using 38 percent contingency for the option year, the scope of work, as well as, provided other concerns about this item.
- Staff highlighted OCTA's procurement process for an architectural and engineering services agreement, which is this item's agreement.
- Chairman Jones commented that at the recent Transit Committee meeting, this item was discussed at length by the Committee Members. He asked that in order to progress the Board of Directors (Board) meeting discussions, to include the minutes/comments of the committee meeting for the Board.



**12. (Continued)**

A motion was made by Director Hennessey, seconded by Director M. Murphy, and declared passed by those present, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 12 to Agreement No. C-4-1854 between the Orange County Transportation Authority and HDR Engineering, Inc., to exercise the first two-year option term for project management consultant services for the OC Streetcar project, in the amount of \$8,064,286, and extend the term of the agreement through March 31, 2022. This will increase the maximum obligation of the agreement to a total contract value of \$29,026,291.

Director Steel opposed this item.

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

**13. OC Streetcar Business Association Support Agreements**

This item was heard as the first Regular Calendar item.

Darrell E. Johnson, CEO, provided opening comments and introduced Christina Byrne, Department Manager of Public Outreach, who presented this item. Ms. Byrne referenced Attachment A of the staff report that outlines the Los Angeles Metropolitan Transportation Authority's Business Interruption Fund program.

Ms. Byrne reported on the strategies and suggestions to support the downtown City of Santa Ana (Santa Ana) businesses, as noted in the staff report, impacted by construction of the OC Streetcar.

A discussion ensued regarding the following:

- Director Wagner provided concerns for this item and suggested direct rent subsidies and payments to the business for a loss incurred during construction instead of staff's recommendations.
- OCTA reviewed at a high-level, a specific criterion, direct payment to businesses with losses incurred during construction, and if needed, could be a potential future step.
- OCTA does not have a matrix on how the business associations are conducting outreach efforts for all the impacted merchants.
- Concerns about not seeing accountability to show where the money is going.
- There has been a long-standing relationship between Santa Ana, the business associations, and members of the business associations.
- There are no one-year plus construction street closures in front of a business.



**13. (Continued)**

- Transit Committee Chairman Do stated that this item was discussed at length by the Transit Committee and commented on the reasons for the recommended actions.
- OCTA had significant outreach conducted during construction, and there are concerns about the additional supplemented outreach.
- Recommendations B and C were discussed, the funds should not go to administrative costs, and what is Santa Ana contributing to the impacts.
- The proposed agreements are a way to get people to the businesses during construction.
- Director Muller requested an amendment to the recommendations motion to include requirements in the agreements with the associations to provide an accounting of expenditures against the funding provided.

Public comments were heard from the following:

1. Raul Yanez, President of the Santa Ana Business Council
2. Ryan Chase, President of Downtown, Inc.

A motion was made by Director Wagner, seconded by Director Pulido, as amended to include Recommendation letter E, was passed by those present, to:

- A. Authorize the Chief Executive Officer to enter into agreement C-0-2051 with Downtown Inc., in the amount of \$100,000 per year, for a term of two years, for a total of \$200,000, beginning April 1, 2020, and ending on March 31, 2022, to provide funding to support events and expand marketing efforts in downtown Santa Ana.
- B. Authorize the Chief Executive Officer to enter into agreement C-0-2052 with the Santa Ana Business Council, in the amount of \$100,000 per year, for a term of two years, for a total of \$200,000, beginning April 1, 2020, and ending on March 31, 2022, to provide funding to support events and expand marketing efforts in downtown Santa Ana.
- C. Authorize the use of \$400,000 in Measure M2 Project S funds to support the above recommendations.
- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program, and execute or amend all necessary agreements to facilitate the above actions.
- E. Direct staff to include requirements in the agreements with the associations to provide an accounting of expenditures against the funding provided.



**14. Public Comments**

There were no Public Comments received.

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

Darrell E. Johnson, CEO, reported on the Transportation Needs Assessment Survey as follows:

- OCTA recently launched the survey to gauge people's opinions on the public transit system.
- The online survey will help OCTA gain better insight into the mobility needs of people living in Orange County and help OCTA shape future transit planning.
- The survey is available in seven languages and will be online through the end of March at OCTAsurvey.com.

**16. Directors' Reports**

Director Shaw highlighted last week's Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Board meeting actions.

Director Davies thanked Alice Rogan, Director of External Affairs, and Stella Lin, Department Manager of Marketing and Customer Engagement, for joining her last week at Soka University to discuss the OC Flex service.

**17. Closed Session**

A Closed Session was not scheduled.

**18. Adjournment**

The meeting adjourned at 10:23 a.m.

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, March 9, 2020**, at the OCTA Headquarters, 550 South Main Street, Board Room – Conference Room 07-08, Orange, California.

ATTEST:

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Laurena Weinert  
Clerk of the Board

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Steve Jones  
Chairman





## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors  
**From:** Laurena Weinert, Clerk of the Board  
**Subject:** Audit Responsibilities of the Finance and Administration Committee

Finance and Administration Committee Meeting of February 26, 2020

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

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**

Approve the Audit Responsibilities of the Finance and Administration Committee.





**February 26, 2020**

**To:** Finance and Administration Committee

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

**Subject:** Audit Responsibilities of the Finance and Administration Committee

### **Overview**

The Finance and Administration Committee of the Board of Directors of the Orange County Transportation Authority serves as an audit committee in its oversight of audit activities. Annually, the Board of Directors approves the Audit Responsibilities of the Finance and Administration Committee to reaffirm the responsibilities of the Finance and Administration Committee with regard to audits.

### **Recommendation**

Approve the Audit Responsibilities of the Finance and Administration Committee as an information item.

### **Background**

The Internal Audit Department (Internal Audit) is an independent appraisal function, the purpose of which is to examine and evaluate the Orange County Transportation Authority's (OCTA) operations and activities. Internal Audit also coordinates and monitors the activities of external auditors, including the independent financial statement auditors. The Finance and Administration Committee (Committee) serves as OCTA's audit committee, having primary responsibility for the oversight of all audit activities.

### **Discussion**

The Committee receives and reviews the annual Internal Audit Plan (Plan), all audit reports and management responses, and quarterly updates to the Plan.



The Committee reviews the independently audited financial statements of OCTA and its related entities, as well as the external auditor's required communications, including the management letter.

The Board of Directors originally adopted the Audit Responsibilities of the Finance and Administration Committee to establish responsibilities of the Committee with regard to audit. The responsibilities include an annual affirmation of the roles and responsibilities of the Committee in fulfilling this role.

***Summary***

Audit responsibilities of the Committee include Committee review of OCTA's audited financial statements, oversight of its Internal Audit function, and communication with its external auditors. These responsibilities are presented for Committee approval.

***Attachment***

- A. Orange County Transportation Authority, Audit Responsibilities of the Finance and Administration Committee

**Prepared by:**

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

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



**Orange County Transportation Authority  
Audit Responsibilities of the Finance and Administration Committee**

The Finance and Administration Committee (Committee) of the Board of Directors (Board) of the Orange County Transportation Authority (OCTA) will assist the Board in fulfilling its audit oversight responsibilities with regard to (1) the integrity of OCTA's financial statements, (2) OCTA's compliance with legal and regulatory requirements, (3) the independent auditor's qualifications and independence, and (4) the performance of OCTA's internal audit function. In providing this assistance to the Board, the Committee will assume audit responsibilities as provided herein and recommend action on all audit matters to the full Board.

All Committee members will participate in fulfilling these responsibilities. At least one of the Committee members will have financial experience sufficient to provide guidance and assistance to other Committee members on matters related to accounting, auditing, budgeting, and finance.

Audit responsibilities of the Committee will include, but not be limited to, the following:

**Financial Statements**

- Review with management and the external auditors:
  - The annual financial audit reports and related footnotes, schedules, unadjusted differences, and management letter, including OCTA accounting principles and significant estimates or judgments impacting the financial statements.
  - Any serious difficulties or disputes with management encountered during the audit.
  - Matters required to be discussed by Statements on Auditing Standards issued by the Auditing Standards Board of the American Institute of Certified Public Accountants or other state or federal agencies.
- Inquire of the Chief Executive Officer and the Executive Director of Finance and Administration regarding the fiscal health of OCTA as well as the financial status of OCTA in relation to its adopted budget.

**External Audit**

- Review the external auditors' proposed audit scope and approach, including coordination of audit effort with the Internal Audit Department (Internal Audit).
- Inquire of the external auditors, internal auditors, and management about significant risks or exposures facing OCTA and assess the steps management has taken or proposes to take to minimize such risks.
- Review the performance of the external auditors, including any issues arising during their most recent quality control or peer review, their independence as it relates to OCTA, and recommend to the Board the appointment or discharge of the external auditors.
- Make recommendations to the Board on procurement of the external auditors and ensure compliance with Government Code Section 12410.6 with regard to assignment of partners.



**Orange County Transportation Authority**  
**Audit Responsibilities of the Finance and Administration Committee**

**Internal Audit**

- Review with management and the Executive Director of Internal Audit the annual audit plan and quarterly reports of audit activity.
- Review the activities, staffing, budget, independence, and organizational structure of the internal audit function, including the effectiveness of the function and its compliance with the Government Accountability Office's *Government Auditing Standards* (Yellow Book).
- Review all internal audit reports, including management responses thereto.
- Ensure there are no unjustified restrictions or limitations placed upon Internal Audit.
- Review and concur in the appointment, replacement, or dismissal of the Executive Director of Internal Audit.

**Internal Control**

- Understand the scope of internal and external auditors' review of internal control over financial reporting, and obtain reports on significant findings and recommendations, together with management's responses.
- Consider the effectiveness of OCTA's internal control system, including information technology security and control.

**Other**

- Review the Audit Responsibilities of the Finance and Administration Committee annually to reassess their adequacy and recommend any proposed changes.
- Review the Committee's effectiveness in carrying out its responsibilities.
- Other matters deemed appropriate by the Committee Chairman or as directed by the Chairman of the Board.



# BOARD MEMBER TRAVEL AUTHORIZATION REQUEST

## TRAVELER INFORMATION

**Traveler Name:** \* Chairman Steve Jones

**Employee ID:** \* 4428

**Destination of Trip:** \* New York, NY

**Subject of Trip:** \* Annual Rating Agency Trip

**Description of Trip:** \* On an annual basis, OCTA conducts a series of meetings with the rating agencies, financing institutions, and other interested parties in New York. This year, OCTA representatives will be discussing various issues affecting the agency with New York analysts. These topics include OCTA's upcoming financing plans, I-405 Improvement Project, 91 Express Lanes, Measure M2 Program, sales tax collections, FY 2020-21 approved budget, and the status of the local economy. Meetings have been scheduled with Moody's Investor Service, Fitch Ratings, Standard & Poor's and other interested parties. The meetings will take place the week of June 15, 2020.

**Departure Date:** \* 6/17/2020

**Return Date:** \* 6/19/2020

**Is this trip outside of California?** ☒ Yes

**BMTA #:** BMTA-30

**Board Meeting Date:** 3/9/2020

## ACCOUNTING CODES

	Registration (7657)	Mileage (7656)	Travel (7655)
Budget FY:	2018	2018	2018
Org Key:	0017		0017
Job Key:	M0201		M0201
JL:	B4B		B4B

## ESTIMATED EXPENDITURES

### ITEMS COST

**Registration:** \$ 0.00

**Air Travel:** \$ 700.00

**Auto Rental:** \$ 0.00

**Hotel Accomodations:** \$ 664.80

**Meals:** \$ 228.00

**Mileage:** \$ 0.00

**Misc:** \$ 240.00

**Total Estimated Trip Cost:** \$ 1,832.80

## APPROVAL

**Outcome:** ☐ TA Approved  
☐ TA Rejected

**Board Date  
Approved:**

**Comments:**



# BOARD MEMBER TRAVEL AUTHORIZATION REQUEST

## TRAVELER INFORMATION

**Traveler Name:** \* Vice-Chairman Andrew Do

**Employee ID:** \* 4584

**Destination of Trip:** \* New York, NY

**Subject of Trip:** \* Annual Rating Agency Trip

**Description of Trip:** \* On an annual basis, OCTA conducts a series of meetings with the rating agencies, financing institutions, and other interested parties in New York. This year, OCTA representatives will be discussing various issues affecting the agency with New York analysts. These topics include OCTA's upcoming financing plans, I-405 Improvement Project, 91 Express Lanes, Measure M2 Program, sales tax collections, FY 2020-21 approved budget, and the status of the local economy. Meetings have been scheduled with Moody's Investor Service, Fitch Ratings, Standard & Poor's and other interested parties. The meetings will take place the week of June 15, 2020.

**Departure Date:** \* 6/17/2020

**Return Date:** \* 6/19/2020

**Is this trip outside of California?** ☒ Yes

**BMTA #:** BMTA-31

**Board Meeting Date:** 3/9/2020

## ACCOUNTING CODES

	Registration (7657)	Mileage (7656)	Travel (7655)
Budget FY:	2018	2018	2018
Org Key:	0017		0017
Job Key:	M0201		M0201
JL:	B4B		B4B

## ESTIMATED EXPENDITURES

### ITEMS COST

**Registration:** \$ 0.00

**Air Travel:** \$ 700.00

**Auto Rental:** \$ 0.00

**Hotel Accomodations:** \$ 664.80

**Meals:** \$ 228.00

**Mileage:** \$ 0.00

**Misc:** \$ 240.00

**Total Estimated Trip Cost:** \$ 1,832.80

## APPROVAL

**Outcome:** ☒ TA Approved  
☐ TA Rejected

**Board Date  
Approved:**

**Comments:**



# BOARD MEMBER TRAVEL AUTHORIZATION REQUEST

## TRAVELER INFORMATION

**Traveler Name:** \* Finance and Administration Committee Chairman Michael Hennessey **Employee ID:** \* 4355

**Destination of Trip:** \* New York, NY

**Subject of Trip:** \* Annual Rating Agency Trip

**Description of Trip:** \* On an annual basis, OCTA conducts a series of meetings with the rating agencies, financing institutions, and other interested parties in New York. This year, OCTA representatives will be discussing various issues affecting the agency with New York analysts. These topics include OCTA's upcoming financing plans, I-405 Improvement Project, 91 Express Lanes, Measure M2 Program, sales tax collections, FY 2020-21 approved budget, and the status of the local economy. Meetings have been scheduled with Moody's Investor Service, Fitch Ratings, Standard & Poor's and other interested parties. The meetings will take place the week of June 15, 2020.

**Departure Date:** \* 6/17/2020

**Return Date:** \* 6/20/2020

**Is this trip outside of California?** ☒ Yes

**BMTA #:** BMTA-32

**Board Meeting Date:** 3/9/2020

## ACCOUNTING CODES

	Registration (7657)	Mileage (7656)	Travel (7655)
Budget FY:	2018	2018	2018
Org Key:	0017		0017
Job Key:	M0201		M0201
JL:	B4B		B4B

## ESTIMATED EXPENDITURES

### ITEMS COST

**Registration:** \$ 0.00

**Air Travel:** \$ 700.00

**Auto Rental:** \$ 0.00

**Hotel Accomodations:** \$ 997.20

**Meals:** \$ 304.00

**Mileage:** \$ 0.00

**Misc:** \$ 240.00

**Total Estimated Trip Cost:** \$ 2,241.20

## APPROVAL

**Outcome:** ☐ TA Approved  
☐ TA Rejected

**Board Date  
Approved:**

**Comments:**





## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** 91 Express Lanes Update for the Period Ending -  
December 31, 2019

Finance and Administration Committee Meeting of February 26, 2020

**Present:** Directors Hennessey, Hernandez, Jones, Muller, and R. Murphy

**Absent:** Directors Do and Steel

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**

Receive and file as an information item.





**February 26, 2020**

**To:** Finance and Administration Committee  
**From:** Darrell E. Johnson, Chief Executive Officer *Gennett Ruiz for*  
**Subject:** 91 Express Lanes Update for the Period Ending -  
December 31, 2019

### **Overview**

The Orange County Transportation Authority has owned and managed the operations of the 91 Express Lanes since January 2003. Since that time, traffic volumes and toll revenues have fluctuated with the changes in the economy and the additional capacity added to the State Route 91 corridor. Over the last quarter, there have been approximately 4.4 million trips taken on the 91 Express Lanes in Orange County. This report focuses on the operational and financial activities for the period ending December 31, 2019.

### **Recommendation**

Receive and file as an information item.

### **Background**

Since January 2003, the Orange County Transportation Authority (OCTA) has owned the 91 Express Lanes (91 EL), which is a two-lane managed-lane facility in each direction in the median of the State Route 91 (SR-91) freeway. Over the past 17 years, OCTA has experienced the growth and downswings of the economy and the resulting impacts to the 91 EL. During OCTA ownership, toll rates have been adjusted up and down, additional capacity has been added to the general-purpose lanes in the SR-91 corridor through various improvement projects, the outstanding debt has been restructured, and an extension of the facility was completed by the Riverside County Transportation Commission (RCTC). Traffic volumes and toll revenues are at historically high levels.



### ***Discussion***

The 91 EL continued to perform well during the period ending December 31, 2019. Traffic volumes, toll revenues, new accounts, transponder distributions, and account balances all increased when compared to the same period last year. The continued growth in the national and local economies, along with the low levels of unemployment in the region, continue to fuel the increases in traffic volumes and toll revenues in Orange County.

#### **Traffic Volumes**

Total traffic volume on the OCTA 91 EL for the month of December 2019 was 1,440,236. This represents a daily average of 46,459. This is a 1.4 percent increase in total traffic volume from the same period last year when traffic levels totaled 1,420,288. Carpool percentage for the period ending December was 26.5 percent. In looking at the quarter-ending period of December 2019, traffic volumes registered 4.4 million, which was an increase of 1.4 percent over the same period the prior year. For the 12-month period ending December 2019, traffic volumes reached 17.7 million and increased by 2.7 percent over the same period the prior year.

The increase in traffic volumes during the last quarter, as well as the past 12 months, continues to be driven by the growth in the regional economy. Unemployment in the region remains low and jobs continue to be created in Orange and Riverside Counties. Traffic volumes in the westbound direction of the Orange County segment continue to show strong growth.

#### **Gross Potential Toll Revenue (GPTR)**

GPTR for the month of December 2019 was \$4,338,299, which represents an increase of 6.3 percent from the prior year's total of \$4,082,589. GPTR is equal to the toll rate times the number vehicles traveling on the 91 EL (the amount does not consider violations or discounts). In looking at the previous 12 months, GPTR totaled \$52.8 million and increased by 3.3 percent over the same period the prior year.

#### **Toll Adjustments**

The Board of Directors (Board)-adopted Toll Policy requires staff to review traffic volumes on the Orange County segment of the 91 EL for potential toll adjustments on a quarterly basis. The most recent toll adjustment occurred on October 1, 2019, whereby one peak period hour experienced a toll decrease. The toll rate declined by \$0.50 for the hour that was reduced. As of the end of



December 2019, toll rates ranged from a minimum of \$1.70 to a maximum of \$9.15. The next scheduled toll adjustment will occur on January 1, 2020.

#### Number of Accounts and Transponders

The number of active accounts totaled 150,399, and 229,597 transponders were assigned to those accounts as of December 31, 2019. Over the past 12 months, the number of accounts has increased by 5,766, and the number of transponders in circulation has increased by 9,284.

#### Outstanding Debt

As of December 31, 2019, the outstanding amount of the 91 EL tax-exempt 2013 Senior Lien Toll Road Revenue Refunding Bonds (Bonds) totaled \$91.7 million. The Bonds are rated "AA-" by Standard and Poor's, "A1" by Moody's, and "A+" by Fitch Ratings. The next scheduled debt service payment is on February 18, 2020. There are currently no plans to issue additional debt secured by 91 EL toll revenues.

#### Reserve Funds

The bond indenture for the 2013 Bonds requires three reserve funds: a major maintenance fund, an operating fund, and a debt service reserve fund. All three reserves are fully funded with a total balance of \$24.9 million as of December 31, 2019.

In addition to the bond indenture required reserve funds, OCTA's Board elected to establish two additional reserve funds. An internal capital projects fund has a balance of \$25.1 million and is used for large capital projects for the 91 EL. In the past, these funds were used for the 91 EL Pavement Rehabilitation Project. The other reserve fund was established in 2017 for two future Measure M2 projects in the SR-91 corridor. The balance in that reserve fund is \$42 million. Lastly, OCTA has approximately \$97.1 million set aside in excess toll revenues for various other SR-91 corridor projects.

#### Recent Activities

In November 2019, the OCTA and RCTC Boards selected a provider for the back-office system / customer service center operations. A three-party agreement was executed to provide operating services for the 91 EL in Orange and Riverside Counties with Cofiroute USA.



Kapsch TrafficCom USA, Inc., (Kapsch), the toll lanes system integrator for the 91 EL, completed the replacement of the Electronic Toll and Traffic Management (ETTM) system at the current toll gantries. This new lane system is reading both the new 6C transponder protocol as well as the legacy Title 21 protocol.

In December 2019, the 91 EL began sending letters to customers notifying them of the transition to 6C transponders, as well as changes to the account plans, user agreement, and privacy policy. Distribution of the new welcome kit and 6C sticker transponders has commenced. It is envisioned the distribution of transponders to all customers will take place over several months.

#### **Upcoming Events**

Over the next few months, several events will be transpiring related to the 91 EL. Distribution of 6C transponders to all customers will continue and account plan changes will take effect.

Kapsch will commence replacement of the closed-circuit television cameras along the SR-91 corridor. New toll gantries will be constructed at the three entrances of the OCTA 91 EL after which Kapsch will install new ETTM equipment on the entrance gantries.

Lastly, staff will be seeking Board approval on the release of the Roadside Services request for proposals (RFP) for the 91 EL. This RFP and corresponding scope of services is currently being developed and is scheduled for release during the second quarter of 2020. The evaluation committee recommendations for this RFP are anticipated to be presented to the Board by the end of the calendar year.

#### ***Summary***

During the period ending December 31, 2019, the 91 Express Lanes continued to perform well and exceeded expectations. This report provides a summary of key operational and financial activities.



***Attachment***

A. 91 Express Lanes Status Report, December 2019

**Prepared by:**



Kirk Avila  
General Manager  
Express Lanes Programs  
(714) 560-5674

**Approved by:**



Ken Phipps  
Deputy Chief Executive Officer  
Executive Office  
(714) 560-5637





**Orange County Transportation Authority  
Riverside County Transportation Commission**



Status Report  
December 2019

As of December 31, 2019



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# OPERATIONS OVERVIEW OCTA

## TRAFFIC AND REVENUE STATISTICS FOR OCTA

Total traffic volume on the 91 Express Lanes for December 2019 was 1,440,236. This represents a daily average of 46,459 vehicles. This is a 1.4% increase in total traffic volume from the same period last year, which totaled 1,420,288. Potential toll revenue for December was \$4,338,299, which represents an increase of 6.3% from the prior year's total of \$4,082,589. Carpool percentage for December was 26.45% as compared to the previous year's rate of 28.22%.

Month-to-date traffic and revenue data is summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the OCTA 91 Express Lanes and associated potential revenue for the month of December 2019.

### Current Month-to-Date (MTD) as of December 31, 2019

	Dec-19 MTD Actual	Stantec MTD Projected	# Variance	% Variance	Dec-18 MTD Actual	Yr-to-Yr % Variance
<b>Trips</b>						
Full Toll Lanes	1,059,346	1,047,331	12,015	1.1%	1,019,435	3.9%
3+ Lanes	380,890	332,256	48,634	14.6%	400,853	(5.0%)
Total Gross Trips	1,440,236	1,379,587	60,649	4.4%	1,420,288	1.4%
<b>Revenue</b>						
Full Toll Lanes	\$4,269,308	\$4,375,004	(\$105,696)	(2.4%)	\$4,006,933	6.5%
3+ Lanes	\$68,991	\$79,793	(\$10,803)	(13.5%)	\$75,656	(8.8%)
Total Gross Revenue	\$4,338,299	\$4,454,798	(\$116,499)	(2.6%)	\$4,082,589	6.3%
<b>Average Revenue per Trip</b>						
Average Full Toll Lanes	\$4.03	\$4.18	(\$0.15)	(3.6%)	\$3.93	2.5%
Average 3+ Lanes	\$0.18	\$0.24	(\$0.06)	(25.0%)	\$0.19	(5.3%)
Average Gross Revenue	\$3.01	\$3.23	(\$0.22)	(6.8%)	\$2.87	4.9%



The 2020 fiscal year-to-date traffic volume increased by 1.9% and potential toll revenue increased by 3.8%, when compared with the same period last year. Year-to-date average revenue per-trip is \$3.02.

Fiscal year-to-date traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the OCTA 91 Express Lanes and associated potential revenue for the months of July 2019 through December 2019.

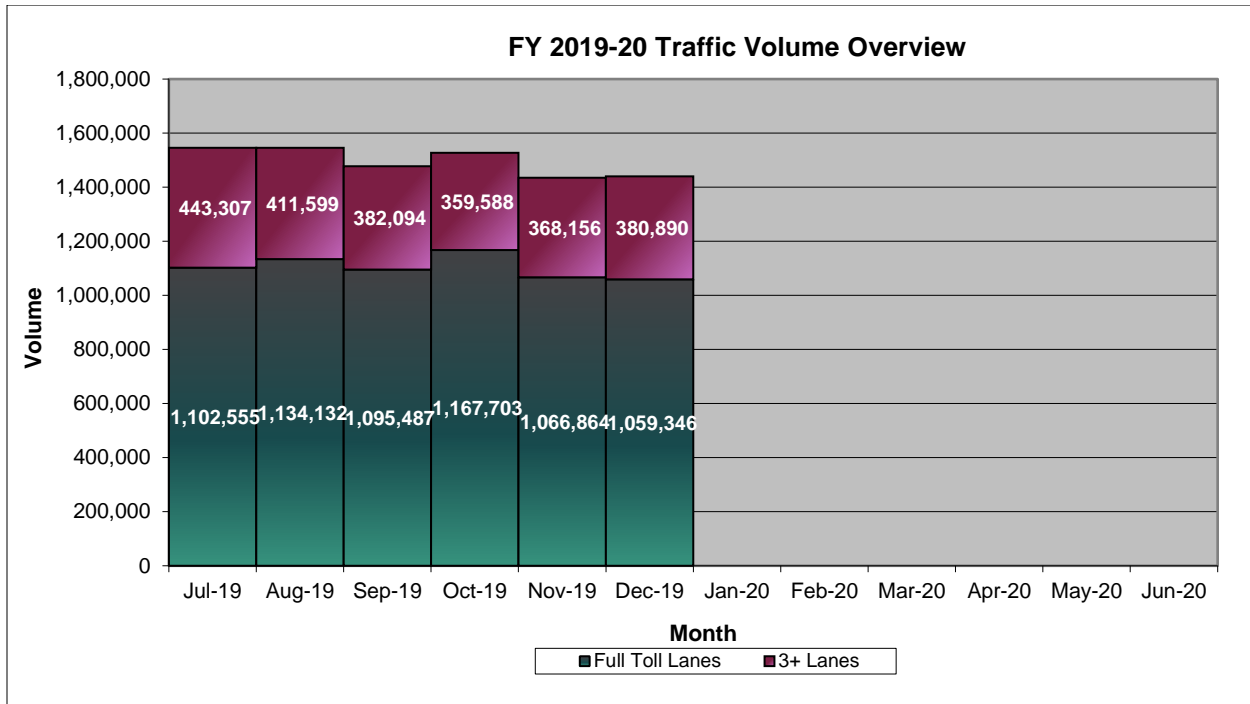
#### FY 2019-20 Year to Date as of December 31, 2019

<b>Trips</b>	<b>FY 2019-20 YTD Actual</b>	<b>Stantec YTD Projected</b>	<b># Variance</b>	<b>% Variance</b>	<b>FY 2018-19 YTD Actual</b>	<b>Yr-to-Yr % Variance</b>
Full Toll Lanes	6,626,087	6,578,628	47,459	0.7%	6,473,345	2.4%
3+ Lanes	2,345,634	2,007,095	338,539	16.9%	2,335,270	0.4%
Total Gross Trips	8,971,721	8,585,723	385,998	4.5%	8,808,615	1.9%
<b>Revenue</b>						
Full Toll Lanes	\$26,647,546	\$27,437,130	(\$789,585)	(2.9%)	\$25,618,492	4.0%
3+ Lanes	\$415,384	\$500,281	(\$84,896)	(17.0%)	\$449,916	(7.7%)
Total Gross Revenue	\$27,062,930	\$27,937,411	(\$874,481)	(3.1%)	\$26,068,408	3.8%
<b>Average Revenue per Trip</b>						
Average Full Toll Lanes	\$4.02	\$4.17	(\$0.15)	(3.6%)	\$3.96	1.5%
Average 3+ Lanes	\$0.18	\$0.25	(\$0.07)	(28.0%)	\$0.19	(5.3%)
Average Gross Revenue	\$3.02	\$3.25	(\$0.23)	(7.1%)	\$2.96	2.0%

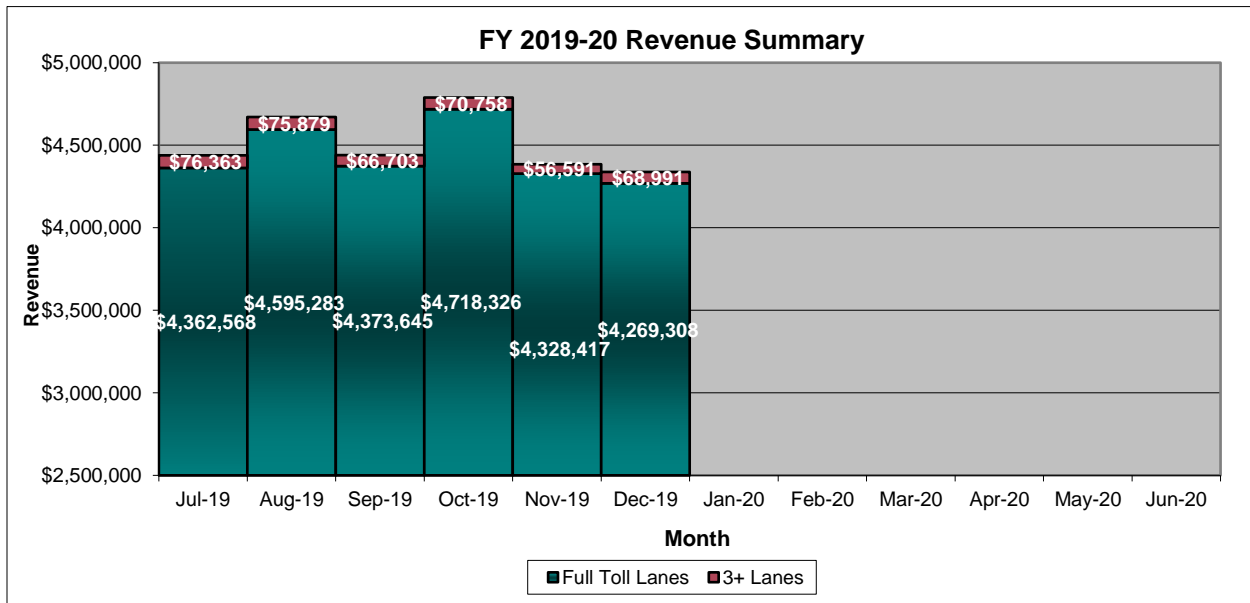


## OCTA Traffic and Revenue Summary

The chart below reflects the total trips breakdown between Full Toll trips and HOV3+ trips for FY 2019-20 on a monthly basis.



The chart below reflects the gross potential revenue breakdown between Full Toll trips and HOV3+ trips for FY 2019-20 on a monthly basis.





## OCTA EASTBOUND PEAK-HOUR VOLUMES

Peak traffic hour in the eastbound direction reached or exceeded 90% or more of defined capacity 7 times during the month of December 2019. As demonstrated on the next chart, westbound peak hour traffic volumes top out at 82% of defined capacity.

PM Time	Monday 12/02/19				Tuesday 12/03/19				Wednesday 12/04/19				Thursday 12/05/19				Friday 12/06/19			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	372	2,584	76%	\$5.15	377	2,934	86%	\$5.15	334	2,541	75%	<b>\$6.70</b>	<b>371</b>	<b>3,193</b>	<b>94%</b>	\$7.10	421	2,812	83%
1500 - 1600	<b>\$5.50</b>	<b>602</b>	<b>3,105</b>	<b>91%</b>	\$5.75	552	2,739	81%	\$7.75	499	2,740	81%	<b>\$6.75</b>	<b>568</b>	<b>3,240</b>	<b>95%</b>	\$9.15	603	2,385	70%
1600 - 1700	\$5.35	404	2,824	83%	\$5.50	415	2,918	86%	\$7.50	356	2,479	73%	\$8.30	397	2,625	77%	\$8.95	430	2,633	77%
1700 - 1800	\$5.30	522	3,002	88%	\$5.40	506	2,834	83%	\$6.40	431	2,399	71%	\$8.20	491	2,786	82%	\$7.05	508	2,778	82%
1800 - 1900	\$5.50	654	2,820	83%	\$3.95	620	2,973	87%	\$3.95	522	2,222	65%	\$4.85	649	2,897	85%	\$6.55	611	2,840	84%
1900 - 2000	\$3.85	461	1,838	54%	\$3.85	653	2,727	80%	\$3.85	439	1,760	52%	\$5.60	625	2,507	74%	\$6.05	668	2,461	72%

PM Time	Monday 12/09/19				Tuesday 12/10/19				Wednesday 12/11/19				Thursday 12/12/19				Friday 12/13/19			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	384	2,722	80%	\$5.15	404	2,944	87%	\$5.15	386	2,992	88%	<b>\$6.70</b>	<b>417</b>	<b>3,189</b>	<b>94%</b>	<b>\$7.10</b>	<b>408</b>	<b>3,166</b>	<b>93%</b>
1500 - 1600	\$5.50	548	2,914	86%	\$5.75	598	2,821	83%	\$7.75	569	2,888	85%	\$6.75	554	2,981	88%	\$9.15	611	2,629	77%
1600 - 1700	\$5.35	435	2,957	87%	\$5.50	408	2,893	85%	\$7.50	381	2,840	84%	\$8.30	401	2,474	73%	\$8.95	439	2,818	83%
1700 - 1800	\$5.30	495	2,867	84%	\$5.40	495	2,876	85%	\$6.40	524	2,861	84%	\$8.20	514	2,857	84%	\$7.05	502	2,694	79%
1800 - 1900	\$5.50	621	2,761	81%	\$3.95	628	2,916	86%	\$3.95	570	2,830	83%	\$4.85	643	3,038	89%	\$6.55	668	2,716	80%
1900 - 2000	\$3.85	599	2,371	70%	\$3.85	692	2,839	84%	\$3.85	696	2,812	83%	\$5.60	741	2,797	82%	\$6.05	660	2,380	70%

PM Time	Monday 12/16/19				Tuesday 12/17/19				Wednesday 12/18/19				Thursday 12/19/19				Friday 12/20/19			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	402	2,674	79%	\$5.15	419	3,027	89%	\$5.15	446	3,020	89%	<b>\$6.70</b>	<b>478</b>	<b>3,291</b>	<b>97%</b>	<b>\$7.10</b>	<b>488</b>	<b>3,133</b>	<b>92%</b>
1500 - 1600	\$5.50	550	2,922	86%	\$5.75	583	2,783	82%	\$7.75	587	2,987	88%	\$6.75	560	2,993	88%	\$9.15	615	2,655	78%
1600 - 1700	\$5.35	437	2,916	86%	\$5.50	417	2,883	85%	\$7.50	413	2,967	87%	\$8.30	382	2,396	70%	\$8.95	410	2,675	79%
1700 - 1800	\$5.30	569	2,868	84%	\$5.40	514	3,021	89%	\$6.40	535	2,957	87%	\$8.20	517	2,820	83%	\$7.05	523	2,784	82%
1800 - 1900	\$5.50	665	2,879	85%	\$3.95	681	3,026	89%	\$3.95	640	3,024	89%	\$4.85	664	2,980	88%	\$6.55	678	2,800	82%
1900 - 2000	\$3.85	632	2,439	72%	\$3.85	660	2,740	81%	\$3.85	646	2,382	70%	\$5.60	716	2,812	83%	\$6.05	655	2,235	66%

PM Time	Monday 12/23/19				Tuesday 12/24/19				Wednesday 12/25/19				Thursday 12/26/19				Friday 12/27/19			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	460	2,380	70%	\$7.10	733	2,550	75%	\$6.00	732	1,635	48%	\$6.70	402	1,956	58%	\$7.10	572	2,819	83%
1500 - 1600	\$5.50	558	2,641	78%	\$9.15	910	2,323	68%	\$6.00	668	1,387	41%	\$6.75	475	1,930	57%	\$9.15	663	2,383	70%
1600 - 1700	\$5.35	481	2,741	81%	\$8.95	669	2,053	60%	\$6.00	561	1,166	34%	\$8.30	302	1,401	41%	\$8.95	433	2,210	65%
1700 - 1800	\$5.30	475	2,336	69%	\$7.05	797	2,013	59%	\$6.00	561	1,136	33%	\$8.20	477	1,654	49%	\$7.05	589	2,212	65%
1800 - 1900	\$5.50	543	2,031	60%	\$6.55	786	1,865	55%	\$6.00	667	1,253	37%	\$4.85	454	1,364	40%	\$6.55	603	1,958	58%
1900 - 2000	\$3.85	431	1,458	43%	\$6.05	755	1,633	48%	\$6.00	745	1,381	41%	\$5.60	354	923	27%	\$6.05	583	1,538	45%

PM Time	Monday 12/30/19				Tuesday 12/31/19				Wednesday 01/01/20				Thursday 01/02/20				Friday 01/03/20			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	432	2,280	67%	\$7.10	554	2,709	80%												
1500 - 1600	\$5.50	585	2,956	87%	\$9.15	677	2,466	73%												
1600 - 1700	\$5.35	429	2,562	75%	\$8.95	532	2,215	65%												
1700 - 1800	\$5.30	509	2,396	70%	\$7.05	578	1,939	57%												
1800 - 1900	\$5.50	456	1,660	49%	\$6.55	685	1,858	55%												
1900 - 2000	\$3.85	480	1,491	44%	\$6.05	509	1,311	39%												



## OCTA WESTBOUND PEAK-HOUR VOLUMES

AM Time	Monday 12/02/19				Tuesday 12/03/19				Wednesday 12/04/19				Thursday 12/05/19				Friday 12/06/19			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	826	2,651	78%	\$3.05	791	2,585	76%	\$3.05	782	2,395	70%	\$3.05	759	2,505	74%	\$3.05	718	2,148	63%
0500 - 0600	\$4.95	813	2,544	75%	\$4.95	822	2,473	73%	\$4.95	786	2,460	72%	\$4.95	834	2,638	78%	\$4.70	773	2,470	73%
0600 - 0700	\$5.15	529	2,030	60%	\$5.15	540	2,049	60%	\$5.15	533	1,675	49%	\$5.15	538	1,968	58%	\$4.95	548	2,128	63%
0700 - 0800	\$5.65	393	1,957	58%	\$5.65	425	2,237	66%	\$5.65	383	1,882	55%	\$5.65	429	2,125	63%	\$5.50	402	1,910	56%
0800 - 0900	\$5.15	215	1,920	56%	\$5.15	249	2,161	64%	\$5.15	209	1,843	54%	\$5.15	239	2,051	60%	\$4.95	252	1,905	56%
0900 - 1000	\$4.10	273	1,977	58%	\$4.10	250	2,107	62%	\$4.10	228	1,952	57%	\$4.10	255	2,141	63%	\$4.10	282	1,904	56%

AM Time	Monday 12/09/19				Tuesday 12/10/19				Wednesday 12/11/19				Thursday 12/12/19				Friday 12/13/19			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	802	2,629	77%	\$3.05	822	2,695	79%	\$3.05	823	2,684	79%	\$3.05	800	2,635	78%	\$3.05	696	2,093	62%
0500 - 0600	\$4.95	843	2,674	79%	\$4.95	881	2,650	78%	\$4.95	809	2,678	79%	\$4.95	843	2,783	82%	\$4.70	740	2,435	72%
0600 - 0700	\$5.15	529	2,046	60%	\$5.15	568	2,123	62%	\$5.15	587	1,918	56%	\$5.15	566	1,984	58%	\$4.95	583	2,139	63%
0700 - 0800	\$5.65	421	2,101	62%	\$5.65	432	1,987	58%	\$5.65	426	2,127	63%	\$5.65	389	2,044	60%	\$5.50	392	1,905	56%
0800 - 0900	\$5.15	251	2,060	61%	\$5.15	269	2,254	66%	\$5.15	270	2,143	63%	\$5.15	268	2,082	61%	\$4.95	252	1,773	52%
0900 - 1000	\$4.10	254	2,063	61%	\$4.10	255	2,222	65%	\$4.10	291	2,182	64%	\$4.10	285	2,262	67%	\$4.10	270	2,013	59%

AM Time	Monday 12/16/19				Tuesday 12/17/19				Wednesday 12/18/19				Thursday 12/19/19				Friday 12/20/19			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	804	2,662	78%	\$3.05	760	2,648	78%	\$3.05	840	2,709	80%	\$3.05	834	2,660	78%	\$3.05	646	2,095	62%
0500 - 0600	\$4.95	796	2,521	74%	\$4.95	906	2,716	80%	\$4.95	803	2,716	80%	\$4.95	855	2,683	79%	\$4.70	686	2,429	71%
0600 - 0700	\$5.15	561	2,024	60%	\$5.15	544	2,047	60%	\$5.15	580	1,983	58%	\$5.15	588	1,999	59%	\$4.95	524	2,040	60%
0700 - 0800	\$5.65	429	2,099	62%	\$5.65	443	2,228	66%	\$5.65	413	2,068	61%	\$5.65	409	2,058	61%	\$5.50	392	1,884	55%
0800 - 0900	\$5.15	267	2,044	60%	\$5.15	232	2,064	61%	\$5.15	210	2,094	62%	\$5.15	266	2,001	59%	\$4.95	274	1,858	55%
0900 - 1000	\$4.10	259	2,069	61%	\$4.10	255	2,226	65%	\$4.10	233	2,125	63%	\$4.10	270	2,204	65%	\$4.10	304	2,025	60%

AM Time	Monday 12/23/19				Tuesday 12/24/19				Wednesday 12/25/19				Thursday 12/26/19				Friday 12/27/19			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	611	1,968	58%	\$3.05	292	847	25%	\$1.70	20	53	2%	\$3.05	412	1,281	38%	\$3.05	410	1,167	34%
0500 - 0600	\$4.95	674	2,048	60%	\$4.70	298	872	26%	\$1.70	22	59	2%	\$4.95	452	1,370	40%	\$4.70	383	1,255	37%
0600 - 0700	\$5.15	342	1,442	42%	\$4.95	146	645	19%	\$1.70	33	86	3%	\$5.15	221	787	23%	\$4.95	272	1,042	31%
0700 - 0800	\$5.65	257	1,368	40%	\$5.50	162	712	21%	\$1.70	38	110	3%	\$5.65	200	835	25%	\$5.50	215	983	29%
0800 - 0900	\$5.15	289	1,600	47%	\$4.95	172	723	21%	\$3.05	112	287	8%	\$5.15	173	928	27%	\$4.95	263	1,108	33%
0900 - 1000	\$4.10	328	1,672	49%	\$4.10	246	967	28%	\$3.20	296	672	20%	\$4.10	227	986	29%	\$4.10	341	1,358	40%

AM Time	Monday 12/30/19				Tuesday 12/31/19				Wednesday 01/01/20				Thursday 01/02/20				Friday 01/03/20			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	536	1,635	48%	\$3.05	411	1,182	35%												
0500 - 0600	\$4.95	517	1,658	49%	\$4.70	410	1,269	37%												
0600 - 0700	\$5.15	244	1,058	31%	\$4.95	202	867	26%												
0700 - 0800	\$5.65	212	1,073	32%	\$5.50	169	807	24%												
0800 - 0900	\$5.15	206	1,135	33%	\$4.95	162	810	24%												
0900 - 1000	\$4.10	222	1,218	36%	\$4.10	224	958	28%												



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## OCTA OPERATIONAL HIGHLIGHTS

### **On-road Operations**

OCTA Customer Assistance Specialists (CAS) responded to 69 calls during the month of December. Of those calls, 60 were to assist disabled vehicles, eight calls to remove debris and one call was in response to an accident in the Express Lanes.

### **Electronic Toll and Traffic Management System Project Update**

Kapsch TrafficCom USA, Inc., (Kapsch), the toll lanes system integrator for the 91 Express Lanes, completed the replacement of the Electronic Toll and Traffic Management (ETTM) system at the current toll gantries. This new lane system is reading both the new 6C transponder protocol as well as the legacy Title 21 protocol. The next phase of the project, which begins next calendar year, entails the replacement of the closed-circuit television cameras along the corridor. New toll gantries will be constructed at the three entrances of the OCTA 91 Express Lanes after which Kapsch will install new ETTM equipment on the entrance gantries.

### **6C Transition Update**

Changes to the back-office system to incorporate the new 6C transponder protocol are underway. In December, the 91 Express Lanes began sending letters to customers notifying them of the transition to 6C, as well as changes to the account plans, user agreement and privacy policy. In the upcoming weeks, distribution of the new welcome kit and sticker transponders will commence. It is envisioned the distribution of new transponders to all customers will take place over several months.



# FINANCIAL HIGHLIGHTS OCTA

## 91 Express Lanes Operating Statement

Description	YTD as of : <b>12/31/2019</b>		YTD Variance	
	Actual <sup>(1)</sup>	Budget <sup>(1)</sup>	Dollar \$	Percent (%)
<b>Operating revenues:</b>				
Toll revenue	\$ 24,980,421.52	\$ 26,524,152.00	\$ (1,543,730.48)	(5.8)
Fee revenue	3,670,732.82	2,036,168.00	1,634,564.82	80.3
<b>Total operating revenues</b>	<b>28,651,154.34</b>	<b>28,560,320.00</b>	<b>90,834.34</b>	<b>0.3</b>
<b>Operating expenses:</b>				
Contracted services	3,116,701.55	3,823,520.00	706,818.45	18.5
Administrative fee	1,417,440.00	1,419,942.00	2,502.00	0.2
Other professional services	543,225.79	1,242,354.00	699,128.21	56.3
Credit card processing fees	650,278.67	710,775.00	60,496.33	8.5
Toll road account servicing	361,994.18	1,204,250.00	842,255.82	69.9
Other insurance expense	186,547.50	374,850.00	188,302.50	50.2
Toll road maintenance supply repairs	113,058.29	237,502.00	124,443.71	52.4
Patrol services	368,520.38	489,810.00	121,289.62	24.8
Building equipment repairs and maint	(5,597.21)	166,142.00	171,739.21	103.4
6C Transponders	-	125,000.00	125,000.00	100.0
Other services	(14,568.00)	17,498.00	32,066.00	183.3
Utilities	19,873.73	36,738.00	16,864.27	45.9
Office expense	3.14	102,110.00	102,106.86	100.0
Bad debt expense	79,155.93	-	(79,155.93)	N/A
Miscellaneous <sup>(2)</sup>	37,397.45	75,000.00	37,602.55	50.1
Leases	180,718.19	229,908.00	49,189.81	21.4
<b>Total operating expenses</b>	<b>7,054,749.59</b>	<b>10,255,399.00</b>	<b>3,200,649.41</b>	<b>31.2</b>
Depreciation and amortization <sup>(3)</sup>	1,770,709.34	-	(1,770,709.34)	N/A
<b>Operating income (loss)</b>	<b>19,825,695.41</b>	<b>18,304,921.00</b>	<b>1,520,774.41</b>	<b>8.3</b>
<b>Nonoperating revenues (expenses):</b>				
Reimbursement from Other Agencies	297,352.97	453,125.00	(155,772.03)	(34.4)
Interest income	2,750,255.80	1,898,046.00	852,209.80	44.9
Interest expense	(2,318,787.33)	(2,356,032.00)	37,244.67	1.6
Other	32,598.38	-	32,598.38	N/A
<b>Total nonoperating revenues (expenses)</b>	<b>761,419.82</b>	<b>(4,861.00)</b>	<b>766,280.82</b>	<b>15,763.9</b>
Transfers in	-	-	-	N/A
Transfers out	(14,460,192.17)	(20,000.00)	(14,440,192.17)	(72,201.0)
<b>Net income (loss)</b>	<b>\$ 6,126,923.06</b>	<b>\$ 18,280,060.00</b>	<b>\$ (12,153,136.94)</b>	<b>(66.5)</b>

<sup>1</sup>Actual amounts are accounted for on the accrual basis of accounting in an enterprise fund. Budget amounts are accounted for on a modified accrual basis of accounting.

<sup>2</sup>Miscellaneous expenses include: Bond Insurance Costs, Bank Service Charge, Transponder Materials.

<sup>3</sup>Depreciation and amortization are not budgeted items.

## Capital Asset Activity

During the six months ending December 31, 2019, capital asset activities included \$195,292 for the ETTM system project, \$5,920 for computer equipment and \$112,562 for transponder purchases.



# OPERATIONS OVERVIEW RCTC

## TRAFFIC AND REVENUE STATISTICS FOR RCTC

Total traffic volume on the 91 Express Lanes for December 2019 was 1,254,586. This represents a daily average of 40,471 vehicles. This is a 4.7% increase in total traffic volume from the same period last year, which totaled 1,198,578. Potential toll revenue for the month was \$5,277,144, which represents an increase of 21.9% from the prior year's total of \$4,327,741. Carpool percentage for December was 24.66% as compared to the previous year's rate of 25.69%.

Month-to-date traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the RCTC 91 Express Lanes and associated potential revenue for the month of December 2019.

### Current Month-to-Date (MTD) as of December 31, 2019

Trips	DEC-19 MTD Actual	Stantec MTD Projected	# Variance	% Variance	DEC-18 MTD Actual	Yr-to-Yr % Variance
Full Toll Lanes	945,151	926,743	18,408	2.0%	890,682	6.1%
3+ Lanes	309,435	321,729	(12,294)	(3.8%)	307,896	0.5%
Total Gross Trips	1,254,586	1,248,471	6,115	0.5%	1,198,578	4.7%
<b>Revenue</b>						
Full Toll Lanes	\$5,238,975	\$3,676,471	\$1,562,504	42.5%	\$4,289,378	22.1%
3+ Lanes	\$38,169	\$0	\$38,169		\$38,363	(0.5%)
Total Gross Revenue	\$5,277,144	\$3,676,471	\$1,600,672	43.5%	\$4,327,741	21.9%
<b>Average Revenue per Trip</b>						
Average Full Toll Lanes	\$5.54	\$3.97	\$1.57	39.5%	\$4.82	14.9%
Average 3+ Lanes	\$0.12	\$0.00	\$0.12		\$0.12	0.0%
Average Gross Revenue	\$4.21	\$2.94	\$1.27	43.2%	\$3.61	16.6%



The 2020 fiscal year-to-date (YTD) traffic volume is 3.3% higher when compared with the same period last year. The 2020 fiscal year-to-date revenue is 21.1% higher than for the same period last year. The traffic and revenue increases are attributed to higher demand and increased toll rates to manage the demand. Year-to-date average revenue per-trip is \$4.22.

Fiscal year-to-date traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the RCTC 91 Express Lanes and associated potential revenue for the months of July 2019 through December 2019.

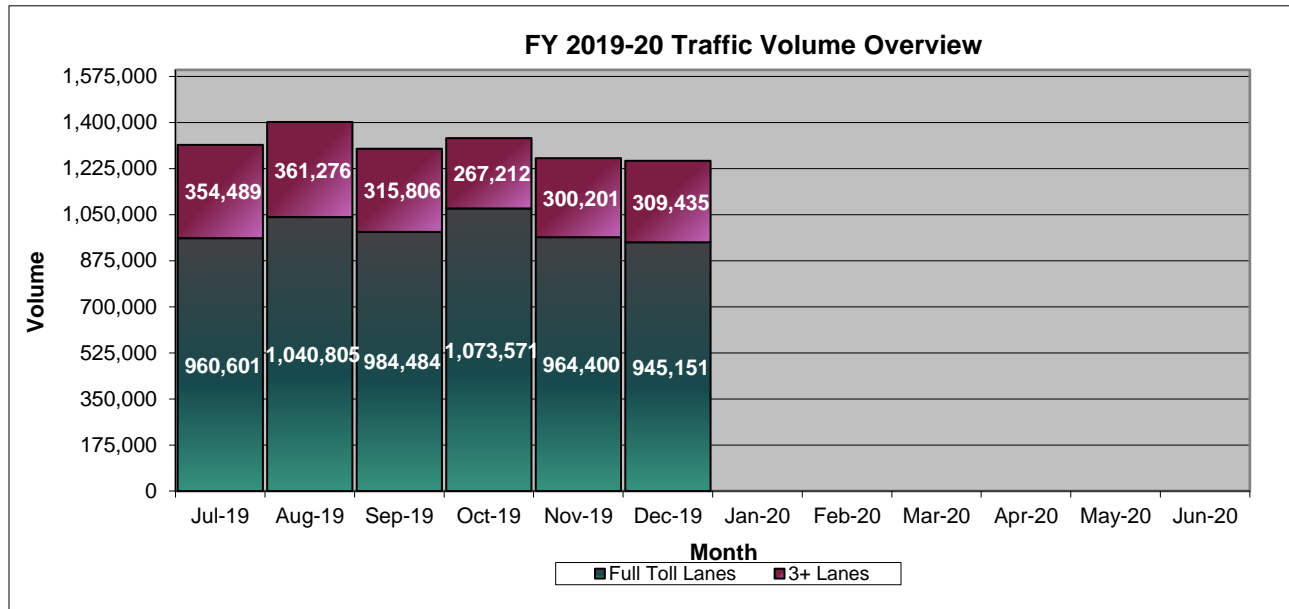
#### FY 2019-20 Year to Date as of December 31, 2019

Trips	FY 2019-20 YTD Actual	Stantec YTD Projected	# Variance	% Variance	FY 2018-19 YTD Actual	Yr-to-Yr % Variance
Full Toll Lanes	5,969,012	5,933,357	35,655	0.6%	5,777,160	3.3%
3+ Lanes	1,908,419	1,926,471	(18,052)	(0.9%)	1,849,217	3.2%
Total Gross Trips	7,877,431	7,859,829	17,602	0.2%	7,626,377	3.3%
<b>Revenue</b>						
Full Toll Lanes	\$32,990,077	\$23,315,471	\$9,674,605	41.5%	\$27,199,627	21.3%
3+ Lanes	\$216,298	\$0	\$216,298		\$212,527	1.8%
Total Gross Revenue	\$33,206,375	\$23,315,471	\$9,890,904	42.4%	\$27,412,154	21.1%
<b>Average Revenue per Trip</b>						
Average Full Toll Lanes	\$5.53	\$3.93	\$1.60	40.7%	\$4.71	17.4%
Average 3+ Lanes	\$0.11	\$0.00	\$0.11		\$0.11	0.0%
Average Gross Revenue	\$4.22	\$2.97	\$1.25	42.1%	\$3.59	17.5%

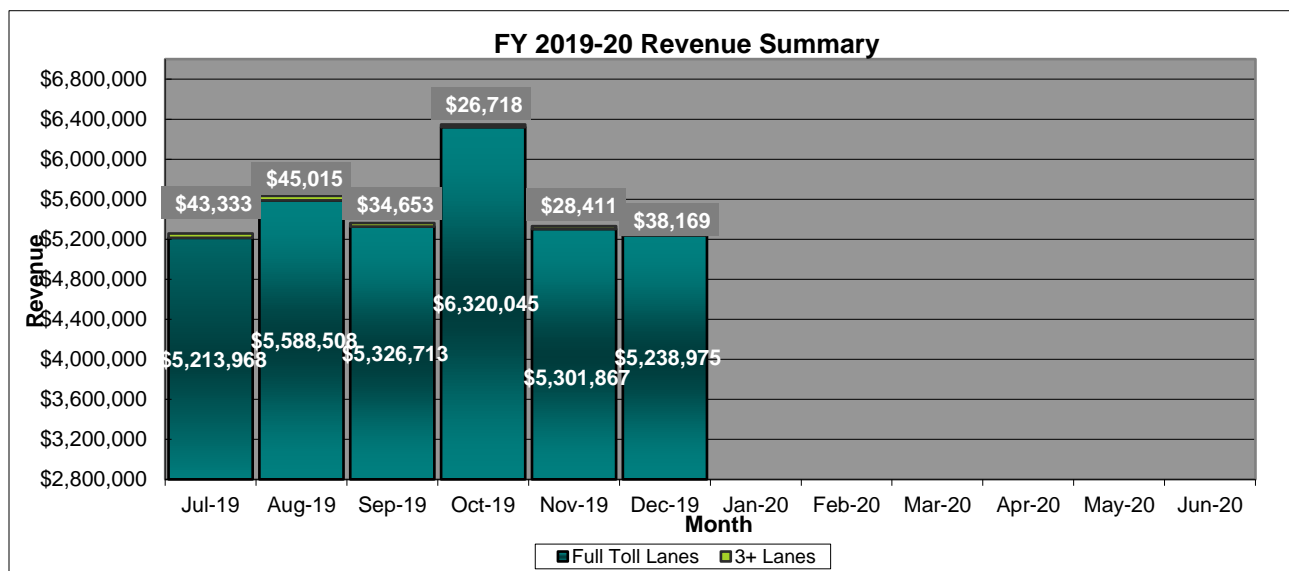


## RCTC Traffic and Revenue Summary

The chart below reflects the total trips broken down between Full Toll lanes and HOV3+ lanes for FY 2019-20 on a monthly basis.



The chart below reflects the gross potential revenue breakdown between Full Toll lanes and HOV3+ lanes for FY 2019-20 on a monthly basis.





## RCTC PEAK-HOUR VOLUMES

RCTC evaluates traffic volumes for peak period hours and either increases or decreases tolls according to the toll rate policy. Hours that are highlighted in yellow were operating in a degraded state. The next quarterly adjustment is scheduled for April 1, 2020.

## RCTC EASTBOUND PEAK-HOUR VOLUMES

Eastbound PM Peak - County Line to McKinley

PM Time	Monday 12/02/19					Tuesday 12/03/19					Wednesday 12/04/19					Thursday 12/05/19					Friday 12/06/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	225	959	1,184	D	\$6.95	229	990	1,219	E	\$9.00	188	813	1,001	D	\$11.85	242	1,146	1,388	F	\$21.00	273	922	1,195	D
1500 - 1600	\$7.35	324	937	1,261	E	\$6.95	260	865	1,125	D	\$9.90	223	778	1,001	D	\$12.00	290	1,033	1,323	F	\$18.70	328	721	1,049	D
1600 - 1700	\$5.30	173	898	1,071	D	\$5.30	186	1,026	1,212	E	\$5.30	138	755	893	C	\$7.50	162	865	1,027	D	\$10.45	242	886	1,128	D
1700 - 1800	\$5.30	175	852	1,027	D	\$5.30	212	828	1,040	D	\$5.30	150	635	785	B	\$5.30	196	876	1,072	D	\$6.95	264	927	1,191	D
1800 - 1900	\$5.30	259	748	1,007	D	\$5.30	272	806	1,078	D	\$5.30	197	522	719	B	\$5.30	256	823	1,079	D	\$5.30	291	897	1,188	D
1900 - 2000	\$2.25	168	558	726	B	\$4.20	264	804	1,068	D	\$5.30	148	418	566	B	\$5.30	240	705	945	C	\$5.30	311	786	1,097	D

PM Time	Monday 12/09/19					Tuesday 12/10/19					Wednesday 12/11/19					Thursday 12/12/19					Friday 12/13/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	205	983	1,188	D	\$6.95	252	1,025	1,277	E	\$9.00	219	1,064	1,283	E	\$11.85	226	1,121	1,347	F	\$21.00	259	1,144	1,403	F
1500 - 1600	\$7.35	291	913	1,204	E	\$6.95	318	947	1,265	E	\$9.90	279	898	1,177	D	\$12.00	280	1,037	1,317	F	\$18.70	314	962	1,276	E
1600 - 1700	\$5.30	188	907	1,095	D	\$5.30	175	892	1,067	D	\$5.30	204	932	1,136	D	\$7.50	194	875	1,069	D	\$10.45	226	984	1,210	E
1700 - 1800	\$5.30	209	827	1,036	D	\$5.30	212	860	1,072	D	\$5.30	201	820	1,021	D	\$5.30	237	898	1,135	D	\$6.95	223	943	1,166	D
1800 - 1900	\$5.30	254	786	1,040	D	\$5.30	283	763	1,046	D	\$5.30	224	881	1,105	D	\$5.30	268	838	1,106	D	\$5.30	295	857	1,152	D
1900 - 2000	\$2.25	234	669	903	C	\$4.20	249	754	1,003	D	\$5.30	243	826	1,069	D	\$5.30	312	796	1,108	D	\$5.30	312	787	1,099	D

PM Time	Monday 12/16/19					Tuesday 12/17/19					Wednesday 12/18/19					Thursday 12/19/19					Friday 12/20/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	213	992	1,205	E	\$6.95	207	1,040	1,247	E	\$9.00	214	1,075	1,289	E	\$11.85	249	1,157	1,406	F	\$21.00	298	1,046	1,344	F
1500 - 1600	\$7.35	284	893	1,177	D	\$6.95	288	991	1,279	E	\$9.90	271	983	1,254	E	\$12.00	283	985	1,268	E	\$18.70	340	923	1,263	E
1600 - 1700	\$5.30	208	950	1,158	D	\$5.30	177	947	1,124	D	\$5.30	200	1,014	1,214	E	\$7.50	203	885	1,088	D	\$10.45	224	943	1,167	D
1700 - 1800	\$5.30	239	860	1,099	D	\$5.30	218	926	1,144	D	\$5.30	236	852	1,088	D	\$5.30	231	950	1,181	D	\$6.95	272	863	1,135	D
1800 - 1900	\$5.30	284	779	1,063	D	\$5.30	291	838	1,129	D	\$5.30	240	914	1,154	D	\$5.30	306	851	1,157	D	\$5.30	337	853	1,190	D
1900 - 2000	\$2.25	237	713	950	C	\$4.20	289	792	1,081	D	\$5.30	267	668	935	C	\$5.30	317	793	1,110	D	\$5.30	311	702	1,013	D

PM Time	Monday 12/23/19					Tuesday 12/24/19					Wednesday 12/25/19					Thursday 12/26/19					Friday 12/27/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	260	878	1,138	D	\$21.00	375	793	1,168	D	\$5.30	407	672	1,079	D	\$11.85	233	712	945	C	\$21.00	348	997	1,345	F
1500 - 1600	\$7.35	272	813	1,085	D	\$18.70	424	720	1,144	D	\$4.20	318	475	793	B	\$12.00	197	561	758	B	\$18.70	324	855	1,179	D
1600 - 1700	\$5.30	213	881	1,094	D	\$10.45	295	706	1,001	D	\$2.25	265	341	606	B	\$7.50	147	438	585	B	\$10.45	242	889	1,131	D
1700 - 1800	\$5.30	188	746	934	C	\$6.95	354	601	955	C	\$2.25	234	328	562	B	\$5.30	173	440	613	B	\$6.95	275	743	1,018	D
1800 - 1900	\$5.30	248	681	929	C	\$5.30	361	599	960	C	\$2.25	292	297	589	B	\$5.30	181	343	524	B	\$5.30	282	630	912	C
1900 - 2000	\$2.25	190	397	587	B	\$5.30	330	523	853	C	\$2.25	326	308	634	B	\$5.30	130	245	375	A	\$5.30	251	452	703	B

PM Time	Monday 12/30/19					Tuesday 12/31/19					Wednesday 01/01/20					Thursday 01/02/20					Friday 01/03/20				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	276	882	1,158	D	\$21.00	312	929	1,241	E															
1500 - 1600	\$7.35	321	1,017	1,338	F	\$18.70	334	887	1,221	E															
1600 - 1700	\$5.30	211	888	1,099	D	\$10.45	256	919	1,175	D															
1700 - 1800	\$5.30	195	782	977	C	\$6.95	302	722	1,024	D															
1800 - 1900	\$5.30	168	557	725	B	\$5.30	307	583	890	C															
1900 - 2000	\$2.25	198	412	610	B	\$5.30	262	424	686	B															



**Eastbound PM Peak - County Line to I-15 South**

PM Time	Monday 12/02/19					Tuesday 12/03/19					Wednesday 12/04/19					Thursday 12/05/19					Friday 12/06/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.95	84	665	749	B	\$5.30	91	744	835	C	\$5.30	90	617	707	B	\$5.30	78	848	926	C	\$5.30	97	672	769	B
1500 - 1600	\$5.30	134	634	768	B	\$2.95	125	648	773	B	\$2.95	129	600	729	B	\$5.30	117	724	841	C	\$2.95	137	576	713	B
1600 - 1700	\$2.95	94	643	737	B	\$2.95	94	551	645	B	\$2.95	82	555	637	B	\$2.95	89	636	725	B	\$2.95	109	578	687	B
1700 - 1800	\$2.95	98	604	702	B	\$2.95	116	580	696	B	\$2.95	82	503	585	B	\$2.95	94	581	675	B	\$2.95	122	592	714	B
1800 - 1900	\$2.95	111	562	673	B	\$2.95	128	549	677	B	\$2.95	96	442	538	B	\$2.95	137	601	738	B	\$2.95	172	578	750	B
1900 - 2000	\$2.95	121	416	537	B	\$2.95	171	566	737	B	\$2.95	70	345	415	B	\$2.95	146	587	733	B	\$2.95	172	527	699	B

PM Time	Monday 12/09/19					Tuesday 12/10/19					Wednesday 12/11/19					Thursday 12/12/19					Friday 12/13/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.95	113	671	784	B	\$5.30	104	745	849	C	\$5.30	106	793	899	C	\$5.30	109	843	952	C	\$5.30	114	782	896	C
1500 - 1600	\$5.30	137	669	806	C	\$2.95	147	656	803	C	\$2.95	169	697	866	C	\$5.30	137	739	876	C	\$2.95	138	646	784	B
1600 - 1700	\$2.95	98	688	786	B	\$2.95	107	714	821	C	\$2.95	96	699	795	B	\$2.95	109	601	710	B	\$2.95	97	685	782	B
1700 - 1800	\$2.95	113	571	684	B	\$2.95	108	602	710	B	\$2.95	111	630	741	B	\$2.95	107	604	711	B	\$2.95	81	570	651	B
1800 - 1900	\$2.95	132	542	674	B	\$2.95	135	593	728	B	\$2.95	110	547	657	B	\$2.95	139	624	763	B	\$2.95	164	506	670	B
1900 - 2000	\$2.95	170	496	666	B	\$2.95	178	594	772	B	\$2.95	146	623	769	B	\$2.95	194	630	824	C	\$2.95	180	523	703	B

PM Time	Monday 12/16/19					Tuesday 12/17/19					Wednesday 12/18/19					Thursday 12/19/19					Friday 12/20/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.95	116	713	829	C	\$5.30	122	811	933	C	\$5.30	102	758	860	C	\$5.30	122	850	972	C	\$5.30	126	753	879	C
1500 - 1600	\$5.30	149	663	812	C	\$2.95	118	688	806	C	\$2.95	132	728	860	C	\$5.30	121	721	842	C	\$2.95	154	632	786	B
1600 - 1700	\$2.95	106	677	783	B	\$2.95	97	677	774	B	\$2.95	95	655	750	B	\$2.95	103	568	671	B	\$2.95	118	677	795	B
1700 - 1800	\$2.95	133	593	726	B	\$2.95	103	595	698	B	\$2.95	106	618	724	B	\$2.95	127	659	786	B	\$2.95	141	575	716	B
1800 - 1900	\$2.95	129	577	706	B	\$2.95	143	604	747	B	\$2.95	120	624	744	B	\$2.95	162	620	782	B	\$2.95	183	609	792	B
1900 - 2000	\$2.95	161	509	670	B	\$2.95	157	603	760	B	\$2.95	184	494	678	B	\$2.95	205	651	856	C	\$2.95	195	477	672	B

PM Time	Monday 12/23/19					Tuesday 12/24/19					Wednesday 12/25/19					Thursday 12/26/19					Friday 12/27/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.95	122	627	749	B	\$5.30	228	537	765	B	\$2.95	236	426	662	B	\$5.30	114	465	579	B	\$5.30	155	666	821	C
1500 - 1600	\$5.30	144	595	739	B	\$2.95	290	518	808	C	\$2.95	223	286	509	B	\$5.30	116	433	549	B	\$2.95	187	615	802	C
1600 - 1700	\$2.95	115	554	669	B	\$2.95	177	503	680	B	\$2.95	144	231	375	A	\$2.95	82	315	397	A	\$2.95	120	539	659	B
1700 - 1800	\$2.95	115	458	573	B	\$2.95	219	375	594	B	\$2.95	180	216	396	A	\$2.95	117	323	440	B	\$2.95	135	469	604	B
1800 - 1900	\$2.95	134	460	594	B	\$2.95	200	410	610	B	\$2.95	255	224	479	B	\$2.95	121	235	356	A	\$2.95	152	418	570	B
1900 - 2000	\$2.95	124	286	410	B	\$2.95	237	394	631	B	\$2.95	292	252	544	B	\$2.95	91	151	242	A	\$2.95	154	296	450	B

PM Time	Monday 12/30/19					Tuesday 12/31/19					Wednesday 01/01/20					Thursday 01/02/20					Friday 01/03/20				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.95	117	591	708	B	\$5.30	165	680	845	C															
1500 - 1600	\$5.30	162	649	811	C	\$2.95	146	505	651	B															
1600 - 1700	\$2.95	86	595	681	B	\$2.95	150	574	724	B															
1700 - 1800	\$2.95	109	489	598	B	\$2.95	176	501	677	B															
1800 - 1900	\$2.95	115	405	520	B	\$2.95	164	398	562	B															
1900 - 2000	\$2.95	118	321	439	B	\$2.95	134	253	387	A															



## RCTC WESTBOUND PEAK-HOUR VOLUMES

Westbound AM Peak - McKinley to County Line

AM Time	Monday 12/02/19					Tuesday 12/03/19					Wednesday 12/04/19					Thursday 12/05/19					Friday 12/06/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$10.80	435	1,115	1,550	F	\$10.80	404	1,100	1,504	F	\$10.80	374	1,013	1,387	F	\$10.50	377	1,074	1,451	F	\$5.30	389	717	1,106	D
0500 - 0600	\$23.25	499	858	1,357	F	\$22.80	497	829	1,326	E	\$18.40	368	920	1,288	E	\$17.50	459	1,111	1,570	F	\$12.20	449	1,041	1,490	F
0600 - 0700	\$20.20	330	900	1,230	E	\$17.45	304	861	1,165	D	\$19.40	304	545	849	C	\$19.40	344	737	1,081	D	\$11.45	383	1,168	1,551	F
0700 - 0800	\$16.35	320	1,258	1,578	F	\$16.35	313	1,358	1,671	F	\$17.10	320	1,167	1,487	F	\$15.30	308	1,361	1,669	F	\$9.30	336	1,207	1,543	F
0800 - 0900	\$11.15	200	1,365	1,565	F	\$11.45	180	1,518	1,698	F	\$11.45	164	1,288	1,452	F	\$12.20	183	1,445	1,628	F	\$8.00	181	1,129	1,310	E
0900 - 1000	\$6.95	176	987	1,163	D	\$9.00	153	1,123	1,276	E	\$8.00	148	1,049	1,197	D	\$9.00	178	1,044	1,222	E	\$5.30	167	884	1,051	D

AM Time	Monday 12/09/19					Tuesday 12/10/19					Wednesday 12/11/19					Thursday 12/12/19					Friday 12/13/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$10.80	404	1,146	1,550	F	\$10.80	407	1,148	1,555	F	\$10.80	390	1,233	1,623	F	\$10.50	416	1,210	1,626	F	\$5.30	353	733	1,086	D
0500 - 0600	\$23.25	482	920	1,402	F	\$22.80	550	903	1,453	F	\$18.40	449	1,115	1,564	F	\$17.50	478	1,177	1,655	F	\$12.20	415	1,121	1,536	F
0600 - 0700	\$20.20	336	877	1,213	E	\$17.45	322	836	1,158	D	\$19.40	379	653	1,032	D	\$19.40	382	804	1,186	D	\$11.45	421	1,161	1,582	F
0700 - 0800	\$16.35	314	1,258	1,572	F	\$16.35	317	1,249	1,566	F	\$17.10	327	1,283	1,610	F	\$15.30	318	1,307	1,625	F	\$9.30	315	1,221	1,536	F
0800 - 0900	\$11.15	175	1,492	1,667	F	\$11.45	172	1,567	1,739	F	\$11.45	207	1,448	1,655	F	\$12.20	200	1,428	1,628	F	\$8.00	184	1,155	1,339	E
0900 - 1000	\$6.95	165	1,134	1,299	E	\$9.00	162	1,121	1,283	E	\$8.00	166	1,126	1,292	E	\$9.00	186	1,207	1,393	F	\$5.30	158	1,002	1,160	D

AM Time	Monday 12/16/19					Tuesday 12/17/19					Wednesday 12/18/19					Thursday 12/19/19					Friday 12/20/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$10.80	421	1,134	1,555	F	\$10.80	359	1,133	1,492	F	\$10.80	418	1,236	1,654	F	\$10.50	436	1,144	1,580	F	\$5.30	313	727	1,040	D
0500 - 0600	\$23.25	438	839	1,277	E	\$22.80	537	894	1,431	F	\$18.40	441	1,165	1,606	F	\$17.50	508	1,054	1,562	F	\$12.20	400	1,110	1,510	F
0600 - 0700	\$20.20	342	929	1,271	E	\$17.45	341	830	1,171	D	\$19.40	385	702	1,087	D	\$19.40	422	772	1,194	D	\$11.45	389	1,173	1,562	F
0700 - 0800	\$16.35	313	1,351	1,664	F	\$16.35	337	1,360	1,697	F	\$17.10	342	1,335	1,677	F	\$15.30	359	1,330	1,689	F	\$9.30	323	1,162	1,485	F
0800 - 0900	\$11.15	179	1,478	1,657	F	\$11.45	206	1,448	1,654	F	\$11.45	179	1,458	1,637	F	\$12.20	248	1,343	1,591	F	\$8.00	161	1,170	1,331	E
0900 - 1000	\$6.95	179	1,117	1,296	E	\$9.00	172	1,205	1,377	F	\$8.00	163	1,094	1,257	E	\$9.00	199	1,139	1,338	E	\$5.30	189	874	1,063	D

AM Time	Monday 12/23/19					Tuesday 12/24/19					Wednesday 12/25/19					Thursday 12/26/19					Friday 12/27/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$10.80	301	759	1,060	D	\$5.30	143	366	509	B	\$1.55	10	12	22	A	\$10.50	202	564	766	B	\$5.30	212	404	616	B
0500 - 0600	\$23.25	322	607	929	C	\$12.20	162	316	478	B	\$1.55	10	13	23	A	\$17.50	223	483	706	B	\$12.20	212	529	741	B
0600 - 0700	\$20.20	209	652	861	C	\$11.45	76	306	382	A	\$1.55	8	18	26	A	\$19.40	130	282	412	B	\$11.45	202	554	756	B
0700 - 0800	\$16.35	172	720	892	C	\$9.30	101	393	494	B	\$1.55	17	43	60	A	\$15.30	140	452	592	B	\$9.30	142	544	686	B
0800 - 0900	\$11.15	246	1,190	1,436	F	\$8.00	84	348	432	B	\$1.55	52	89	141	A	\$12.20	115	581	696	B	\$8.00	124	583	707	B
0900 - 1000	\$6.95	203	746	949	C	\$5.30	126	371	497	B	\$1.55	112	217	329	A	\$9.00	119	389	508	B	\$5.30	171	493	664	B

AM Time	Monday 12/30/19					Tuesday 12/31/19					Wednesday 01/01/20					Thursday 01/02/20					Friday 01/03/20				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$10.80	240	668	908	C	\$5.30	184	481	665	B															
0500 - 0600	\$23.25	276	590	866	C	\$12.20	219	509	728	B															
0600 - 0700	\$20.20	150	501	651	B	\$11.45	115	382	497	B															
0700 - 0800	\$16.35	155	671	826	C	\$9.30	126	423	549	B															
0800 - 0900	\$11.15	128	640	768	B	\$8.00	91	368	459	B															
0900 - 1000	\$6.95	137	558	695	B	\$5.30	128	398	526	B															



**Westbound AM Peak - I-15 North to County Line**

AM Time	Monday 12/02/19					Tuesday 12/03/19					Wednesday 12/04/19					Thursday 12/05/19					Friday 12/06/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$6.85	264	799	1,063	D	\$5.30	233	865	1,098	D	\$5.30	244	699	943	C	\$5.30	201	773	974	C	\$2.95	205	666	871	C
0500 - 0600	\$18.00	382	1,182	1,564	F	\$17.25	311	1,029	1,340	E	\$16.60	309	1,024	1,333	E	\$13.50	338	1,104	1,442	F	\$6.85	325	938	1,263	E
0600 - 0700	\$19.35	303	1,070	1,373	E	\$17.55	290	1,101	1,391	E	\$19.65	265	898	1,163	D	\$14.50	296	1,102	1,398	E	\$6.85	250	1,043	1,293	E
0700 - 0800	\$12.15	227	1,082	1,309	E	\$13.45	232	1,328	1,560	F	\$12.45	171	976	1,147	D	\$11.40	216	1,223	1,439	F	\$6.85	213	987	1,200	D
0800 - 0900	\$6.85	107	1,102	1,209	E	\$8.85	101	1,296	1,397	E	\$6.85	94	1,051	1,145	D	\$8.85	89	1,121	1,210	E	\$5.30	91	909	1,000	C
0900 - 1000	\$5.30	100	756	856	C	\$5.30	108	946	1,054	D	\$5.30	85	817	902	C	\$5.30	97	898	995	C	\$2.95	81	801	882	C

AM Time	Monday 12/09/19					Tuesday 12/10/19					Wednesday 12/11/19					Thursday 12/12/19					Friday 12/13/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$6.85	251	795	1,046	D	\$5.30	234	845	1,079	D	\$5.30	221	855	1,076	D	\$5.30	225	791	1,016	D	\$2.95	212	664	876	C
0500 - 0600	\$18.00	322	1,173	1,495	F	\$17.25	363	1,137	1,500	F	\$16.60	334	1,137	1,471	F	\$13.50	364	1,199	1,563	F	\$6.85	281	906	1,187	D
0600 - 0700	\$19.35	280	1,100	1,380	E	\$17.55	320	1,146	1,466	F	\$19.65	289	1,119	1,408	F	\$14.50	304	1,092	1,396	E	\$6.85	231	1,086	1,317	E
0700 - 0800	\$12.15	210	1,233	1,443	F	\$13.45	233	1,282	1,515	F	\$12.45	235	1,293	1,528	F	\$11.40	194	1,173	1,367	E	\$6.85	172	1,024	1,196	D
0800 - 0900	\$6.85	109	1,249	1,358	E	\$8.85	127	1,419	1,546	F	\$6.85	118	1,313	1,431	F	\$8.85	100	1,172	1,272	E	\$5.30	87	951	1,038	D
0900 - 1000	\$5.30	108	944	1,052	D	\$5.30	91	1,028	1,119	D	\$5.30	136	959	1,095	D	\$5.30	119	887	1,006	D	\$2.95	107	789	896	C

AM Time	Monday 12/16/19					Tuesday 12/17/19					Wednesday 12/18/19					Thursday 12/19/19					Friday 12/20/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$6.85	198	887	1,085	D	\$5.30	214	858	1,072	D	\$5.30	235	799	1,034	D	\$5.30	258	812	1,070	D	\$2.95	178	731	909	C
0500 - 0600	\$18.00	315	1,176	1,491	F	\$17.25	326	1,200	1,526	F	\$16.60	320	1,137	1,457	F	\$13.50	374	1,101	1,475	F	\$6.85	267	954	1,221	E
0600 - 0700	\$19.35	273	1,104	1,377	E	\$17.55	289	1,140	1,429	F	\$19.65	302	1,106	1,408	F	\$14.50	316	1,084	1,400	E	\$6.85	228	1,046	1,274	E
0700 - 0800	\$12.15	230	1,223	1,453	F	\$13.45	277	1,248	1,525	F	\$12.45	190	1,129	1,319	E	\$11.40	210	1,062	1,272	E	\$6.85	176	993	1,169	D
0800 - 0900	\$6.85	105	1,170	1,275	E	\$8.85	126	1,242	1,368	E	\$6.85	90	1,236	1,326	E	\$8.85	114	1,089	1,203	E	\$5.30	104	901	1,005	D
0900 - 1000	\$5.30	93	900	993	C	\$5.30	101	983	1,084	D	\$5.30	114	936	1,050	D	\$5.30	116	930	1,046	D	\$2.95	94	815	909	C

AM Time	Monday 12/23/19					Tuesday 12/24/19					Wednesday 12/25/19					Thursday 12/26/19					Friday 12/27/19				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$6.85	194	601	795	B	\$2.95	83	281	364	A	\$1.95	10	14	24	A	\$5.30	112	380	492	B	\$2.95	114	393	507	B
0500 - 0600	\$18.00	263	819	1,082	D	\$6.85	106	313	419	B	\$1.95	13	28	41	A	\$13.50	163	511	674	B	\$6.85	146	464	610	B
0600 - 0700	\$19.35	159	704	863	C	\$6.85	66	356	422	B	\$1.95	21	36	57	A	\$14.50	107	442	549	B	\$6.85	137	504	641	B
0700 - 0800	\$12.15	114	716	830	C	\$6.85	48	284	332	A	\$1.95	14	37	51	A	\$11.40	71	446	517	B	\$6.85	85	477	562	B
0800 - 0900	\$6.85	76	574	650	B	\$5.30	63	295	358	A	\$1.95	53	87	140	A	\$8.85	55	438	493	B	\$5.30	97	510	607	B
0900 - 1000	\$5.30	123	646	769	B	\$2.95	101	332	433	B	\$1.95	136	189	325	A	\$5.30	106	413	519	B	\$2.95	130	499	629	B

AM Time	Monday 12/30/19					Tuesday 12/31/19					Wednesday 01/01/20					Thursday 01/02/20					Friday 01/03/20				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$6.85	151	490	641	B	\$2.95	120	345	465	B															
0500 - 0600	\$18.00	201	681	882	C	\$6.85	145	486	631	B															
0600 - 0700	\$19.35	134	598	732	B	\$6.85	77	474	551	B															
0700 - 0800	\$12.15	78	523	601	B	\$6.85	61	387	448	B															
0800 - 0900	\$6.85	73	559	632	B	\$5.30	56	395	451	B															
0900 - 1000	\$5.30	96	516	612	B	\$2.95	93	340	433	B															



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## RCTC OPERATIONAL HIGHLIGHTS

### **On-road Operations**

RCTC Freeway Service Patrol (FSP) responded to 64 calls during the month of December. Of those calls, 54 were to assist disabled vehicles, 6 calls to remove debris and 4 were in response to accidents in the Express Lanes

### **6C Transponder Technology**

In December, the 91 Express Lanes began sending letters to customers notifying them of the transition to the new 6C protocol, as well as changes to the account plans, user agreement and privacy policy. A new welcome kit, which includes mounting instructions, has been designed and developed and will be sent with the new sticker transponders in the upcoming weeks. It is envisioned the distribution of the new transponders to all the customers will take place over several months.



# FINANCIAL HIGHLIGHTS RCTC

## RCTC 91 Express Lanes Operating Statement

Description	YTD as of : <b>12/31/2019</b>		YTD Variance	
	Actual <sup>1</sup>	Budget	Dollar \$	Percent (%)
<b>Operating revenues:</b>				
Toll Revenue	\$ 30,520,448.48	\$ 18,294,550.00	\$ 12,225,898.48	66.8
Fee Revenue	3,929,501.92	2,640,150.00	1,289,351.92	48.8
<b>Total operating revenues</b>	<b>34,449,950.40</b>	<b>20,934,700.00</b>	<b>13,515,250.40</b>	<b>64.6</b>
<b>Operating expenses:</b>				
Salaries and Benefits	391,797.29	676,700.00	284,902.71	42.1
Legal Services	110,402.19	175,000.00	64,597.81	36.9
Advisory Services	29,617.58	37,500.00	7,882.42	21.0
Audit and Accounting Fees	46,000.00	23,500.00	(22,500.00)	(95.7)
Service Fees	1,086.78	13,000.00	11,913.22	91.6
Other Professional Services	111,477.97	737,950.00	626,472.03	84.9
Lease Expense	112,696.47	128,250.00	15,553.53	12.1
Operations	1,406,386.19	1,814,250.00	407,863.81	22.5
Utilities	13,881.70	31,250.00	17,368.30	55.6
Supplies and Materials	123.62	2,500.00	2,376.38	95.1
Membership and Subscription Fees	20,056.75	12,500.00	(7,556.75)	(60.5)
Office Equipment & Furniture (Non-Capital)	747.12	2,500.00	1,752.88	70.1
Maintenance/Repairs	71,405.32	174,900.00	103,494.68	59.2
Training Seminars and Conferences	350.00	2,250.00	1,900.00	84.4
Transportation Expenses	140.83	3,750.00	3,609.17	96.2
Lodging	1,328.48	3,500.00	2,171.52	62.0
Meals	302.88	500.00	197.12	39.4
Other Staff Expenses	328.10	500.00	171.90	34.4
Advertising	38.00	95,000.00	94,962.00	100.0
Program Management	38,113.07	-	(38,113.07)	N/A
Program Operations	3,507,671.85	5,328,350.00	1,820,678.15	34.2
Litigation Settlement	-	5,000.00	5,000.00	100.0
Furniture & Equipment	265,261.31	375,000.00	109,738.69	29.3
Improvements	16,032.27	8,050.00	(7,982.27)	(99.2)
Depreciation	2,695,986.01 <sup>#</sup>	-	(2,695,986.01)	N/A
Bad Debt Expense	8.30	-	(8.30)	N/A
<b>Total operating expenses</b>	<b>8,841,240.08</b>	<b>9,651,700.00</b>	<b>810,459.92</b>	<b>8.4</b>
<b>Operating income (loss)</b>	<b>25,608,710.32</b>	<b>11,283,000.00</b>	<b>14,325,710.32</b>	<b>127.0</b>
<b>Nonoperating revenues (expenses):</b>				
Interest Revenue	1,132,450.03	761,050.00	371,400.03	(48.8)
Other Miscellaneous Revenue	(875.72)	-	(875.72)	N/A
Interest Expense	(12,566,517.39)	(3,559,950.00)	(9,006,567.39)	253.0
<b>Total nonoperating revenues (expenses)</b>	<b>(12,263,642.90)</b>	<b>(2,798,900.00)</b>	<b>(9,464,742.90)</b>	<b>(338.2)</b>
Transfers In	-	-	-	N/A
Transfers Out	(325,600.00)	(1,529,750.00)	1,204,150.00	(78.7)
<b>Net income (loss)</b>	<b>\$ 13,019,467.42</b>	<b>\$ 6,954,350.00</b>	<b>\$ 6,065,117.42</b>	<b>87.2</b>

<sup>1</sup> Unaudited

<sup>2</sup> Depreciation is not a budgeted expense



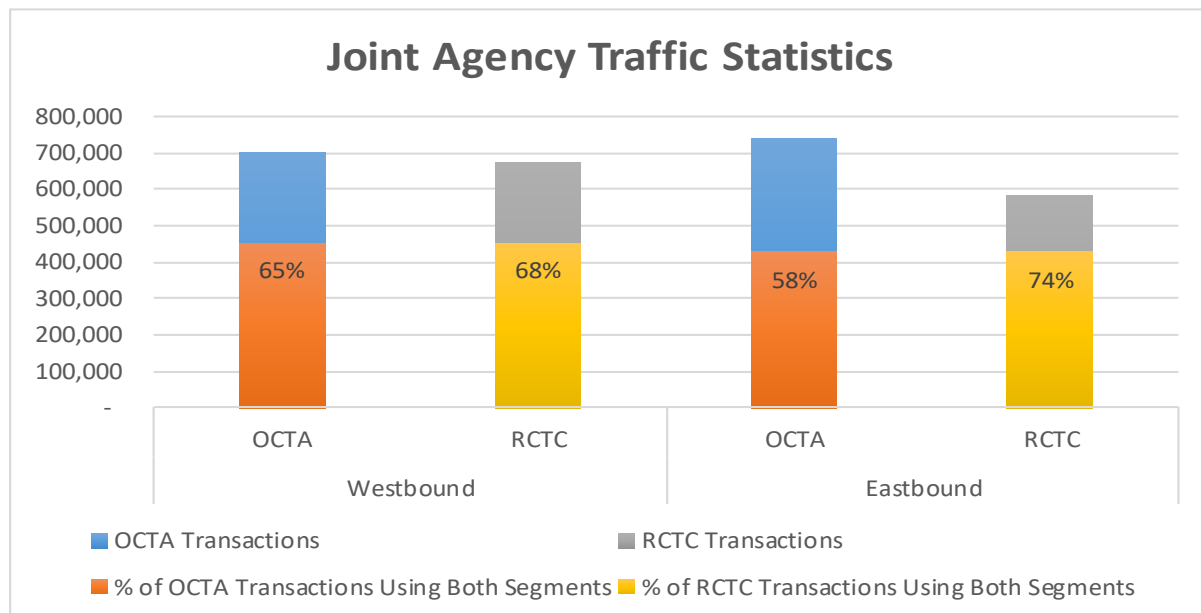
## JOINT AGENCY TRIP AND REVENUE STATISTICS

### MULTI AGENCY TRIP AND REVENUE STATISTICS

MONTH ENDING December 31, 2019

MTD	Transactions by Agency	Transactions Using Both Segments	% Using Both Segments	Revenue
<b>Westbound</b>				
OCTA	700,650	455,249	65%	\$ 1,765,894
RCTC	672,805	455,249	68%	\$ 3,378,110
I-15	296,322	204,234	69%	\$ 1,407,025
McKinley	376,483	251,015	67%	\$ 1,971,085
<b>Eastbound</b>				
OCTA	739,586	429,066	58%	\$ 2,572,405
RCTC	581,781	429,066	74%	\$ 1,899,034
I-15	222,069	174,260	78%	\$ 492,501
McKinley	359,712	254,806	71%	\$ 1,406,533

## JOINT AGENCY TRAFFIC STATISTICS





## JOINT AGENCY PERFORMANCE MEASURES

REPORTING REQUIREMENT	Reporting Period	PERFORMANCE STANDARD	Dec-19 Performance
<b>CUSTOMER SERVICE</b>			
Call Wait Time	Monthly	Not to exceed 2 minutes	1:01
Abandon Rate	Monthly	No more than 4.0%	1.3%
Customer Satisfaction	Monthly	At least 75 outbound calls	75
<b>VIOLATION PROCESSING</b>			
Response Time	Monthly	Within 2 business days of receipt	0.8
CUSA Violation Collection Rate	Quarterly	70% or more	69%
CUSA Violation Collection Rate	Annually	74% or more	
<b>TRAFFIC OPERATIONS</b>			
Initial & Secondary Review s	Monthly	Equal to or less than 15 days	1.0
* Plate Misread Errors	Monthly	Equal to or less than 0.4%	0.01%
CAS Response Time	Monthly	0:20 (minutes) per call	0:12
<b>ACCOUNTING</b>			
OCTA Exceptions	Monthly	No more than 3	0
RCTC Exceptions	Monthly	No more than 3	0
<b>INFORMATION TECHNOLOGY</b>			
Back-office System Uptime	Monthly	99% Availability	100%
Netw ork Uptime	Monthly	99% Availability	100%

CUSA = Cofiroute USA; CAS = OCTA Customer Assistance Specialists

\* Plate Misread Error performance is current after a 60-day hold-back period; therefore, percentage reported here is for 2 months prior to the month of this report.

## JOINT AGENCY TRANSPONDER DISTRIBUTION

TRANSPONDER DISTRIBUTION	December-19		November-19		FY 2019-20	
	Tags	% of Total	Tags	% of Total	Average To-Date	
<b>Issued</b>						
To New Accounts	1,143	47.5%	870	53.9%	1,338	50.4%
Additional Tags to Existing Accounts	805	33.5%	472	29.2%	804	30.3%
Replacement Transponders	458	19.0%	272	16.9%	515	19.4%
Total Issued	<b>2,406</b>		<b>1,614</b>		<b>2,657</b>	
<b>Returned</b>						
Account Closures	400	47.3%	420	38.3%	475	40.4%
Accounts Down sizing	147	17.4%	107	9.8%	154	13.1%
Defective Transponders	299	35.3%	570	52.0%	546	46.5%
Total Returned	<b>846</b>		<b>1,097</b>		<b>1,175</b>	

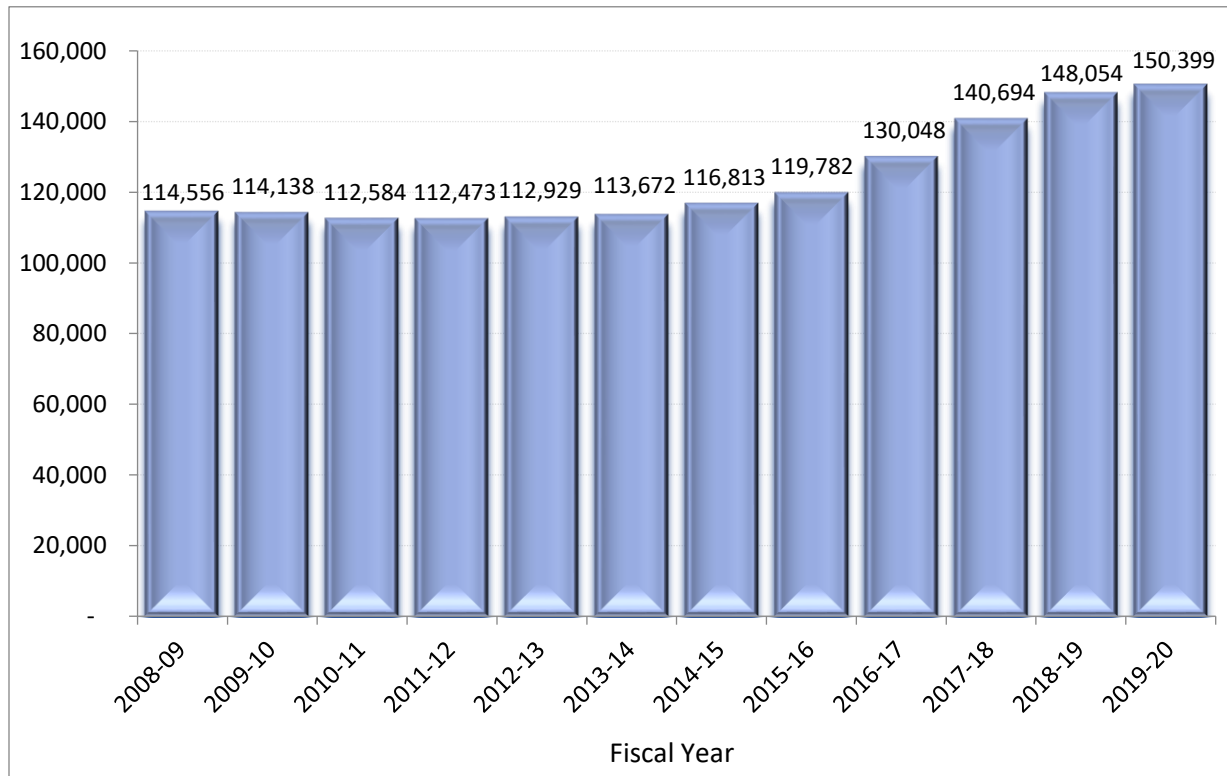


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At the end of December 2019, the 91 Express Lanes had 150,399 active customer accounts and 229,597 transponders classified as Assigned.

### Number of Accounts by Fiscal Year

As of December 31, 2019



### Incoming Email Activity

During December, the Anaheim Processing Center received 2,928 emails.





## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors  
**From:** Laurena Weinert, Clerk of the Board  
**Subject:** Fiscal Year 2019-20 Second Quarter Grant Reimbursement Status Report

Finance and Administration Committee Meeting of February 26, 2020

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

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**

Receive and file as an information item.





**February 26, 2020**

**To:** Finance and Administration Committee  
**From:** Darrell E. Johnson, Chief Executive Officer *[Signature]*  
**Subject:** Fiscal Year 2019-20 Second Quarter Grant Reimbursement Status Report

**Overview**

The Quarterly Grant Reimbursement Status Report summarizes grant activities for the Orange County Transportation Authority Board of Directors. This report focuses on activity for the period of October through December 2020.

**Recommendation**

Receive and file as an information item.

**Discussion**

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

**Awarded/Executed Grant Agreements:**

OCTA executed one formula and one discretionary grant during the second quarter, which are summarized below.

**Fiscal Year (FY) 2020 State of Good Repair (SGR) Program.**

The Board authorized OCTA to utilize FY 2019-20 SGR funds to purchase up to seven iShuttle replacement buses, replace up to six El Dorado Cutaways with 40-foot zero-emission battery electric buses, and replace the existing emergency power standby generators at the Anaheim and Irvine Construction Circle bus bases.



FY 2020 California Office of Traffic Safety (OTS) – Safety Education Classes.

OTS awarded OCTA \$100,000 in competitive funds to develop and implement bicycle and pedestrian safety education classes to raise public awareness of safe bicycling and pedestrian practices, and reduce injuries involving bicyclists and pedestrians. This award will fund bicycle skills classes, a train-the-trainer course, and distribute reflective keychains, helmets, and bicycle lights, similar to efforts in FY 2017-18 and FY 2018-19.

Current Grant Agreements:

OCTA's Federal Transit Administration (FTA) formula grant agreements total nine and FTA discretionary grant agreements total four (Attachment A).

The nine FTA formula grant agreements have a total federal amount of \$282 million. A total of \$260 million has been reimbursed, leaving a balance of approximately \$21.9 million. The balance of these nine FTA formula grant agreements will primarily fund the OC Streetcar, fixed-route bus procurements, rideshare and vanpool programs, Laguna Niguel/San Juan Capistrano passing siding project, and rail rehabilitation projects.

The four FTA discretionary grant agreements have a total federal amount of \$166.8 million. This includes the full funding grant agreement award of \$148.9 million. A total of \$32.2 million has been reimbursed, leaving a balance of \$134.6 million. The balance of these four FTA discretionary grant agreements will primarily fund the OC Streetcar and slope stabilization improvements on the railroad right-of-way from the City of Laguna Niguel to the City of Lake Forest. The balance will also fund security camera surveillance systems for commuter rail stations and transit facilities located in the cities of Anaheim, Garden Grove, Laguna Niguel/Mission Viejo, Orange, and Santa Ana.

The total FTA formula and discretionary grant agreements amount to \$448.9 million. The total amount reimbursed through the second quarter under these grant agreements is \$292.4 million, leaving a balance of \$156.5 million.

OCTA also has 35 active state and Federal Highway Administration (FHWA) formula grant agreements (Attachment B) and 19 active state discretionary grant agreements (Attachment C).

The 35 state and FHWA formula grant agreements total \$214.7 million. The total amount reimbursed through the second quarter under these other grant agreements is \$165.1 million, leaving a balance of \$49.6 million.

The 19 state discretionary grant agreements total approximately \$24.2 million. A total of \$8.9 million of these discretionary grant agreements has been reimbursed,



leaving a balance of \$15.3 million. These state discretionary grant agreements have a defined grant expiration date. Project expenses must be fully paid and reimbursed prior to the grant agreement expiration date.

This report activity is as of December 31, 2019, and any grants with a deadline between the quarter end and the date this report is published will be fully reimbursed and closed out. This activity will be reflected in next quarter's report. Additionally, for these grants, staff anticipates each of the remaining balances to be fully reimbursed prior to the grant agreement expiration date.

**Grant Agreements Pending Close-out:**

There are four grant agreements totaling \$31 million which are pending close-out in the second quarter of FY 2019-20. All invoices for these grant agreements have been submitted to the external funding agency for reimbursement, and OCTA is pending final payment and/or approval of close-out documentation. These grant agreements are summarized in Attachment D.

**Closed Grant Agreements:**

There are three grant agreements totaling \$53.1 million that were closed out in the second quarter of FY 2019-20. These grant agreements are summarized in Attachment E.

***Summary***

This report provides an update of the grant agreement funded activities for the second quarter of FY 2019-20, October through December 2019. Staff recommends this report be received and filed as an information item.



***Attachments***

- A. Second Quarter Grant Reimbursement Status Report, October through December 2019, Federal Transit Administration Formula and Discretionary Grant Agreements
- B. Second Quarter Grant Reimbursement Status Report, October through December 2019, State and Federal Highway Administration Formula Grant Agreements
- C. Second Quarter Grant Reimbursement Status Report, October through December 2019, State Discretionary Grant Agreements
- D. Second Quarter Grant Reimbursement Status Report, October through December 2019, Grant Agreements Pending Close-out
- E. Second Quarter Grant Reimbursement Status Report, October through December 2019, Closed Grant Agreements

**Prepared by:**

A handwritten signature in blue ink that reads "Supindayit Kaur".

Sam Kaur  
Department Manager,  
Revenue and Grants Administration  
714-560-5889

**Approved by:**

A handwritten signature in blue ink that reads "Aaftel".

Andrew Oftelie  
Chief Financial Officer,  
Finance and Administration  
714-560-5649



**Second Quarter Grant Reimbursement Status Report**  
**October through December 2019**

Federal Transit Administration Formula and Discretionary Grant Agreements						
	FEDERAL FISCAL YEAR (FFY)	GRANT NUMBER	FEDERAL AMOUNT	FEDERAL AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
FTA Section 5307 - Urbanized Area Formula Grant Program						
	1	CA-90-Y942	\$ 57,746,966	\$ 57,623,333	\$ 123,633	August 2020
	2	CA-90-2027	53,878,508	53,527,563	350,945	June 2021
	3	CA-90-Z174	55,129,189	55,095,991	33,198	June 2020
	4	CA-2016-032	55,400,721	54,919,692	481,029	September 2021
	FTA Section 5307 Grant Subtotal		\$ 222,155,384	\$ 221,166,579	\$ 988,805	
FTA Section 5307 - Federal Funds flexed from the Federal Highway Administration (FHWA):						
	5	CA-95-X131	\$ 2,102,650	\$ 1,800,743	\$ 301,907	June 2020
	6	CA-95-X254	5,657,000	4,920,836	736,164	September 2020
	7	CA-95-X286	6,621,000	5,133,797	1,487,203	October 2021
	8	CA-2017-072	31,567,405	15,312,745	16,254,660	October 2021
	FTA Section 5307 Flexed Grant Subtotal		\$ 45,948,055	\$ 27,168,121	\$ 18,779,934	
FTA Section 5316 - Jobs Access and Reverse Commute (JARC) Grant Program						
	9	CA-37-X113	\$ 13,962,491	\$ 11,836,947	\$ 2,125,544	December 2022
	FTA Section 5316 Grant Subtotal		\$ 13,962,491	\$ 11,836,947	\$ 2,125,544	
Federal Transit Administration Formula Grants Total			\$ 282,065,930	\$ 260,171,647	\$ 21,894,283	
	FEDERAL FISCAL YEAR (FFY)	GRANT NUMBER	FEDERAL AMOUNT	FEDERAL AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
FTA Section 5309 - Discretionary Capital Grant Program						
	10	CA-04-0078	\$ 7,021,300	\$ 6,030,463	\$ 990,837	September 2020
	11	CA-04-0122	4,845,999	1,241,252	3,604,747	December 2020
	12	CA-05-0269	6,000,000	5,948,088	51,912	April 2020
	FTA Section 5309 Grant Subtotal		\$ 17,867,299	\$ 13,219,803	\$ 4,647,496	
FTA Section 5309 - Discretionary Capital Grant Program (FFGA)						
	13	CA-2019-018	\$ 148,955,409	\$ 18,973,494	\$ 129,981,915	June 2023
	FTA Section 5309 FFGA Grant Subtotal		\$ 148,955,409	\$ 18,973,494	\$ 129,981,915	
Federal Transit Administration Discretionary Grants Total			\$ 166,822,708	\$ 32,193,297	\$ 134,629,411	



Second Quarter Grant Reimbursement Status Report  
October through December 2019

Federal Transit Administration Formula and Discretionary Grant Agreements				
Total Federal Transit Administration Formula and Discretionary Grant Agreements	\$	448,888,638	\$	292,364,944
			\$	156,523,694

Funding Source Notes:

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

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

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

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



# Second Quarter Grant Reimbursement Status Report

October through December 2019

ATTACHMENT B

State and Federal Highway Administration Formula Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
Prop 1B Intercity Rail Improvement (IRI)						
1	2018	Laguna Niguel to SJIC Passing Siding (Construction)	\$ 2,000,000	\$ 0	\$ 2,000,000	February 2022
PROP 1B IRI Subtotal			\$ 2,000,000	\$ 0	\$ 2,000,000	
Federal Highway Administration Grant Program - Congestion Mitigation & Air Quality (CMAQ)						
2	2012	I-5 HOV Segment 1, Ave Pico to Vista Hermosa (PS&E)	\$ 4,246,000	\$ 3,362,977	\$ 883,023	June 2020
3	2013	I-5 HOV Segment 1, Ave Pico to Vista Hermosa (ROW)	8,000,000	4,009,067	3,990,933	June 2020
4	2015	I-5 from the Orange/San Diego County Line to Avenida Pico (PA/ED)	450,000	431,447	18,553	June 2020
5	2015	I-5, SR-55 to SR-57 (PS&E)	2,800,000	2,352,003	447,997	June 2022
CMAQ Subtotal			\$ 15,496,000	\$ 10,155,494	\$ 5,340,506	
Federal Highway Administration Grant Program - Regional Surface Transportation Program (RSTP)						
6	2013	I-5, I-405 to SR-55 (PA/ED)	\$ 8,000,000	\$ 6,479,204	\$ 1,520,796	June 2020
7	2014	I-5 Segment 2, Oso Pkwy to Alicia Pkwy (PS&E)	10,000,000	9,739,572	260,428	June 2021
8	2015	I-405, I-5 to SR-55 (PA/ED)	8,000,000	6,382,025	1,617,975	June 2022
9	2015	I-5 Segment 1, SR-73 to Oso Pkwy (PS&E)	9,101,000	8,633,382	467,618	June 2022
10	2015	I-5 Segment 3, Alicia Pkwy to El Toro Rd (PS&E)	8,044,000	6,815,536	1,228,464	June 2022
11	2015	SR-91, SR-57 to SR-55 (PA/ED)	7,000,000	4,075,897	2,924,103	June 2020
12	2016	SR-57, Orangewood to Katella Ave (PA/ED)	2,500,000	1,717,037	782,963	June 2021
13	2017	SR-55, I-5 to SR-91 (PA/ED)	5,000,000	3,064,188	1,935,812	June 2022
RSTP Subtotal			\$ 57,645,000	\$ 46,906,840	\$ 10,738,160	
Federal Highway Administration Grant Program - State Transportation Block Grant (STBG)						
14	2016	I-405, SR-73 to I-605 (Construction)	\$ 1,000	\$ 0	\$ 1,000	June 2021
15	2018	SR-55, I-405 to I-5 (PS&E)	13,800,000	10,438,189	3,361,811	June 2023
STBG Subtotal			\$ 13,801,000	\$ 10,438,189	\$ 3,362,811	
Low Carbon Transit Operations Program (LCTOP) - California Department of Transportation (CALTRANS)						
16	2017	Bus Bicycle Racks	\$ 766,345	\$ 151,580	\$ 614,765	May 2020
17	2018	Bravo! Route 529 Start-up & Operations	4,787,534	3,122,242	1,665,292	July 2020
18	2019	Battery Electric Buses, Bus Depot Upgrades & Charging Infrastructure	2,523,000	0	2,523,000	June 2023
19	2019	Bravo! Main Street Operations	2,912,976	0	2,912,976	November 2024
20	2019	College Fare Program for Fullerton	381,523	0	381,523	August 2022
21	2019	College Fare Program for Golden West	215,279	36,305	178,974	August 2022
22	2019	College Fare Program for Santa Ana College	393,198	0	393,198	August 2020
23	2019	Travel Training	685,000	69,428	615,572	July 2022
CAP & TRADE LCTOP Subtotal			\$ 12,664,855	\$ 3,379,555	\$ 9,285,300	



# Second Quarter Grant Reimbursement Status Report

October through December 2019

State and Federal Highway Administration Formula Grant Agreements							
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT	
SAFETEAU: Projects of National and Regional Significance (PNRS)							
	24	2013	Lakeview Ave Grade Separation (Construction)	\$ 9,709,030	\$ 9,519,323	\$ 189,707	June 2020
SAFETEAU-PNRS Subtotal			\$ 9,709,030	\$ 9,519,323	\$ 189,707		
State Proposition 1B: Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA)							
	25	2015	Raymond Ave Grade Separation Project (Construction)	\$ 44,234,008	\$ 43,664,137	\$ 569,871	May 2020
PROP 1B PTMISEA Subtotal			\$ 44,234,008	\$ 43,664,137	\$ 569,871		
State Proposition 1B: Trade Corridor Improvement Fund (TCIF)							
	26	2013	Lakeview Ave Grade Separation (Construction)	\$ 26,704,499	\$ 25,198,162	\$ 1,506,337	June 2020
PROP 1B TCIF Subtotal			\$ 26,704,499	\$ 25,198,162	\$ 1,506,337		
State Transportation Improvement Plan (STIP) Programming, Planning & Monitoring (PPM)							
	27	2019	PPM Program	\$ 1,481,000	\$ 0	\$ 1,481,000	December 2021
STIP PPM Subtotal			\$ 1,481,000	\$ 0	\$ 1,481,000		
State Transportation Improvement Program (PTA)							
	28	2016	Orange Transportation Center Parking Structure (Construction)	\$ 13,762,000	\$ 10,264,970	\$ 3,497,030	June 2020
STIP PTA Subtotal			\$ 13,762,000	\$ 10,264,970	\$ 3,497,030		
Senate Bill 1: State of Good Repair							
	29	2018	Heating-Ventilation Unit Replacements at Anaheim Base Maintenance B	\$ 66,681	\$ 22,499	\$ 44,182	February 2020
	30	2018	Ten Zero-Emission Hydrogen Fuel Cell Buses	5,606,362	5,590,432	15,930	March 2020
	31	2019	iShuttle Replacement Buses	5,580,604	0	5,580,604	November 2021
	32	2020	El Dorado Cutaway Bus Replacement	1,891,651	0	1,891,651	December 2022
	33	2020	iShuttle Replacement Buses	3,062,751	0	3,062,751	November 2021
	34	2020	Replacement of Emergency Standby Generators	800,000	0	800,000	March 2021
SB1 SGR Subtotal			\$ 17,008,049	\$ 5,612,931	\$ 11,395,118		
FTA Section 5304 - Sustainable Communities							
	35	2020	Freeway Bus Rapid Transit Concept Study	\$ 210,602	\$ 0	\$ 210,602	April 2022
FTA Section 5304 Subtotal			\$ 210,602	\$ 0	\$ 210,602		
Total State and Federal Highway Administration Formula Grant Agreements			\$ 214,716,043	\$ 165,139,600	\$ 49,576,443		



Second Quarter Grant Reimbursement Status Report  
October through December 2019

State Discretionary Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
South Coast Air Quality Management District (SCAQMD)						
1	2018	Ten Zero-Emission Hydrogen Fuel Cell Buses	\$ 1,000,000	\$ 700,000	\$ 300,000	March 2020
SCAQMD Subtotal			\$ 1,000,000	\$ 700,000	\$ 300,000	
Active Transportation Program (ATP)						
2	2017	Orange County Active Transportation Plan (PS&E)	\$ 280,000	\$ 251,106	\$ 28,894	February 2020
3	2020	Safe Travels Education Program (STEP) Campaign	500,000	0	500,000	July 2022
ATP Subtotal			\$ 780,000	\$ 251,106	\$ 528,894	
California Air Resources Board (CARB)						
4	2018	Facility Upgrades	\$ 339,819	\$ 0	\$ 339,819	June 2020
5	2018	Hydrogen Station	5,488,273	3,330,517	2,157,756	November 2021
6	2018	Ten Zero-Emission Hydrogen Fuel Cell Buses	6,338,000	4,021,565	2,316,435	March 2020
CARB Subtotal			\$ 12,166,092	\$ 7,352,082	\$ 4,814,010	
Air Quality Management District (AQMD) Grant Program and Mobile Source Air Pollution Reduction Review Committee (MSRC)						
7	2018	Hydrogen Detection	\$ 642,000	\$ 0	\$ 642,000	July 2020
8	2019	La Habra Union Pacific Rail Bikeway	91,760	0	91,760	November 2023
9	2019	OC Flex	1,146,000	0	1,146,000	March 2020
MSRC Subtotal			\$ 1,879,760	\$ 0	\$ 1,879,760	
Systemic Safety Analysis Reporting Program						
10	2016	Systemic Safety Analysis Report	\$ 315,000	\$ 295,855	\$ 19,145	March 2020
SSARP Subtotal			\$ 315,000	\$ 295,855	\$ 19,145	
Transit Security Grant Program (TSGP) - State Office of Homeland Security						
11	2017	Be The One Campaign	\$ 75,000	\$ 43,484	\$ 31,517	August 2020
TSGP Subtotal			\$ 75,000	\$ 43,484	\$ 31,517	
TSA National Explosives Detection Canine Team Program (NEDCTP) - Department of Homeland Security						
12	2019	Transportation Security Administration Canine	\$ 151,500	\$ 112,583	\$ 38,917	December 2019
TSA K9 Subtotal			\$ 151,500	\$ 112,583	\$ 38,917	
Senate Bill 11: Local Partnership Program						
13	2018	Garden Grove Blvd Signal Synchronization (Construction)	\$ 1,353,000	\$ 0	\$ 1,353,000	December 2023
14	2018	Katella Ave Signal Synchronization (Construction)	2,449,000	0	2,449,000	December 2023
15	2018	Los Olisos Blvd Signal Synchronization (Construction)	1,117,000	0	1,117,000	December 2023
16	2018	Main Street Signal Synchronization (Construction)	1,926,000	0	1,926,000	December 2023
SB1 LPP Subtotal			\$ 6,845,000	\$ 0	\$ 6,845,000	



**Second Quarter Grant Reimbursement Status Report**  
**October through December 2019**

State Discretionary Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
<b>Senate Bill 1: Adaptation Planning Grants</b>						
17	2019	Orange County Rail Infrastructure Defense Against Climate Change	\$ 461,771	\$ 0	\$ 461,771	February 2021
<b>SB1 APG Subtotal</b>			<b>\$ 461,771</b>	<b>\$ 0</b>	<b>\$ 461,771</b>	
<b>Senate Bill 1: Planning Grants</b>						
18	2019	Safe Routes to School Action Plan	\$ 264,000	\$ 0	\$ 264,000	February 2021
<b>SB1 PL Subtotal</b>			<b>\$ 264,000</b>	<b>\$ 0</b>	<b>\$ 264,000</b>	
<b>Caltrans State Planning and Research Grant</b>						
19	2018	SR-39 Beach Boulevard Corridor Study	\$ 345,000	\$ 136,508	\$ 208,492	April 2020
<b>SPR Subtotal</b>			<b>\$ 345,000</b>	<b>\$ 136,508</b>	<b>\$ 208,492</b>	
<b>Total State Discretionary Grant Agreements</b>			<b>\$ 24,283,123</b>	<b>\$ 8,891,616</b>	<b>\$ 15,391,507</b>	



**Second Quarter Grant Reimbursement Status Report**  
**October through December 2019**

Grant Agreements Pending Close-out						
	FISCAL YEAR (FY)	FUNDING SOURCE	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE
1	2016	CAP & TRADE LCTOP	Bravo! Route 529 Bus Acquisition	\$ 3,045,578	\$ 3,045,578	\$ 0
2	2011	CMAQ	Lakeview Ave Grade Separation (ROW)	16,407,023	16,407,023	0
3	2012	CMAQ	Lakeview Ave Grade Separation (ROW Utility Relocation)	72,070	72,070	0
4	2012	RSTP	Lakeview Ave Grade Separation (ROW)	11,527,563	11,527,563	0
<b>Total Grant Agreements Pending Close-out</b>				<b>\$ 31,052,234</b>	<b>\$ 31,052,234</b>	<b>\$ 0</b>



**Second Quarter Grant Reimbursement Status Report**  
**October through December 2019**

Closed Grant Agreements						
	FISCAL YEAR (FY)	FUNDING SOURCE	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE
1	2018	FTA Section 5307	FTA CA-2019-171	\$ 50,901,127	\$ 50,901,127	\$ 0
2	2018	FTA Section 5310	FTA CA-2019-160	2,129,107	2,129,107	0
3	2019	OTS	Bicycle & Pedestrian Facilities Program	75,000	74,630	370
<b>Total Closed Grants</b>				<b>\$ 53,105,234</b>	<b>\$ 53,104,864</b>	<b>\$ 370</b>






## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** Grant Award Acceptance for Development of the Disaster Mitigation Plan

### Regional Planning and Highways Committee Meeting of March 2, 2020

**Present:** Directors Delgleize, M. Murphy, and R. Murphy  
**Absent:** Director Bartlett, Chaffee, Muller, and Pulido

### **Committee Vote**

Due to lack of quorum and consensus of the Committee Members present, this item was forwarded to the March 9, 2020 Board of Directors meeting without the Committee's recommendation.

### **Staff Recommendation**


Authorize the Chief Executive Officer, or designee, to accept California Governor's Office of Emergency Services Hazard Mitigation Grant Program award.





***March 2, 2020***

**To:** Regional Planning and Highways Committee

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

**Subject:** Grant Award Acceptance for Development of the Disaster Mitigation Plan

### ***Overview***

The California Governor's Office of Emergency Services awarded the Orange County Transportation Authority \$93,750 in competitive Hazard Mitigation Grant Program funding. The grant award will support the development of the Orange County Transportation Authority's first Local Hazard Mitigation Plan within the OC Bus service area and the Los Angeles - San Diego -San Luis Obispo Rail Corridor within Orange County.

### ***Recommendation***

Authorize the Chief Executive Officer, or designee, to accept California Governor's Office of Emergency Services Hazard Mitigation Grant Program award.

### ***Background***

On behalf of the Federal Emergency Management Agency (FEMA), the California Governor's Office of Emergency Services (Cal OES) makes grants available to local and state public agencies for programs to help plan for and mitigate impacts that can pose risks, threats and vulnerabilities to California's people, property, economy, and environment. These threats include earthquakes, floods, significant wildfires, prolonged drought impacts, public health emergencies, cybersecurity attacks, and agricultural, as well as threats to homeland security.

On May 13, 2019, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved the Resolution 2019-09, which authorized the Chief Executive Officer to submit federal and state disaster assistance, negotiate, and execute agreements and documents through Cal OES on behalf of OCTA.



In the fall 2018, FEMA declared a major disaster following the California Wildfires which made available approximately \$660 million in Hazard Mitigation Grant Program funding statewide. In response to this opportunity, OCTA submitted a Notice of Intent in March 2019, followed with a formal application in July 2019, requesting \$93,750 for the development of a Local Hazard Mitigation Plan (LHMP).

### ***Discussion***

On December 8, 2019, Cal OES awarded OCTA the full grant request of \$93,750 to develop the LHMP. The grant requires an OCTA in-kind match contribution of \$31,250, for a total of \$125,000. The LHMP is required to be complete by September 2022.

The LHMP will help develop OCTA's first Hazard Mitigation Plan, which will form a framework for decision making to reduce risks to lives, property, and impacts to the economy from future hazards. The LHMP will identify projects and mitigation strategies that will reduce hazards and OCTA facilities. Examples of mitigations may include structural retrofits, floodwalls and retaining walls, equipment purchases, sediment and erosion control, conservation easements, and wetland restoration and preservation.

OCTA will consult with stakeholders and emergency partners, including the Cal OES, County Emergency Management, Army Corps of Engineers, Orange County Fire Authority, California Department of Forestry and Fire Protection, Orange County Sheriffs, and Orange County Emergency Operations Center.

The LHMP will be developed according to FEMA Stafford Act standards. Once complete, OCTA will be eligible to receive future FEMA funding to mitigate risks and address threats and vulnerabilities within the OC Bus service area and the Los Angeles - San Diego - San Luis Obispo (LOSSAN) Rail Corridor within Orange County.

### ***Summary***

The Cal OES awarded OCTA \$93,750 to develop a LHMP, which will form the foundation for OCTA's long-term strategy to reduce disaster losses for the OC Bus service area and the LOSSAN Rail Corridor. Board authorization is requested to receive the grant and provide an in-kind match contribution of \$31,250.



***Attachment***

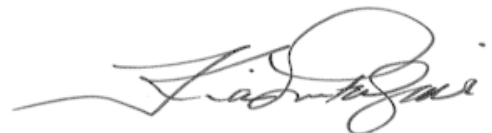
None.

**Prepared by:**



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**Approved by:**



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





## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** Interagency Fare Revenue Agreements, Internal Audit Report No. 20-505

Finance and Administration Committee Meeting of February 26, 2020

**Present:** Directors Hennessey, Hernandez, Jones, Muller, and R. Murphy

**Absent:** Directors Do and Steel

**Committee Vote**

This item was passed by the Members present.

**Committee Recommendation**

Receive and file Interagency Fare Revenue Agreements, Internal Audit Report No. 20-505, as an information item.





**February 26, 2020**

**To:** Finance and Administration Committee

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

Janet Sutter, Executive Director  
Internal Audit Department

**Subject:** Interagency Fare Revenue Agreements, Internal Audit Report No. 20-505

### **Overview**

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of interagency fare revenue agreements with the Southern California Regional Rail Authority and the Los Angeles-San Diego-San Luis Obispo Rail Corridor Agency. Based on the audit, controls in place to ensure collection of revenues in accordance with these agreements are adequate and functioning.

### **Recommendation**

Receive and file Interagency Fare Revenue Agreements, Internal Audit Report No. 20-505, as an information item.

### **Background**

In an effort to improve integration and the free flow of transit riders, the Orange County Transportation Authority (OCTA) maintains cooperative agreements with other area transit agencies. These agreements allow riders to transfer from one system to another without purchasing an additional ticket. For bus-to-bus transfers, the agreements provide for the bus system that collected the fare to retain the fare, eliminating the need for billing between the agencies. For transfers of Metrolink or Amtrak riders to the OCTA bus system, OCTA maintains interagency fare revenue agreements with the Southern California Regional Rail Authority (SCRRA) and the Los Angeles-San Diego-San Luis Obispo Rail Corridor Agency (LOSSAN). These interagency fare revenue agreements call for billing and collection of revenues from SCRRA and LOSSAN at established rates. During fiscal year 2018-19, OCTA collected \$448,095 from SCRRA for 332,154 transfers, and \$18,386 from LOSSAN for 13,494 transfers.



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***Discussion***

When a Metrolink or Amtrak passenger boards a connecting OC Bus or iShuttle, the driver visually validates the rail pass and pushes a corresponding button in the GFI Farebox (identifying the passenger as a Metrolink or Amtrak rider, as applicable). The GFI Farebox data is uploaded nightly to a data warehouse, where it can be retrieved for purposes of preparing the invoice. For riders using OC Flex, the driver will visually validate the rail pass and will log the trip on a manually-prepared trip sheet. These trips are later summarized on a spreadsheet and forwarded to the Finance and Administration Division for invoicing.

Based on the audit, controls in place to ensure collection of revenues in accordance with interagency fare agreements are adequate and functioning.

***Summary***

The Internal Audit Department has completed an audit of interagency fare revenue agreements.

***Attachment***

A. Interagency Fare Revenue Agreements, Internal Audit Report No. 20-505

**Prepared by:**



Gabriel Tang  
Principal Internal Auditor, Internal Audit  
714-560-5746

**Approved by:**



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



# ORANGE COUNTY TRANSPORTATION AUTHORITY INTERNAL AUDIT DEPARTMENT



## Interagency Fare Revenue Agreements

### Internal Audit Report No. 20-505

February 5, 2020



**Performed by** Gabriel Tang, CPA, Principal Internal Auditor  
Janet Sutter, CIA, Executive Director

**Distributed to:** Andrew Oftelie, Chief Financial Officer, Finance & Administration  
Sean Murdock, Sam Kaur, Victor Velasquez



**ORANGE COUNTY TRANSPORTATION AUTHORITY  
INTERNAL AUDIT DEPARTMENT  
Interagency Fare Revenue Agreements  
February 5, 2020**

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**ORANGE COUNTY TRANSPORTATION AUTHORITY**  
**INTERNAL AUDIT DEPARTMENT**  
**Interagency Fare Revenue Agreements**  
**February 5, 2020**

## **Conclusion**

The Internal Audit Department (Internal Audit) of the Orange County Transportation Authority (OCTA) has completed an audit of interagency fare revenue agreements between OCTA and the Southern California Regional Rail Authority (SCRRA) and the Los Angeles-San Diego-San Luis Obispo Rail Corridor Agency (LOSSAN). Based on the audit, controls in place to ensure collection of revenues in accordance with these agreements are adequate and functioning.

## **Background**

In an effort to improve integration, and the free flow of transit riders, OCTA maintains cooperative agreements with other area transit agencies. These agreements allow riders to transfer from one system to another without purchasing an additional ticket. For bus-to-bus transfers, the agreements provide for the bus system that collected the fare to retain the fare, eliminating the need for billing between the agencies. However, OCTA maintains interagency fare revenue agreements with SCRRA and LOSSAN, which govern transfers between Metrolink or Amtrak riders to the OCTA bus system. These interagency fare revenue agreements call for the billing and subsequent collection of revenues for these rides. OCTA bus services include OC Bus, OC Flex and iShuttle, which is operated by OCTA. The cost of each trip is based on established rates that are billed by OCTA to the rail agency on a quarterly basis.

When a Metrolink or Amtrak passenger boards a connecting OC Bus or iShuttle, the driver visually validates the rail pass and pushes a corresponding button in the GFI Farebox (identifying the passenger as a Metrolink or Amtrak rider, as applicable). The GFI Farebox data is uploaded nightly to a data warehouse, where it can be retrieved for purposes of preparing an invoice. For riders using OC Flex, the driver will visually validate the rail pass and will log the trip on a manually-prepared trip sheet. These trips are later summarized on a spreadsheet and forwarded to a financial analyst in OCTA's Finance and Administration Division for invoicing.

Each quarter, the financial analyst will retrieve ridership data from the data warehouse and from the OC Flex spreadsheet, and will prepare invoice requests. The revenue administrator, within the Revenue Administration Department, will review the invoice request and supporting documentation and forward it to an accounting specialist for processing. The invoice is prepared and the receivable posted to the general ledger. Receivables are monitored by the accounting specialist and follow-up performed for any amounts outstanding beyond 90 days.



**ORANGE COUNTY TRANSPORTATION AUTHORITY**  
**INTERNAL AUDIT DEPARTMENT**  
**Interagency Fare Revenue Agreements**  
**February 5, 2020**

## **Objectives, Scope, and Methodology**

The objectives were to assess and test controls in place to ensure proper billing and collection of revenues in accordance with interagency fare agreements between OCTA and SCRRA/LOSSAN.

According to generally accepted government auditing standards, internal control is the system of processes that an entity's oversight body, management, and other personnel implement to provide reasonable assurance that the organization will achieve its operational, reporting, and compliance objectives. The five components are control environment, risk assessment, control activities, information and communication, and monitoring.<sup>1</sup> The components and principles that were evaluated as part of this audit are:

- Control Environment
  - Management establishes, with Board of Director oversight, structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives.
- Control Activities
  - OCTA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels.
- Information and Communication
  - OCTA obtains or generates and uses relevant, quality information to support the functioning of internal control.

The methodology consisted of testing to determine whether interagency fare revenues are properly identified, billed, and posted to general ledger receivable, and testing to ensure cash receipts are properly recorded and aging receivables are monitored, and follow-up performed, as necessary.

The scope was limited to Interagency Fare Revenue Agreement Nos. C-1-2502 and C-6-1239, with SCRRA and LOSSAN, respectively, and all amendments to the agreements. The scope included all quarterly invoices prepared during the period July 2017 through June 2019, and all payments from SCRRA and LOSSAN during the period July 2017 through June 2019.

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

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<sup>1</sup> See U.S. Government Accountability Office publication, "Standards for Internal Control in the Federal Government," available at <http://www.gao.gov/products/GAO-14-704G>, for more information.






## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** Amendment to Cooperative Agreement with the City of Fountain Valley for the Interstate 405 Improvement Project

### Regional Planning and Highways Committee Meeting of March 2, 2020

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

### **Committee Vote**

Due to lack of quorum and consensus of the Committee Members present, this item was forwarded to the March 9, 2020 Board of Directors meeting without the Committee's recommendation.

### **Staff Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Cooperative Agreement No. C-5-3613 between the Orange County Transportation Authority and the City of Fountain Valley, in the amount of \$282,000, for the design and construction of an eight-inch waterline along the freeway between Mount Baldy Circle and Euclid Street, as part of the Interstate 405 Improvement Project. This will increase the maximum obligation of the cooperative agreement to a total value of \$4,649,708.





**March 2, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Amendment to Cooperative Agreement with the City of Fountain Valley for the Interstate 405 Improvement Project

### **Overview**

On March 14, 2016, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement No. C-5-3613 with the City of Fountain Valley for city services required during the design-build implementation of the Interstate 405 Improvement Project. An amendment to the cooperative agreement is needed to design and construct an eight-inch waterline along the freeway between Mount Baldy Circle and Euclid Street in the City of Fountain Valley.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Cooperative Agreement No. C-5-3613 between the Orange County Transportation Authority and the City of Fountain Valley, in the amount of \$282,000, for the design and construction of an eight-inch waterline along the freeway between Mount Baldy Circle and Euclid Street, as part of the Interstate 405 Improvement Project. This will increase the maximum obligation of the cooperative agreement to a total value of \$4,649,708.

### **Discussion**

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation and the cities of Costa Mesa, Fountain Valley, Huntington Beach, and Westminster, is implementing the Interstate 405 (I-405) Improvement Project between State Route 73 (SR-73) and Interstate 605 (I-605) (Project). The Project will add one general purpose lane from Euclid Street to I-605, consistent with Measure M2 Project K, and will add an additional lane in each direction that would combine with the existing high-occupancy vehicle lane to provide dual express lanes in each direction on I-405 from SR-73 to I-605. The Project includes improvements to city-owned and operated streets, city traffic facilities, and city utilities impacted by the Project.



## **Amendment to Cooperative Agreement with the City of Fountain Valley for the Interstate 405 Improvement Project**

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

During construction to widen the freeway over the Santa Ana River, OCTA's DB contractor encountered an existing City waterline adjacent to the freeway between Mount Baldy Circle and Euclid Street. Due to the waterline's close proximity to the embankment fills required for the freeway widening and the associated additional loading on the waterline, the City raised concerns related to protecting this waterline in place. OCTA reviewed and concurred with the City's concerns, and agreed to replace a portion of the waterline to avoid a design change of the freeway widening and potential associated schedule delays.

OCTA is 100 percent liable for the cost of this waterline replacement. Although OCTA could have had the DB contractor perform the work, it was determined to be more cost effective to have the City perform the work. An amendment to the cooperative agreement is needed at this time to address this waterline replacement.

The key terms in the proposed amendment to the cooperative agreement include the following:

OCTA agrees to:

- Fund the design and construction management cost, in an amount not to exceed \$60,000, for the waterline.
- Reimburse the City for 50 percent of the costs of the actual construction bid amount upon contract award, 40 percent after the installation of the new waterline, and the remaining ten percent at City acceptance of the work after submittal of acceptable invoices by the City with proper supporting documentation.
- Fund construction change orders, as needed, not to exceed ten percent of the original construction bid amount. Costs exceeding ten percent of the original construction bid amount shall receive prior approval from OCTA.
- Contribute a maximum amount of \$282,000 to the total final costs for the design, construction management, and construction of the waterline.



## **Amendment to Cooperative Agreement with the City of Fountain Valley for the Interstate 405 Improvement Project**

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City agrees to:

- Serve as the lead agency for the design, construction management, and construction of the waterline.
- Design the waterline to meet existing City standards.
- Construct the waterline within the existing City waterline easement without purchase of any additional property or property rights.
- Return any net savings, if applicable, for all waterline costs to OCTA upon completion of work.

OCTA and the City agree that the waterline work shall not commence until a mutually acceptable date has been determined by both parties which shall not interfere with the Project. Both parties further agree that construction of the waterline shall be completed no later than April 30, 2023, which is the expiration date of the amendment.

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

### **Fiscal Impact**

Funding for this amendment is included in OCTA's Fiscal Year 2019-20 Budget, Capital Programs Division, accounts 0017-9084-FK101-012 and 0037-9017-A9510-012, and is funded with local funds.

### **Summary**

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Amendment No. 4 to Cooperative Agreement No. C-5-3613 with the City of Fountain Valley, in the amount of \$282,000, for the design and construction of an eight-inch waterline along the freeway between Mount Baldy Circle and Euclid Street in the City of Fountain Valley, as part of the Interstate 405 Improvement Project.



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

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***Attachments***

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

**Prepared by:**



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Virginia Abadessa  
Director, Contracts Administration and  
Materials Management  
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**Approved by:**



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



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

1. March 14, 2016, Cooperative Agreement No. C-5-3613, \$975,700, approved by the Board of Directors (Board).
  - To provide City of Fountain Valley (City) services, including plan review and approval of plans, specifications, reports, and traffic management plan, and oversight of construction and detour inspection services; traffic engineering and police services; and for repairs to city street pavements impacted by signed, long-term freeway detours for the Interstate 405 Improvement Project (Project).
2. November 12, 2018, Amendment No. 1 to Cooperative Agreement No. C-5-3613, \$657,008, approved by the Board.
  - To include costs for repairs to City street pavements impacted by signed, long-term freeway detours during construction of the Project that were not accounted for in the original cooperative agreement.
3. April 5, 2019, Amendment No. 2 to Cooperative Agreement No. C-5-3613, \$750,000, approved by the Contracts Administration and Materials Management Department.
  - To include reimbursement costs (City's cost share), in the amount of \$750,000, from the City to pay for the relocation of City water lines into bridges.
4. April 8, 2019, Amendment No. 3 to Cooperative Agreement No. C-5-3613, \$1,985,000, approved by the Board.
  - To provide additional City services, including plan review and approval of plans, specifications, reports; oversight construction and detour inspection services; review and acceptance of the traffic management plan, traffic engineering, and police services.
5. March 9, 2020, Amendment No. 4 to Cooperative Agreement No. C-5-3613, \$282,000, pending Board approval.
  - To provide funds to City for the design and construction of an eight-inch waterline along the freeway between Mount Baldy Circle and Euclid Street in the City.

Total cooperative agreement amount, including \$750,000 reimbursement from City, after approval of Amendment No. 4 to Cooperative Agreement No. C-5-3613: \$4,649,708.



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

<b><i>Item No.</i></b>	<b><i>Description of City Services</i></b>	<b><i>Maximum Reimbursement Amount by AUTHORITY<sup>1</sup></i></b>	<b><i>Maximum Contribution Amount by CITY</i></b>
1	Review and approval of plans, specifications, plans, and other pertinent engineering plans and reports, Traffic Management Plan review and concurrence, and construction oversight inspection services related to CITY FACILITIES.	\$1,738,200	
2	Traffic engineering and detour oversight inspection	\$675,900	
3	Police services (including overtime costs)	\$546,600	
4	Pavement mitigation	\$657,008	
5	Design and construct an eight-inch waterline along the freeway between Mount Baldy Circle and Euclid Street	\$282,000	
	<b>TOTAL MAXIMUM REIMBURSEMENT</b>	<b>\$3,899,708</b>	
6	Relocation of CITY water lines into bridges		\$750,000
	<b>TOTAL MAXIMUM CONTRIBUTIONS BY CITY</b>		<b>\$750,000</b>
<b>MAXIMUM OBLIGATION AMOUNT</b>		<b>\$4,649,708</b>	

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






## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** Amendment to Cooperative Agreement with the City of Westminster for the Interstate 405 Improvement Project

### Regional Planning and Highways Committee Meeting of March 2, 2020

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

### **Committee Vote**

Due to lack of quorum and consensus of the Committee Members present, this item was forwarded to the March 9, 2020 Board of Directors meeting without the Committee's recommendation.

### **Staff Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-5-3615 between the Orange County Transportation Authority and the City of Westminster, in the amount of \$838,791, 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 \$2,662,679.





**March 2, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Amendment to Cooperative Agreement with the City of Westminster for the Interstate 405 Improvement Project

### **Overview**

On March 14, 2016, the Orange County Transportation Authority Board of Directors approved Cooperative Agreement No. C-5-3615 with the City of Westminster for city services required during the design-build implementation of the Interstate 405 Improvement Project. The cooperative agreement needs to be amended for additional city support services during the design and construction of the project.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-5-3615 between the Orange County Transportation Authority and the City of Westminster, in the amount of \$838,791, 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 \$2,662,679.

### **Discussion**

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation and the cities of Costa Mesa, Fountain Valley, Huntington Beach, and Westminster, is implementing the Interstate 405 (I-405) Improvement Project between State Route 73 (SR-73) and Interstate 605 (I-605) (Project). The Project will add one general purpose lane from Euclid Street to I-605, consistent with Measure M2 Project K, and will add an additional lane in each direction that would combine with the existing high-occupancy vehicle lane to provide dual express lanes in each direction on I-405 from SR-73 to I-605. The Project includes improvements to city-owned and operated streets, city traffic facilities, and city utilities impacted by the Project.



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

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

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

The complexity of the construction staging and resulting maintenance of traffic (MOT) requirements on the local streets has necessitated additional City engineering and construction support efforts beyond the original estimate. The numerous stages of construction each require detailed MOT plans for the contractor to stage and conduct the work. Temporary traffic control plans are also required to implement the various MOT elements. The City is required to review and approve the construction staging plans, MOT plans, and each temporary traffic control plan for work impacting City streets. City construction inspection and traffic signal operations support are also required for implementation of the MOT and temporary traffic control elements. Additionally, OCTA has requested engagement from the City on several potential schedule mitigation strategies.

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



**Amendment to Cooperative Agreement with the City of Westminster for the Interstate 405 Improvement Project** **Page 3**

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**Fiscal Impact**

Funding for this amendment is included in OCTA's Fiscal Year 2019-20 Budget, Capital Programs Division, accounts 0017-9084-FK101-012 and 0037-9017-A9510-012, and is funded with a combination of federal, state, and local funds.

**Summary**

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Amendment No. 2 to Cooperative Agreement No. C-5-3615 with the City of Westminster, in the amount of \$838,791, for additional city services during design and construction of the Interstate 405 Improvement Project

**Attachments**

- A. City of Westminster, Cooperative Agreement No. C-5-3615 Fact Sheet
- B. Revised Schedule A – Reimbursement Schedule for Combined City Services for the City of Westminster

**Prepared by:**



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



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

**Approved by:**



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



**City of Westminster  
Cooperative Agreement No. C-5-3615 Fact Sheet**

1. March 14, 2016, Cooperative Agreement No. C-5-3615, \$1,200,000, approved by the Board of Directors (Board).
  - To provide city services, including plan review and approval of plans, specifications, reports, and the traffic management plan, and oversight of construction and detour inspection services; traffic engineering and police services; and allow for future amendment for repairs to city street pavements impacted by signed, long-term detour routes for the Interstate 405 Improvement Project (Project).
2. November 12, 2018, Amendment No. 1 to Cooperative Agreement No. C-5-3615, \$623,888, approved by the Board.
  - To include costs for repair to city street pavements impacted by signed, long-term freeway detours during Project construction of the Project that were not accounted for in the original cooperative agreement.
3. March 9, 2020, Amendment No. 2 to Cooperative Agreement No. C-5-3615, \$838,791, pending Board approval.
  - To provide additional city services, including plan review and approval of plans, specifications, reports; oversight construction and detour inspection services; review and acceptance of the traffic management plan, traffic engineering, and police services.

Total committed to City of Westminster after approval of Amendment No. 2 to Cooperative Agreement No. C-5-3615: \$2,662,679.



**REVISED SCHEDULE A****REIMBURSEMENT SCHEDULE FOR COMBINED CITY SERVICES  
FOR THE CITY OF WESTMINSTER**

<b><i>Item No.</i></b>	<b><i>Reimbursement Description</i></b>	<b><i>Maximum Reimbursement Amount<sup>(1)</sup></i></b>
1	Review and approval of plans, specifications, and other pertinent engineering plans and reports, Traffic Management Plan review and concurrence, and construction oversight inspection services related to CITY FACILITIES.	\$1,135,000
2	Traffic engineering and detour inspection	\$529,791
3	Police services (including overtime costs)	\$374,000
4	Pavement mitigation	\$623,888 <sup>(2)</sup>
	<b>TOTAL MAXIMUM REIMBURSEMENT</b>	<b>\$2,662,679</b>

- <sup>(1)</sup> Revised Schedule A shows estimated reimbursement amounts for each CITY SERVICES item of work. During the term of this agreement, the CITY may redistribute funds for items of work as needed; however, the total combined amount for CITY SERVICES shall not exceed the Total Maximum Reimbursement amount shown herein.
- <sup>(2)</sup> This amount has been determined by ORANGE COUNTY TRANSPORTATION AUTHORITY, and shall be reimbursed as a one-time, lump sum amount upon execution of this amendment to the agreement.






## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** Supplemental Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 - Collection and Disposal of Unknown Hazardous Materials

### Regional Planning and Highways Committee Meeting of March 2, 2020

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

### **Committee Vote**

Due to lack of quorum and consensus of the Committee Members present, this item was forwarded to the March 9, 2020 Board of Directors meeting without the Committee's recommendation.

### **Staff Recommendation**

Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 8.3 to Agreement No. C-5-3843 between Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$1,900,000, to collect and dispose of unknown hazardous materials for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.





**March 2, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Supplemental Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 – Collection and Disposal of Unknown Hazardous Materials

### **Overview**

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. A supplemental contract change order is needed to collect and dispose of unknown hazardous materials during construction through final project completion.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 8.3 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$1,900,000, to collect and dispose of unknown hazardous materials for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.

### **Discussion**

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



**Supplemental Contract Change Order for the Interstate 405   Page 2**  
**Improvement Project from State Route 73 to Interstate 605 –**  
**Collection and Disposal of Unknown Hazardous Materials**

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On November 14, 2016, the OCTA Board of Directors (Board) approved Agreement No. C-5-3843 with OC 405 Partners (OC405), a joint venture, for the design and construction of the Project. The contract was executed and Notice to Proceed (NTP) No. 1 was issued to OC405 on January 31, 2017. On July 27, 2017, NTP No. 2 was issued to OC405 for the full design and construction of the Project.

In accordance with the contract documents, OC405 is required to properly collect and dispose of hazardous materials. Hazardous materials include contaminated soil from excavations, contaminated groundwater, hazardous materials removed from homeless encampments, and abandoned asbestos utility pipes. The contract distinguishes between known hazardous materials that are defined as the responsibility of OC405 to handle as part of the lump sum contract and unknown hazardous materials that are discovered during construction beyond the control of OC405. The collection and disposal of unknown hazardous materials is compensated on a time-and-materials basis at the direction of OCTA, and is paid through a contract change order (CCO).

During construction, underground asbestos utility pipes in conflict with the Project have been encountered that were not accurately shown in the as-built plans. In some cases, the as-built plans identified the location of the pipes, but did not identify its asbestos content which requires additional measures and costs to handle as hazardous materials. In addition, during the demolition of various bridge structures, additional asbestos and lead materials were encountered that were not identified in the as-built plans, but were determined to be hazardous upon further investigation and testing. Since then, staff has performed a review of the remaining bridge demolition locations and has conducted additional potholing in areas of unknown pipe material where asbestos utility pipes may be encountered. The removal of homeless encampments, which have the potential to contain hazardous materials, is also taking more effort than originally anticipated. Lastly, the number of locations or areas with contaminated underground soil and/or contaminated groundwater has been slightly more than originally anticipated. Staff has developed an independent cost estimate, in the amount of \$1,900,000, for the anticipated extra work until Project completion.

Supplemental CCO No. 8.3 for the collection and disposal of hazardous materials, in the amount of \$1,900,000, will be issued incrementally on an as-needed basis. Costs and expenses to collect and dispose of unknown hazardous materials will be tracked, reviewed, and paid on a time-and-materials basis.



### ***Procurement Approach***

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

Board approval is required for proposed supplemental CCO No. 8.3.

Supplemental CCO No. 8.3, in the amount of \$1,900,000, in addition to previous CCO Nos. 8.0 and 8.1 that were approved by OCTA's Contracts Administration and Materials Management Department, and CCO No. 8.2 approved by the Board, will give OCTA staff the ability to timely direct collection and disposal of unknown hazardous materials on an as-needed basis without impacting the Project schedule. CCO No. 8.3 brings the total authorized amount of CCO No. 8 to \$2,500,000.

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

### ***Fiscal Impact***

Funding for this work was approved in OCTA's Fiscal Year 2019-20 Budget, Capital Programs Division, accounts 0017-9084-FK101-0GM and 0037-9017-A9510-0GM, and is funded with a combination of federal, state, and local funds. M2 funds will be used for improvements specific to M2 Project K, and non-M2 funds will be used for improvements specific to the 405 Express Lanes. The cost for the collection and disposal of unknown hazardous materials described in supplemental CCO No. 8.3 is funded from the Project contingency and is not anticipated to increase the total Project estimate of \$1.9 billion.

### ***Summary***

Staff recommends Board of Directors' authorization for the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 8.3 to Agreement No. C-5-3843 with OC 405 Partners, a joint venture, in the amount of \$1,900,000, to collect and dispose of unknown hazardous materials for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.



**Supplemental Contract Change Order for the Interstate 405   Page 4**  
**Improvement Project from State Route 73 to Interstate 605 –**  
**Collection and Disposal of Unknown Hazardous Materials**

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***Attachment***

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

**Prepared by:**



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



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



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

<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
001	Technical Provisions – Execution Version	Approved	06/14/2017	\$0.00
002	Notice to Proceed No. 1 Payment Cap Increase and Substantial Completion Deadline Modifications	Approved	6/21/2017	\$0.00
003	Extra Maintenance Work (Provisional Sum)	Approved	7/28/2017	\$200,000.00
003.1	Amendment to Change Order to Add Additional Funds for Extra Maintenance Work	Approved	10/2/2018	\$200,000.00
003.1.1	Provisional Sum for Extra Maintenance Work-Unilateral	Approved	10/10/2019	\$400,000.00
003.1.2	Supplemental Extra Maintenance Work	Approved	1/16/2020	\$350,000.00
004	Design-Builder Personnel Changes (Appendices 7 and 23)	Approved	12/20/2017	\$0.00
005	Dispute Review Board (Provisional Sum)	Approved	9/13/2017	\$50,000.00
005.1	Increase in Provisional Sum per Contract Section 19.4 Disputes Board	Approved	7/1/2019	\$50,000.00
006	Partnering (Provisional Sum)	Approved	9/13/2017	\$50,000.00
006.1	Partnering per Contract Section 19.1	Approved	7/1/2019	\$50,000.00
007	Implementation of California Department of Transportation (Caltrans) Guidance on Six-Inch Wide Longitudinal Traffic Lines and Non-Reflective Raised Pavement Markers	Approved	3/15/2018	\$0.00
008	Collection and Disposal of Unknown Hazardous Materials (Provisional Sum)	Approved	9/13/2018	\$100,000.00
008.1	Supplemental Unknown Hazardous Materials	Approved	9/11/2019	\$100,000.00
008.2	Supplemental Unknown Hazardous Materials	Approved	11/25/2019	\$250,000.00
008.2.1	Supplemental Unknown Hazardous Materials	Pending		\$150,000.00
008.3	Supplemental Unknown Hazardous Materials	Pending		\$1,900,000.00
009	Repair of Caltrans' Fiber Optic Line	Approved	5/16/2018	\$31,753.69
010	Five Project Funding Identification Signs (Provisional Sum)	Approved	7/2/2018	\$32,644.25



<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
011	Revised Right-of-Way (ROW) Availability Date of Caltrans Parcel No. 102919 Used By Mike Thompson's RV Super Store	Approved	6/28/2018	\$0.00
012	Credit to OCTA for Elimination of the Street Widening Improvements Along Eastbound Edinger Avenue	Approved	9/13/2018	-\$237,982.39
013	Additional Design and Construction Cost Compensation Related to: City Bridge Width; Construction Changes to Minimize ROW Impacts; Revised Design Concept at Ellis Avenue On-Ramp to Southbound I-405; State Route 73 Overhead Sign Structures; Sendero Apartments Left-Turn Pocket on Magnolia Street; Newland Street Waterline Extension; and Signal Improvements at Ellis Avenue/ Bushard Street	Approved	2/25/2019	\$8,560,556.00
013.1	Permanent Traffic Signal at the intersection of Warner Avenue and Greenleaf Street	Approved	12/5/2019	\$460,327.00
014	Thrust Blocks for the City of Fountain Valley Water Lines	Approved	10/29/2018	\$88,021.00
015	Slater Bridge Construction Shuttle Services	Approved	12/4/2018	\$175,000.00
016	Construction Zone Speed Reduction	Approved	12/3/2018	\$70,000.00
016.1	Additional Speed Reduction Signs	Approved	12/31/2019	\$4,512.00
017	Relocation of Water Lines for the City of Fountain Valley	Approved	3/8/2019	\$800,000.00
018	Enhanced Gawk Screen at Bolsa Chica Road	Approved	1/25/2019	\$56,395.00
019	Brookhurst Street Overhead Sign Location Redesign	Approved	1/25/2019	\$11,484.00
020	Differing Site Conditions - Pavement Thickness at Magnolia	Approved	1/29/2019	\$4,095.00
021	Polymer Fibers in All Concrete Bridge Decks	Approved	3/19/2019	\$1,463,020.00
022	Temporary Construction Easement Reduction at La Quinta	Approved	3/19/2019	\$85,573.00
023	Updated FasTrak Logos (Unilateral)	Approved	2/21/2019	\$20,532.00
024	Express Lanes Channelizers	Approved	3/12/2019	\$122,778.00
025	Stainless Steel Inserts at Fairview Road Overcrossing	Approved	3/12/2019	-\$9,293.00
026	OCTA PlanGrid Software Licenses	Approved	3/28/2019	\$35,994.00



<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
026.1	Supplemental for OCTA PlanGrid Software Licenses	Approved	9/11/2019	\$8,570.00
027	Utility potholing on Milton Ave	Approved	9/12/2019	\$61,731.87
027.1	Electrical Infrastructure Work at Milton Avenue	Approved	1/16/2020	\$278,282.28
028	Mesa Water District 12-inch Water Line (CN-1127)	Approved	5/7/2019	\$208,600.00
029	Magnolia Loop Ramp CMS Deletion	Approved	05/15/19	-\$74,319.00
030	Motel 6 Sound Wall (SW-791) Elimination	Approved	05/15/19	-\$130,000.00
031	Sound Wall 956 Reduction	Approved	05/22/19	-\$30,000.00
033	Edinger Channel Pavement Rehabilitation	Approved	07/30/19	\$176,465.00
034	Chevron and Crimson Utility Relocation at Goldenwest Crossing	Approved	8/2/2019	\$75,000.00
034.1	Chevron and Crimson Utility Relocation Support	Approved	12/31/2019	\$12,018.00
035	Incompatible Specifications - Adjacent to CRCP Pavement	Approved	06/26/19	\$2,900,557.00
037	Sound Wall 375 Protect in Place	Approved	06/04/19	\$200,000.00
040	HDPE in Lieu of RCP	Approved	7/9/2019	-\$7,418.68
041	Emergency Vehicle Preemption Devices at Fairview	Approved	7/9/2019	\$44,147.00
042	Executed Utility Agreements (Unilateral)	Approved	11/4/2019	\$0.00
043	Early Partial Removal of Sound Wall 328	Approved	9/16/2019	\$14,414.18
044	Field survey for Frontier at Westminster	Approved	1/7/2020	\$12,908.42
045	Water Line Betterments (CN 1012 & 6044) at Warner Avenue	Approved	10/12/2019	\$256,244.00
046	Additional Water Lines at Brookhurst Street and Talbert Avenue in the City of Fountain Valley	Approved	12/5/2019	\$389,878.00
047	Additional Water Line Valves for the City of Fountain Valley	Approved	12/5/2019	\$266,828.00
048	Temporary Construction Easement Reduction at Sit n' Sleep (CPN 103026)	Approved	10/17/2019	\$129,243.00
049	Beach Blvd Lane Widths Reduction (Necessary Basic Configuration Change)	Approved	10/17/2019	\$160,000.00



<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
050	Vibration Sensitive Receptors (McFadden OC Abutment 3)	Approved	10/17/2019	\$59,383.87
051	Exercising Water Valves for the City of Fountain Valley	Approved	1/16/2020	\$50,000.00
052	McFadden Avenue Interconnect Between Beach Boulevard and Sugar Drive	Approved	11/14/2019	\$0.00
053	Traffic Signal Modification at Beach and McFadden	Approved	11/14/2019	-\$128,118.00
054	DSC Pavement Against Median K-Rail	Approved	12/31/2019	\$11,133.00
055	LA Fitness at Retaining Wall 717	Approved	12/31/2019	\$8,428.29
056	Additional Speed Reduction Signs and Radar Packages	Approved	12/31/2019	\$148,397.00
057	Environmental Monitor at Bolsa Overcrossing	Pending		\$200,000.00
059	Pavement Limits for Beach Boulevard and Edinger Avenue	Pending		\$33,573.00
060	Additional Design and Construction for Heil Avenue Pedestrian Overcrossing (Unilateral)	Pending		\$1,044,000.00
061	Three-year Plant Establishment Period	Pending		\$1,600,000.00
062	Diesel Fuel Sales Tax	Pending		\$1,764,164.64

Original Contract Price	\$1,217,065,000.00
Contingency Fund	<u>\$98,935,000.00</u>
Total Contract Allotment	\$1,316,000,000.00
Subtotal Approved CCO	\$18,677,782.78
Subtotal Pending CCOs	<u>\$6,691,737.64</u>
Total CCOs	\$25,369,520.42
Proposed Revised Contract Price	\$1,242,434,520.42
Remaining Contingency Fund	\$73,565,479.58






## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** Cooperative Agreement with the Orange County Flood Control District for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

### Regional Planning and Highways Committee Meeting of March 2, 2020

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

### **Committee Vote**

Due to lack of quorum and consensus of the Committee Members present, this item was forwarded to the March 9, 2020 Board of Directors meeting without the Committee's recommendation.

### **Staff Recommendation**


Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1469 between the Orange County Transportation Authority and the Orange County Flood Control District for in-kind equivalent exchange relating to the Lane Channel reconstruction and property rights, and the amount of \$175,000 for project support services, including design plans, specifications and report reviews, permit issuance, right-of-way coordination, and construction inspection for the Lane Channel reconstruction within the State Route 55 Improvement Project between Interstate 405 and Interstate 5.





**March 2, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Cooperative Agreement with the Orange County Flood Control District for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

### **Overview**

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the Orange County Flood Control District to define roles, responsibilities, process, and funding obligations for the Lane Channel reconstruction within the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1469 between the Orange County Transportation Authority and the Orange County Flood Control District for in-kind equivalent exchange relating to the Lane Channel reconstruction and property rights, and the amount of \$175,000 for project support services, including design plans, specifications and report reviews, permit issuance, right-of-way coordination, and construction inspection for the Lane Channel reconstruction within the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

### **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 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.



Near the southern Project limit, the Orange County Flood Control District (OCFCD) has a 2,700 linear foot-long concrete drainage facility, the Lane Channel, that will be affected by the freeway widening and will require reconstruction. In addition, acquisition of OCFCD right-of-way (ROW) is required to accommodate the freeway widening.

The Lane Channel was built in 1967. OCFCD has identified a current need to repair the channel lining that would include demolition of damaged portions of the concrete-lined channel and construction to meet current design standards. Not only will the Project reconstruct the Lane Channel as a functionally equivalent channel meeting current design standards, but betterments (as described below) are included that will eliminate OCFCD's current channel repair cost and significantly minimize OCFCD's annual cost for maintenance repairs. During the design and development for the reconstruction of the Lane Channel, OCFCD requested these design betterments to improve channel hydraulics and safety and channel accessibility for OCFCD maintenance staff.

OCTA proposes to enter into a cooperative agreement with OCFCD to define the roles and responsibilities of both agencies. OCTA is the lead agency for the preparation of plans, specifications, and estimates (PS&E) and design reports, and for implementing ROW activities. OCFCD will provide oversight, PS&E and report reviews, permit issuance, ROW coordination, and construction inspection for the Lane Channel reconstruction to ensure the Project improvements meet OCFCD standards. The cooperative agreement also includes an in-kind equivalent exchange consideration between OCTA and OCFCD relating to the reconstruction of the channel and the property rights to be exchanged. The Project will reconstruct the Lane Channel with betterments that will eliminate future costs that OCFCD would otherwise incur to repair the channel and significantly minimize OCFCD's annual cost for maintenance repairs. In exchange, OCFCD will provide 0.83 acre of OCFCD property needed for Project improvements at fair market property value.

The in-kind equivalent exchange is based on the following:

- (a) The appraisal is nearing completion for the OCFCD property required for the freeway widening, and the preliminary fair market value is estimated to be approximately \$5,000,000.
- (b) The betterments to the Lane Channel include two reinforced concrete box enlargements at the north and south ends of the channel to improve hydraulics, maintenance access ramps and turnaround pads also at both ends of the channel, and a continuous five-foot wide maintenance walkway along the west side of the reconstructed channel. The



betterments construction and construction management costs are estimated to be approximately \$2,800,000.

- (c) Adjacent private properties are required to accommodate the OCFCD maintenance-related betterments. Appraisals are ongoing, and the combined fair market value for the adjacent properties is estimated to be approximately \$200,000.
- (d) OCFCD identified a current and immediate need to repair the channel lining at a cost of approximately \$2,000,000.

The in-kind equivalent exchange will be OCTA's \$3,000,000 in channel betterments and sliver acquisitions, plus \$2,000,000 in channel maintenance repair savings to OCFCD, in exchange for provision of OCFCD's property to OCTA, estimated to be approximately \$5,000,000.

The approved state, federal, and M2 capital programming commitments for freeway projects are included in the Capital Funding Program.

#### **Fiscal Impact**

Funding for the Project is included in OCTA's Fiscal Year 2019-20 Budget, Capital Programs Division, Account 0017-9084-FF101-0TB, and will be funded through M2.

#### **Summary**

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-9-1469 between the Orange County Transportation Authority and the Orange County Flood Control District for an in-kind equivalent exchange relating to the Lane Channel reconstruction and property rights, and in the amount of \$175,000, to provide project support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.



***Attachment***

None.

**Prepared by:**



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

**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





**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** Approval to Release Request for Proposals for the Preparation of Plans, Specifications, and Estimates for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue

### **Overview**

Staff has developed a request for proposals to initiate a competitive procurement process to retain consultant services to prepare plans, specifications, and estimates for the State Route 91 improvement project between Acacia Street and La Palma Avenue.

### **Recommendations**

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2073 for consultant services for the preparation of plans, specifications, and estimates for the State Route 91 improvement project between Acacia Street and La Palma Avenue.
- B. Approve the release of Request for Proposals 0-2073 for consultant services for the preparation of plans, specifications, and estimates for the State Route 91 improvement project between Acacia Street and La Palma Avenue.

### **Discussion**

State Route 91 improvements between State Route 57 and State Route 55 (SR- 55) (Project) are part of Project I in the Measure M2 (M2) freeway program. In the Next 10 Plan, adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in November 2019, the Project is one of the M2 freeway projects that is approved through construction. The Project is now scheduled to move into the design phase using net excess 91 Express Lanes revenue, as approved by the Board.



**Approval to Release Request for Proposals for the Preparation of Plans, Specifications, and Estimates for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue** **Page 2**

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The Project will add a general purpose lane in the eastbound direction between La Palma Avenue and SR-55, and provide westbound operational improvements between Acacia Street and La Palma Avenue and between SR-55 and Lakeview Avenue. The Project includes reconstruction of the La Palma Avenue overcrossing bridge and reconstruction of the Kraemer Boulevard/Glassell Street, Tustin Avenue, and Lakeview Avenue interchanges.

The draft environmental document was circulated for public comment on November 20, 2018, and the build alternative was identified as the preferred alternative by the Project development team. Approving the release of a request for proposals (RFP) for the preparation of plans, specifications, and estimates at this time will enable the consultant design team to begin work in November 2020, or sooner. The Project is being developed as three separate design and construction projects to enhance the participation and competitive bidding of consultants and contractors, with the following Project limits:

- Segment 1 extends from SR-55 to Lakeview Avenue
- Segment 2 extends from La Palma Avenue to SR-55
- Segment 3 extends from Acacia Street to La Palma Avenue

At this time, Board approval is requested to release RFP 0-2073 for design services for Segment 3. The RFP for Segment 1 was released on May 13, 2019, and the consultant selection was approved by the Board on September 9, 2019. The RFP for Segment 2 was released on September 23, 2019, and the consultant selection was approved by the Board on February 10, 2020.

***Procurement Approach***

OCTA Board-approved procurement policies and procedures require that the Board approve all RFPs over \$1,000,000, as well as approve the evaluation criteria and weightings. Staff is submitting for Board approval the draft RFP and evaluation criteria and weightings, which will be used to evaluate proposals received in response to the RFP. The recommended evaluation criteria and weightings are as follows:

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



**Approval to Release Request for Proposals for the Preparation of Plans, Specifications, and Estimates for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue** **Page 3**

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The evaluation criteria are consistent with criteria developed for similar architectural and engineering (A&E) procurements. Several factors were considered in developing the criteria weightings. Staff assigned the greatest level of importance to staffing and project organization, as the qualifications of the project manager and other key task leaders are of most importance to the timely delivery of the Project. Likewise, staff assigned a high level of importance to the work plan as the technical approach to the Project is critical to the successful performance of the Project. The qualifications of the firm in performing work of similar scope and size are also very important to the success of the Project. As this is an A&E procurement, price is not an evaluation criterion pursuant to state and federal laws.

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

**Fiscal Impact**

The Project is in OCTA Proposed Fiscal Year 2020-21 Budget, Capital Programs Division, Account 0017-7519-FI104-OU9, and will be funded through net excess 91 Express Lanes revenue.

***Summary***

Board of Directors' approval is requested to release Request for Proposals 0- 2073 for consultant services for the preparation of plans, specifications, and estimates for the State Route 91 improvement project between Acacia Street and La Palma Avenue.



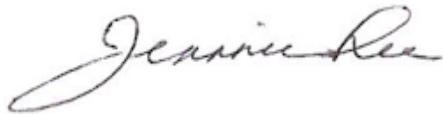
**Approval to Release Request for Proposals for the Preparation of Plans, Specifications, and Estimates for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue** **Page 4**

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***Attachment***

- A. Draft Request for Proposals (RFP) 0-2073, Consultant Services for the Preparation of Plans, Specifications, and Estimates for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue

**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



REQUEST FOR PROPOSALS (RFP) 0-2073

**CONSULTANT SERVICES FOR THE  
PREPARATION OF PLANS,  
SPECIFICATIONS, AND ESTIMATES  
FOR THE STATE ROUTE 91  
IMPROVEMENT PROJECT  
BETWEEN ACACIA STREET AND  
LA PALMA AVENUE**



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

**Key RFP Dates**

<b>Issue Date:</b>	<b>March 9, 2020</b>
<b>Pre-Proposal Conference Date:</b>	<b>March 16, 2020</b>
<b>Question Submittal Date:</b>	<b>March 23, 2020</b>
<b>Proposal Submittal Date:</b>	<b>April 8, 2020</b>
<b>Interview Date:</b>	<b>May 28, 2020</b>



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**DRAFT**





**NOTICE OF REQUEST FOR PROPOSALS**

**(RFP): 0-2073: “CONSULTANT SERVICES FOR THE PREPARATION OF PLANS, SPECIFICATIONS, AND ESTIMATES FOR THE STATE ROUTE 91 IMPROVEMENT PROJECT BETWEEN ACACIA STREET AND LA PALMA AVENUE”**

**TO: ALL OFFERORS**

**FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY**

The Orange County Transportation Authority (Authority) invites proposals from qualified consultants to Preparation of Plans, Specifications and Estimates (PS&E) for the State Route 91 Improvement Project between Acacia Street and La Palma Avenue.

**To prevent potential conflicts of interest the prime consultant and all subconsultants (at any tier) awarded this contract for design consultant services to develop the PS&E for the SR-91 Improvement Project between La Palma Avenue and SR-55 will be ineligible to participate, in any tier in any of the separate procurements for the construction management services and construction services required to deliver the SR-91 Improvement Project between Acacia Street and La Palma Avenue.**

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

1. Draft Environmental Document (Draft IS/EA and appendices)
2. Draft Project Report (including attachments)
3. Approved Traffic Study Report (TSR)
4. Draft Design Standard Decision Document (DSDD)
5. Initial Site Assessment (including attachment D)
6. CADD files for Segment 3 portion

**Proposals must be received in the Authority’s office at or before 2:00 p.m. on April 8, 2020.**



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

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

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

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

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

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

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

To receive all further information regarding this RFP 0-2073, firms and subconsultants must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

Category:

Professional Consulting

Professional Services

Commodity:

Architectural & Engineering  
Design Consulting  
Consultant Services - General  
Environmental Consulting  
Traffic Planning Consulting  
Architect Services, Professional  
Engineering - Architectural  
Engineering - Civil  
Engineering - Environmental  
Engineering - Mechanical  
Engineering - Right of Way



Engineering - Traffic  
Environmental - Architectural  
Land Surveying  
Landscape Architectural

A pre-proposal conference will be held on March 16, 2020, at 1:30 p.m. the Authority's Administrative Office, 550 South Main Street, Orange, California, in Conference Room 8. All prospective Offerors are encouraged to attend the pre-proposal conference.

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

The Authority has established May 28, 2020, as the date to conduct interviews. All prospective Offerors will be asked to keep this date available.

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

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

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

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



**SECTION I: INSTRUCTIONS TO OFFERORS**



**SECTION I. INSTRUCTIONS TO OFFERORS**

**A. PRE-PROPOSAL CONFERENCE**

A pre-proposal conference will be held on March 16, 2020, at 1:30 p.m. the Authority's Administrative Office, 550 South Main Street, Orange, California, in Conference Room 8. All prospective Offerors are encouraged to attend the pre-proposal conference.

**B. EXAMINATION OF PROPOSAL DOCUMENTS**

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

**C. ADDENDA**

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

**D. AUTHORITY CONTACT**

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

Robert Webb, Senior Contract Administrator  
Contracts Administration and Materials Management Department  
600 South Main Street  
P.O. Box 14184  
Orange, CA 92863-1584  
Phone: 714.560. 5743, Fax: 714.560.5792  
Email: rwebb@octa.net

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



proposer that engages in such prohibited communications may result in disqualification of the proposer at the sole discretion of the Authority.

## **E. CLARIFICATIONS**

### **1. Examination of Documents**

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

### **2. Submitting Requests**

- a. All questions, including questions that could not be specifically answered at the pre-proposal conference must be put in writing and must be received by the Authority no later than 5:00 p.m., on March 23, 2020.
- b. Requests for clarifications, questions and comments must be clearly labeled, "Written Questions". The Authority is not responsible for failure to respond to a request that has not been labeled as such.
- c. Any of the following methods of delivering written questions are acceptable as long as the questions are received no later than the date and time specified above:
  - (1) U.S. Mail: Orange County Transportation Authority, 550 South Main Street, P.O. Box 14184, Orange, California 92863-1584.
  - (2) Personal Delivery: Contracts Administration and Materials Management Department, 600 South Main Street, Lobby Receptionist, Orange, California 92868.
  - (3) Facsimile: (714) 560-5792.
  - (4) Email: [rwebb@octa.net](mailto:rwebb@octa.net)

### **3. Authority Responses**

Responses from the Authority will be posted on CAMM NET, no later than March 30, 2020. Offerors may download responses from CAMM NET at <https://cammmnet.octa.net>, or request responses be sent via U.S. Mail by emailing or faxing the request to Robert Webb, Senior Contract Administrator.



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

Category:

Professional Consulting

Professional Services

Commodity:

Architectural & Engineering  
Design Consulting  
Consultant Services - General  
Environmental Consulting  
Traffic Planning Consulting  
Architect Services, Professional  
Engineering - Architectural  
Engineering - Civil  
Engineering - Environmental  
Engineering - Mechanical  
Engineering - Right of Way  
Engineering - Traffic  
Environmental - Architectural  
Land Surveying  
Landscape Architectural

Inquiries received after 5:00 p.m. on March 23, 2020, will not be responded to.

**F. SUBMISSION OF PROPOSALS**

**1. Date and Time**

Proposals must be received in the Authority's office at or before 2:00 p.m. on April 8, 2020.

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

**2. Address**

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

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



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

**Orange County Transportation Authority**  
**Contracts Administration and Materials Management (CAMM)**  
**P.O. Box 14184**  
**Orange, California 92863-1584**  
**Attention: Robert Webb, Senior Contract Administrator**

**3. Identification of Proposals**

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

**4. Acceptance of Proposals**

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



**G. PRE-CONTRACTUAL EXPENSES**

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

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

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

**H. JOINT OFFERS**

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

**I. TAXES**

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

**J. PROTEST PROCEDURES**

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

**K. CONTRACT TYPE**

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be a firm-fixed price contract specifying firm-fixed prices for individual tasks specified in the Scope of Work, included in this RFP as Exhibit A.

**L. PREVAILING WAGES**

Certain labor categories under this project are subject to prevailing wages as identified in the State of California Labor Code commencing in Section 1770 et.seq. The proposer to whom a contract for the work is awarded by the Authority shall comply with the provision of the California Labor Code, including, without



limitation, the obligation to pay the general prevailing rates of wages in the locality in which the work is to be performed in accordance with, without limitation, Sections 1773.1, 1774, 1775 and 1776 of the California Labor Code governing employment of apprentices. Copies of the prevailing rates of per diem wages are on file at the Authority's principal office at 550 S. Main Street, Orange, CA 92868 and are available to any interested party on request.

**M. CONFLICT OF INTEREST**

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

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

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

**N. CODE OF CONDUCT**

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



**O. PROHIBITION**

The following restrictions apply to this procurement:

The prime consultant firm, including all subconsultants (at any tier) awarded this contract for consultant services to develop PS&E for the SR-91 Improvement Project between La Palma Avenue and SR-55 will be ineligible to participate (at any tier) in any of the separate procurements for construction management services and construction services required for the SR-91 Improvement Project between Acacia Street and La Palma Avenue.

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**SECTION II: PROPOSAL CONTENT**



## **SECTION II. PROPOSAL CONTENT**

### **A. PROPOSAL FORMAT AND CONTENT**

#### **1. Format**

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

#### **2. Letter of Transmittal**

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

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

#### **3. Technical Proposal**

- a. Qualifications, Related Experience and References of Offeror

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



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

Offeror to:

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

b. Proposed Staffing and Project Organization

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



Offeror to:

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

c. Work Plan

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

Offeror to:

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



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

d. Exceptions/Deviations

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

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

**4. Cost and Price Proposal**

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



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

**5. Appendices**

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

**B. FORMS**

**1. Campaign Contribution Disclosure Form**

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

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

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

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

**2. Status of Past and Present Contracts Form**

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



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

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

**3. Proposal Exceptions and/or Deviations Form**

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

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**SECTION III: EVALUATION AND AWARD**



### **SECTION III. EVALUATION AND AWARD**

#### **A. EVALUATION CRITERIA**

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

- 1. Qualifications of the Firm 25%**  
  
Technical experience in performing work of a closely similar nature; strength and stability of the firm; strength, stability, experience and technical competence of subcontractors; assessment by client references.
- 2. Staffing and Project Organization 40%**  
  
Qualifications of project staff, particularly key personnel and especially the Project Manager; key personnel's level of involvement in performing related work cited in "Qualifications of the Firm" section; logic of project organization; adequacy of labor commitment; concurrence in the restrictions on changes in key personnel.
- 3. Work Plan 35%**  
  
Depth of Offeror's understanding of Authority's requirements and overall quality of work plan; logic, clarity and specificity of work plan; appropriateness of resource allocation among the tasks; reasonableness of proposed schedule; utility of suggested technical or procedural innovations.

#### **B. EVALUATION PROCEDURE**

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

During the evaluation period, the Authority may interview some or all of the proposing firms. The Authority has established May 28, 2020, as the date to conduct interviews. All prospective Offerors are asked to keep this date available. No other interview dates will be provided, therefore, if an Offeror is unable to attend the interview on this date, its proposal may be eliminated from further discussion. The interview may consist of a short presentation by the Offeror after which the evaluation committee will ask questions related to the firm's proposal and qualifications.



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

**C. AWARD**

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

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

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

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

**E. NOTIFICATION OF AWARD AND DEBRIEFING**

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

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



**EXHIBIT A: SCOPE OF WORK**



**SCOPE OF WORK**

**PREPARATION OF PLANS, SPECIFICATIONS AND ESTIMATES (PS&E)**

**FOR**

**IMPROVEMENTS TO**

**STATE ROUTE 91 (SR-91)**

**BETWEEN**

**ACACIA STREET AND LA PALMA AVENUE**

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## **SECTION 1**

### **DESCRIPTION OF PROJECT**

#### **1.1 PROJECT DESCRIPTION**

##### **1.1-1 Background**

The Orange County Transportation Authority (Authority), in cooperation with the California Department of Transportation (Caltrans), the City of Anaheim, the City of Fullerton, the City of Orange, and the City of Placentia, is issuing the Request for Proposals (RFP) for professional and technical consultant services for development of Plans, Specifications, and Estimates (PS&E) for the State Route 91 (SR-91) Improvement Project between Acacia Street and La Palma Avenue.

The project is currently in the Project Approval/Environmental Document (PA/ED) phase. The Draft Environmental Document (DED) was circulated for public review in mid-November 2018. An alternative has been selected as the preferred alternative in late March 2019. For this Scope of Work, Build Alternative is being utilized.

Authority will be the implementing agency for plans, specifications, and estimate and right-of-way activities for the project. Caltrans will be the implementing agency for the construction phase, and will be responsible for the advertisement, bid opening, award, approval, and administration of the construction contract.

##### **1.1-2 General Project Description**

The proposed project will provide improvements along SR-91, primarily in the eastbound direction, from west of State College Boulevard to east of Lakeview Avenue. The project limits are SR-91 between PM 4.7 and PM R10.8 (from west of State College Boulevard to east of Lakeview Avenue), SR-57 from PM 15.5 to PM 16.2 (from just south of SR-91 to just north of SR-91), and SR-55 from PM 17.4 to PM R17.9 (from south of SR-91 to SR-91) in the cities of Anaheim, Fullerton, Orange, and Placentia in Orange County. Improvements along eastbound SR-91 would include construction of one 12-foot general purpose lane and one 10-foot outside shoulder between SR-57 and SR-55. The improvements would also restore auxiliary lanes. Eastbound SR-91 would be widened over the Santa Ana River (south side of the bridge). The project provides operational improvements in westbound direction between Acacia Street and La Palma Avenue, and between SR-55 and Lakeview Avenue. The proposed improvements for Build Alternative described in the Draft Project Report (EA 12-0K9800), dated November 19, 2018, shall be the basis of the work contained in this Scope of Work. The design of said improvements shall be in accordance with Caltrans and all other applicable standards. All pedestrian facilities, including curb ramps, within the



project limits must be in accordance with current Americans with Disabilities Act standards.

#### 1.1-3 Detailed Project Description

In Segment 3, add a fourth general purpose (GP) lane along westbound (WB) SR-91 from the northbound (NB) SR-57 to WB SR-91 connector, extend the southbound (SB) SR-57 to WB SR-91 connector auxiliary lane through the State College Boulevard (Blvd) interchange, tying in to the existing WB SR-91 auxiliary lane west of State College Blvd that ends at the Raymond Blvd/East Street off-ramp, and reconfigure the WB SR-91 to NB/SB SR-57 connector to provide dedicated exits to NB SR-57 and SB SR-57.

##### *La Palma Avenue OC (Bridge No. 55-0418)*

The existing La Palma Avenue overcrossing bridge would be replaced with a new bridge that would include four lanes with shoulders and sidewalks.

#### 1.1-4 Location and Limits

The project limits on SR-91 between Post Mile 4.6, Acacia Street to Post Mile 6.5, La Palma Avenue. The project is in the City of Anaheim and in the County of Orange.

#### 1.1-5 Statement of Intent

It is the intent of the Authority to award a professional services contract to provide engineering services including supplemental environmental document as required, obtain environmental regulatory permits, preparation of PS&E, and right-of-way engineering for the SR-91 Improvement Project.

### **1.2 STANDARDS**

#### 1.2-1 Latest Editions

CONSULTANT shall perform all services under the Agreement in conformance and in compliance with the latest Caltrans editions of applicable design and environmental standards.

#### 1.2-2 Conflicts

In case of conflict, ambiguities, discrepancies, errors, or omissions among the reference materials obtained by CONSULTANT from other agencies, CONSULTANT shall submit the matter to Authority for clarification. Any work affected by such conflicts, ambiguities, discrepancies, errors or omissions which is performed by CONSULTANT prior to clarification by Authority shall be at CONSULTANT's risk and expense.



### 1.2-3 Roadway/Design

Roadway design shall be performed in accordance with all applicable Federal, State and local laws, rules, regulations, policies, procedures, manuals, standard plans and specifications, roadway maintenance and structure maintenance reports, and other standards that State would normally follow. Design Standard Decision Documents for non-standard features shall require approvals from Caltrans.

### 1.2-4 Drafting

Roadway and related plans shall be prepared in conformance with the latest versions of the Caltrans "Drafting and Plans Manual" and "CADD Manual." CONSULTANT is required to furnish .dgn files either at PS&E or as-built stage in the Microstation version currently in use by Caltrans at the time of submittal.

The size and clarity of lettering on plan sheets requires special attention, as final contract plans are half-size. Plans, which are illegible or otherwise difficult to read, are unacceptable.

### Plans, Specifications and Estimates (PS&E)

PS&E shall be prepared in English units and in conformance with the most recent versions of the Caltrans Guide for the Submittal of Plans, Specifications, Estimates, Standard Plans, and Standard Specifications. As part of the work involved in the preparation of the PS&E, CONSULTANT shall prepare Special Provisions pertaining to items of work included in the plans that are not addressed in the latest Caltrans Standard Specifications and Caltrans approved Standard Special Provisions. CONSULTANT shall furnish the Special Provisions to Caltrans. Non-standard Special Provisions shall be prepared by CONSULTANT and shall require approval by Caltrans. Reports and PS&E items related to structures shall be submitted through Caltrans Office of Special Funded Projects (OSFP) as indicated in the OSFP Information and Procedures Guide and at the direction of the District 12 OSFP Liaison Engineer.

### 1.2-5 Reference Material

CONSULTANT shall utilize the following documents. Please note it is not the Authority's intent to provide a comprehensive list of resources; therefore, CONSULTANT shall also be responsible for ensuring they are using the most recent version of all reference material, including and addenda and errata.

- A Policy on Geometric Design of Highways and Streets (AASHTO)
- Southern California Regional Rail Authority Engineering Standards, Guidelines, and Standard Specifications



- American Railway Engineering and Maintenance of Way Association (AREMA) Standards
- Caltrans Highway Design Manual including Design Information Bulletins, and Design Memorandums
- Manual of Uniform Traffic Control Devices (MUTCD)
- California MUTCD
- Caltrans Division of Engineering Services Structures Manuals, including Information and Procedures Guide, Design Details, Aids, Practice and Memo to Designers Manuals
- Caltrans Project Development Procedures Manual
- Caltrans Environmental Guidelines & Manuals
- Caltrans Plans Preparation Manual
- Caltrans CADD User's Manual
- Caltrans Highway Planting and Irrigation Manual
- Caltrans Guide for Submittal of PS&E
- Caltrans RTL Guide
- Caltrans Standard Plans and Standard Specifications
- Caltrans Storm Water Quality Handbooks
- Orange County Hydrology Manual
- Caltrans Right of Way (R/W) Engineering Procedures Handbook
- Caltrans R/W Manual
- Caltrans High Occupancy Vehicle Guidelines
- Caltrans Local Assistance Procedures Manual
- Caltrans Survey Manual
- Caltrans District 12 R/W Engineering Requirements for the Preparation of Documents and Maps
- Applicable Local Codes and Manuals
- Construction Best Management Practices (BMPs)
- Caltrans Signal and Lighting Guidelines, Changeable Message Sign Guidelines, Ramp Metering Guidelines, Communications Systems Guidelines and National Electrical Code.

### **1.3 DESIGN CRITERIA**

The following is a general listing of specific criteria which shall be adhered to. This list is by no means comprehensive and other standards may apply.

#### **1.3-1 Roadway**

Design speed and other design criteria shall follow the latest Caltrans Highway Design Manual (HDM) guidelines as well as pertinent city standards.



### 1.3-2 Bridge & Retaining Walls

Design: AASHTO LRFD Design Specifications 6<sup>th</sup> Edition and the California Amendments, Seismic Design Criteria (SDC) latest edition.  
Caltrans Bridge Design Memo to Designers, latest edition.

### 1.3-3 Surveys

CONSULTANT shall conduct all surveys in conformance with the Land Surveyor's Act and Caltrans Survey Manual for PS&E. Topographic mapping will be provided to CONSULTANT, only design level survey will be required.

### 1.3-4 Material Report

CONSULTANT shall conform to the guidelines established by Caltrans Office of Materials Engineering and Testing Services (METS).

### 1.3-5 Drainage

Q25 for Design on-site drainage  
Q100 for Design off-site drainage  
Q50 for Design for bridge Deck Drain



## **SECTION 2**

### **GENERAL CONDITIONS AND REQUIREMENTS**

#### **2.1 SCOPE OF WORK GENERAL CONDITIONS AND REQUIREMENTS**

- 2.1-1** CONSULTANT shall carry out the instructions as received from Authority Project Manager and shall cooperate with Caltrans, the City of Anaheim, the City of Fullerton, the City of Orange, and the City of Placentia, and any other consultants working on this project.
- 2.1-2** It is not the intent of the foregoing paragraph to relieve CONSULTANT of his professional responsibility during the performance of this contract. In those instances where CONSULTANT believes a better design or solution to a problem is possible, CONSULTANT shall promptly notify Authority/Caltrans Project Managers of these concerns, together with the reasons therefore.
- 2.1-3** CONSULTANT is responsible for the accuracy and completeness of PS&E prepared for this project and shall check such material accordingly. While Caltrans will review the data and plans for conformity with Caltrans Design Standards, as well as conformance with California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) requirements, the responsibility for accuracy and completeness lies with CONSULTANT.
- 2.1-4** Neither CONSULTANT nor its subcontractors shall incorporate materials, or equipment of single or sole source origin, other than those included in Caltrans Standards, into the design without the prior written approval of Caltrans.
- 2.1-5** The plans, specifications, designs, estimates, calculations, reports, and other documents furnished under this Scope of Work shall be of a quality acceptable to Caltrans and Authority. The minimum criteria for acceptance shall be a product of neat appearance that is well organized, technically and grammatically correct, and thoroughly checked in accordance with the Caltrans Quality Assurance/Quality Control (QA/QC) Procedures Manual. All work products shall clearly identify both the preparer and checker. The standards of appearance, organization, and contents of the drawings shall meet or exceed those of similar documents produced by Caltrans.
- 2.1-6** The page identifying preparers of engineering reports, the title for specifications and each sheet of plans, shall bear the professional seal, certificate number and expiration date, registration classification, and the signature of the professional engineer(s) responsible for their preparation.
- 2.1-7** To ensure the progress towards contract objectives and requirements, CONSULTANT will hold regular meetings with the Authority and Caltrans. If the original established schedule is insufficient, CONSULTANT will hold additional meetings as necessary. The primary purpose of these meetings



is to discuss work objectives, CONSULTANT's work schedule, the terms of the contract and other related issues. In addition, the meetings will serve as a forum for resolving any issues related to the PS&E development.

- 2.1-8** CONSULTANT may establish direct contact with governmental regulatory and resource agencies and others in order to obtain information, expertise, and assistance in developing baseline data and resource inventories. CONSULTANT shall maintain a record of such contacts and shall transmit copies of those records to Caltrans and Authority on a regular basis. At a minimum, these records shall be transmitted monthly or more frequently, when the content or extent of the records so warrants.
- 2.1-9** Caltrans and Authority will retain responsibility for final consultation, both informal and formal, with state and federal agencies regarding project mitigation and compensation proposals.
- 2.1-10** CONSULTANT shall comply with OSHA regulations regarding safety equipment and procedures, safety instructions issued by Caltrans, and the safety provisions included in the Caltrans Survey Manual. While working on the job site, CONSULTANT's personnel shall wear white hard hats, rubber soled shoes, and appropriate safety vests. In the case of a discrepancy between the Caltrans and OSHA requirements, the more stringent regulation shall apply.
- 2.1-11** CONSULTANT shall designate a Surveys Manager who will coordinate CONSULTANT's surveying operations. The Surveys Manager shall be responsible for all matters related to CONSULTANT's surveying operations, but shall coordinate with CONSULTANT's Project Manager.
- 2.1-12** Surveys performed by CONSULTANT shall conform to the requirements of the Land Surveyors Act and the Caltrans Surveys Manual. In accordance with the Act, "responsible charge" for the work shall reside with a pre-January 1, 1982, Registered Civil Engineer or a Licensed Land Surveyor, in the State of California.
- 2.1-13** CONSULTANT shall designate a Construction Lead, who is a qualified Construction Management professional, to lead constructability and biddability reviews.
- 2.1-14** In the case of conflicts between the instructions contained in this Scope of Work and those found in the Bridge Memos to Designers, the instructions in this Scope of Work take precedence.
- 2.1-15** Where this Scope of Work requires CONSULTANT to prepare and submit studies, reports, plans, etc., to Caltrans and Authority, these materials shall be submitted in draft as scheduled, and the opportunity provided for the Authority and Caltrans to direct revisions, prior to final submission.
- 2.1-16** Throughout the design of this project, CONSULTANT will consider least cost alternatives analysis for major project components, where appropriate.



**2.1-17** The CONSULTANT's team shall be responsible for supporting and assisting Authority staff in the Board of Directors (Board) approval process during the preparation of the PS&E. These may include but are not limited to: providing Project materials for Board packages, assisting and/or making Board presentations, researching/investigating of information requested by the Board, and attending additional meetings/workshops, as necessary. CONSULTANT's team shall also be responsible for supporting Authority with coordinating with corridor cities regarding various issues related to the Project.

**2.1-18** Authority Project Manager will administer CONSULTANT contract and provide general direction to CONSULTANT. Caltrans is responsible for providing Quality Assurance as well as final approval of the PS&E, required reports, and work product.

**2.1-18** Following material may be furnished by Caltrans/Authority (as available):

- Existing aerial photographs and negatives
- Existing survey control data and site survey information (hard copy and electronic files) including survey control maps, coordinate control maps, existing right-of-way maps, existing monument maps, existing land-net information and any pertinent records of information
- Existing Caltrans Detailed Seismic Revisions Data Sheets
- Existing maintenance reports
- Existing as-built Logs of Test Borings
- Existing noise data
- Existing Materials Data and Foundation Reports
- Approved Project Report
- Approved Environmental Document
- Pertinent correspondence
- Caltrans standard CADD cell library including bridge, geometric, landscape, project plans, R/W, and traffic/electrical (hard copy and electronic files)
- Caltrans District CADD cell library (hard copy and electronic files)
- Caltrans Headquarters/District font library
- Caltrans CADD plotting pen tables
- Caltrans CADD seed file
- Available aerial mapping for the entire project limits (hard copy and electronic files) in proper format
- Current Standard Special Provisions (hard copy and electronic files)



- Monument disks, plugs, tags, and marker posts
- Current Traffic Counts and 2040 Traffic Projections

**2.1-19** Following is work which is to be performed by Caltrans:

- Communications with the Federal Highway Administration
- Process Exceptions to Policy
- Provide all Survey Controls
- Input Construction Cost Estimate into Basic Engineering Estimate System (BEES)
- Technical reviews of work and deliverables (technical and office engineers)
- Preparation and processing of request to the Caltrans Longitudinal Encroachment Committee for exceptions to policy, if needed
- Analysis and recommendations for rehabilitation work on existing ramps to be widened
- Perform Safety Review during design and construction
- Perform Constructability Review
- Perform Biddability Review
- Caltrans will be the lead agency for CEQA and NEPA



## **SECTION 3**

### **STATEMENT OF WORK**

#### **3.1 TASK 1 – PROJECT MANAGEMENT / COORDINATION / ADMINISTRATION**

This task covers project management services including the requirements for meetings, schedules, progress reports, invoicing, and administration of CONSULTANT's work.

##### **3.1-1 Coordination/Administration**

###### **3.1-1a Coordination and Meetings**

Meetings with affected parties shall be held to discuss issues pertinent to analysis, design, and effects of the Project. During these meetings, Authority and Caltrans may provide direction for development of the PS&E.

CONSULTANT shall participate in the following meetings:

Project Development Team (PDT) Meetings with Authority and Caltrans shall be held on a monthly basis to discuss policy, procedural and freeway-specific issues. CONSULTANT shall bring progress plans and presentation materials as appropriate.

Agency Coordination/Technical Workshop Meetings shall be held as needed to discuss technical issues with specific agencies. CONSULTANT shall bring progress plans and presentation materials as appropriate.

Right-of-Way Coordination Meetings shall be held before starting work between CONSULTANT and the Chief of Caltrans District 12 R/W Engineering (CHIEF). Thereafter monthly progress meetings shall take place between CONSULTANT and the CHIEF at District 12 headquarters. An emergency meeting may be called at any time to address pressing problems.

Constructability Workshop Meetings shall be held with Authority and Caltrans to present, discuss and resolve constructability issues to minimize construction change orders. CONSULTANT shall present progress plans and specifications prior to the 65% and 95% submittals. Provide special presentation materials as needed to convey and resolve constructability issues.

Safety Review Meeting shall be held with AUTHORITY and Caltrans at the 65% and 95% submittal.

###### ***Deliverables:***

Following are the meeting materials which CONSULTANT will be responsible for preparing and providing:

- Notices
- Agendas



- Handouts
- Minutes
- Progress plans

### **3.1-1b Administration**

Following are administrative duties which shall be performed by CONSULTANT:

- Supervise subcontractors, coordinate, and monitor work for conformance with Caltrans standards and policies.
- Apply for and obtain Caltrans encroachment permits necessary for CONSULTANT to be on the jobsite.
- Apply for and obtain City approvals and permits as required.
- Prepare, circulate, and file correspondence and memoranda as appropriate.
- Prepare and update Project Risk Register, including Risk Register Certification Form.
- Maintain Project files using the Caltrans Uniform File System.
- Thirty days after Notice to Proceed, CONSULTANT shall submit the Project Master Schedule to Authority and Caltrans Project Managers. Section 3.1-2 contains description of the Master Schedule.

### **3.1-2 Schedules**

CONSULTANT shall submit an initial Project Master Schedule. Following approval by Authority, this schedule will become the Project Schedule. The approved Project Schedule shall be displayed on the Project Master Schedule updates. The following elements must be included by CONSULTANT in the Schedule:

- Work items and deliverables identified in accordance with a Work Breakdown Structure (WBS) as developed by CONSULTANT and approved by Authority
- Work items of agencies and other third parties that may affect or be affected by CONSULTANT's activities
- Schedule shall provide adequate time for Authority and Caltrans review, based on standard practices.
- Resource loading of work items in work hours to show the effort required to perform the work. Resource loading shall be used to develop plan and actual progress curves



- The Project Master Schedule shall include all data necessary to represent the total Project and the critical path shall be clearly identified
- The order, sequence, and interdependence of significant work items shall be reflected on the Project Master Schedule
- The following list of major tasks shall be used to develop the Project Master Schedule:

Task 1 – Project Management/Coordination/Administration

Task 2 – 35 Percent PS&E

Task 3 – Unchecked Details PS&E (65 Percent) Submittal

Task 4 – Initial PS&E (95 Percent) Submittal

Task 5 – Final PS&E (100 Percent) Submittal

Task 6 – Construction Bidding Phase

Task 7 – Construction Support Phase

Task 8 – Project Closeout

Major tasks should be broken down into subtasks as warranted. Decision dates will be included in the schedule.

CONSULTANT shall submit a copy of the Project Master Schedule to the Authority Project Manager for review and approval and a copy to Caltrans for information. Monthly schedule updates will be part of the Progress Report and will be in accordance with the requirements shown in Section 3.1-3.

***Deliverables:***

- Project Master Schedule

**3.1-3 Progress Reports**

At the end of each month, CONSULTANT shall report the progress of the work. Progress shall be based on physical percent complete such as number of drawings or deliverables completed or estimated progress toward completion. Progress payments will be based upon percent complete of the major tasks identified.

CONSULTANT shall submit one copy of a monthly Progress Report to the Authority Project Manager consisting of a written narrative and an updated bar-chart format of the Project Master Schedule. This report shall be received no later than the tenth (10<sup>th</sup>) calendar day of the month.

The narrative portion of the monthly Progress Report shall describe overall progress of the work, discuss significant problems and present proposed corrective action and show the status of major changes.

All schedule tasks will be updated to reflect current percent complete. If the latest completion time for a significant work item does not fall within the time allowed by



the original Project Master Schedule, the sequence of work and/or duration shall be revised by CONSULTANT through concurrent operations, additional staffing or overtime, until the resultant schedule indicates that all significant project completion dates shall be met. If during the course of the work, CONSULTANT falls behind in overall performance in accordance with the current schedule, a project management meeting will be called to determine the cause. If cause is found to be due to CONSULTANT performance, payment to CONSULTANT may be withheld pending the submittal of an action plan outlining the steps which will be taken to correct the identified delay(s). The initial Project Master Schedule, referenced in Section 3.1-2, as agreed to by Authority shall become the project. The target schedule shall be displayed on the updated Project Master Schedule.

***Deliverables:***

- Monthly Progress Report

**3.1-4 Design Quality Management Plan**

CONSULTANT shall prepare, implement and maintain a Design Quality Management Plan (DQMP) throughout the services under this Agreement. The DQMP will establish Quality Assurance (QA) and Quality Control (QC) processes and procedures; describe how the quality of the work products will be managed to minimize or eliminate errors and omissions; ensure that all design reports, studies, plans, specifications, quantities, estimates and other design documents are complete, accurate, consistent, checked, and reviewed; and will be prepared to an acceptable quality of the Authority.

The Authority encourages a commitment to quality throughout the preparation of Plans, Specifications & Estimates (PS&E) for the project.

At a minimum, the DQMP shall address the following:

1. Quality Commitment: management commitment and message to achieve a quality culture and promote quality practices throughout the project delivery process.
2. Project Initiation and Early Activities: Ensure that the proper design criteria, guidelines, standards, specifications, directives, etc. are properly implemented throughout the entire Design Team at all times. Ensure that all field activities use equipment that is properly maintained and calibrated in accordance with the manufacturer's guidelines.
3. Constructability and Biddability: Commit a qualified Construction Management professional(s) to the project who will lead constructability and biddability reviews for the duration of the project including performing reviews at all milestone submittals.
4. QA Manager: Commit a QA Manager to the project who is qualified to implement the DQMP and oversee the DQMP compliance and conformance of the entire project team, conduct internal surveillances and audits of the entire design team, monitor quality performance, identify when and where corrective action is required, follow up on corrective action to ensure compliance, and



actively engage in the Authority surveillances and audits. QA Manager shall identify critical reviews in the Project Master Schedule.

5. QC:

- a. Provide the QC Processes for checking and reviewing design documents. A discipline review shall precede the inter-discipline review but the constructability review maybe sequential with the inter-discipline review. Should design documents be reviewed using electronic commenting tools, they should identify the reviewer (person making comment), date/time of comment and if possible, resolution.
- b. Provide QC Procedures for complete and independent checking, back checking, correction and verification of all types of calculations, drawings, reports, specifications, quantities and estimates. Establish an appropriate means to avoid conflicts and misalignments between existing facilities and proposed improvements. Provide checklists and ensure use when performing the quality control reviews.
- c. Maintain a communication plan and a project organization chart to adequately and consistently interface with the internal development of the design within all disciplines of work and all external stakeholders.
- d. Maintain a review comment tracking system that encourages complete resolution of all comments and prevents any review comment from not being resolved.
- e. Maintain and Action Item Register from the beginning of the project throughout the completion of the approved final design.
- f. Maintain a Risk Identification, assessment and mitigation log from the beginning of the project. Note all design assumptions as a risk on the log and consider each risk as part of the contingency planning.

6. QA:

- a. Each deliverable shall be verified and certified by the QA Manager and Project Manager as being prepared and checked in accordance with the approved DQMP. A QA Certification shall accompany each submittal.
- b. Identify critical path items and critical reviews in the Project Master Schedule.
- c. The QA Manager shall demonstrate that he/she is qualified to implement the DQMP.

7. Document Control:

- a. Establish an electronic Document Management System that will be used to maintain and store project files and quality records. Define who will maintain the files and how subconsultants will have access, if they have access.



- b. Drawing quality records shall be marked clearly as being checked, signifying that the preparation of the work products followed the DQMP established for the project.
  - c. Quality records and documentation shall be maintained and provided to Authority upon request. CONSULTANT shall provide an itemized list of submittal documents, a schedule of the quality control activities and a design change control log, when requested
  - d. Maintain interface documentation, meeting notes and correspondence.
  - e. Establish a Resident Engineers file containing critical elements such as Survey files, Permitting information, Structures details, Cost Estimate backup, Right-of-Way and Utility agreements, etc.
8. Demonstrate how Project Management, production and Quality Management will cooperate with and participate in QA surveillances, audits and other monitoring performed by Authority. Provide documentation to Authority in advance of any planned QA surveillance or audit, as requested.
9. Implementation and Training: Ensure that CONSULTANT and subconsultant staff are trained to properly implement, execute and maintain the approved DQMP processes and procedures. Maintain a training log of materials and attendees.

Within 30 days of receiving the Notice to Proceed, CONSULTANT shall submit a complete DQMP for review and approval by the Authority and Caltrans. The DQMP should identify if Subconsultants have their own DQMP that they will follow for their work. The CONSULTANT DQMP must be approved prior to all submittals.

***Deliverables:***

- hard copies and an electronic copy of the DQMP

**3.1-5 Project Management Plan**

CONSULTANT shall prepare a Project Management Plan. Within thirty (30) days of receiving Notice to Proceed, CONSULTANT shall prepare a Project Management Plan for this PS&E, including a Communication Plan and a Risk Management Plan.

***Deliverables:***

- Project Management Plan



## **3.2 TASK 2 – 35% PS&E**

### **3.2-1 Data Collection**

CONSULTANT will collect existing topographic maps, as-built drawings, reports, and other available materials. CONSULTANT will request data from the cities of Anaheim, Fullerton, Orange, and Placentia, Caltrans, the County, and other agencies, as appropriate.

Deliverables:

- As-built drawings, reports, and other records

### **3.2-2 Permit Applications**

CONSULTANT will prepare permit applications and secure encroachment permits for surveying, geotechnical investigations, and construction. Possible permits required for this project include:

- City and State Encroachment Permit for Construction
- National Pollutant Discharge Elimination System (NPDES) General Construction Activity Stormwater Permit
- Environmental clearance permits for construction as needed per the Draft Project Report and Environmental Document. Although this project will award three separate contracts for three different segments, only one permit application will be submitted to each permitting agency. The environmental permits will be prepared by the Segment 2 and coordinated amongst all three segments.

**Deliverables:**

- Prepared Permit Applications
- Secure all required permits

### **3.2-3 Geometric Workshop**

CONSULTANT will refine the geometry to be provided in MicroStation format by Authority from the Final Project Report/Environmental Document. CONSULTANT assumes that major changes will not occur between the Draft Project Report/Environmental Document and the approval of the Final Project Report/Environmental Document.

CONSULTANT will conduct a workshop with Caltrans District 12 staff, the Caltrans Safety Review Committee representatives, the geometric reviewer, and City staff to present and obtain consensus on the geometrics for proposed project design for the assigned segment. CONSULTANT will identify and clarify any major non-standard features.



Overhead sign concepts will be evaluated in conjunction with the refined geometry and will be provided for review as part of geometric workshop.

***Deliverables:***

- Collateral Materials for Geometric Workshop

**3.2-4 Design Standard Decision Document (formerly Fact Sheet)**

CONSULTANT will prepare supplemental Design Standard Decision Document for non-standard design features not included in Design Standard Decision Document approved in the PA/ED phase of this project.

***Deliverables:***

- Supplemental Design Standard Decision Document(s)
- Project Engineer's reasoning for all permissive non-standard design items

**3.2-5 Design Surveys**

CONSULTANT will perform design surveys during this phase. Authority may provide recent photogrammetric mapping in English units. New mapping is anticipated and aerial topographic mapping for the entire corridor will be performed by Segment 1 and coordinated amongst all three segments. The aerial topographic mapping will cover all areas of the proposed improvements and provide sufficient data to support preparation of the PS&E.

Upon receipt of the Survey Control Data from Caltrans, CONSULTANT shall verify the physical existence of the Monument Control Points and, if necessary, re-establish such Control Points.

CONSULTANT will perform detailed field surveys of existing street and drainage features. The Surveys Manager will coordinate with the Design Engineer to establish limits of work. Cross sections and tie-in surveys will ensure accurate design fit and smooth transitions from existing roadway and infrastructure features.

CONSULTANT will verify survey results and then transmit them in MicroStation 3D DGN and DTM formats, along with ASCII point and station-offset files of all field survey ties. All work and files will be based on project coordinate control and in accordance with Caltrans Surveys and Right-of-Way Manuals, and Caltrans District 12 R/W Engineering Requirements for the Preparation of Documents and Maps.

CONSULTANT will survey Geotechnical Boring locations to verify these locations (see Task 3.2-6 Geotechnical Exploration Plan).

CONSULTANT will survey locations of utility potholes (see Task 3.2-11 Utilities) and overhead utility lines that cross the improvements or near any pile construction locations.



***Deliverables:***

- Design surveys

**3.2-6 Geotechnical Exploration**

CONSULTANT will prepare and submit a geotechnical review and exploration plan for the Authority and Caltrans review. CONSULTANT will obtain permits-to-enter prior to exploration. CONSULTANT will conduct subsurface investigation and evaluate the results in accordance with Caltrans testing criteria. CONSULTANT will analyze the results and present them in the geotechnical report (see Task 3.3-9 Geotechnical Design Report). A Water Pollution Control Plan will be prepared by CONSULTANT to accompany the Caltrans encroachment permit.

***Deliverables:***

- Geotechnical Exploration Plan
- Permits-to-enter
- Water Pollution Control Plan

**3.2-7 Roadway Plans**

CONSULTANT will prepare 35 percent level layouts, profiles, superelevation diagrams, typical sections, and ROW requirements for the assigned segment.

***Deliverables:***

- 35% Roadway Plans – 10 sets
- Sign and lighting Concept strip map

**3.2-8 Preliminary Foundation Report**

To assist in Structure Type Selection, CONSULTANT will prepare a Preliminary Foundation Report, in accordance with Caltrans Office of Structural Foundations requirements. This report shall include a summary of the exploration program, description of the site geotechnical issues, and recommendations for foundation design and construction including retaining walls, if appropriate.

***Deliverables:***

- Preliminary Foundation Report

**3.2-9 Structure Type Selection**

CONSULTANT will prepare the Structure Type Selection documents and the Bridge General Plan to comply with the most current Caltrans guidelines.



The Type Selection Report will include a discussion of foundation and falsework requirements, seismic and aesthetic considerations, traffic handling requirements and alternatives, and construction cost and staging. In addition, CONSULTANT will develop an order-of-magnitude construction cost estimate. Anticipated construction methods will be identified in the Type Selection process and coordinated with the project geometry.

CONSULTANT will submit Type Selection documents to the Caltrans Office of Special Funded Projects (OSFP) for review and approval.

***Deliverables:***

- Bridge Type Selection Reports

**3.2-10 Bridge Type Selection Meeting and Approval**

CONSULTANT will attend a Type Selection review meeting at Caltrans Headquarters in Sacramento to finalize structure type, foundations, seismic design, aesthetics, and traffic handling plans.

CONSULTANT will summarize and submit meeting proceedings to the liaison engineer within one week for written Type Selection approval. The meeting summary may update or supplement the Type Selection Report.

***Deliverables:***

- Type Selection Meeting Minutes

**3.2-11 Utilities**

CONSULTANT will coordinate and work closely with the cities and utility companies to determine the need to relocate impacted facilities, using Caltrans policy for high- and low-risk utilities. It is assumed the utility companies will perform relocation design for their own facilities. CONSULTANT will perform potholing of existing high- and low-risk utilities that are within fifty (50) feet of the proposed improvements or cross the improvements and prepare and distribute utility base maps to affected utilities for confirmation and determination of any needs for relocations. If necessary, CONSULTANT will conduct a utility relocation feasibility study to evaluate existing systems and optimize relocations. CONSULTANT is responsible for coordinating electrical service points of connection with the electrical utility company. A pothole location map will be prepared summarizing the planned pothole locations. Any required agency encroachment permits and traffic control plans will be prepared by the CONSULTANT.

If utilities are required to be relocated, Caltrans will provide the prior rights determination and will also prepare a Utility Relocation Agreement (URA) and Joint Use Agreement (JUA) or Consent to Common Use Agreement (CCUA) for each prior right utility relocation within state right-of-way. Caltrans will also be responsible for all negotiations with the utility companies for cost responsibility, notices to relocate and processing the URA's for approval. URA's will also be prepared by Caltrans for non-prior rights utility relocations.



***Deliverables:***

- Utility base maps
- Utility relocation feasibility study, if needed
- Utility conflict maps with pothole information
- Utility conflict matrix
- Utility plan sheets

**3.2-12 Hazardous Waste**

CONSULTANT shall address hazardous soil contaminants (aerially deposited lead [ADL]) and structural materials (polychlorinated biphenyls [PCBs], mercury, lead-based paint [LBP]) that may be encountered during project construction. Asbestos containing materials (ACM) related to buildings and private properties will be addressed by the Authority's right-of-way consultant. In addition, there is a potential that gasoline-impacted soil could be encountered during excavation activities near or at several properties throughout the project limits. Following the completion of Preliminary Site Investigations at these properties in the PA/ED phase, it is possible that Detailed Site Investigations will be required during the PS&E phase.

***Deliverables:***

- Work plan, report, plans and specification for handling of ADL soil.
- Work plan, report, and specifications for survey of PCB at transformers.
- Specification for the handling of potential contamination of PCB at transformers
- Work plan, report, and specification for handling asbestos, LBP, and PCB/mercury/chlorofluorocarbon (CFC) containing equipment on building structures that are located within parcels that will be acquitted
- Work plan, report, and specification for Detailed Site investigation at properties with potentially contaminated soil, if needed.
- Hazardous Materials Disclosure Document – Acquisition (Env-0001-A) Form and Request for Acquisition of Contaminated Property (Env-002) Form (if needed)

**3.2-13 Conceptual Landscape and Structure Aesthetics Plan**

CONSULTANT will prepare conceptual aesthetic treatment plan for retaining walls, structures, and any soundwalls.

CONSULTANT will prepare a concept landscape plan at a scale of 1"=50' depicting planned replacement planting disturbed by the grading and construction limits. Planting will be based on the Authority's Master Plan of Freeway and Transit



Corridor Enhancements (December 1995). This task will also include research and investigation of existing features, field review, attendance at landscape concept coordination meetings, and preliminary cost estimate preparation. The primary purpose of this task will be to establish general landscape parameters for purposes of designing the backbone irrigation system to be constructed by the Highway contract. The Highway Planting and Irrigation System to be constructed by the Highway Planting contract will be a separate PS&E package as described in Section 3.3-7 in this scope of work. A landscape concept plan will also be coordinated amongst all three segments.

***Deliverables:***

- Conceptual Aesthetics Treatment Plan
- Landscaping Concept Plans

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### **3.3 TASK 3 – DRAFT PS&E (65%) SUBMITTAL**

#### **3.3-1 Roadway Plans**

CONSULTANT will incorporate all reviewing agency comments from the 35% submittal into the roadway plans and estimates. Where it is not possible or desirable to incorporate certain comments, CONSULTANT will provide an explanation. Electronic copies will be included with the 65% submittal. Material with Aerially Deposited Lead (Existing and Placement) will be prepared as part of the Construction Details plan sheets as required by the Aerially Deposited Lead Report.

CONSULTANT will also submit final plans for Caltrans Safety Review and participate in the safety review/disposition meeting. CONSULTANT will provide status of incorporation of plan and specification features in accordance with the Environmental Commitments Record.

##### **Deliverables:**

- Title Sheet – 10 sets
- Typical Cross Sections - 10 sets
- Key Map and Line Index - 10 sets
- Layout Plans – 10 sets
- Profiles and Superelevation Diagrams – 10 sets
- Construction Details – 10 sets
- Contour Grading – 10 sets
- Summary of Quantities - 10 sets

#### **3.3-2 Drainage Plans**

CONSULTANT will prepare a drainage report to address the existing drainage condition and the proposed mitigation and design. This report shall consider both onsite and offsite systems. CONSULTANT will prepare drainage plans, profiles, and quantities based on the drainage report. To address storm water quality (NPDES & Caltrans) requirements, consultant shall prepare a Storm Water Data Report (SWDR). The drainage, SWDR, temporary water pollution control, and erosion control plans will be prepared in accordance with Caltrans Standard Drainage Plans and Quality Sheets guidance. CONSULTANT shall also prepare temporary drainage plans where needed.

##### **Deliverables:**

- Drainage Report – 10 copies
- Drainage Plans, Profiles, Details, and Quantities – 10 sets



- Storm Water Data Report -10 copies
- Water Pollution Control Plans – 10 sets
- Temporary Drainage Plans – 10 sets
- Erosion Control Plans – 10 sets

### **3.3-3 Stage Construction, Traffic Handling, Detour, and Construction Area Sign Plans, and Transportation Management Plan (TMP)**

The objective of the TMP is to provide continuous traffic circulation and access, with adequate space for safe and efficient construction.

#### **Segment-specific TMP**

The CONSULTANT will develop a traffic management plan (TMP) that includes elements specific to the segment being designed and coordinated amongst all three segments for consistency. The TMP addresses traffic detours and traffic operations during the construction phase. The TMP will be coordinated with the impacted cities, Caltrans, and other stakeholders, including the California Highway Patrol. Stage Construction and Detour Plans will include construction detour routes. Traffic studies conducted as part of the final environmental document process should be reviewed in advance of developing the TMP to ensure that any specified mitigation is incorporated.

#### ***Deliverables:***

- Transportation Management Plan – 10 copies
- Stage construction and traffic handling/detour plans, profiles, details, and quantities – 10 sets
- Detour layouts, profiles, and super elevation diagrams – 10 sets, as required
- Construction area signs – 10 sets

### **3.3-4 Pavement Delineation Plans**

CONSULTANT will prepare pavement delineation plans to identify locations of painted and thermoplastic stripes and markings, pavement markers, and delineators.

#### ***Deliverables:***

- Pavement Delineation Plans, Details, and Quantities – 10 sets



### **3.3-5 Sign Plans**

CONSULTANT will prepare Sign Plans to show existing and proposed new signs. The plans will include sign details and quantity sheets. Overhead sign structures shall be designed based on the locations shown on the 35% Sign Concept Strip Maps.

***Deliverables:***

- Sign Plans, Details, and Quantities – 10 sets

### **3.3-6 Electrical Lighting, Traffic Signal, Ramp Metering, Traffic Monitoring, and Communication System**

CONSULTANT will prepare plans for safety lighting (Caltrans and Cities), traffic signal, ramp metering, traffic monitoring stations, CCTV and communication systems. CONSULTANT will coordinate with Caltrans to ensure that ramp meter and electrical designs will accommodate future traffic monitoring features within the project limits. Freeway Lighting shall be designed based on the locations shown on the 35% Lighting Concept Strip Maps.

CONSULTANT will identify and prepare plans for temporary highway lighting and temporary/staged electrical/communication systems (e.g. ramp metering, traffic monitoring stations, CCTV, changeable message signs and fiber optic communication) that maintain existing highway safety lighting and maintain the communication of traffic information to the Traffic Management Center throughout all stages of construction. Temporary traffic signal plans will be prepared if the stage construction/traffic handling significantly affects the traffic movements through the intersection, or if a temporary detour route warrants a temporary traffic signal.

***Deliverables:***

- Lighting Plans and Details – 10 sets
- Ramp Metering Plans and Details – 10 sets
- Traffic Signal Plans and Details -10 sets
- Traffic Monitoring System – 10 sets
- CCTV and Communication System – 10 sets
- Changeable Message Sign System – 10 sets
- Electrical Services (Irrigation) System – 10 sets
- Temporary Electrical Plans – 10 sets



### **3.3-7 Planting and Irrigation Plans**

CONSULTANT will prepare planting and irrigation plans to include replacement planting and irrigation in those landscaped areas disturbed by construction. Specimen trees will replace any mature trees that are removed by the project. The determination of the size and quantity of the replacement trees will be by the District 12 Landscape Architect. If it is determined that the cost for highway planting and irrigation will exceed \$200,000, a separate highway planting contract for construction will be required. The contract documents will include all that is needed for a standalone PS&E for Caltrans to bid the highway planting as a separate contract.

CONSULTANT will prepare Erosion Control and Maintain Existing Highway Planting Plans, and Irrigation Plans for the appropriate permanent backbone irrigation system and temporary irrigation systems for the Highway construction contract.

#### ***Deliverables:***

- Highway Planting and Irrigation Plans and Details – 10 sets
- Erosion Control and Maintain Existing Highway Planting Plans, and Irrigation Plans (Highway contract) - 10 sets

### **3.3-8 R/W Engineering Services**

R/W Engineering Services will be required as described in the sections below.

#### ***3.3-8a Location***

Establishment of the existing R/W for SR-91 and intersection local streets for the entire length of the project as defined by the project limits. All boundary establishment shall be documented on a Before Condition Record of Survey per section 3.3-8c4 below.

Various Partial Fee, Permanent Easements and Temporary Construction Easements will be needed throughout the entire length of the project limits. All acquisitions - shall be documented on R/W Maps per section 3.3-8c-6 below.

#### ***3.3-8b References***

- Ref 1. Caltrans R/W Manual (with special attention to Chapter 6 - R/W Engineering)
- Ref 2. Caltrans Surveys Manual



- Ref 3. Caltrans Drafting and Plans Manual
- Ref 4. Caltrans District 12 R/W Engineering Requirements for the Preparation of Documents and Maps (dated JAN-2007)
- Ref 5. Caltrans District 12 R/W Engineering CADD Standards (dated 2003)
- In the event of conflict between Ref 1, 2, 3 and Ref 4, 5 - the latter shall prevail.

### **3.3-8c Activities**

In compliance with the above references and as project needs dictate, CONSULTANT shall perform the following:

#### **3.3-8c-1 Perform Record Data Search**

Search, acquisition, and analysis of appropriate deeds, field notes, and survey maps contained in State, County, and City files.

#### **3.3-8c-2 Acquire Title Reports**

Acquire title reports for all parcels impacted by proposed R/W fee, permanent and temporary construction easement takes (If applicable). Provide updated title reports prior to the approval of the R/W Appraisal mapping.

#### **3.3-8c-3 Perform Land Net Recovery and Field Ties**

Field and related survey effort necessary to search, recover, describe, and tie-in controlling land survey monuments. (See "State R/W Boundary Establishment" Ref 4)

#### **3.3-8c-4 Prepare Land Net Map - "Before Condition" Record of Survey**

This activity is required by the Professional Land Surveyors Act and involves the production and filing of the "Before Condition" Record of Survey. (See "Records of Survey" Ref 4)

#### **3.3-8c-5 Perform Monument Perpetuation Surveys**

This activity is required by the Professional Land Surveyors Act and includes:

- Preparation of lists of monuments threatened with destruction.



- Referencing threatened monuments with tie-outs for perpetuation through construction.
- Setting replacement monuments after construction to effect said perpetuation.

All reset replacement monuments shall meet the requirements described below under the activity "Final Monuments".

The "Before Condition" Record of Survey (See "Records of Survey" Ref 4) shall be the instrument on which tie-outs are documented prior to construction. In the cases where swing ties or tangent over ties are the method of tie-out, each monument tied out using these methods shall clearly be shown as a separate "Detail" on the "Before Condition" Record of Survey.

### **3.3-8c-6 Prepare Right of Way Maps**

Prepare various types of R/W Maps (See Ref 1 and Ref 3) as dictated by project need. (Also see "R/W Maps" Ref 4). Various types of R/W Maps may include but are not limited to:

- R/W Requirements Maps
- Appraisal Map
- Resolution of Necessity Map
- Director's Deed Map
- Relinquishment Map
- Vacation Map
- Transfer Control and Possession Map
- R/W Record Map

### **3.3-8c-7 Prepare Acquisition Documents**

Prepare property acquisition documents. (If required) -(See "Legal Descriptions & Exhibits" Ref 4). The documents include cut sheets for all impacted parcels and cover letters for - parcels impacted with - temporary construction easements, permanent easements and - replacement utility easements.

Prepare deeds for the conveyance of R/W to Caltrans, cities and utility companies for the closeout of the project.

Perform field staking of R/W impacts on properties upon request.



### **3.3-8c-8 Prepare Resolution of Necessity Legal Descriptions and Plats**

Prepare Resolution of Necessity documents and any additional information for the filing of the complaint, and the preparation of any attendant map or plat. (See "Legal Descriptions & Exhibits" Ref 4)

### **3.3-8c-9 Prepare Director's Deed and Plats**

Prepare Director's Deed and attendant maps or plats. (If required) (See "Legal Descriptions & Exhibits" Ref 4)

### **3.3-8c-10 Prepare Utility Legal Description and Plat**

Prepare legal description and plat to fulfill contract obligations with utility entities including Joint Use Agreement and Consent to Common Use Agreement. (See "Legal Descriptions & Exhibits" Ref 4)

### **3.3-8c-11 Prepare Parcel Files**

For each R/W fee of easement take, prepare a parcel file. (If required) (See "Parcel Files" Ref 4).

### **3.3-8c-12 Right of Way Design Support**

To support the acquisition of Fee, Temporary Construction Easements and Utility Easements, CONSULTANT shall prepare individual Parcel Exhibits that display the ROW needs on both aerial photo and design topography, Cover Letters that describe the TCE needs in detail, and coordination with Caltrans Design unit on the preparation of PD-26 packages for Appraisal Maps.

#### ***Deliverables:***

- Preparation of Parcel Exhibits (26)
- Preparation of Cover Letters (13)
- Preparation of PD-26 Packages (5)
- Preparation of Director's Deed and Plats (36)

## **3.3-9 Geotechnical and Foundation Reports**

### **3.3-9a Geotechnical Design Report (GDR)**

CONSULTANT will prepare a report discussing the geotechnical design basis of the project and recommendations for design and construction of earth retaining structures, cut, and fill slopes, pavement, and drainage facilities. This report will be submitted to Caltrans for review. CONSULTANT will address any comments stemming from this review and



prepare a final draft. All calculations supporting the design recommendations will be included as an appendix to the GDR. The report will include infiltration testing for any potential BMP infiltration basins.

***Deliverables:***

- Draft/Final Geotechnical Design Reports

**3.3-9b Foundation Reports for Bridges, Retaining Walls, Soundwalls, and Overhead Sign Structures**

CONSULTANT will prepare a Foundation Report based upon Type Selection comments and additional information from the GDR analyses. Logs of test borings will be included as 11-inch by 17-inch plans. A Foundation Report will be prepared for non-standard retaining walls and stand-alone overhead sign structures.

***Deliverables:***

- Draft/Final Foundation Reports
- 

**3.3-9c Materials Report**

CONSULTANT shall prepare a report discussing the pavement structure recommendations and/or pavement studies for the project. This report shall be submitted to Caltrans for review. CONSULTANT shall address any comments stemming from this review and prepare a final draft. All calculations supporting the recommendations shall be included as an appendix to the Materials Report.

***Deliverables:***

- Draft/Final Materials Reports

**3.3-10 Bridge Plans (Unchecked Details)**

CONSULTANT will prepare layout plans and structural details for the modification of Bridges and tie-back walls. CONSULTANT will also prepare draft technical special provisions for the bridges.

Bridge design will be in accordance with Caltrans Seismic Design Criteria, Bridge Design Specifications, Memos to Designers and Bridge Design Details Manual. Details and construction specifications will be prepared in accordance with Caltrans Standard Plans, Standard Specifications, and Standard Special Provisions.

CONSULTANT will update the bridge General Plan estimate to verify its ongoing validity.



***Deliverables:***

- Unchecked structure plans –10 reduced sets
- Electronic copy of Unchecked Structures Plans
- Draft Structures Special Provisions
- Updated Structures Cost Estimate

**3.3-11 Retaining Wall Plans**

CONSULTANT will prepare retaining wall layout plans, profiles and structural details for the walls specified along the project route. Plans will incorporate aesthetic details consistent with the Conceptual Aesthetics Treatment Plan.

CONSULTANT will prepare draft technical special provisions for the retaining walls.

***Deliverables:***

- Retaining Wall Plans, Details, and Quantities – 10 reduced sets

**3.3-12 Soundwall Plans**

CONSULTANT will prepare soundwall plans and details for proposed soundwalls (if any) specified along the assigned segment. Coordination with the adjacent segments is a requirement. CONSULTANT will prepare draft technical special provisions for the soundwalls.

***Deliverables:***

- Soundwall Plans, Details and Quantities – 10 reduced sets

**3.3-13 Utility Plans**

CONSULTANT will prepare and update the utility conflict maps as a result of the coordination, reviews and potholing done during the 35% PS&E. Again, it is assumed the utility companies will perform relocation design for their own facilities.

CONSULTANT shall review relocation plans prepared by utility owners to verify compatibility with the project, as well as other utility plans. CONSULTANT shall respond in writing to Authority either confirming approval or non-approval of the relocation plans to the project and reasons therefore. CONSULTANT shall update the utility plan sheets to show the disposition of each utility on the project. Disposition shall include the utility company name, facility type, original location and proposed location for each utility.



***Deliverables:***

- Updated Utility conflict maps with pothole information
- Updated Utility Conflict Matrix
- Updated Utility Plan Sheets

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### **3.4 TASK 4- INITIAL PS&E (95%) SUBMITTAL**

#### **3.4-1 Roadway Plans**

This submittal will include comments, reviews, coordination efforts, and updated information. CONSULTANT will update all Roadway Plans and will provide Quantity Sheets with updated Special Provisions and BEES estimate. Any Revised and/or New Standard Plans developed by Caltrans shall be included with CONSULTANT's Roadway Plan submittal. Response and resolution of all review comments for each deliverable from 65% submittal will take place prior to 95% submittal. All roadway quantities shall be independently checked, and all issues raised by independent quantity checker(s) will be resolved prior to the submittal. The estimate will reflect checked and resolved quantities.

CONSULTANT shall review unit price cost assumptions which comprise project cost estimate with Authority. Any discrepancies in unit price costs between Authority and CONSULTANT shall be resolved through a joint review meeting.

***Deliverables:***

- 95 percent Roadway PS&E – 10 sets plus two electronic copies
- 95 Percent Quantities and Independent Check Calculations – 2 sets

#### **3.4-2 Bridge and Specialty Retaining Wall Plans**

CONSULTANT will independently review the unchecked plans, draft special provisions, quantities, and construction cost estimate for the Bridges and retaining walls. CONSULTANT's independent review team will analyze the structures, verify member capacities, review the special provisions, and prepare independent quantity calculations. All issues raised by the checkers will be resolved with the structural designers. The final design will reflect agreement among the designers and independent checkers.

***Deliverables:***

- Checked structure plans, reduced size – 10 sets
- Edited structures special provisions – 2 copies
- Design calculations – 1 set
- Design Independent check calculations – 1 set
- Quantities and check calculations – 2 sets

#### **3.4-3 Construction Schedule**

CONSULTANT will prepare a Critical Path Method (CPM) construction schedule in consultation with the Authority Construction Manager and Caltrans based on the estimated required working days for project construction.



***Deliverables:***

- CPM Schedule Printout and electronic copy

**3.4-4 Utility and ROW Update**

CONSULTANT will verify and update utility and ROW engineering data.

***Deliverables:***

- Report containing all updated utility and ROW engineering data with changes clearly identified

**3.4-5 Update SWDR**

CONSULTANT will update the Storm Water Data Report (SWDR) and water pollution control plans based on comments received from Caltrans.

***Deliverables:***

- Final SWDR – 10 copies
- Updated Water Pollution Control Plans – 10 sets

**3.4-6 Planting and Irrigation Plans**

CONSULTANT shall prepare planting and irrigation plans to include replacement planting and irrigation in those landscaped areas disturbed by construction. Specimen trees will replace any mature trees that are removed by the project. The determination of the size and quantity of the replacement trees will be by the District 12 Landscape Architect.

***Deliverables:***

- Separate Highway Planting and Irrigation PS&E – 10 sets

**3.4-7 Environmental Commitment Record (ECR)**

CONSULTANT shall update the ECR based on changes during final design provided by the project engineer and ensure that all measures are incorporated in the final PS&E package. If there are any changes to the project design, appropriate environmental revalidation shall be prepared pursuant to NEPA and CEQA requirements.

***Deliverables:***

- Environmental commitment tracking system
- Updated ECR
- Draft and Final report on project compliance



### **3.4-8 Update TMP**

CONSULTANT will update the TMP based on comments received from Caltrans.

***Deliverables:***

- Transportation Management Plan – 10 copies

DRAFT



**3.5 TASK 5 – FINAL PS&E (100 PERCENT) SUBMITTAL****3.5-1 Roadway Plans, Bridge Plans, Special Provisions, Cost Estimates, and Working Day Schedules**

CONSULTANT will submit the Final PS&E package to Caltrans District Office Engineer and Office of Special Funded Projects (OSFP) for final approval. CONSULTANT will also submit final plans for Caltrans Safety Review and participate in the safety review/disposition meeting. CONSULTANT will provide status of incorporation of plan and specification features in accordance with the Environmental Commitments Record. The submittal will incorporate review comments from all involved agencies and include all completed forms in the Construction Contract Development Guide.

***Deliverables:***

- Final Roadway PS&E – 10 sets and 2 electronic files
- Final Quantities and Independent Check Calculations – 2 sets
- Full-size reproducible final structure plans – 1 set
- Final structures special provisions – 4 sets
- Prints of final structure plans – 4 sets; Cost estimates – 2 copies
- Working day schedules – 2 copies
- Original/checked quantity calculations – 2 copies

***Deliverables to Office of Special Funded Projects (OSFP):***

- Full-size reproducible final structure plans – 1 set
- Final structures special provisions – 4 sets
- Prints of final structure plans, reduced size – 4 sets

In addition, CONSULTANT will provide electronic version of all plans, special provisions, estimates and schedules. The final BEES will be provided as a Microsoft Excel file.

**3.5-2 Resident Engineer File**

CONSULTANT will meet with the Resident Engineer (RE) and functional units and provide the following information for the RE file. This list is not comprehensive and CONSULTANT shall provide additional information as appropriate:

- Permits
- Surveying Notes
- Geotechnical (GDR) and Foundation (FDR) Reports
- Hydrology/Hydraulics Report and calculations



- Relevant correspondence and memoranda
- Engineering calculations (horizontal and vertical alignments, earthwork quantities, etc.)
- Environmental Agreements and Reports
- Summary and discussion of Environmental issues
- Transportation Management Plan and supplements
- Material Handouts
- Storm Water Data Report
- Right-of-Way Maps & Agreements
- Utility Relocation Plans and Agreements
- Safety Review Report
- List of Project Personnel
- Cooperative Agreements
- Working Cross Sections
- Bridge four-scale plans – 3 sets

***Deliverables:***

- Resident Engineer (RE) file

CONSULTANT will provide an electronic version of all RE file information.

**3.5-3 Survey File**

CONSULTANT will prepare and compile documentation to be included in a Survey File for use by the lead surveyor assigned to this project prior to construction. The following documentation will be included in the Survey File as prescribed by the Project Development Procedures Manual (PDPM) Appendix QQ – Preparation Guidelines for Survey Files, but not limited to:

- Contact List
- Datum Listing
- Project Reference List
- Additional Instructions
- Contract Plans
- Project Control
- Topography & Base Maps
- Horizontal & Vertical Alignments
- Profiles
- Cross Sections - Roadway cross-sections at 50' intervals. The cross-sections will depict only the finished surface, pavement subgrade and original ground generated from the DTM files and will be identified by station interval.



Additive information such as elevation callouts, curbs, dikes, wall cross-sections, right of way lines, ditch cross-sections, etc. will not be shown on the cross-sections.

- Slope Staking Notes/Grid Grades
- Right of Way Appraisal Maps
- Right of Way Coordinate Geometry
- Right of Way Monument Perpetuation Documentation
- Structural Systems (Walls)
- Structural Systems (Bridges)
- Drainage Systems
- Digital Design Model

CONSULTANT will submit the Survey File electronically to the Caltrans District Office Engineer.

***Deliverables:***

- Survey File

**3.5-4 Materials Handouts**

CONSULTANT will prepare materials handout information per Caltrans HDM, Section 111.3 Materials Information Furnished to Prospective Bidders

***Deliverables:***

- Material Handouts

**3.5-5 Paleontological Mitigation Plan (PMP)**

CONSULTANT will prepare a Paleontological Mitigation Plan consistent with Caltrans and County requirements. The PMP will be implemented during excavation activities.

***Deliverables:***

- Paleontological Mitigation Plan (PMP)

**3.6 TASK 6 – CONSTRUCTION BIDDING PHASE**

Bidding procedures will be the responsibility of Caltrans. In addition, Caltrans will:

- Advise the CONSULTANT of listing dates.
- Inform CONSULTANT of all issues and inquiries list and responses.
- Provide CONSULTANT with bid results and summary sheets for their review.

During bid advertisement of the project, CONSULTANT will refer all questions concerning the intent to Caltrans for resolution. In the event that items requiring interpretation of the drawings or specifications are discovered during the bidding period, CONSULTANT will



inform Caltrans. Caltrans will advise CONSULTANT regarding the proper procedure required for analysis of said items. Any necessary corrective action will either be in the form of an addendum prepared by CONSULTANT and issued by Caltrans, or via a covering change order after the award of the construction contract.

### **3.6-1 Pre-Bid Meeting**

CONSULTANT will attend the pre-bid meeting.

### **3.6-2 Respond to Inquiries**

CONSULTANT will draft responses to bidders' inquiries as requested by the District Office Engineer. All such responses will be routed through the District Engineer.

#### ***Deliverables:***

- Draft Bidder Inquiry Responses (hard copy and electronic in ms word)

### **3.6-3 Addenda**

CONSULTANT will prepare addenda as requested by District Engineer.

#### ***Deliverables:***

- Copies of Addenda



### **3.7 TASK 7 – CONSTRUCTION SUPPORT PHASE**

Construction of the project will be the responsibility of Caltrans. During the construction phase, CONSULTANT shall work closely with Resident Engineer (RE) within the budget allotted to assist and advise the RE in order to minimize construction conflicts and to expedite project completion.

#### **3.7-1 Pre-Construction Meeting**

CONSULTANT will attend the pre-construction meeting.

#### **3.7-2 Partnering Workshop**

CONSULTANT will attend a partnering workshop as requested by Caltrans.

#### **3.7-3 Additional Drawings Due to CONSULTANT Error, Omission, or Revision**

In the case of errors and/or omissions, CONSULTANT shall furnish additional and/or revised drawings necessary for corrections and change orders. Caltrans will provide a written request for such drawings and CONSULTANT will provide said drawings at no additional cost to Caltrans or Authority. CONSULTANT will also provide the original tracings of the drawings and contract wording for related change orders to Caltrans at no additional cost.

#### **3.7-4 Shop Drawing and Submittal Review**

CONSULTANT will review all submittals and shop drawings. The review of shop drawings shall include bridge working drawing submittals, construction contractor's submittals for substitutions, construction contractor's alternative construction approval, steel layout for structures, independent check of construction contractor's falsework submittal and others as requested by the Resident Engineer.

#### **3.7-5 Additional Drawings at Caltrans Request**

If requested by Caltrans, CONSULTANT will prepare additional drawings and change order-supporting documents. Any such additional drawings constitute extra work; therefore, prior approval from Authority is required. Any such additional engineering services, drawings, or change order documentation prepared prior to receiving the required approval will be at CONSULTANT's risk and expense.

#### **3.7-6 Site Visits**

CONSULTANT will visit the job site as requested by Authority.



### **3.7-7 Respond to Inquiries/RFIs**

CONSULTANT will draft responses to contractor inquiries and RFIs as requested by the Resident Engineer.

### **3.7-8 Change Order Preparation and Review, CRIP Reviews**

CONSULTANT will review proposed change orders, draft change order language and make recommendations as requested by Resident Engineer. If said changes are necessary as a direct result of design errors and omissions, CONSULTANT shall prepare and/or review contract change orders at no additional cost.

Caltrans Responsibility

- Provide advice on any issues raised and inquiries made by Resident Engineer
- Inform Design Consultants of all field changes and Contract Change Orders (CCOs)
- Prepare and maintain as-built mark-ups in the field

### **3.7-9 As-Builts**

CONSULTANT will be responsible for preparing as-builts plans, signed and stamped by CONSULTANT and submitted to Caltrans.

#### ***Deliverables:***

- As-Built plans, hard copy and electronic DGN format – 1 set



### **3.8 TASK 8 – PROJECT CLOSEOUT**

After construction, CONSULTANT will provide all final construction project records in accordance with Section 5-104 of the Caltrans Construction Manual and all other Caltrans requirements. Records shall include, but not necessarily be limited to design survey records, including legible hard copies and electronic files, recorded monumentations, and post audits. CONSULTANT shall maintain all project records in accordance with the Caltrans Uniform filing system.

#### **3.8-1 Develop Final Record Drawing Plans**

While Caltrans is responsible for maintaining field as-built plans, CONSULTANT shall keep a similar set of plans, noting any variation between the plans and the actual construction. These marked up plans will form the basis for the development of the Final record drawing PS&E. In developing the Final record drawing PS&E, CONSULTANT shall follow all requirements specified in Sections 5-104D (1) and (2) of the Caltrans Construction Manual and submit to Caltrans no later than 60 days after construction contract acceptance by Caltrans.

#### **3.8-2 Deliver Project Files**

CONSULTANT will provide all pertinent project records to Caltrans. Documents shall be organized in accordance with the Caltrans Uniform Filing System.

#### **3.8-3 Post Audits**

CONSULTANT will assist Caltrans with the post audits, as required and requested by Caltrans.



### **3.9 PROJECT SCHEDULE**

Activity	Proposed Date
A. Begin Work	November 2020
B. Draft PS&E	
B.1 Submit 35% PS&E	July 2021
B.2 Submit Unchecked Details (65%) PS&E	May 2022
B.3 Submit Initial (95%) PS&E	November 2022
C. Submit Final PS&E (100%) to Caltrans	May 2023
D. Advertise	March 2024
E. Award	June 2024
F. Begin Construction	July 2024
G. Completion of Construction	December 2027
H. Project Close Out	December 2028

**END OF SCOPE OF WORK**



**EXHIBIT B: PROPOSED AGREEMENT**



**PROPOSED AGREEMENT NO. C-9-2073**

**BETWEEN**

**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**AND**

**THIS AGREEMENT** is effective as of this \_\_\_\_ day of \_\_\_\_\_, 202\_ (‐Effective Date‐), by and between the Orange County Transportation Authority, 550 South Main Street, P.O. Box 14184, Orange, CA 92863-1584, a public corporation of the State of California (hereinafter referred to as ‐AUTHORITY‐), and , , , (hereinafter referred to as ‐CONSULTANT‐).

**WITNESSETH:**

**WHEREAS**, AUTHORITY requires assistance from CONSULTANT to provide design and construction support services for the Preparation of Plans, Specifications and Estimates for the State Route 91 Improvement Project Between Acacia Street and La Palma Avenue; and

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

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

**WHEREAS**, CONSULTANT wishes to perform these services; and

**WHEREAS**, the AUTHORITY’s Board of Directors approved this Agreement on \_\_\_\_\_;

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

**ARTICLE 1. COMPLETE AGREEMENT**

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



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

8 **ARTICLE 2. AUTHORITY DESIGNEE**

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

11 **ARTICLE 3. SCOPE OF WORK**

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

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

18 **Names**

**Functions**

19  
20  
21  
22  
23 C. No person named in paragraph B of this Article, or his/her successor approved by  
24 AUTHORITY, shall be removed or replaced by CONSULTANT, nor shall his/her agreed-upon function or  
25 level of commitment hereunder be changed, without the prior written consent of AUTHORITY. Should  
26 the services of any key person become no longer available to CONSULTANT, the resume and



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

#### 6 **ARTICLE 4. TERM OF AGREEMENT**

7 This Agreement shall commence upon the effective date of this Agreement, and shall continue in  
8 full force and effect through December 31, 2028, unless earlier terminated as provided hereunder.

#### 9 **ARTICLE 5. PAYMENT**

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

13 B. The following schedule shall establish the firm fixed payment to CONSULTANT by  
14 AUTHORITY for each work task set forth in the Scope of Work.

15 <u>Task</u>	16 <u>Description</u>	17 <u>Firm Fixed Price</u>
18 1	19 Project management / Coordination/Administration	
20 2	21 35% PS&E Submittal	
22 3	23 Draft PS&E (65%) Submittal	
24 4	25 Initial PS&E (95%) Submittal	
26 5	Final PS&E (100%) Submittal	
6	Construction Bidding Phase	
7	Construction Support Phase	
8	Project Closeout	

#### 24 **TOTAL FIRM FIXED PRICE PAYMENT**

25 C. CONSULTANT shall invoice AUTHORITY on a monthly basis for payments corresponding to  
26 the work actually completed by CONSULTANT. Percentage of work completed shall be documented in



1 a monthly progress report prepared by CONSULTANT, which shall accompany each invoice submitted  
2 by CONSULTANT. CONSULTANT shall also furnish such other information as may be requested by  
3 AUTHORITY to substantiate the validity of an invoice. At its sole discretion, AUTHORITY may decline to  
4 make full payment for any task listed in paragraph B of this Article until such time as CONSULTANT has  
5 documented to AUTHORITY's satisfaction, that CONSULTANT has fully completed all work required  
6 under the task. AUTHORITY's payment in full for any task completed shall not constitute AUTHORITY's  
7 final acceptance of CONSULTANT's work under such task; final acceptance shall occur only when  
8 AUTHORITY's release of the retention described in paragraph D.

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

19 E. Invoices shall be submitted by CONSULTANT on a monthly basis and shall be submitted in  
20 duplicate to AUTHORITY's Accounts Payable office. CONSULTANT may also submit invoices  
21 electronically to AUTHORITY's Accounts Payable Department at [vendorinvoices@octa.net](mailto:vendorinvoices@octa.net). Each invoice  
22 shall be accompanied by the monthly progress report specified in paragraph C of this Article.  
23 AUTHORITY shall remit payment within thirty (30) calendar days of the receipt and approval of each  
24 invoice. Each invoice shall include the following information:

- 25 1. Agreement No. C-9-2073;
- 26 2. Specify the task number for which payment is being requested;



3. The time period covered by the invoice;
4. Total monthly invoice (including project-to-date cumulative invoice amount); and retention;
5. Monthly Progress Report;
6. Weekly certified payroll for personnel subject to prevailing wage requirements;
7. Certificate signed by the CONSULTANT or his/her designated alternate that a) The invoice is a true, complete and correct statement of reimbursable costs and progress; b) The backup information included with the invoice is true, complete and correct in all material respects; c) All payments due and owing to subcontractors and suppliers have been made; d) Timely payments will be made to subcontractors and suppliers from the proceeds of the payments covered by the certification and; e) The invoice does not include any amount which CONSULTANT intends to withhold or retain from a subcontractor or supplier unless so identified on the invoice.
8. Any other information as agreed or otherwise requested by AUTHORITY to substantiate the validity of an invoice.

**ARTICLE 6. MAXIMUM OBLIGATION**

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

**ARTICLE 7. NOTICES**

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

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To CONSULTANT:

To AUTHORITY:

Orange County Transportation Authority

550 South Main Street

P.O. Box 14184

Orange, CA 92863-1584

ATTENTION:

ATTENTION: Bob Webb

Senior Contract Administrator

(714) 560 - 5743, [rwebb@octa.net](mailto:rwebb@octa.net)

ATTENTION: Jeannie Lee

Project Manager

(714) 560-5735, [jlee@octa.net](mailto:jlee@octa.net)

**ARTICLE 8. INDEPENDENT CONTRACTOR**

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

B. Should CONSULTANT's personnel or a state or federal agency allege claims against AUTHORITY involving the status of AUTHORITY as employer, joint or otherwise, of said personnel, or allegations involving any other independent contractor misclassification issues, CONSULTANT shall defend and indemnify AUTHORITY in relation to any allegations made.

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**ARTICLE 9. INSURANCE**

A. CONSULTANT shall procure and maintain insurance coverage during the entire term of this Agreement. Coverage shall be full coverage and not subject to self-insurance provisions. CONSULTANT shall provide the following insurance coverage:

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

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

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

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

5. Professional Liability with minimum limits of \$2,000,000.00 per claim.

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

C. CONSULTANT shall include on the face of the certificate of insurance the Agreement Number C-9-2073; and, the Contract Administrator's Name, Bob Webb.

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

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

3 **ARTICLE 10. ORDER OF PRECEDENCE**

4 Conflicting provisions hereof, if any, shall prevail in the following descending order of precedence:  
5 (1) the provisions of this Agreement, including all exhibits; (2) the provisions of RFP 9-2073; (3)  
6 CONSULTANT's technical proposal dated , CONSULTANT's cost proposal dated , and (4) all other  
7 documents, if any, cited herein or incorporated by reference.

8 **ARTICLE 11. CHANGES**

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

17 B. CONSULTANT shall only commence work covered by an amendment after the amendment  
18 is executed by AUTHORITY.

19 **ARTICLE 12. DISPUTES**

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

25 B. Pending final decision of a dispute hereunder, CONSULTANT shall proceed diligently with  
26 the performance of this Agreement and in accordance with the decision of AUTHORITY's Director,



1 CAMM. This "Disputes" clause does not preclude consideration of questions of law in connection with  
2 decisions provided for above. Nothing in this Agreement, however, shall be construed as making final  
3 the decision of any AUTHORITY official or representative on a question of law, which questions shall be  
4 settled in accordance with the laws of the State of California.

5 **ARTICLE 13. TERMINATION**

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

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

21 **ARTICLE 14. INDEMNIFICATION**

22 CONSULTANT shall indemnify, defend and hold harmless AUTHORITY, its officers, directors,  
23 employees and agents from and against any and all claims (including attorneys' fees and reasonable  
24 expenses for litigation or settlement) for any loss, costs, penalties, fines, damages, bodily injuries,  
25 including death, damage to or loss of use of property, arising out of, resulting from, or in connection with  
26 the performance of CONSULTANT, its officers, directors, employees, agents, subconsultants or suppliers



under the Agreement. Notwithstanding the foregoing, such obligation to defend, hold harmless, and indemnify AUTHORITY, its officers, directors, employees and agents shall not apply to such claims or liabilities arising from the sole or active negligence or willful misconduct of AUTHORITY.

**ARTICLE 15. ASSIGNMENTS AND SUBCONTRACTS**

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

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

<u>Subcontractor Name/Address</u>	<u>Subcontractor Amounts</u>
1.	.00
2.	.00
3.	.00

**ARTICLE 16. AUDIT AND INSPECTION OF RECORDS**

CONSULTANT shall provide AUTHORITY, or other agents of AUTHORITY, such access to CONSULTANT's accounting books, records, work data, documents and facilities, as AUTHORITY deems necessary. CONSULTANT shall maintain such books, records, data and documents in accordance with generally accepted accounting principles and shall clearly identify and make such items readily accessible to such parties during CONSULTANT's performance hereunder and for a period of four (4) years from the date of final payment by AUTHORITY. AUTHORITY's right to audit books and records directly related



1 to this Agreement shall also extend to all first-tier subcontractors identified in Article 15 of this Agreement.  
2 CONSULTANT shall permit any of the foregoing parties to reproduce documents by any means  
3 whatsoever or to copy excerpts and transcriptions as reasonably necessary.

4 **ARTICLE 17. FEDERAL, STATE AND LOCAL LAWS**

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

8 **ARTICLE 18. EQUAL EMPLOYMENT OPPORTUNITY**

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

16 **ARTICLE 19. PROHIBITED INTERESTS**

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

20 **ARTICLE 20. OWNERSHIP OF REPORTS AND DOCUMENTS**

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

26 /



1 B. All ideas, memoranda, specifications, plans, manufacturing, procedures, drawings,  
2 descriptions, and all other written information submitted to CONSULTANT in connection with the  
3 performance of this Agreement shall not, without prior written approval of AUTHORITY, be used for any  
4 purposes other than the performance for this project, nor be disclosed to an entity not connected with the  
5 performance of the project. CONSULTANT shall comply with AUTHORITY's policies regarding such  
6 material. Nothing furnished to CONSULTANT, which is otherwise known to CONSULTANT or becomes  
7 generally known to the related industry shall be deemed confidential. CONSULTANT shall not use  
8 AUTHORITY's name, photographs of the project, or any other publicity pertaining to the project in any  
9 professional publication, magazine, trade paper, newspaper, seminar or other medium without the  
10 express written consent of AUTHORITY.

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

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

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



1 with other material not provided by CONSULTANT when such use in combination infringes upon an  
2 existing U.S. letters patent or copyright.

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

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

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

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



1 change in scope or materials as required to reduce the estimated construction cost to an amount within  
2 the estimated construction contract price set forth by AUTHORITY, or AUTHORITY may adjust such  
3 estimated construction contract price. When bids or proposals are not solicited or are unreasonably  
4 delayed, AUTHORITY shall prepare an estimate of constructing the design submitted and such estimate  
5 shall be used in lieu of bids or proposals to determine compliance within the funding limitation.

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

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

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

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

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



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

3 **ARTICLE 25. GENERAL WAGE RATES**

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

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

25 /

26 /



**ARTICLE 26. CONTRACTOR PURCHASED EQUIPMENT**

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

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

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

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

**ARTICLE 27. FORCE MAJEURE**

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

/



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

3 **ARTICLE 28. CONFLICT OF INTEREST**

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

12 **ARTICLE 29. CODE OF CONDUCT**

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

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

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

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

22 CONSULTANT shall comply with all the requirements set forth in EXHIBIT B, Level 1 SAFETY  
23 SPECIFICATIONS. As used therein, "Contractor" shall mean "Consultant," and "Subcontractor" shall  
24 mean "Sub-consultant."

25 /

26 /



**ARTICLE 32. PROHIBITION**

CONSULTANT, including all subconsultants (at any tier) regardless of the level of services provided by said subconsultants (s), that is awarded this contract for PS&E for the SR-91 Improvement Project between Acacia Street and La Palma Avenue Project is prohibited from participation (at any tier) on any team pertaining to construction management services or construction services for the delivery of the SR-91 Improvement Project between Acacia Street and La Palma Avenue Project.

**IN WITNESS WHEREOF**, the parties hereto have caused this Agreement No. C-9-2073 to be executed as of the date of the last signature below.

**ORANGE COUNTY TRANSPORTATION AUTHORITY**

By: \_\_\_\_\_ By: \_\_\_\_\_

Darrell E. Johnson  
Chief Executive Officer

Date: \_\_\_\_\_ Date: \_\_\_\_\_

**APPROVED AS TO FORM:**

By: \_\_\_\_\_

James M. Donich  
General Counsel

Date: \_\_\_\_\_

**APPROVED:**

By: \_\_\_\_\_

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

Date: \_\_\_\_\_



**DRAFT**

**EXHIBIT C: FORMS**



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

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

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

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



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

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



ORANGE COUNTY TRANSPORTATION AUTHORITY  
CAMPAIGN CONTRIBUTION DISCLOSURE FORM

RFP Number: \_\_\_\_\_ RFP Title: \_\_\_\_\_

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

**If no**, please sign and date below.

**If yes**, please provide the following information:

Prime Contractor Firm Name: \_\_\_\_\_

Contributor or Contributor Firm's Name: \_\_\_\_\_

Contributor or Contributor Firm's Address: \_\_\_\_\_

Is Contributor:

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

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

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

Name of Board Member: \_\_\_\_\_

Name of Contributor: \_\_\_\_\_

Date(s) of Contribution(s): \_\_\_\_\_

Amount(s): \_\_\_\_\_

Name of Board Member: \_\_\_\_\_

Name of Contributor: \_\_\_\_\_

Date(s) of Contribution(s): \_\_\_\_\_

Amount(s): \_\_\_\_\_

Date: \_\_\_\_\_

Signature of Contributor \_\_\_\_\_

Print Firm Name \_\_\_\_\_

Print Name of Contributor \_\_\_\_\_



**ORANGE COUNTY TRANSPORTATION AUTHORITY  
AND AFFILIATED AGENCIES**

**Board of Directors**

**Steve Jones, Chairman**

**Andrew Do, Vice Chairman**

**Lisa A. Bartlett, Director**

**Doug Chaffee, Director**

**Laurie Davies, Director**

**Barbara Delgleize, Director**

**Michael Hennessey, Director**

**Gene Hernandez, Director**

**Joseph Muller, Director**

**Mark A. Murphy, Director**

**Richard Murphy, Director**

**Miguel Pulido, Director**

**Tim Shaw, Director**

**Harry S. Sidhu, Director**

**Michelle Steel, Director**

**Donald P. Wagner, Director**

**Greg Winterbottom, Director**



**STATUS OF PAST AND PRESENT CONTRACTS FORM**

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

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

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

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

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

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



**PROPOSAL EXCEPTIONS AND/OR DEVIATIONS**

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

Offeror: \_\_\_\_\_

RFP No.: \_\_\_\_\_ RFP Title: \_\_\_\_\_

Deviation or Exception No. : \_\_\_\_\_

Check one:

- Scope of Work (Technical) \_\_\_\_\_
- Proposed Agreement (Contractual) \_\_\_\_\_

Reference Section/Exhibit: \_\_\_\_\_ Page/Article No. \_\_\_\_\_

Complete Description of Deviation or Exception:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Rationale for Requesting Deviation or Exception:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Area Below Reserved for Authority Use Only:




**EXHIBIT D: SAFETY SPECIFICATIONS**



## **PART I – GENERAL**

### **1.1 GENERAL HEALTH, SAFETY & ENVIRONMENTAL REQUIREMENTS**

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

### **1.2 REGULATORY**

- A. **Injury/Illness Prevention Program**  
The Contractor shall comply with CCR Title 8, Section with California Code of Regulations (CCR) Title 8, Section 3203. The intent and elements of the IIPP shall be implemented and enforced by the Contractor and its sub-tier contractors, suppliers, and vendors. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.
- B. **Substance Abuse Prevention Program**  
Contractor shall comply with the Policy or Program of the Company's Substance Abuse Prevention Policy that complies with the most recent Drug Free Workplace Act. The



program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

C. Heat Illness Prevention Program

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

D. Hazard Communication Program

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

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

E. Storm Water Pollution Prevention Plan

The Contractor shall protect property and water resources from fuels and similar products throughout the duration of the contract. Contractor shall comply with Storm Water Pollution Prevention Plan (SWPPP) requirements. The program or plan if required by scope shall be provided to the Authority's Project Manager, upon request, within 72 hours.

### 1.3 INCIDENT NOTIFICATION AND INVESTIGATION

A. The Authority shall be promptly notified of any of the following types of incidents including but not limited to:

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

B. Notifications shall be made to Authority representatives, employees and/or agents. This includes incidents occurring to contractors, vendors, visitors, or members of the public that arise from the performance of Authority contract work. An immediate verbal notice followed by an initial written incident investigation report shall be submitted to the Authority's Project Manager within 24 hours of the incident.

C. A final written incident investigative report shall be submitted within seven (7) calendar days and include the following information. The Current Status of anyone injured, photos of the incident area, detailed description of what happened, Photos of the existing



conditions and area of the injury/incident, the contributing factors that lead to the incident occurrence, a copy of the company policy or procedure associated with the incident and evaluation of effectiveness, copy of task planning documentation, copy of the Physician's first report of injury, copy of Cal/OSHA 300 log of work related injuries and illnesses, the Cal/OSHA 301 Injury Illness Incident Report, and corrective actions initiated to prevent recurrence. This information shall be considered the minimum elements required for a comprehensive incident report provided to OCTA.

D. A Serious Injury, Serious Incident, OSHA Recordable Injury/Illness, or a Significant Near Miss shall require a formal incident review at the discretion of the Authority's Project Manager. The incident review shall be conducted within seven (7) calendar days of the incident. This review shall require a company senior executive, company program or project manager from the Contractors' organization to participate and present the incident review as determined by the OCTA Project Manager. The serious incident presentation shall include action taken for the welfare of the injured, a status report of the injured, causation factors that lead to the incident, a root cause analysis (using 5 whys and fishbone methods), and a detailed recovery plan that identifies corrective actions to prevent a similar incident, and actions to enhance safety awareness.

1. Serious Injury: includes an injury or illness to one or more employees, occurring in a place of employment or in connection with any employment, which requires inpatient hospitalization for a period in excess of twenty-four hours for other than medical observation, or in which an employee suffers the loss of any member of the body, or suffers any serious degree of physical disfigurement. A serious injury also includes a lost workday or reassignment or restricted injury case as determined by the Physician's first report of injury or Cal/OSHA definitions.
2. Serious Incident: includes but not limited to property damage of \$500.00 or more, an incident requiring emergency services (local fire, paramedics and ambulance response), news media or OCTA media relations response, and/or incidents involving other agencies (Cal/OSHA, EPA, AQMD, DTSC, Metrolink, FTA, FRA etc.) notification or representation.
3. OSHA Recordable Injury / Illness: includes and injury / illness resulting in medical treatment beyond First Aid, an injury / illness which requires restricted duty, or an injury / illness resulting in days away from work.
4. Significant Near Miss Incident: includes incidents where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred.

#### 1.4 DESIGNATED HEALTH AND SAFETY REPRESENTATIVE

- A. Upon contract award, the contractor within 10 business days shall designate a health and safety representative and provide a resume and qualifications to the Authority project manager, upon request, within 72 hours.
- B. This person shall be a competent or qualified individual as defined by the Occupational, Safety, and Health Administration (OSHA), familiar with applicable CCR Title 8 Standards (Cal/OSHA) and has the authority to affect changes in work procedures that may have associated cost, schedule and budget impacts.



**1.5 PERSONAL PROTECTIVE EQUIPMENT**

- A. The Contractor, its subcontractors, suppliers, and employees are required to comply with applicable personal protective equipment (PPE) requirements while performing work at any Authority project or property. Generally minimum PPE requirements include eye protection; hearing protection, head protection, class 2 or 3 safety reflective vests, and appropriate footwear.
- B. The Contractor, its subcontractors, suppliers, and employees are required to provide their own PPE, including eye, head, foot, and hand protection, safety vests, or other PPE required to perform their work safely on Authority projects or property. The Authority requires eye protection on construction projects and work areas that meet ANSI Z-87.1 Standards.

**1.6 REFERENCES**

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

END OF SECTION

DRAFT





## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors  
**From:** Laurena Weinert, Clerk of the Board  
**Subject:** Environmental Mitigation Program Endowment Fund Investment Report for December 31, 2019

### Finance and Administration Committee Meeting of February 26, 2020

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

### **Committee Vote**

This item was passed by the Members present.

### **Committee Recommendation**

Receive and file as an information item.





**February 26, 2020**

**To:** Finance and Administration Committee

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

**Subject:** Environmental Mitigation Program Endowment Fund Investment Report for December 31, 2019

### **Overview**

The Orange County Transportation Authority has developed a Natural Community Conservation Plan/Habitat Conservation Plan, acquired conservation properties, and funded habitat restoration projects to mitigate the impacts of Measure M2 freeway projects. California Community Foundation manages the non-wasting endowment required to pay for the long-term management of the conservation properties. Each quarter, the California Community Foundation publishes a comprehensive report detailing the composition of the pool and its performance. Attached are the quarterly investment reports for the Endowment Pool for the period ending December 31, 2019. The reports have been reviewed and are consistent with the pool objectives.

### **Recommendation**

Receive and file as an information item.

### **Background**

On September 26, 2016, the Board of Directors approved the selection of the California Community Foundation (CCF) as an endowment fund manager for the Measure M2 Freeway Environmental Mitigation Program. Annually, approximately \$2.9 million will be deposited in the endowment. As of December 31, 2019, the Orange County Transportation Authority (OCTA) has made four deposits to the Endowment Pool, each in the amount of \$2,877,000. These annual deposits are expected to continue for ten to 12 years, or until the fund totals approximately \$46.2 million.



***Discussion***

As of December 31, 2019, total pool assets in the CCF Endowment Pool were \$1.25 billion. Total foundation assets were \$1.97 billion. Performance for the Endowment Pool was 2.5 percent for the month, 0.2 percent below the benchmark; 5.2 percent for the quarter, 0.4 percent below the benchmark. The one-year return was 17 percent, 2 percent below the benchmark.

The balance as of December 31, 2019, was \$13,034,838. The number exceeded the projected balance of \$12,440,408 due to higher than expected investment earnings, and overall gains in the market.

The projected annualized cost for endowment services was 0.75 percent based on indications received during the due diligence process. Based on the current balance of the endowment, the cost for administration services is 0.25 percent.

***Summary***

The OCTA is submitting a copy of the California Community Foundation Investment Report to the Board of Directors. The report is for the quarter ending December 31, 2019.

***Attachments***

- A. California Community Foundation Fund Statement – December 31, 2019
- B. California Community Foundation Endowment Pool Investments – December 31, 2019

**Prepared by:**



Robert Davis  
Department Manager,  
Treasury and Public Finance  
714-560-5675

**Approved by:**



Andrew Oftelie  
Chief Financial Officer  
Finance and Administration  
714-560-5649





**Fund Name** OCTA - Measure M2 Environmental Mitigation Program Fund  
**Fund Start Date** 2/28/2017  
**Investment Pool(s)** Endowment Pool

**FUND STATEMENT**

**OCTA - Measure M2 Environmental Mitigation Program Fund (V398)**

10/1/2019 - 12/31/2019

**Fund Summary**

	Report Period 10/1/2019 - 12/31/2019	Calendar YTD 1/1/2019 - 12/31/2019
<b>Opening Fund Balance</b>	\$12,393,156.81	\$8,568,158.77
Contributions	0.00	2,877,000.00
Investment Activity, net	641,681.61	1,615,060.95
Administration & Grant Management Fees	0.00	(25,381.30)
Net Changes to Fund	641,681.61	4,466,679.65
<b>Ending Balance</b>	<b>\$13,034,838.42</b>	<b>\$13,034,838.42</b>

**Investment Pool Performance as of 12/31/2019**

	This Qtr.	1-Year	3-Years	5-Years	10-Years
<b>Endowment Pool</b>	5.2%	17.0%	8.9%	6.1%	6.7%
<b>Social Impact Endowment Pool</b>	6.9%	22.7%	10.2%	7.2%	8.0%
<b>Conservative Balanced Pool</b>	2.9%	12.2%	6.2%	4.9%	n/a
<b>Short Duration Bond Pool</b>	0.4%	4.8%	2.4%	2.0%	n/a
<b>Capital Preservation Pool</b>	0.5%	2.3%	1.6%	1.1%	0.7%

**Endowment Pool** - invested for long-term growth and appreciation while providing a relatively predictable stream of distributions that keeps pace with inflation over time. The target asset allocation is 50% equities, 14% hedge funds, 22% fixed income and 14% real assets. Investment management fees are 66 basis points.

**Social Impact Endowment Pool** - invested in a diversified pool aiming for capital growth for long-term grantmaking; underlying instruments undergo rigorous environmental and social analysis, with an asset allocation of approximately 60%-75% equities and 25%-40% fixed income. Investment management fees are 68 basis points.

**Conservative Balanced Pool** - designed to aim for moderate growth and to offer diversified exposure to the U.S. equity market and to investment grade fixed income with maturities from one to five years and an asset allocation of 70% fixed income and 30% equities investments. Investment management fees are 9 basis points.

**Short Duration Bond Pool** - invested to offer diversified exposure to investment grade fixed income with maturities from one to five years for the purposes of grants over a near-term one to four year horizon. Investment management fees are 5 basis points.

**Capital Preservation Pool** - designed to preserve principal and provide liquidity for present grantmaking needs through investment in short-term fixed income and cash instruments. Investment management fees are 10 basis points.





## Endowment Pool December 2019

### INVESTMENTS

The Endowment Pool returned 2.5% for the month of December 2019, 20 basis points behind its benchmark. For the trailing year, the pool returned 17.0%, 200 basis points behind its benchmark.

#### Total Pool Assets

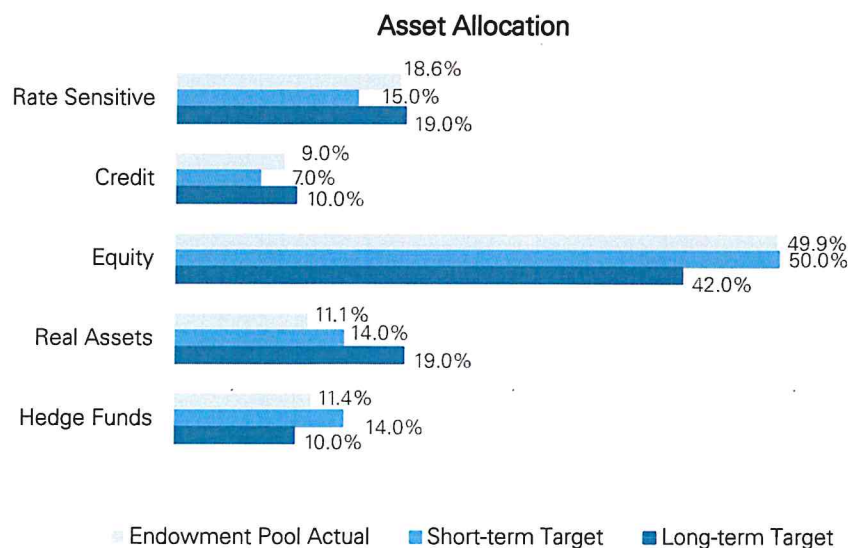
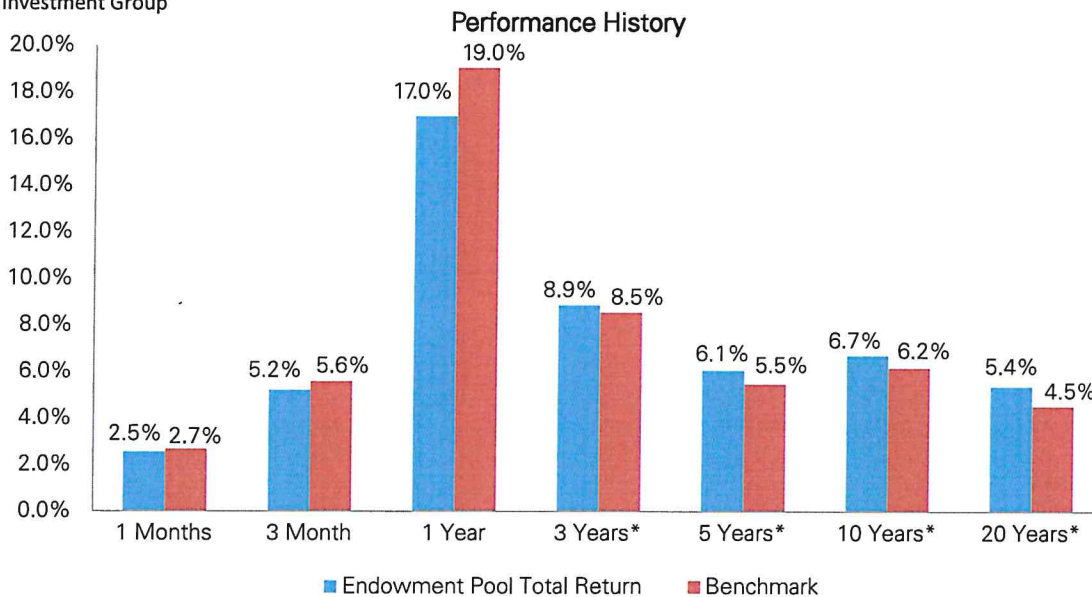
\$1.25 billion (Endowment Pool), \$1.97 billion (total foundation assets) as of December 31, 2019.

#### Pool Objective

Preserve the real (i.e., inflation-adjusted) purchasing power of the investment pool net of annual distributions for grants and expenses. An additional objective is to provide a relatively predictable, stable stream of distributions for grants and expenses that keep pace with inflation over time.

#### Investment Consultant

Meketa Investment Group



\*Represents annualized returns.

1) Investment expense ratio approximates 0.66%, excluding fund manager incentive fees.

2) Investment performance is presented net of investment expenses, including fund manager incentive fees.

3) Total Fund Benchmark is a combination of: 48% MSCI ACWI - 2% Cambridge PE Index 1-Qtr Lag / 14% HFR FOF / 5% ODCE - 5% S&P Global Large Mid NR - 4% S&P Global Infrastructure / 9% Barc Agg. - 3% Barc 1-5 Yr. Gov/Cr - 3% Barc 0-5 Yr. US Treasury TIPs / 2% Barc High Yield - 2% S&P/LSTA Leveraged Loan - 3% JP Morgan EMBI Global Diversified.

4) Short-term target allocation is over 1-4 years, long-term target allocation is over 4-9 years.

Updated 1/28/2020





**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** Measure M2 Quarterly Progress Report for the Period of October 2019 Through December 2019

### **Overview**

Staff has prepared a Measure M2 quarterly progress report for the period of October 2019 through December 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). The Board has also approved rebranding M2 externally to OC Go to promote OCTA's Measure M awareness and public perception, as well as to avoid confusion with 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 October 1, 2019 through December 31, 2019 (Attachment A).

The quarterly report is designed to be easy to navigate and public friendly. 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 December 2019.

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

### **Next 10 Delivery Plan**

As part of the annual review of the Next 10 Delivery Plan (Next 10 Plan), staff reviewed the Board-adopted commitments and incorporated changes in revenues and project costs to ensure the plan remains deliverable. The 2019 Next 10 Plan review was completed and 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 information provided through the updated construction cost pressure index (presented to the Board on October 28, 2019). The update also identified five projects to be advanced through construction during the Next 10 Plan timeframe through fiscal year (FY) 2026.

- Interstate 605/Katella Interchange (Project M),
- State Route 57 (SR-57) northbound from Orangewood Avenue to Katella Avenue (Project G),



- Interstate 5 (I-5) between Interstate 405 (I-405) and Yale Avenue (Project B),
- I-5 between Yale Avenue and State Route 55 (SR-55) (Project B), and
- SR-55 between I-5 and State Route 91 (SR-91) (Project F).

The remaining four projects require additional time prior to being advanced and are still planned to be cleared through environmental by 2026.

#### Ordinance Safeguards

The PMO annually reviews and updates the M2 Ordinance Compliance Matrix to ensure that OCTA tracks compliance with all requirements in Ordinance No. 3. During the quarter, the annual review for January 1, 2019 to December 31, 2019, was initiated by the PMO in coordination with the responsible OCTA point of contact. The matrix is being updated and is planned to be shared with the Taxpayers Oversight Committee (TOC) Audit Subcommittee at their next scheduled meeting, and with the full TOC on April 14, 2020.

#### Progress Update

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

##### Freeway Program

The M2 Freeway Program consists of 30 project segments to be delivered by 2041. Currently, while in year nine of the 30-year program, 12 project segments are complete, three are in construction, and another three are readying for construction. The remaining 12 project 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 near complete by 2026.

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

- On November 11, 2019, a presentation was provided to the Board on the M2 I-5 corridor improvements, which highlighted an M2 investment of nearly \$1.5 billion in the I-5 corridor through 11 project segments. Projects' purpose, funding and schedule updates were also provided.



- The construction contract was awarded for the I-5 Project between State Route 73 (SR-73) and Oso Parkway, which includes the Avery Parkway interchange, to the lowest bidder on December 20, 2019. The awarded contract is 3.27 percent below the engineer's estimate, which may be an indicator that current estimates and costs are now more closely aligned with the construction market. This is the southernmost of three segments of the I-5 widening between SR-73 and El Toro Road and the second to enter the construction phase. (Project C and Project D)
- In November 2019, significant construction activities occurred as the La Paz bridge demolition was completed for the I-5 Project between Oso Parkway and Alicia Parkway, which includes the La Paz interchange. This is the middle of three segments of the I-5 widening between SR-73 and El Toro Road. (Project C and Project D)
- An update on the SR-55 between I-405 and I-5 Project was provided to the Regional Planning and Highways (RPH) Committee on December 2, 2019, and to the Board on December 9, 2019, sharing final design, right-of-way (ROW) acquisition, and utility relocation coordination progress. (Project F)

### **Streets and Roads**

Since 2011, approximately \$796 million<sup>1</sup> 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.

- On August 12, 2019, the Board approved the release of the 2020 call for projects (call). Funding applications were due on October 24, 2019, for the 2020 annual call for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program. Staff is reviewing the applications received and will present final programming recommendations in mid-2020. (Project O and Project P)

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<sup>1</sup> 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.



- The September 2019 semi-annual review of the Comprehensive Transportation Funding Programs (CTFP) was presented to the RPH Committee on December 2, 2019, and to the Board on December 9, 2019. The review proposed adjustments to timely-use of funds extension, scope changes, and a project transfer. (Project O, Project P, Project Q, Project V, and Project X)

## 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 multi-year funding commitments for bus and station van extension services connecting 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 (\$73.6 million<sup>2</sup> to date). Key transit project activities taking place this quarter are highlighted below.

- A Metrolink FY 2018-19 Performance Report was presented to the Transit Committee on October 10, 2019 and to the Board on October 14, 2019. The report reflected that ridership in Orange County is virtually unchanged at 5.1 million boardings, while weekend ridership has decreased by a slight 1.5 percent, compared to the previous year. (Project R)
- 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 on the OC Line between the cities of Laguna Niguel/Mission Viejo and Fullerton were replaced with two midday round trips from the cities of Laguna Niguel/

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<sup>2</sup> 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.



- Mission Viejo to Los Angeles. These extensions provide later morning trips to Los Angeles and later evening trips from Los Angeles on weekdays.
  - Three intracounty trips on the 91/Perris Valley Line, from Perris-South to Riverside-Downtown, were replaced with one roundtrip from Perris-South to Los Angeles, with stops in the cities of Buena Park and Fullerton. This will give riders another option to get to Los Angeles on weekdays.
  - The next phase of service improvements is planned to be implemented in April 2020. (Project R)
- A quarterly update was provided to the Transit Committee on November 14, 2019, and to the Board on November 25, 2019, for the OC Streetcar Project. The update included information on status of construction activities and vehicle delivery. (Project S)
- As a follow up to Board action on June 25, 2018, the City of Laguna Niguel's (City) application submitted as part of the community-based transit circulators third call to fund trolley service was refined and scored. On October 14, 2019, the Board approved funding, in the amount of \$886,082, to the City. The City is anticipated to start the service in May 2020. (Project V)
- On October 14, 2019, a fourth call for \$9 million was authorized by the Board to develop and implement community-based transit circulators. In addition, the Board approved revisions to the CTFP Guidelines for the program. A total of 18 applications was received by the December 12, 2019 deadline. Using the approved project selection criteria, projects will be prioritized for Board consideration in mid-2020. (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 offsets 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). It is estimated that nearly eight million gallons of trash are captured annually, the equivalent of filling 50 Olympic size swimming pools since inception of the program.

Additionally, the Board has previously 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 to fulfill the necessary freeway program mitigation needs. 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 September 30, 2019, the balance of the endowment was \$12,393,157, and on par with baseline assumptions with respect to interest earnings.

- An update for the M2 EMP was provided to the RPH Committee on December 2, 2019, and to the Board on December 9, 2019, which provided progress on the Conservation Plan, Preserve Management, Fire Management plans, Clean Water Act permits, and projects that were able to benefit from the EMP.

### 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 cities of Santa Ana and Stanton ineligible (first time in the history of Measure M1 and M2), suspended M2 funding allocations and disbursements until confirmation by audit of compliance and subsequent Board action. As of October 22, 2019, both the cities of Santa Ana and Stanton 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 expedited the required audit. The separate audits review each city's FY 2018-19 Expenditure Report and FY 2018-19 maintenance of effort, and completion of the audits is largely dependent on the thoroughness and validity of the submitted reports, as well as timeliness in resolving audit questions. 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 facing challenges as they progress through environmental and design, are detailed below.

- The SR-91 between SR-57 and SR-55 is nearing completion of the environmental phase and facing some difficulties. The finalization of the document has been delayed due to a need for additional information regarding soils testing prior to approval of design exceptions. The design exceptions limit the project ROW needs at a recycling facility located adjacent to the project area.
- Efforts to reach consensus on a I-5/El Toro Road Interchange Project alternative continue. The cities of Laguna Hills, Laguna Woods, and Lake Forest met with the California Department of Transportation (Caltrans) and OCTA on October 2, 2019, October 17, 2019, November 26, 2019, and January 14, 2020. The stakeholder cities have been asked to work jointly with OCTA and Caltrans to determine a mutually acceptable and effective alternative. Built into M2 is a promise that projects would be delivered in cooperation with local jurisdictions. As such, OCTA is focused on a solution that has consensus of local agencies. The environmental phase was originally anticipated to be complete by the end of 2019. However, at this time the parties desire to explore alternative solution ideas. (Project D)
- On November 26, 2019, the National Highway Traffic Safety Administration and the United States Environmental Protection Agency issued Part One of the Safer Affordable Fuel-Efficient Vehicle Rule. This new rule will likely affect the three remaining M2 freeway projects<sup>3</sup> that have not secured air quality conformity determinations as they proceed through the environmental clearance phase. This includes the northbound SR-57 Truck Climbing Lane Project, the El Toro Road Interchange Project (depending on whether a new alternative is selected), and the SR-91 Eastbound 6<sup>th</sup> Lane Project. OCTA will continue to monitor the implications of the new rules and report as new information becomes available. On a positive note, during the quarter OCTA was able to confirm air quality conformance for other M2 freeway projects currently in the final stages of environmental clearance.

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<sup>3</sup> One additional non-M2 freeway project affected is the I-5 Avenida Pico to the San Diego County line project.



- Another M2 freeway project facing challenges is the SR-55 between I-405 and I-5 Project (Project F), with final design and ROW acquisition underway. Caltrans informed OCTA that they will not prepare the required Design Standard Decision Document, as agreed to 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 has since taken over this effort. Caltrans approval is still required. In addition to risks with final design, ROW acquisition and utilities are on the critical path to keep the project on schedule.

Lastly, M2 projects in construction are also facing cost and schedule challenges related to a variety of reasons detailed below.

- 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 BNSF Railway successfully negotiate a memorandum of understanding (MOU) for the Shared Use Agreement terms and conditions. The Shared Use Agreement will provide the required BNSF Railway approvals for construction of the station. A non-binding MOU between Metrolink and BNSF Railway was executed in November 2019, defining general terms to advance the Shared Use Agreement. This external agency dependency is a challenge for forecasting project cost estimates, funding, and schedule.
- With the magnitude of scope of the I-405 between SR-73 and I-605 Project (Project K), challenges are to be expected. Navigating issues related to oversight and approvals from many different agencies and third parties; cost and availability of construction resources; dispute resolution and change management; minimizing disruptions to the public; has an impact on project schedule. Additionally, in September 2019, a discovery of archeological resources was made within the project limits. OCTA is working with the appropriate parties in a respectful manner following established state procedures. This discovery has impacted construction progress at a specific location. Mitigations have been implemented to increase the productivity of the contractor to minimize the effect on the original completion date while balancing impacts to traffic.
- New Metrolink safety requirements rolled out in early February 2020 call for additional paperwork to be filled out prior to commencing any activity in the Metrolink ROW. This added requirement has increased contractors'



levels of efforts, which will likely affect project cost. This directly affects the Laguna Niguel-San Juan Capistrano Passing Siding Project (Project R), which is currently under construction. All other pending projects within Metrolink ROW will need to take into account this new requirement.

- The OC Streetcar Project (Project S) has been facing challenges with subsurface conditions, such as contaminated materials found within the Orange County Transit District-Owned Pacific Electric ROW. A contract change order was necessary to segregate the contaminated soil and non-contaminated soil, prepare documentation for the contaminated soil and haul it to the nearest disposal facilities able to accept that particular hazardous waste. Additionally, challenges were faced when installing storm drains and sewers due to the discovery of utilities that were either not shown on any of the record drawing or shown at different locations or elevations than on the plans. The current construction schedule status indicates the revenue service date could extend to July 2022. The construction management team continues to track progress and manage risks to actively identify opportunities to reduce construction timeframes on future activities.

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 October 2019 through December 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 despite facing challenges. 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, Second Quarter Fiscal Year 2019-20,  
October 1, 2019 through December 31, 2019

**Prepared by:**



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Manager, Program Management Office  
(714) 560-5590

**Approved by:**



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





## MEASURE M2 PROGRESS REPORT

Second Quarter of Fiscal Year 2019 – 20  
October 1, 2019 through December 31, 2019

### Second Quarter Highlights:

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







## MEASURE M2 PROGRESS REPORT

### 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 passengers boarding a Metrolink train at Buena Park Station. On October 14, 2019, three weekday intracounty round trips operating between Laguna Niguel/Mission Viejo and Fullerton were replaced with two weekday roundtrips from Laguna Niguel/Mission Viejo to Los Angeles. This service extension provides additional mobility choices for Orange County riders.





## MEASURE M2 PROGRESS REPORT

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<a href="#">Program Management Office</a>		<a href="#">36</a>
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COMMON ABBREVIATIONS

Americans with Disabilities Act	ADA
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
Interstate 15	I-15
Interstate 405	I-405
Interstate 5	I-5
Interstate 605	I-605
Invitation for Bids	IFB
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
Metrolink Service Expansion Program	MSEP

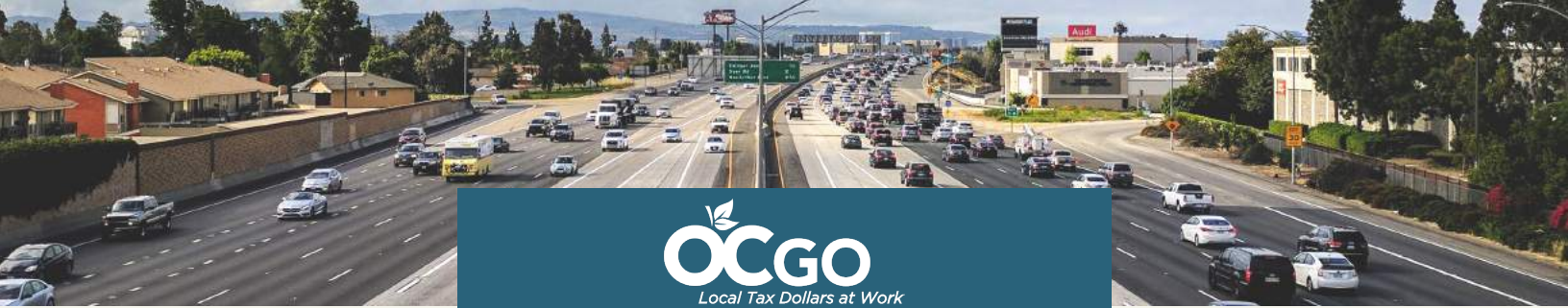




## COMMON ABBREVIATIONS

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
Project Study Report	PSR
Ready to List	RTL
Request for Proposals	RFP
Resource Management Plan	RMP
Right-of-Way	ROW
Riverside County Transportation Commission	RCTC
Santa Ana Regional Transportation Center	SARTC
Senate Bill 1	SB 1
Senior Mobility Program	SMP
Senior Non-Emergency Medical Transportation	SNEMT
Southern California Association of Governments	SCAG
State Route 133	SR-133
State Route 22	SR-22
State Route 241	SR-241
State Route 55	SR-55
State Route 57	SR-57
State Route 71	SR-71
State Route 74	SR-74
State Route 91	SR-91
State Transportation Improvement Program	STIP
State Water Resources Control Board	SWRCB
Southern California Regional Rail Authority	SCRRA
Taxpayer Oversight Committee	TOC
To Be Determined	TBD
Trade Corridors Improvement Funds	TCIF
Transportation Infrastructure Finance and Innovation Act	TIFIA
United States Army Corps of Engineers	ACOE
United States Fish and Wildlife Service	USFWS
United States Department of Transportation	USDOT





Local Tax Dollars at Work

## MEASURE M2 PROJECT SCHEDULES



Conceptual



Environmental



Design, Advertise, & Award



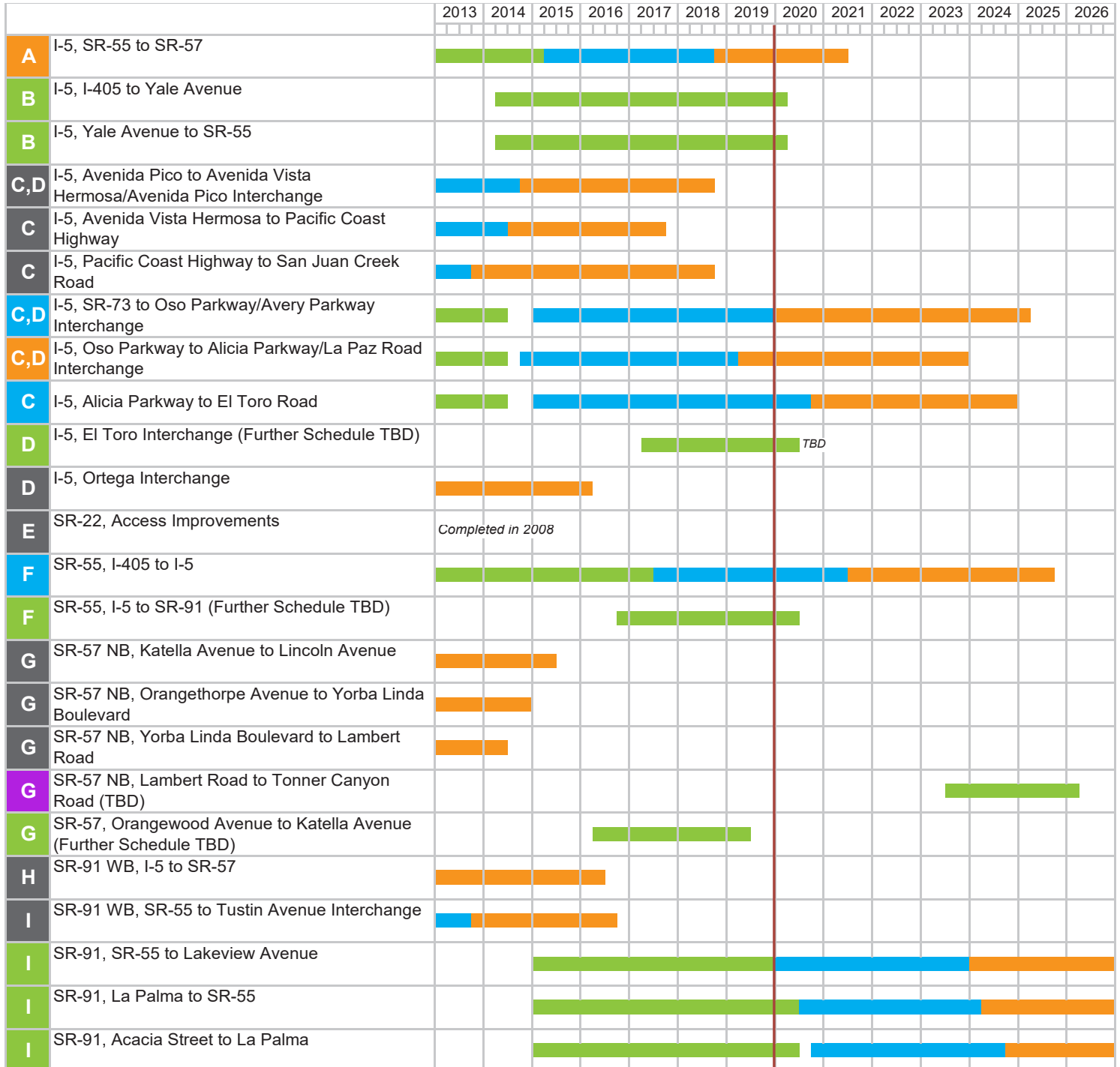
Design-Build



Construction



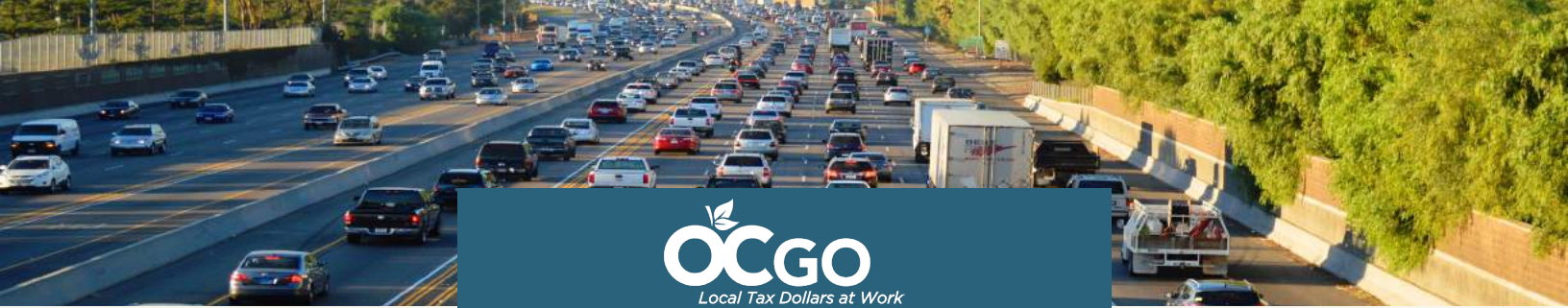
Complete



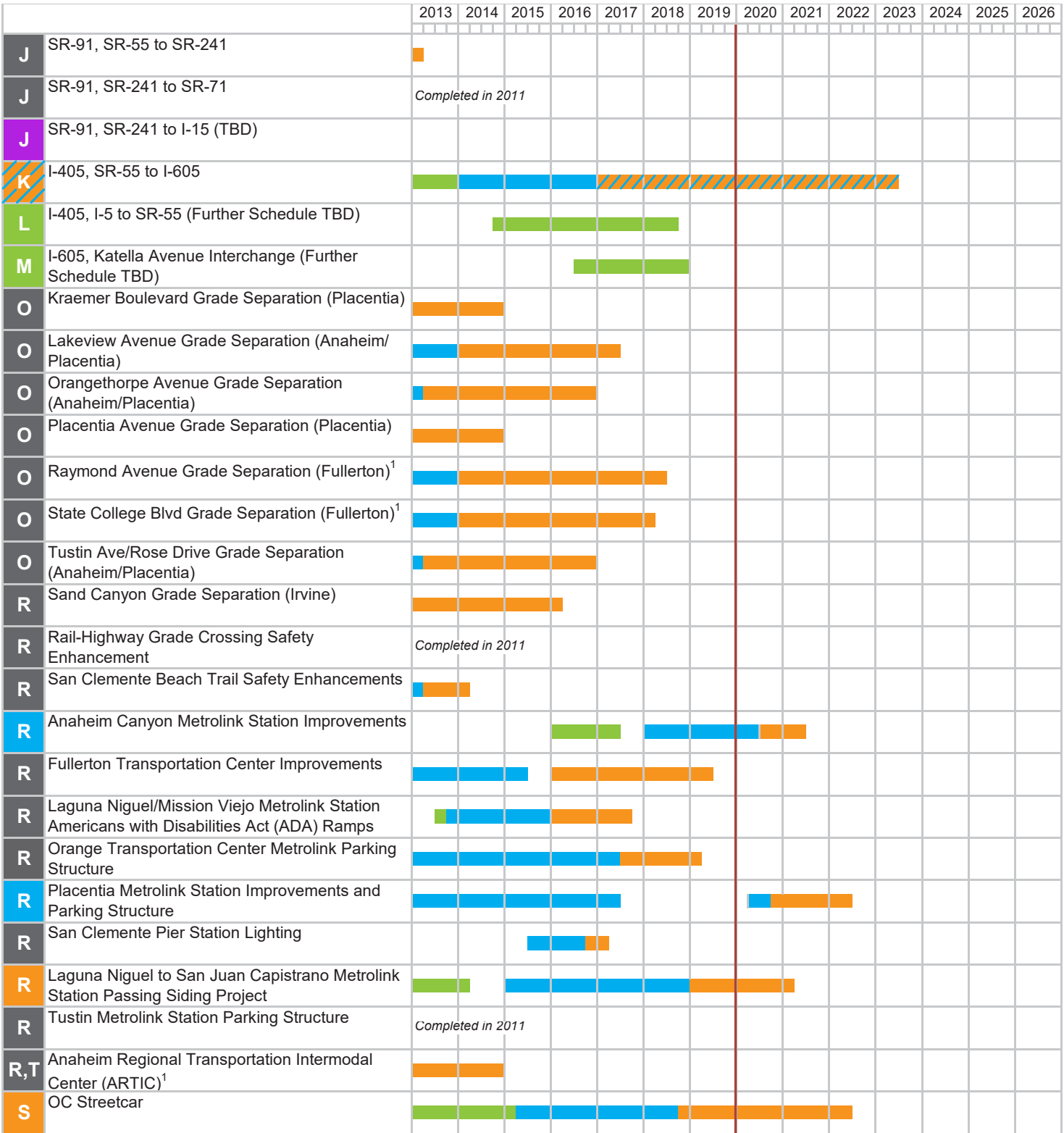
Project schedules are based on phase start dates. Shown schedules are subject to change.

<sup>1</sup> Projects managed by local agencies





## MEASURE M2 PROJECT SCHEDULES



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

<sup>1</sup> Projects managed by local agencies





## MEASURE M2 PROGRESS REPORT

### 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
<b>Financial</b>		
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.





## MEASURE M2 PROGRESS REPORT

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.
Resource			
6	Extremely low unemployment and substantial work underway in the region, has resulted in significant demand for professional and skilled labor which can impact delivery given the scope of the M2 capital program.	External demand for key talent creates shortages which drive up project delivery costs. Timely capital project completion is key to reduce project delivery risk.	Expert and timely coordination between OCTA and Caltrans are imperative to manage 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.
Regulatory			
8	New federal and statewide directives create additional limitations for use of transportation dollars which could affect freeway projects.	New directives with greenhouse gas reductions, managed lane corridors focus, as well as an emphasis on transit provides new hurdles that eliminate some sources of funding for OC Go freeway improvements.	OCTA will monitor new directives and work closely with our partners including Caltrans to ensure that M2 projects stay true to the voter commitment and compete for funding as appropriate.





## MEASURE M2 PROGRESS REPORT

### 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. On November 11, 2019, the Next 10 was updated to incorporate the 2019 sales tax revenue forecast of \$13.4 billion. The 2019 updated Next 10 includes updated project costs and schedules, bonding assumptions, and adjustments ensuring continued delivery of the complete M2 Program by 2041 as promised.

### 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 three 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 [pages iii-iv](#) (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 further advancement. Using Board adopted guiding principles, the 2019 updated Next 10 identified five projects to be advanced through construction: I-605/ Katella Interchange (Project M), SR-57 Northbound from Orangewood Avenue to Katella Avenue (Project G), I-5 between I-405 and Yale Avenue (Project B), I-5 between Yale Avenue and SR-55 (Project B) and SR-55 between I-5 and SR-91 (Project F). The remaining four projects have specific reasons related to the application of the guiding principles that require additional time prior to being advanced. 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 [pages iii-iv](#) (Project Schedules) and the project updates contained in the following pages.





## MEASURE M2 PROGRESS REPORT

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

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, \$180 million<sup>1</sup> in Local Fair Share (Project Q) funds have been distributed to local agencies. This brings the total allocation to date to \$271 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 2020. Additionally, all seven bridges included in the OC Bridges program are complete. For more details, see the project updates on [page 18](#).

<sup>1</sup>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.

**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).**

In October 2019, three weekday intracounty round trips operating between Laguna Niguel/Mission Viejo and Fullerton were replaced with two roundtrips between Laguna Niguel/Mission Viejo (extended from Fullerton) into Los Angeles. Schedules for the extended service were developed consistent with existing schedules. Additional service changes are scheduled to be implemented in April 2020, providing one new evening round trip between Oceanside and Los Angeles and one weekday round trip between Los Angeles and Perris via Fullerton.

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](#).





## MEASURE M2 PROGRESS REPORT

### **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

Activities continue to move forward, including coordination with third parties on utility relocation, finalizing the scope of services for the operations and maintenance request for proposals released on November 12, 2018, 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, and construction activities are underway. With strong FTA support for the project, a FFGA was executed in November 2018. Construction is anticipated to be complete in early 2022. See [page 27](#) 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, six draft conceptual alternatives were presented to the OCTA Transit Committee on October 10, 2019. After a long discussion the committee made a motion to move the study forward without the two streetcar alternatives. The presentation of the draft alternatives to the OCTA Board was subsequently delayed until the Board has an opportunity to discuss the action plans developed in the 2018 Transit Master Plan. A presentation on the Transit Master Plan is planned to go to the Board next quarter.

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

Approximately \$35 million<sup>2</sup> 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.

<sup>2</sup>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.

### **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).**

Along with requests for letters of interest, the Board has authorized four calls for projects in total; with two occurring since the Next 10 Plan adoption. During the Next 10 period, the Board has awarded six projects for a total of \$6.04 million. The Board also authorized the fourth Project V 2020 call for projects for up to \$9.0 million. Programming recommendations for this call for projects are anticipated in Spring, 2020.

Staff continues to work with local jurisdictions through letters of interest requests, workshops, CTFP Guidelines revisions, and calls for projects, to fine tune this program and facilitate successful project implementation. For additional details and information on current project program performance and service see [page 30](#).





## MEASURE M2 PROGRESS REPORT

### **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, the Board has approved Project W funds to support 79 city-initiated improvements to busy bus stops on the OCTA transit system. Since Next 10 Plan adoption, the Board has made \$3 million available of which \$872,300 was allocated to eligible local agencies. 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 [page 31](#).

### **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 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. 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. 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](#).



## FREeways

### INTERSTATE 5 (I-5) PROJECTS ▼

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

PROJECT A

**Status:** Construction Underway – 45% 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 completion of installation of retaining walls at Lincoln Avenue and removal of debris associated with demolition of the HOV ramp bridge at Main Street (in early August 2019) and construction of retaining walls and roadway sub base in the median. The project is expected to be completed in early 2021.

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

PROJECT B

**Status:** Environmental Phase Underway - 92% Complete

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

**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 January 2020. This project has been segmented into two segments and is advanced through construction in the updated 2019 Next 10 Delivery Plan approved by the Board on November 11, 2019.



## FREWAYS

### 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. During the quarter, all outstanding contractor claims were resolved.



## FREWAYS

**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 awarded.

**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. Due to extended ROW coordination, this project is marked “red” in the CAP, with delay of 12 months beyond the original schedule. The project was advertisement on August 26, 2019 and bids were received on October 15, 2019. ORTIZ Enterprises, Inc was the lowest bidder with \$107,993,733 which was approximately \$3.6 million under the engineers estimate. The project was awarded on December 19, 2019 and construction is anticipated to start mid-March 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 completion of removal and disposal of Aerially Deposited Lead and demolition of the northbound looped on-ramp at La Paz Road. Staff continues coordination of the service contract with SCRR/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



## FREeways

Road to Alicia Parkway. The 100 percent Plans, Specifications and Estimates Submittal was on May 3, 2019 for Caltrans review. This quarter, the consultant continued Right-of-Way and Utility efforts, updated and submitted the final plans in coordination with the Caltrans Office Engineer to prepare to achieve Ready to List Status. 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 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 On Hold

**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 without the cities’ consensus, OCTA will not support finalization of the document. OCTA has





## FREWAYS

requested Caltrans put completion of the environmental document on hold. Major activities this quarter included two meetings with the three stakeholder cities to request that the cities work together to determine if they can jointly support an alternative. Also, Caltrans completed preparing responses to comments received during the Public Review period.

### STATE ROUTE 22 (SR-22) PROJECTS ▼

**Segment:** SR-22 Access Improvements

**Status:** PROJECT COMPLETE

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



PROJECT E

**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).

### STATE ROUTE 55 (SR-55) PROJECTS ▼

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

**Status:** Design Phase Underway - 90% Complete

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

PROJECT F

**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 and on July 19, 2019 the 95 percent design was completed. The 100 percent design will be submitted next quarter. 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. On December 9, 2019, OCTA Board approved an amendment to the Caltrans cooperative agreement and amendment to the OCTA consultant contract to transfer the Supplemental Fact Sheet task to OCTA. The Supplemental Fact Sheet will be submitted next quarter to Caltrans for review and 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 originally committed \$46.8 million in SHOPP funds but that amount was reduced to \$45 million and OCTA will seek to capture another \$75 million in future SB1 funding to fully fund the carpool elements of the project.





## FREWAYS

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

**Status:** Environmental Phase Underway - 92% 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 was held in mid-October. The Project Development Team recommended a preferred alternative in mid-December 2019. 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 is contingent on the project being exempt from new Safe Rule air conformity standards (subsequently enacted) that if applied would require a redo of work already completed. This project was approved for advancement through construction in the updated 2019 Next 10 Delivery Plan by the Board on November 11, 2019.

## STATE ROUTE 57 (SR-57) PROJECTS ▼

### PROJECT G

**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.



## FREEWAYS

**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 schedule TBD

**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 northbound truck-climbing lane (approximately 2.5 miles) in the City of Brea. The project will require coordination with LA Metro on planned improvements or related work across the county line. 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 began in mid-2019 and is anticipated to be complete at the end of 2021. Phase 2, which is the mainline improvements, was initially approved for STIP funding in March 2018 to initiate the environmental phase. However, due to the 2019 STIP reduction, funding was shifted to cover projects already underway. The schedule for this project will be updated during the annual M2 cash flow review and Next 10 update.

**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 was approved for advancement through construction in the updated 2019 Next 10 Delivery Plan by the Board on November 11, 2019. The design phase is scheduled to begin in late 2021.





## FREWAYS

### 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



PROJECT H

**Summary:** This project increased capacity in the westbound direction of SR-91 by adding an additional 4.5-mile general purpose lane in the westbound direction between Anaheim and Fullerton and provided operational improvements at on and off-ramps between Brookhurst Street and State College Boulevard. The general purpose lane was opened to traffic on March 7, 2016, and the project was complete on June 23, 2016.

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

**Status:** PROJECT COMPLETE

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



PROJECT I

**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 - 94% 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 2019. 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 20 months from its original schedule. 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 in order to consider approval of necessary design exceptions. This requires a site investigation in the landscape area of the former landfill operating as a metals recycling facility. This is a lengthy process and introduces risk to the project. The permit-to-enter for the site investigation was obtained in December 2019 and field work is scheduled to begin in January 2020. 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.



## FREEWAYS

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

**Status:** PROJECT COMPLETE

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



PROJECT J

**Summary:** This completed Project J segment added six miles in the westbound and eastbound direction to a key stretch of SR-91 between SR-55 and SR-241 in the Cities of Anaheim and Yorba Linda. In addition to adding 12 lane miles to SR-91, the project also delivered a much needed second eastbound exit lane at the Lakeview Avenue, Imperial Highway and Yorba Linda Boulevard/Weir Canyon Road off-ramps. Beyond these capital improvements, crews completed work on safety barriers, lane striping and soundwalls. Completion of this project in March 2013 means a total of 18 lane miles have been added to SR-91 since December 2010. The lanes opened to traffic in December 2012, and construction completed on March 5, 2013.

**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 coordinate improvements and to capitalize on available funding. 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 timing of the additional general-purpose lane between SR-241 and SR-71 was anticipated to take



## FREEWAYS

place post-2035. However, RCTC requested OCTA's support to accelerate a portion of the ultimate project in the westbound direction (in Orange County) to address a bottleneck issue affecting the City of Corona. With OCTA's support, RCTC has initiated the 91 Corridor Operation Project to initiate construction and the project is anticipated to be complete in 2021. In addition, OCTA and RCTC will be jointly conducting a feasibility study to determine how best to implement the 6th general-purpose lane while minimizing environmental and construction impacts in the eastbound direction between SR-241 and SR-71. On October 10, 2019, the Request for Proposals was released for the SR-91 (SR-241 to SR-71) Eastbound Geometric and Design Alternatives Analysis. The consultant recommendation will be presented to the Board on February 10, 2020.

## INTERSTATE 405 (I-405) PROJECTS ▼

### PROJECT K

**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.<sup>3</sup>

During the quarter, work continued on ROW acquisition, utility coordination and public outreach. OCTA is in possession of 98 percent of the property necessary for construction with the remaining two percent on schedule. Other work included review of design-builder submittals along with design and construction submittals. OCTA's toll lanes system integrator, Kapsch, is under contract and working with OCTA and the design-builder. Significant roadway construction activities including installation of drainage systems, retaining walls, and paving are underway. Additionally, over 40 walls are under construction or completed. The Slater Avenue bridge was the first new bridge completed and was opened to traffic on August 30, 2019. Significant bridge construction continues on 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 existing bridge while the first half of the new bridge is constructed. Construction also continued at the McFadden Avenue, Talbert Avenue and Bushard Street bridges, which are one-stage bridges that are closed to traffic during construction. In this quarter, construction began on the widening of the existing freeway bridges at Beach Boulevard, Bolsa railroad crossing and an old Navy railroad crossing. Construction continues at the Santa Ana River and Harbor Boulevard bridges which consists of widening the existing freeway bridges over both of those facilities. OCTA also continued targeted public outreach through neighborhood meetings in anticipation of construction activities. Construction is scheduled to be completed in 2023.

<sup>3</sup>The 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.





## FREWAYS

**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 for approximately 8.5-miles along the I-405 corridor between I-5 and SR-55 in Irvine. 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 and is reviewed annually. As projects listed are completed, schedules and revenues are reviewed, the Board adopts an updated delivery plan providing direction on project advancement. To ensure coordination with other projects planned for construction and to avoid unreasonable impacts to the public, this project is currently scheduled to be constructed beyond 2026.

## INTERSTATE 605 (I-605) PROJECTS ▼

**Segment:** I-605, Katella Interchange Improvements

PROJECT M

**Status:** Environmental Phase Complete

**Contact:** 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 was approved for advancement through construction in the updated 2019 Next 10 Delivery Plan by the Board on November 11, 2019. The design phase is scheduled to begin in late 2020.

## FREWAY SERVICE PATROL ▼

**Status:** Service Ongoing

PROJECT N

**Contact:** Cliff Thorne • (714) 560-5975

**Summary:** Freeway Service Patrol (FSP) provides assistance to motorists whose vehicles have become disabled on Orange County freeways and removes congestion-causing debris from traffic lanes to reduce freeway congestion and collisions. In June 2012, M2 began supporting FSP with local funds to maintain existing service levels and expand services through 2041. During the quarter, FSP provided 12,216<sup>4</sup> services. Since June 2012, FSP has provided a total of 495,126<sup>4</sup> services on the Orange County freeway system.

<sup>4</sup> Service calculations have changed from the previous quarter. Because FSP is funded by M2 and external sources, it is more accurate to report all services provided, rather than a particular time of day/week.



## STREETS AND ROADS

### REGIONAL CAPACITY PROGRAM ▼

**Status:** 2020 Call for Projects in Progress

**PROJECT O**

**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 \$296<sup>5</sup> million, including \$24 million in external funding, have been awarded through nine calls for projects by the Board. On August 12, 2019, the Board approved the release of the 2020 Call for Projects. The application deadline for the tenth call closed on October 24, 2019 with 8 applications received and currently under review. Award recommendations are anticipated to go to the Board in mid-2020.

<sup>5</sup>To 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.





## STREETS AND ROADS

**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.



## STREETS AND ROADS

### **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.



## STREETS AND ROADS

### REGIONAL TRAFFIC SIGNAL SYNCHRONIZATION PROGRAM ▼

**Status:** 2020 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 over 2,000 signalized intersections along 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.

To date, OCTA and local agencies have synchronized more than 2,700 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 projects<sup>6</sup> totaling more than \$106 million, including \$13.6 million in leveraged external funding.

On August 12, 2019, the Board approved the release of the 2020 Call for Projects. The application deadline for the tenth call closed on October 24, 2019 with seven applications received and currently under review. Award recommendations are anticipated to go to the Board in mid-2020.

<sup>6</sup>To date, three projects totaling approximately \$1.6 million have been cancelled by the awarded local jurisdictions.

### 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 by the cities and the County. Annually, all local agencies are reviewed to determine eligibility to receive M2 funds. 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 \$416 million<sup>7</sup> in Local Fair Share payments have been provided to local agencies as of the end of this quarter.

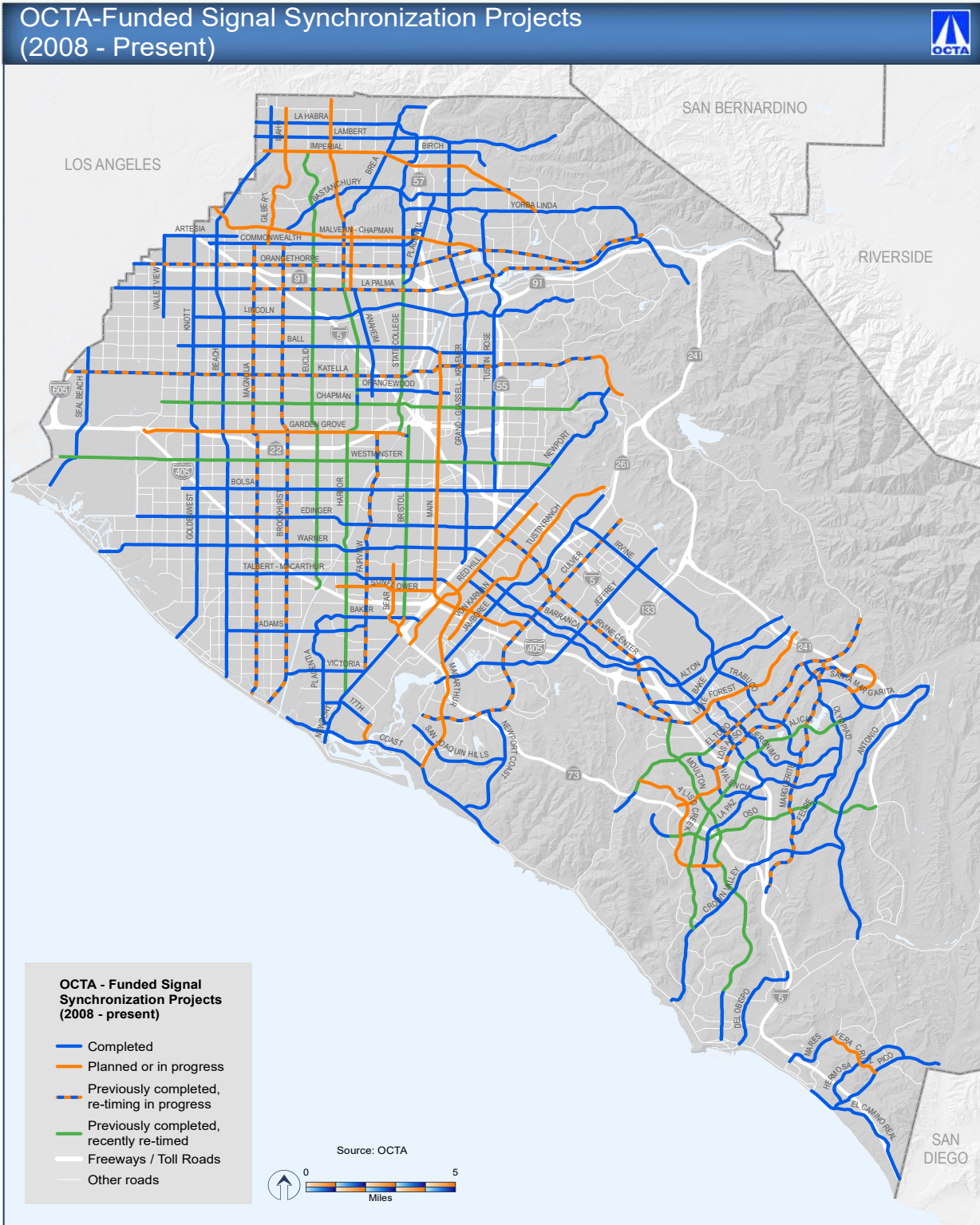
See [pages 49-50](#) for funding allocation by local agency.

<sup>7</sup>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.





# STREETS AND ROADS







## TRANSIT

### 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.

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 68 percent since the improvement was implemented, from 130 average boardings in Fiscal Year (FY) 2015-16 to 219 to date for FY 2019-20.

In October 2019, several intracounty trains were extended to Los Angeles to increase ridership through a redeployment of the trains without significantly impacting operating costs. The changes consisted of :

- Orange County (OC) Line: Three weekday intracounty round trips operating between Fullerton and Laguna Niguel/Mission Viejo were replaced with two round trips between Laguna Miguel/Mission Viejo and Los Angeles.





Average daily passenger boardings on the intracounty trains extended to Los Angeles increased by 385 percent following the change.

- 91/Perris Valley (91/PV) Line: Three round trips within Riverside County between Perris–South and Riverside–Downtown were replaced with one roundtrip between Perris–South and Los Angeles Union Station, via Fullerton. The new round trip has averaged 262 daily boardings to date.

Metrolink will implement the addition of two round trips in April 2020. The OC Line will see the addition of one evening weekday round trip from Oceanside to Los Angeles. Along the 91/PV Line, one weekday round trip will be added between Los Angeles and Perris, south via Fullerton. The abovementioned changes are in alignment with OCTA's redeployment plan.

## 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](#).

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### **Segment:** Anaheim Canyon Metrolink Station Improvements

**Status:** Design Underway – 99% 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 March 2020. Construction of the project is expected to begin in June 2020 with completion anticipated in Fall-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 final invoices are being processed.





## TRANSIT

**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 MSEF 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.





## TRANSIT

**Segment:** Laguna Niguel to San Juan Capistrano Passing Siding Project

**Status:** Construction Underway – 40% 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 continued with the track, track crossovers, retaining walls and removal and replacement of a bridge. With most of the signals and communications infrastructures completed last quarter, a few final activities remain underway. This project is anticipated to be completed by early 2021. The 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 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. At the request of the two cities, OCTA is serving as the lead agency for the project.

Construction work continues with sewer and water line relocations in several locations, grading and utility duct work installations at the Maintenance and Storage Facility and soil excavations on the PE Right-of-Way. Construction for the installation of foundations and substructure for the new Santa Ana River Streetcar Bridge and Westminster Bridge are complete. OCTA and Siemens conducted the First Article Inspection of the carshell for the first vehicle in production.





## TRANSIT

On October 28, 2019, the Board approved an amendment to HNTB for additional design support services for the OC Streetcar. On November 25, 2019, the Board approved contract change order no. 4.1 to Walsh Construction Company II, LLC, for work to address utility conflicts for the construction of the OC Streetcar project. On December 3, 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 when the grant expires. In anticipation of the grant expiration, the city applied for Project V funding to continue this service.

## 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.





## TRANSIT

### 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 \$73.7<sup>9</sup> million in Project U funding has been provided under M2.

**Project:** Senior Mobility Program

**Status:** Ongoing

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

PROJECT U

**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 \$21.68 million<sup>8</sup> and 2,361,000 boardings have been provided for seniors traveling to medical appointments, nutrition programs, shopping destinations, and senior and community center activities. This quarter, approximately \$506,000 was paid out to the 31 participating cities.

**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 \$23.4 million and 919,554 SNEMT boardings have been provided. This quarter, approximately \$582,000 in SNEMT funding was paid<sup>9</sup> to the County of Orange.

<sup>8</sup>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 \$855,000<sup>9</sup> 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 3,600,000 program-related boardings recorded on fixed route and ACCESS services, approximately \$995,000 was utilized. Since inception of the program, more than \$30 million and 116 million program-related boardings have been provided.

**COMMUNITY BASED TRANSIT/CIRCULATORS ▼**

**Status:** Service Updates; Fourth Call for Projects Underway

**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 29 projects and 7 planning studies totaling approximately \$43 million. Out of the transit circulator projects: 20 are currently active; eight 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 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. Approval of these revisions as well as a request to authorize a fourth Project V call for approximately \$9 million was authorized by the Board on October 14, 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.

<sup>9</sup>Payments 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.



## TRANSIT

### 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 seven<sup>10</sup> eligible agencies and OCTA.

<sup>10</sup> 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.



## ENVIRONMENTAL

### CLEAN UP HIGHWAY AND STREET RUNOFF THAT POLLUTES BEACHES ▼

**Project:** Environmental Cleanup Program

**Status:** Ongoing

PROJECT X

**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 33 million gallons 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 50 Olympic size swimming pools. 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.





## ENVIRONMENTAL

### 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 November 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 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





## ENVIRONMENTAL

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](http://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.

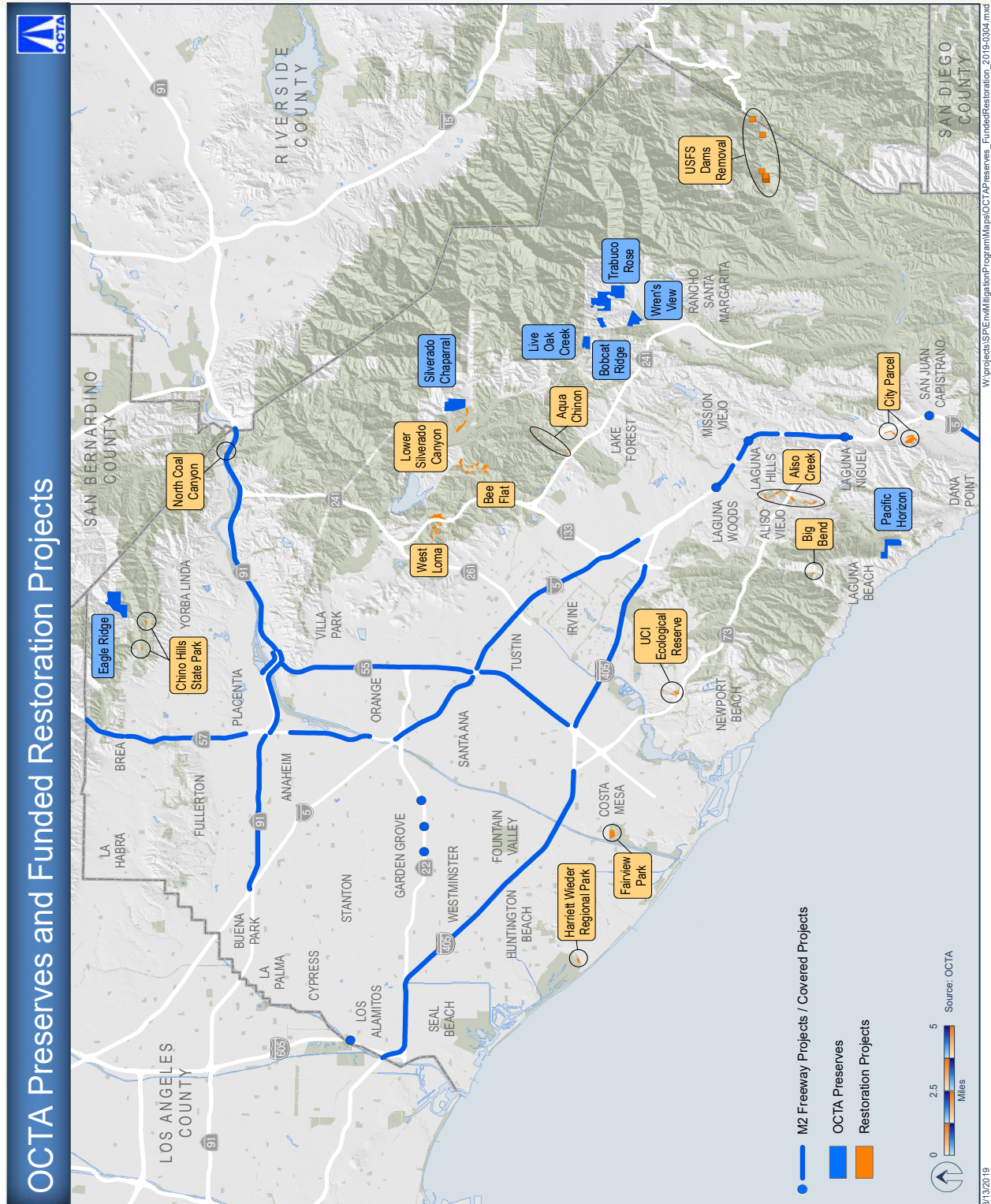
OCTA provides docent led hikes and equestrian rides in the Preserves. A list of scheduled 2019 wilderness Preserve tours is also available on the M2 website at [www.PreservingOurLegacy.org](http://www.PreservingOurLegacy.org).

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.



## ENVIRONMENTAL





## PROGRAM MANAGEMENT

### 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.

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#### 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 presented to the Board on October 28, 2019. The results of the fall analysis concluded that OCTA may experience a cost increase of between two percent and six percent during the 2020 through 2022 time period of construction activity. To reduce the potential risk of cost pressure and project delivery slowdowns due to unanticipated cost increases, staff incorporated information from this analysis into the M2 cashflow for the 2019 updated Next 10 Delivery Plan.

#### 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 incorporated an updated forecast of \$13.4 billion (presented to the Board on October 28, 2019). The updated 2019 Next 10 Plan was presented to the Board at the November 11, 2019 meeting. The 2019 updated Next 10 identified five projects to be advanced through construction: I-605/ Katella Interchange (Project M), SR-57 Northbound from Orangewood Avenue to Katella Avenue (Project G), I-5 between I-405 and Yale Avenue





## PROGRAM MANAGEMENT

(Project B), I-5 between Yale Avenue and SR-55 (Project B) and SR-55 between I-5 and SR-91 (Project F). The result of the Next 10 Plan review demonstrated a delivery plan that remains solvent.

### 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. Staff has implemented all eight recommendations for enhancements and will provide an update 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 began updating the City Fact Sheets to include the 2019 Tier 1 ECP projects approved by the Board on September 9, 2019, the September 2019 semi-annual review of CTFP projects approved by the Board on December 9, 2019 and programming updates. Updated City Fact Sheets will be completed next quarter.

#### 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 2019-20 first quarter Financial Picture was updated in November 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 2019-20 first quarter Next 10 Tracking report was updated in November 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, bids were opened on October 15, 2019 for the construction contract for Project C (I-5 between SR-73 and Oso Parkway, including Avery Parkway Interchange). The apparent low bid was at 3.27 percent under the engineer's estimate. Caltrans reviewed the bid for responsiveness and made a determination on December 20, 2019 to award it to the lowest bidder. Staff has updated the tracking spreadsheet with this bid result.

### **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 \$13.4 billion or 45 percent lower) as a result of economic conditions, the funds



## PROGRAM MANAGEMENT

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.

### 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.



## PROGRAM MANAGEMENT

The TOC will meet next on February 11th, 2020. The December 10th, 2019 meeting was cancelled. Taxpayer Oversight Committee vacancies for 2020 will occur in the 2nd and 3rd Supervisorial Districts. The Grand Jurors Association of Orange County will select finalists after an extensive recruitment effort takes place in early spring. Prior to the next meeting OCTA CEO, Darrell Johnson, and Director of Marketing and Public Outreach, Alice Rogan, will be meeting with the newly appointed Auditor Controller, Frank Davies, to provide an orientation for the TOC and Measure M.

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.

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.





## PROGRAM MANAGEMENT

### Current Forecast

Based on long-term forecasts updated in October 2019 , 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 or gross annual sales tax of \$332 million. FY 2019 gross actuals were closely in alignment with the budget closing the year at approximately \$332 million. For FY 2020, the assumed budget growth rate is 2.5 percent. Based on actuals to date and information provided by Muni Services Inc., the actual growth rate is anticipated to be in alignment with the budget or higher by the end of the fiscal year. The 2020 updated forecast is anticipated to be brought to the Board in the fall 2020.



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## FINANCING

### Schedule of Revenues, Expenditures and Changes in Fund Balance as of December 31, 2019 (Unaudited) Schedule 1

(\$ in thousands)	Quarter Ended Dec 31, 2019	Year to Date Dec 31, 2019	Period from Inception to Dec 31, 2019
	(A)	(B)	
<b>Revenues:</b>			
Sales taxes	\$ 86,119	\$ 164,338	\$ 2,578,067
Other agencies' share of Measure M2 costs:			
Project related	27,102	52,247	720,032
Non-project related	-	-	454
Interest:			
Operating:			
Project related	458	298	1,526
Non-project related	4,084	9,668	62,024
Bond proceeds	2,523	5,152	66,639
Debt service	54	165	978
Commercial paper	-	-	393
Right-of-way leases	29	69	1,010
Proceeds on sale of assets held for resale	-	-	12,201
Donated assets held for resale			
Project related	-	-	2,071
Miscellaneous:			
Project related	-	17	287
Non-project related	-	-	100
Total revenues	<u>120,369</u>	<u>231,954</u>	<u>3,445,782</u>
<b>Expenditures:</b>			
Supplies and services:			
Sales tax administration fees	956	1,957	28,249
Professional services:			
Project related	7,596	9,855	391,657
Non-project related	886	1,498	28,283
Administration costs:			
Project related	2,519	5,035	78,304
Non-project related:			
Salaries and Benefits	643	1,286	26,393
Other	1,326	2,653	44,668
Other:			
Project related	78	82	5,109
Non-project related	187	237	5,152
Payments to local agencies:			
Project related	20,926	33,336	979,193
Capital outlay:			
Project related	69,916	84,150	1,110,133
Non-project related	-	-	31
Debt service:			
Principal payments on long-term debt	-	-	50,500
Interest on long-term debt and commercial paper	6	17,524	196,138
Total expenditures	<u>105,039</u>	<u>157,614</u>	<u>2,943,811</u>
Excess of revenues over expenditures	<u>15,330</u>	<u>74,340</u>	<u>501,972</u>
<b>Other financing sources (uses):</b>			
Transfers out:			
Project related	(16,837)	(22,182)	(226,861)
Transfers in:			
Project related	14,460	14,460	172,930
Bond proceeds	-	-	804,625
Payment to refunded bond escrow agent	-	-	(45,062)
Total other financing sources (uses)	<u>(2,377)</u>	<u>(7,722)</u>	<u>705,632</u>
Excess of revenues over expenditures and other sources	<u>\$ 12,953</u>	<u>\$ 66,618</u>	<u>\$ 1,207,604</u>



## FINANCING

### Schedule of Revenues, Expenditures and Changes in Fund Balance as of December 31, 2019 (Unaudited) Schedule 2

(\$ in thousands)	Quarter Ended Dec 31, 2019 (actual)	Year to Date Dec 31, 2019 (actual)	Period from Inception through Dec 31, 2019 (actual)	Period from January 1, 2020 through March 31, 2041 (forecast)	Total
	(C.1)	(D.1)	(E.1)	(F.1)	
<b>Revenues:</b>					
Sales taxes	\$ 86,119	\$ 164,338	\$ 2,578,067	\$ 10,794,597	\$ 13,372,664
Operating interest	4,084	9,668	62,024	292,796	354,820
Subtotal	90,203	174,006	2,640,091	11,087,393	13,727,484
Other agencies share of M2 costs	-	-	454	-	454
Miscellaneous	-	-	100	-	100
Total revenues	90,203	174,006	2,640,645	11,087,393	13,728,038
<b>Administrative expenditures:</b>					
Sales tax administration fees	956	1,957	28,249	119,389	147,638
Professional services	886	1,498	24,508	102,326	126,834
Administration costs:					
Salaries and Benefits	643	1,286	26,393	111,544	137,937
Other	1,326	2,653	44,668	187,748	232,416
Other	187	218	2,132	8,425	10,557
Capital outlay	-	-	31	-	31
Environmental cleanup	641	1,024	42,889	215,857	258,746
Total expenditures	4,639	8,636	168,870	745,289	914,159
Net revenues	\$ 85,564	\$ 165,370	\$ 2,471,775	\$ 10,342,104	\$ 12,813,879
	(C.2)	(D.2)	(E.2)	(F.2)	
<b>Bond revenues:</b>					
Proceeds from issuance of bonds	\$ -	\$ -	\$ 804,625	\$ 298,950	\$ 1,103,575
Interest revenue from bond proceeds	2,523	5,152	66,639	83,659	150,298
Interest revenue from debt service funds	54	165	978	4,650	5,628
Interest revenue from commercial paper	-	-	393	-	393
Total bond revenues	2,577	5,317	872,635	387,259	1,259,894
<b>Financing expenditures and uses:</b>					
Professional services	-	-	3,775	1,046	4,821
Payment to refunded bond escrow	-	-	45,062	-	45,062
Bond debt principal	-	-	50,500	935,220	985,720
Bond debt and other interest expense	6	17,524	196,138	599,405	795,543
Commercial paper interest expense	-	-	-	-	-
Other	-	19	3,020	-	3,020
Total financing expenditures and uses	6	17,543	298,495	1,535,671	1,834,166
Net bond revenues (debt service)	\$ 2,571	\$ (12,226)	\$ 574,140	\$ (1,148,412)	\$ (574,272)



## FINANCING

### Schedule of Revenues, Expenditures and Changes in Fund Balance as of December 31, 2019(Unaudited) Schedule 3

Project	Description	Net Revenues through Dec 31, 2019	Total Net Revenues
(G)		(H)	(I)
(\$ in thousands)			
<b>Freeways (43% of Net Revenues)</b>			
A	I-5 Santa Ana Freeway Interchange Improvements	\$ 97,426	\$ 505,061
B	I-5 Santa Ana/SR-55 to El Toro	62,228	322,594
C	I-5 San Diego/South of El Toro	129,971	673,772
D	I-5 Santa Ana/San Diego Interchange Upgrades	53,480	277,246
E	SR-22 Garden Grove Freeway Access Improvements	24,876	128,951
F	SR-55 Costa Mesa Freeway Improvements	75,867	393,303
G	SR-57 Orange Freeway Improvements	53,625	277,997
H	SR-91 Improvements from I-5 to SR-57	29,020	150,444
I	SR-91 Improvements from SR-57 to SR-55	86,335	447,570
J	SR-91 Improvements from SR-55 to County Line	73,007	378,473
K	I-405 Improvements between I-605 to SR-55	222,378	1,152,828
L	I-405 Improvements between SR-55 to I-5	66,270	343,549
M	I-605 Freeway Access Improvements	4,146	21,492
N	All Freeway Service Patrol	31,093	161,190
	Freeway Mitigation	53,143	275,498
	Subtotal Projects	1,062,865	5,509,968
	Net (Bond Revenue)/Debt Service	-	-
	<b>Total Freeways</b>	<b>\$ 1,062,865</b>	<b>\$ 5,509,968</b>
	<b>%</b>		

### Street and Roads Projects (32% of Net Revenues)

O	Regional Capacity Program	\$ 247,180	\$ 1,281,404
P	Regional Traffic Signal Synchronization Program	98,868	512,539
Q	Local Fair Share Program	444,920	2,306,498
	Subtotal Projects	790,968	4,100,441
	Net (Bond Revenue)/Debt Service	-	-



## FINANCING

### Schedule of Revenues, Expenditures and Changes in Fund Balance as of December 31, 2019 (Unaudited) Schedule 3

Expenditures through Dec 31, 2019 (J)	Reimbursements through Dec 31, 2019 (K)	Net M2 Cost (L)
\$ 8,025	\$ 7,101	\$ 924
9,744	6,515	3,229
163,318	46,759	116,559
2,262	527	1,735
5	-	5
30,399	14,605	15,794
51,298	12,217	39,081
34,855	824	34,031
23,413	22,005	1,408
6,936	5,520	1,416
554,483	114,165	440,318
9,192	6,954	2,238
2,124	16	2,108
5,890	-	5,890
54,048	3,233	50,815
955,992	240,441	715,551
49,388	-	49,388
\$ 1,005,380	\$ 240,441	\$ 764,939
		38.8%
\$ 754,543	\$ 501,300	\$ 253,243
64,391	5,054	59,337
422,953	77	422,876
1,241,887	506,431	735,456
54,856	-	54,856



## FINANCING

### Schedule of Revenues, Expenditures and Changes in Fund Balance as of December 31, 2019 (Unaudited) Schedule 3

Project Description	Net Revenues through Dec 31, 2019	Total Net Revenues
(\$ in thousands)		
<b>Transit Projects (25% of Net Revenues)</b>		
High Frequency Metrolink Service	\$ 233,934	\$ 1,277,994
Transit Extensions to Metrolink	218,200	1,131,169
Metrolink Gateways	30,989	65,495
Expand Mobility Choices for Seniors and Persons with Disabilities	79,942	444,323
Community Based Transit/Circulators	49,422	256,210
Safe Transit Stops	5,455	28,279
Subtotal Projects	617,942	3,203,470
Net (Bond Revenue)/Debt Service	-	-
<b>Total Transit Projects</b>	<b>\$ 617,942</b>	<b>\$ 3,203,470</b>
%		
<b>Environmental Cleanup (2% of Revenues)</b>		
Clean Up Highway and Street Runoff that Pollutes Beaches	\$ 52,802	\$ 274,550
Net (Bond Revenue)/Debt Service	-	-
<b>Total Environmental Cleanup</b>	<b>\$ 52,802</b>	<b>\$ 274,550</b>
%		
<b>Taxpayer Safeguards and Audits</b>		
Collect Sales Taxes (1.5% of Sales Taxes)	\$ 38,671	\$ 200,590
%		
Oversight and Annual Audits (1% of Revenues)	\$ 26,401	\$ 137,275
%		



## FINANCING

### Schedule of Revenues, Expenditures and Changes in Fund Balance as of December 31, 2019 (Unaudited) Schedule 3

Expenditures through Dec 31, 2019	Reimbursements through Dec 31, 2019	Net M2 Cost
\$ 290,728	\$ 98,743	\$ 191,985
74,438	2,133	72,305
98,220	60,956	37,264
75,727	88	75,639
10,260	947	9,313
1,117	26	1,091
550,490	162,893	387,597
30,679	-	30,679
\$ 581,169	\$ 162,893	\$ 418,276
		21.2%
\$ 42,889	\$ 292	\$ 42,597
-	-	-
\$ 42,889	\$ 292	\$ 42,597
		1.6%
\$ 28,249	\$ -	\$ 28,249
		1.1%
\$ 26,393	\$ -	\$ 26,393
		1.0%



## LOCAL FAIR SHARE

M2 Funds		
ENTITY	2nd Quarter FY 2019-20	FUNDS TO DATE
ALISO VIEJO	\$131,916	\$5,263,918
ANAHEIM	\$557,621	\$44,530,520
BREA	\$186,771	\$7,574,700
BUENA PARK	\$282,459	\$11,835,644
COSTA MESA	\$486,026	\$19,257,843
CYPRESS	\$167,634	\$6,989,998
DANA POINT	\$112,098	\$4,389,730
FOUNTAIN VALLEY	\$200,861	\$8,215,233
FULLERTON	\$422,692	\$17,206,744
GARDEN GROVE	\$482,361	\$19,679,036
HUNTINGTON BEACH	\$642,343	\$25,708,311
IRVINE	\$935,153	\$35,676,177
LAGUNA BEACH	\$82,870	\$3,377,154
LAGUNA HILLS	\$110,319	\$4,510,301
LAGUNA NIGUEL	\$214,806	\$8,816,930
LAGUNA WOODS	\$40,703	\$1,687,048
LA HABRA	\$171,929	\$6,963,893
LAKE FOREST	\$265,073	\$10,463,304



## LOCAL FAIR SHARE

M2 Funds		
ENTITY	2nd Quarter FY 2019-20	FUNDS TO DATE
LA PALMA	\$48,948	\$2,186,693
LOS ALAMITOS	\$42,491	\$1,717,253
MISSION VIEJO	\$301,799	\$12,378,541
NEWPORT BEACH	\$361,389	\$14,549,295
ORANGE	\$538,347	\$21,799,894
PLACENTIA	\$95,395	\$6,172,903
RANCHO SANTA MARGARITA	\$136,935	\$5,606,321
SAN CLEMENTE	\$186,520	\$7,433,240
SAN JUAN CAPISTRANO	\$124,905	\$5,012,738
SANTA ANA	\$0*	\$33,406,560
SEAL BEACH	\$77,875	\$3,321,006
STANTON	\$0*	\$3,605,030
TUSTIN	\$295,839	\$11,823,850
VILLA PARK	\$16,867	\$690,754
WESTMINSTER	\$275,150	\$11,329,479
YORBA LINDA	\$197,808	\$7,947,214
COUNTY UNINCORPORATED	\$636,020	\$24,910,913
<b>TOTAL M2 FUNDS</b>	<b>\$8,829,922</b>	<b>\$416,038,168</b>

\*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	2nd Quarter FY 2019-20	SUSPENDED FUNDS TO DATE
SANTA ANA	\$905,287	\$3,405,008
STANTON	\$95,679	\$360,365
<b>TOTAL M2 FUNDS</b>	<b>\$1,000,966</b>	<b>\$3,765,373</b>



## CAPITAL ACTION PLAN

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**Bold = Forecasted/Actual**

Capital Projects	Cost	Schedule			
	Baseline/Forecast	Plan/Forecast			
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
<b>Freeway Projects:</b>					
I-5, SR-55 to SR-57	\$38.1	Jul-11	Jun-15	Dec-17	Apr-21
Project A	\$41.5	<b>Jun-11</b>	<b>Jun-15</b>	<b>Nov-18</b>	<b>Apr-21</b>
I-5, I-405 to SR-55	TBD	May-14	TBD	TBD	TBD
Project B	TBD	<b>May-14</b>	TBD	TBD	TBD
I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Jun-11	Dec-14	Aug-18
Project C	\$83.5	<b>Jun-09</b>	<b>Jun-11</b>	<b>Dec-14</b>	<b>Aug-18</b>
I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Jun-11	Dec-13	Mar-17
Project C	\$75.6	<b>Jun-09</b>	<b>Jun-11</b>	<b>Jun-14</b>	<b>Jul-17</b>
I-5, Pacific Coast Highway to San Juan Creek Road	\$70.7	Jun-09	Jun-11	Oct-13	Sep-16
Project C	\$75.5	<b>Jun-09</b>	<b>Jun-11</b>	<b>Dec-13</b>	<b>Jul-18</b>
I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jan-09	Aug-12	Sep-15
Project D	\$79.8	<b>Sep-05</b>	<b>Jan-09</b>	<b>Aug-12</b>	<b>Jan-16</b>
I-5, SR-73 to Oso Parkway	\$151.9	Sep-11	Mar-15	Dec-18	Jan-24
Project C & D	\$196.1	<b>Oct-11</b>	<b>Mar-15</b>	<b>Dec-19</b>	Mar-25
I-5, Oso Parkway to Alicia Parkway	\$196.2	Sep-11	Nov-14	Jun-18	Nov-23
Project C & D	\$203.1	<b>Oct-11</b>	<b>Nov-14</b>	<b>Mar-19</b>	<b>Nov-23</b>
I-5, Alicia Parkway to El Toro Road	\$133.6	Sep-11	Mar-15	May-19	Jun-23
Project C	\$184.1	<b>Oct-11</b>	<b>Mar-15</b>	Oct-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 December 2019. For detailed project information, please refer to the individual project section within this report.



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Capital Projects	Cost Baseline/Forecast	Schedule Plan/Forecast			
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
I-5, I-5/EI Toro Road Interchange (on hold)	TBD	Apr-17	TBD	TBD	TBD
Project D <b>Cost/Schedule Risk</b>	TBD	<b>Apr-17</b>	TBD	TBD	TBD
SR-55, I-405 to I-5	\$410.9	Feb-11	Sep-17	Jul-21	Aug-25
Project F <b>Cost/Schedule Risk</b>	\$410.9	<b>May-11</b>	<b>Sep-17</b>	<b>Jul-21</b>	<b>Aug-25</b>
SR-55, I-5 to SR-91	TBD	Dec-16	TBD	TBD	TBD
Project F	TBD	<b>Dec-16</b>	TBD	TBD	TBD
SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue	TBD	Apr-16	TBD	TBD	TBD
Project G	TBD	<b>Apr-16</b>	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	<b>Apr-08</b>	<b>Aug-08</b>	<b>Oct-11</b>	<b>Apr-15</b>
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	<b>May-09</b>	<b>Sep-17</b>	<b>Jun-18</b>
SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard	\$80.2	Aug-05	Feb-08	Oct-10	May-14
Project G	\$52.3	<b>Aug-05</b>	<b>Feb-08</b>	<b>Oct-10</b>	<b>Nov-14</b>
SR-57 (NB), Yorba Linda Boulevard to Lambert Road	\$79.3	Aug-05	Feb-08	Oct-10	Sep-14
Project G	\$54.1	<b>Aug-05</b>	<b>Feb-08</b>	<b>Oct-10</b>	<b>May-14</b>
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	<b>Oct-14</b>	<b>Feb-18</b>	<b>Apr-19</b>
SR-57 (NB), Lambert Road to Tonner Canyon	TBD	TBD	TBD	TBD	TBD
Project G	TBD	Jul-23	TBD	TBD	TBD

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Capital Projects	Cost	Schedule			
	Baseline/Forecast	Plan/Forecast			
	(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	<b>Jul-07</b>	<b>Mar-10</b>	<b>Jan-13</b>	<b>Jun-16</b>
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	<b>Nov-14</b>	<b>Mar-17</b>	<b>Nov-17</b>
SR-91, SR-55 to Lakeview Avenue (Segment 1)	TBD	Jan-15	TBD	TBD	TBD
Project I	\$102.5	<b>Jan-15</b>	Mar-20	Jan-24	Sep-27
SR-91, La Palma Avenue to SR-55 (Segment 2)	TBD	Jan-15	TBD	TBD	TBD
Project I	\$223.1	<b>Jan-15</b>	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	<b>Jan-15</b>	Nov-20	Sep-24	May-28
SR-91 (WB), Tustin Interchange to SR-55	\$49.9	Jul-08	Jul-11	Oct-13	Jul-16
Project I	\$42.5	<b>Jul-08</b>	<b>Jun-11</b>	<b>Oct-13</b>	<b>Jul-16</b>
SR-91, SR-55 to SR-241	\$128.4	Jul-07	Jun-09	Sep-11	Dec-12
Project J	\$79.7	<b>Jul-07</b>	<b>Apr-09</b>	<b>May-11</b>	<b>Mar-13</b>
SR-91, SR-55 to SR-241 (Landscape)	N/A	N/A	N/A	N/A	N/A
Project J	N/A	N/A	<b>May-12</b>	<b>Oct-13</b>	<b>Feb-15</b>
SR-91 Eastbound, SR-241 to SR-71	\$104.5	Mar-05	Jul-07	Jul-09	Nov-10
Project J	\$57.8	<b>Mar-05</b>	<b>Jul-07</b>	<b>Aug-09</b>	<b>Jan-11</b>
I-405, I-5 to SR-55	TBD	Dec-14	TBD	TBD	TBD
Project L	TBD	<b>Dec-14</b>	TBD	TBD	TBD
I-405, SR-55 to I-605 (Design-Build)	\$1,900.0	Mar-09	Mar-14	Nov-16	May-23
Project K	\$1,900.0	<b>Mar-09</b>	<b>Mar-14</b>	<b>Nov-16</b>	<b>May-23</b>

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**Bold = Forecasted/Actual**

Capital Projects	Cost	Schedule			
	Baseline/Forecast	Plan/Forecast			
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
I-605, I-605/Katella Interchange	TBD	Aug-16	TBD	TBD	TBD
Project M	TBD	<b>Aug-16</b>	TBD	TBD	TBD
<b>Grade Separation Projects:</b>					
Raymond Avenue Railroad Grade Separation	\$77.2	Feb-09	Mar-10	May-13	Aug-18
Project O	\$125.6	<b>Feb-09</b>	<b>Mar-10</b>	<b>Feb-14</b>	<b>May-18</b>
State College Boulevard Railroad Grade Separation (Fullerton)	\$73.6	Dec-08	Jul-06	May-13	May-18
Project O	\$100.3	<b>Dec-08</b>	<b>Jul-06</b>	<b>Feb-14</b>	<b>Mar-18</b>
Placentia Avenue Railroad Grade Separation	\$78.2	Jan-01	Jan-09	Jun-11	Nov-14
Project O	\$64.5	<b>Jan-01</b>	<b>Jan-09</b>	<b>Jul-11</b>	<b>Dec-14</b>
Kraemer Boulevard Railroad Grade Separation	\$70.4	Jan-01	Jan-09	Aug-11	Oct-14
Project O	\$63.8	<b>Jan-01</b>	<b>Feb-09</b>	<b>Sep-11</b>	<b>Dec-14</b>
Orangethorpe Avenue Railroad Grade Separation	\$117.4	Jan-01	Feb-09	May-12	Sep-16
Project O	\$105.9	<b>Jan-01</b>	<b>Feb-09</b>	<b>Jan-13</b>	<b>Oct-16</b>
Tustin Avenue/Rose Drive Railroad Grade Separation	\$103.0	Jan-01	Feb-09	Aug-12	May-16
Project O	\$96.7	<b>Jan-01</b>	<b>Feb-09</b>	<b>Feb-13</b>	<b>Oct-16</b>
Lakeview Avenue Railroad Grade Separation	\$70.2	Jan-01	Feb-09	May-13	Mar-17
Project O	\$110.5	<b>Jan-01</b>	<b>Feb-09</b>	<b>Nov-13</b>	<b>Jun-17</b>
<b>Rail and Station Projects:</b>					
Sand Canyon Avenue Railroad Grade Separation	\$55.6	N/A	Jan-04	Feb-11	May-14
Project R	\$61.9	N/A	<b>Jan-04</b>	<b>Feb-11</b>	<b>Jan-16</b>

\*Status through December 2019. For detailed project information, please refer to the individual project section within this report.



# CAPITAL ACTION PLAN



Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

Non-bolded = Planned/Baseline

**Bold = Forecasted/Actual**

Capital Projects	Cost	Schedule			
	Baseline/Forecast	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	<b>Jan-08</b>	<b>Jan-08</b>	<b>Aug-09</b>	<b>Dec-11</b>
San Clemente Beach Trail Safety Enhancements	\$6.0	Sep-10	Feb-12	Oct-12	Jan-14
Project R	\$5.0	<b>Sep-10</b>	<b>Feb-12</b>	<b>May-13</b>	<b>Mar-14</b>
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Mar-15	Dec-16	Feb-21
	\$36.4	<b>Aug-11</b>	<b>Mar-15</b>	<b>Mar-19</b>	<b>Feb-21</b>
Placentia Metrolink Station and Parking Structure	\$34.8	Jan-03	Oct-08	TBD	TBD
Project R <b>Cost/Schedule Risk</b>	\$40.1	<b>Jan-03</b>	<b>Oct-08</b>	Oct-20	May-22
Orange County Maintenance Facility	TBD	TBD	TBD	TBD	TBD
Project R	TBD	Feb-20	TBD	TBD	TBD
Anaheim Canyon Station	\$27.9	Jan-16	Mar-19	Nov-19	Mar-21
	\$29.9	<b>Jan-16</b>	<b>Mar-18</b>	<b>Jun-20</b>	<b>Oct-21</b>
Orange Station Parking Expansion	\$33.2	Dec-09	Nov-10	Nov-16	Feb-19
	\$30.9	<b>Dec-09</b>	<b>Nov-10</b>	<b>Jun-17</b>	<b>Feb-19</b>
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	Jan-12	Sep-14	Mar-17
	\$4.2	N/A	<b>Jan-12</b>	<b>Apr-15</b>	<b>May-19</b>
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.5	Jul-13	Jul-13	Jan-15	Apr-17
	\$5.0	<b>Jul-13</b>	<b>Jul-13</b>	<b>Oct-15</b>	<b>Sep-17</b>
Anaheim Regional Transportation Intermodal Center	\$227.4	Apr-09	Jun-09	Jul-12	Nov-14
Project R & T	\$232.2	<b>Apr-09</b>	<b>Jun-09</b>	<b>Sep-12</b>	<b>Dec-14</b>
OC Streetcar	\$424.4	Aug-09	Feb-16	Aug-18	Dec-21
Project S <b>Cost/Schedule Risk</b>	\$424.4	<b>Aug-09</b>	<b>Feb-16</b>	<b>Sep-18</b>	<b>Apr-22</b>

\*Status through December 2019. For detailed project information, please refer to the individual project section within this report.



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## FREEWAY IMPROVEMENT PROGRAM

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

**Freeway Mitigation Acquisition Projects**  
Part of Projects A-M

OC GO PROJECTS NOT SHOWN






## COMMITTEE TRANSMITTAL

**March 9, 2020**

**To:** Members of the Board of Directors

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

**Subject:** Measure M2 Environmental Cleanup Program - Project X Tier 1 Grant Program Call for Projects

### Regional Planning and Highways Committee Meeting of March 2, 2020

**Present:** Directors Delgleize, M. Murphy, and R. Murphy  
**Absent:** Director Bartlett, Chaffee, Muller, and Pulido

### **Committee Vote**

Due to lack of quorum and consensus of the Committee Members present, this item was forwarded to the March 9, 2020 Board of Directors meeting without the Committee's recommendations.

### **Staff Recommendations**


- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs Guidelines for the Environmental Cleanup Program Tier 1 Program.
- B. Authorize staff to issue the fiscal year 2020 Environmental Cleanup Program Tier 1 call for projects.





**March 2, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Measure M2 Environmental Cleanup Program - Project X Tier 1 Grant Program Call for Projects

### **Overview**

The Measure M2 Environmental Cleanup Program provides grants to projects that protect Orange County waterways and beaches from roadway runoff. Staff has updated the program implementation guidelines and is seeking authorization to release the next Environmental Cleanup Program Tier 1 call for projects.

### **Recommendations**

- A. Approve the proposed revisions to the Comprehensive Transportation Funding Programs Guidelines for the Environmental Cleanup Program Tier 1 Program.
- B. Authorize staff to issue the fiscal year 2020 Environmental Cleanup Program Tier 1 call for projects.

### **Background**

The Environmental Cleanup Program (ECP), also referred to as Project X, provides for the allocation of two percent of annual gross Measure M2 (M2) revenues to improve overall water quality in Orange County. Funding is allocated on a countywide competitive basis to assist jurisdictions in controlling transportation-related pollution. These funds are intended to supplement, not supplant, existing transportation-related water quality programs. Funds are awarded to priority projects that improve water quality in streams, harbors, and other waterways that have a nexus to transportation-related pollution, consistent with the Orange County Transportation Authority's (OCTA) Ordinance No. 3. The ordinance requires the Environmental Cleanup Allocation Committee (ECAC) to advise the OCTA Board of Directors (Board) on priorities and processes for the use of ECP funds. The ECAC reviewed the Comprehensive Transportation Funding Programs (CTFP) Guidelines and the call for projects (call) on February 13, 2020.



On May 24, 2010, the Board approved a two-tiered approach to fund the M2 ECP. The Tier 1 Grant Program consists of funding for equipment purchases and upgrades to existing storm drains and related best management practices. The Tier 2 Grant Program consists of funding for regional, potentially multi-jurisdictional, capital-intensive projects.

The previous Tier 1 call was finalized by the OCTA Board on September 9, 2019, with the approval of \$2,045,234 in ECP Tier 1 funds. The Board programmed funding to support 11 successful project applications (based on the scoring criteria). To date, the Tier 1 Program has funded 177 projects, totaling approximately \$24.5 million.

### ***Discussion***

OCTA staff worked with local agencies and the ECAC to determine areas of the program guidelines that needed to be adjusted, as well as reviewed issues that emerged out of the previous calls. The proposed modifications to the program guidelines are included in Attachment A.

The proposed changes were reviewed by the ECAC at the February 13, 2020 meeting. Although the ECAC meeting did not have a quorum (seven members minimum needed out of 12), the six present ECAC members voted unanimously to endorse the changes to the CTFP Guidelines and recommend Board approval to issue the fiscal year (FY) 2020 ECP Tier 1 call. A summary of the modifications is provided below.

#### **2020 Call Updates**

- Updated ECP call application schedule and target funding availability level (approximately \$2.8 million in M2 Project X funds).

#### **General Updates**

- Revised language referencing the ECP to Project X in order to be consistent with CTFP Guidelines.
- Clarified that all proposed scope modifications must be submitted to OCTA for review and approval.

#### **Next Steps**

Following Board approval, staff anticipates notifying local agencies of the call, which is anticipated to open on March 9, 2020. During the call, staff will offer one-on-one meetings to assist local agencies with the application process. Per the recommendation of the ECAC, in addition to one-on-one meetings, staff will offer a workshop for local agencies as an additional resource. Applications



would be due to OCTA by May 7, 2020, and staff will return to the Board with programming recommendations by late summer 2020.

Awards would be effective with Board approval and become available starting in FY 2021.

***Summary***

OCTA staff is recommending revisions to the ECP Tier 1 CTFP Guidelines and requests authorization to issue a 2020 ECP Tier 1 call, totaling approximately \$2.8 million.

***Attachments***

- A. List of Proposed Revisions to the 2020 CTFP Guidelines for Project X (Chapter 11)
- B. Comprehensive Transportation Funding Programs Guidelines Excerpt, Proposed Revisions

**Prepared by:**



Alfonso Hernandez  
Transportation Funding Specialist, Senior  
(714) 560-5363

**Approved by:**



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



## List of Proposed Revisions to the 2020 CTFP Guidelines for Project X (Chapter 11)

No.	Chapter	Section	Page No.	Proposed Change
1	Chapter 11	Overview	11-1 to 11-14	Revised language referencing the ECP to Project X.
2	Chapter 11	Overview	11-1	Revise “leachating” to “leachate.”
3	Chapter 11	Overview	11-1	Revise “pesticides” to be stand-alone category.
4	Chapter 11	Overview	11-2	Added: “with appropriate supporting justification” for requests for upgrades and expansions.
5	Chapter 11	Overview	11-2	Changed point of contact to: <a href="mailto:AHernandez@octa.net">Alfonso Hernandez, (714) 560-5363, AHernandez@octa.net</a>
6	Chapter 11	Tier 1 Grant Program - Overview	11-3	Updated the total of Tier 1 calls from seven to nine.
7	Chapter 11	Tier 1 Grant Program – Tier 1 Project Types	11-3	Revise “sedimentation” to “sediments.”
8	Chapter 11	Project Programming	11-4	Changed Comprehensive Transportation Funding Program to CTFP.
9	Chapter 11	Funding Estimates	11-5	Updated the program year for Call.
10	Chapter 11	Funding Estimates	11-5	To provide further clarification, revise “applicant” to “eligible local agency.”



List of Proposed Revisions to the 2020 CTFP Guidelines for Project X (Chapter 11)			
No.	Chapter	Section	Proposed Change
11	Chapter 11	Scope Reductions/Modifications and Cost Savings	Revised the section to be read as the following: <p><i>“Any proposed scope modifications, such as a change in BMP device quantities and/or the adjustment of device locations, of an approved project must be submitted to OCTA for review and approval in advance of the change to ensure consistency with Tier 1 Grant Program requirements. The proposed modifications must mitigate the same pollutants, affect the same waterways, and meet all other provisions as stipulated in these guidelines.</i></p> <p><i>If the proposed scope modification is approved by OCTA, any cost savings will be proportionally shared between OCTA and the grantee; for example, a reduction in Project X funds must be applied proportionally to maintain the approved local match percentage. All cost savings will be returned to the Tier 1 Grant Program for reallocation for subsequent calls for projects.”</i></p>
12	Chapter 11	2020 Tier 1 Call for Projects	Updated the application deadline the 2020 Tier 1 Call for Projects. Proposed deadline is Thursday, May 7, 2020 at 5:00 PM PST.
13	Chapter 11	Tier 1 Selection Criteria	Revised the criteria listed in the CTFP to align more closely with the competitive selection criteria identified in Exhibit 11-1.
14	Chapter 11	Application Process	In order to highlight the minimum requirements for city council resolutions, placed the following sentence in bold text: <b>Local agencies, at a minimum, must include items a-l.</b>
15	Chapter 11	Application Process	Deleted: “For the Tier 1 Grant Program.” Language was unnecessary.
16	Chapter 11	Reporting and Reimbursement	Added new language to clearly define the ECAC and OCTA Board as the “reviewing and” approving bodies for this program, “respectively.”
17	Chapter 11	Additional Information	Updated contact for mailing address: Alfonso Hernandez, (714) 560-5363, <a href="mailto:AHernandez@octa.net">AHernandez@octa.net</a>

#### Acronyms

CTFP – Comprehensive Transportation Funding Program

ECP – Environmental Cleanup Program

OCTA – Orange County Transportation Authority



# **Comprehensive Transportation Funding Programs Guidelines Excerpt**

## **Proposed Revisions**



## Chapter 11 – Environmental Cleanup Program (Project X)

### Overview

The ECP, herein referred to as (Project X,) provides for M2 revenues to improve overall water quality in Orange County from transportation-generated pollution. Specifically, the ~~OCT~~Orange County Local Transportation Authority's Ordinance No. 3 (Ordinance), dated July 24, 2006, provides 2 percent (2%) of gross M2 revenue dedicated to protecting Orange County beaches and waterways from the conveyance of urban runoff associated with transportation-generated pollution. ~~The ECP~~ (Project X) ensures that funds will be used on a countywide competitive basis to meet federal Clean Water Act standards for controlling transportation-generated pollution by funding nationally recognized Best Management Practices (BMPs).

As required by the Ordinance, an Environmental Cleanup Allocation Committee (ECAC), representing a broad cross-section of the water quality community, was formed in October 2007 to provide guidance on program design and funding. The goal of ~~the ECP~~ (Project X) is to fund projects on a countywide, competitive basis. This will assist the County of Orange and Orange County cities in reducing transportation-related water quality pollution by meeting Clean Water Act standards for local waterways and beaches.

Proposed projects must demonstrate a direct nexus (connection) to a reduction of transportation-related pollution as developed and defined by the ECAC in conformity with the Ordinance. All proposing agencies must demonstrate an understanding of how their proposed projects meet the following transportation pollution nexus definition:

- Transportation-related activities can be a contributor of pollutants and/or impairments to receiving waters via aerial deposition, storm, and non-storm water discharges. Transportation-related activities are associated with the operation, construction, and maintenance of public roads, highways, and other ground transportation systems.
- The conveyance of transportation-related pollutants to surface and groundwater can occur from precipitation, runoff, and leach~~ate~~ing entering or discharging from public roads, highways, and other ground transportation systems via drainage systems, such as catch basins, curbs, gutters, ditches, manmade channels, retention basins, or storm drains. The quality and quantity of these discharges vary considerably and are affected by hydrology, geology, land use, season, and sequence and discharge of hydrologic events.
- Pollutant sources can encompass right-of-way, properties, facilities, and activities related to motor vehicles, highway maintenance, construction site runoff, maintenance facility runoff, illegal dumping, spills, and landscaping care. Pollutant categories include but are not limited to metals (such as copper, lead, and zinc), organic chemicals and compounds (hydrocarbons), ~~and pesticides~~, sediment, nutrients (nitrogen and phosphorus), litter, oxygen demanding substances (decaying



vegetation, animal waste, and other organic matter), groundwater dewatering discharges, and pathogenic material.

~~ECP (Project X)~~ funds are designed to supplement, not supplant, existing water quality programs. Proposed projects must improve and not replace existing pollution reduction efforts by an eligible party. Funds will be awarded to the most competitive projects with the highest benefit to water quality.

The intent of the ~~ECP (Project X)~~ is to provide funding for water quality projects that do not replace existing transportation water quality expenditures. In other words, if a project has components which would replace features already in place or which would fulfill project specific mitigation, those components would not be eligible for funding consideration. Some upgrades and expansions may be eligible with appropriate supporting justification.

Proposed projects, which support compliance with the 2015 adopted Trash Provisions, are eligible for ~~ECP (Project X)~~ funding provided the funds would not replace established and programmed funds and the funds are not applied to any mandated project design features or required mitigation measures.

The eligibility of the project and its components will be determined during the evaluation process. Contact ~~Alfonso Hernandez~~~~Joseph Alcock~~ at (714) 560-536372, or [jalecockAHernandez@octa.net](mailto:jalecockAHernandez@octa.net) with questions.



## Tier 1 Grant Program

### Overview

The Tier 1 Grant Program is designed to mitigate the more visible forms of pollutants, such as litter and debris, which collect on the roadways and in the catch basins (storm drains) prior to being deposited in waterways and the ocean. It consists of grant funding for Orange County local governments to purchase equipment and upgrades for existing catch basins and other related BMPs (i.e., “street-scale” low flow diversion projects). Examples include screens, filters, and inserts for catch basins, as well as other devices designed to remove the above-mentioned pollutants. To date, [seven-nine](#) Tier 1 calls for projects have been held. Through this process, many of the opportunities for street-scale BMPs have been fulfilled. Water quality projects, regardless of technology, are eligible for Tier 1 funding provided they have a verifiable benefit to water quality and fall within the maximum per project programming cap. The intent of this funding program is for project applicants to complete the work generally within one year from the letter agreement execution.

### Tier 1 Project Types

The Tier 1 projects funded in the past includes the following types. A description of each project type is provided below:

- 1) Automatic Retractable Screen and other debris screens or inserts: screen or insert units prevent debris from entering the storm drain system.
- 2) Irrigation system retrofits to reduce runoff: these projects decrease runoff from highway medians by using more efficient irrigation systems and/or replacing existing landscape to reduce the amount of water used in irrigation.
- 3) Continuous Deflection Separator (CDS): CDS units screen, separate, and trap debris, sediment, oil, and grease from storm water runoff.
- 4) Linear Radial Gross Solid Removal Device (GSRD): GSRDs are certified full capture systems which efficiently remove large solids from runoff water flows.
- 5) Marina Trash Skimmer: these devices draw in floating debris, such as plastics, bottles, paper, oil sheen, and driftwood. The installation of marina trash skimmers will reduce the amount of trash and debris reaching the open ocean.
- 6) Bioswales and Bioretention systems: pollutants and sediment~~sation~~ are captured and subsequently removed from stormwater runoff.
- 7) Trash Boom: a floating boom placed across a channel captures trash and debris that have reached flood channels from being further conveyed to downstream receiving waters.



## Pre-Application Process

In order to ensure the best use of M2 funds and assist eligible jurisdictions with the Tier 1 Grant Program, applicants may engage in a pre-application process with OCTA staff in project planning, cost estimate development, and determination of likely projected competitiveness. Specific meeting times will be established once the call is initiated. After the call for projects deadline and submittal of the grant application, applicants will not be able to change the content of the application or scope of the project.

## Eligible Applicants

~~ECP (Project X)~~ funds can be used to implement street and highway-related water quality improvement projects to assist Orange County cities and the County of Orange to meet federal Clean Water Act standards for urban runoff and State Water Resources Control Board requirements for trash capture. Applicants eligible for ~~ECP (Project X)~~ funds include the 34 Orange County cities plus the County of Orange. Eligible applicants must meet the transportation requirements discussed in the M2 Ordinance.

Third parties, such as water and wastewater public entities, environmental resource organizations, nonprofit 501(c) environmental institutions, and homeowners' associations cannot act as the lead agency for a proposed project, however; these agencies can jointly apply with an Orange County city and/or the County of Orange.

Two or more agencies may participate in a project. If a joint application among agencies and/or third-party entities is submitted, a preliminary agreement with joint or third-party entities must be provided as part of the application. In order to meet Ordinance requirements, an eligible applicant must be the lead agency for the funding application. If a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from all joint applicants.

Each eligible jurisdiction must meet the eligibility criteria as set forth in Chapter 1 of these guidelines.

## Project Programming

The Tier 1 Grant Program approach is designed to be consistent with Chapter 2 of these ~~Comprehensive Transportation Funding Program (CTFP)~~ Guidelines regarding the provisions below:

- Program Consolidation
- Funding Projections
- Programming Adjustments
- Project Cost Escalation



- Programming Policies
- Schedule Change Requests
- Project Advancements
- Semi-Annual Review

Refer to Chapter 2 for explanations of the above provisions.

## Funding Estimates

Approximately \$2.8 million is available for the [2018-2020](#) Tier 1 call for projects.

The maximum amount for the Tier 1 Grant Program is \$500,000 per project. The maximum amount that an [eligible local agency applicant](#) can receive in [this](#) funding period is \$500,000.

## Matching Funds

For the Tier 1 Grant Program, a minimum local match of 20 percent (20%) of the eligible project cost is required. The matching funds shall be provided as a cash contribution.

Retroactive expenditures cannot be credited towards the matching fund threshold.

## Overmatch

For the Tier 1 Grant Program, administering agencies may “overmatch” ~~ECP (Project X)~~ projects; that is, additional cash match may be provided for the project. Applicants will receive additional points in the evaluation process for matching with cash above the minimum requirement. Proposals that exceed the 20 percent (20%) minimum funding match will be given an additional one-half point for every five percent (5%) over the minimum cash match (up to five bonus points).

Additionally, administering agencies must commit to cover any future cost overruns if the project is underfunded. Any work not eligible for ~~ECP (Project X)~~ reimbursement must be funded by other means by the project applicant and cannot count as match. These non-eligible items should not be included in the cost estimate breakdown in the application.

## Reimbursements

For the Tier 1 Grant Program, OCTA will release funds through two payments. The initial payment will constitute 75 percent (75%) of the contract award or programmed amount at contract award. OCTA will disburse the final payment, approximately 25 percent (25%) of eligible funds, after approval of the final report. Further information on reimbursements can be located within Chapter 9 of these Guidelines.

## Scope Reductions/Modifications and Cost Savings

Any proposed scope modifications, such as a change in BMP device quantities and/or the adjustment of device locations, of an approved project must be submitted to OCTA for



review and administrative approval in advance of the change to ensure consistency with the Tier 1 Grant Program requirements. The proposed modifications must mitigate the same pollutants, affect the same waterways, and meet all other provisions as stipulated in these guidelines.

If the proposed scope modification is approved by OCTA, any cost savings will be proportionally shared between OCTA and the grantee; for example, a reduction in ECP (Project X) funds must be applied proportionally to maintain the approved local match percentage. All cost savings will be returned to the Tier 1 Grant Program for reallocation for the subsequent calls for projects.

Any proposed scope reductions changes of an approved project must be submitted to OCTA to ensure consistency with the Tier 1 Grant Program requirements. If the proposed scope reduction is approved by OCTA, cost savings will be proportionally shared between OCTA and the grantee—a reduction in ECP (Project X) funds must be applied proportionally to maintain the approved local match percentage. All cost savings will be returned to the Tier 1 Grant Program for reallocation for the subsequent call of projects.

Any minor scope modifications, such as BMP device quantities (including increases) and/or the adjustment of device locations, must be submitted to OCTA for administrative approval prior to the implementation of the project. The proposed modifications must mitigate the same pollutants, affect the same waterways, and meet all other provisions as stipulated in these guidelines.

## **2019-2020 Tier 1 Call for Projects**

20202018 Tier 1 Call for Projects applications must be received by OCTA **no later than 5:00 p.m. on ThursdayFriday, May 978, 20192020**. Projects that do not award construction contracts by June 30, 2021 will not be considered. OCTA allocates funds on July 1 of each year. Tier 1 projects are not eligible for delay requests; please refer to Precept 17 for additional information. Funds will become available upon execution of a letter agreement.

After the Tier 1 applications are reviewed by OCTA, an advisory panel will review and rank projects. Following a review by the ECAC, a recommended priority list of projects will be forwarded to the OCTA Board for approval in summer 20192020. Funds allocated for projects are final once approved by the OCTA Board. No additional funds will be allocated to the project. Grantees are responsible for any costs exceeding the allocated amount.

## **Tier 1 Selection Criteria**

OCTA will evaluate all proposals that meet the mandatory prerequisites based on competitive selection criteria (Exhibit 11-1) with the following categories:

- Project Need, Transportation Nexus, and Water Quality Benefits (15 points)~~blem and source identification~~
- Cost/Benefit (16 points)~~Project design~~



- Pollutant Reduction Benefits (12 points)~~O&M~~
- Effectiveness Against More Visible Forms of Pollutants (10 points)
- Justification for Project Devices Considered and Proposed (5 points)~~Project benefits~~
- Proposed Device Performance Efficiency and/or Effectiveness (6 points)~~Performance metrics~~
- Project ~~implementation and R~~eadiness (6 points)
- Secondary attributes\* (5 points)
- Methodology for Measuring Pollutant Reduction Before and After Implementation (10 points)
- Operations and Maintenance Plan (15 points)

*\*Note: Project elements which may qualify for points under the "secondary attributes" category do not need to be eligible expenditures. See Eligible Expenditures and Ineligible Expenditures sections for further information.*

Each proposal can receive a maximum of 100 points, exclusive of five bonus points for cash overmatch. See Exhibit 11-1 for scoring categories and point distribution.



## Exhibit 11-1 (Tier 1 Scoring Criteria)

Scoring Criteria		Points Possible												
1. Describe the need for the selected BMP(s), including nexus to transportation pollutants, and detail the benefits to water quality the BMP(s) will achieve. (up to 15 Points)		15												
2. Cost/Benefit (Up to 16 points): Based on information provided by the applicant, a cost/benefit calculation will be conducted to compare the total project cost to the area of priority land uses treated by the proposed BMP(s). Applicant is required to provide <sup>1</sup> : <ul style="list-style-type: none"> <li>Types(s) of BMP(s) proposed</li> <li>Number of each BMP type</li> <li>Total drainage area(s) contributing to each BMP type</li> <li>Percent of drainage area(s) that is/are considered priority land uses (i.e., high density residential, industrial, commercial, mixed urban, public transportation stations)</li> </ul> <p>The applicant must also provide geospatial information (through ArcGIS and/or Google Earth) that identifies the drainage area(s) and BMP location(s) for the project.</p>		16												
3. Pollutant Reduction Benefits: Based on treatment capacity and BMP type, project benefit will be calculated using the scoring equation: $(A \times 3) + (B \times 3) + (C \times 6) =$ (up to 12 points) <sup>1</sup>		12												
<table border="1"> <thead> <tr> <th>Line</th><th>Factor</th><th>Points Available</th></tr> </thead> <tbody> <tr> <td>A</td><td>Fractional percent of 1 year, 1-hour event flowrate discharging from priority land uses to the BMP(s)</td><td>0 to 1</td></tr> <tr> <td>B</td><td>Fractional percent of 85th percentile, 24-hr design event that is treated by a low-impact development (LID) or treatment control BMP<sup>2</sup></td><td>0 to 1.5</td></tr> <tr> <td>C</td><td>BMP Multiplier: <ul style="list-style-type: none"> <li>1/3 point for high capacity systems</li> <li>2/3 point for filters/biofilters</li> <li>1 point for zero-discharge BMPs</li> </ul> </td><td>0 to 1</td></tr> </tbody> </table>			Line	Factor	Points Available	A	Fractional percent of 1 year, 1-hour event flowrate discharging from priority land uses to the BMP(s)	0 to 1	B	Fractional percent of 85th percentile, 24-hr design event that is treated by a low-impact development (LID) or treatment control BMP <sup>2</sup>	0 to 1.5	C	BMP Multiplier: <ul style="list-style-type: none"> <li>1/3 point for high capacity systems</li> <li>2/3 point for filters/biofilters</li> <li>1 point for zero-discharge BMPs</li> </ul>	0 to 1
Line	Factor	Points Available												
A	Fractional percent of 1 year, 1-hour event flowrate discharging from priority land uses to the BMP(s)	0 to 1												
B	Fractional percent of 85th percentile, 24-hr design event that is treated by a low-impact development (LID) or treatment control BMP <sup>2</sup>	0 to 1.5												
C	BMP Multiplier: <ul style="list-style-type: none"> <li>1/3 point for high capacity systems</li> <li>2/3 point for filters/biofilters</li> <li>1 point for zero-discharge BMPs</li> </ul>	0 to 1												
<sup>1</sup> Applicants are not expected to calculate the score for question 2 and question 3. OCTA's technical consultant will provide the analysis for these questions based on the application materials provided by the applicant.														
<sup>2</sup> Examples include high capacity systems (i.e. hydrodynamic separators), filters/biofilters, or zero-discharge BMPs (i.e., retention/infiltration).														
4. How effective will the proposed project be in dealing with the more visible forms of pollutants, such as a litter and debris? (up to 10 points)		10												
5. What other BMP types were considered for this project? Why was the proposed BMP chosen? (5 points)		5												
6. Provide information on proposed BMP performance efficiency and/or effectiveness, including pollutant capture, storage capacity, flow capacity, etc. (up to 6 points)		6												
7. Project Readiness: The project schedule will be reviewed by the evaluation committee to determine when the proposed BMP will be operational following the OCTA Board of Directors approval. (up to 6 points):		6												
Less than 4 Months	(6 points)	8 - 12 months (2 points)												
4 - 8 months	(4 points)	More than 12 months (1 point)												



# Comprehensive Transportation Funding Programs



8. Secondary Attributes: Will the proposed project provide any benefits beyond water quality improvement (i.e., water use efficiency, public awareness, flooding control, recreation, habitat, sustainability)? (up to 5 points)	5
9. What is the methodology for measuring pollutant reduction before and after the BMP is implemented? How frequently will monitoring and performance assessment occur? (up to 10 points)	10
10. Provide an O&M plan for the lifespan of the proposed project. Include schedule of inspections, cleaning, removal and disposal of pollutants, repairs, etc. (up to 15 points)	15
	<hr/>
	100
12. <b>BONUS:</b> Are local matching funds in excess of the 20% minimum cash being proposed? If yes, at what percentage? (.5 point for each 5% cash overmatch, up to 5 points)	5
Note: overmatch bonus points can only be granted to projects with a cash match.	
	<hr/>
	105



## Application Process

The following information, which is to be completed within the Tier 1 Grant Application Form, available electronically from OCTA, is required to evaluate and select projects. A checklist is included in the Tier 1 Grant Application Form to assist eligible agencies in assembling project proposals. The following project information will be necessary as part of the application process:

- Project Title
- Lead Agency Information
- Proposed Schedule
- Project Management
- Description and Scope of Proposed Project
- Integrated Regional Water Management Plan (IRWMP) identification (if applicable)
- Project Readiness
- Performance Metrics
- Detailed Project Estimate
- Minimum 20% Local Match (cash match only)
- Joint-Application (if applicable)

In addition to the completed Tier 1 Grant Application, the following documentation is required as part of the application process:

- Project design or concept drawings, including preliminary design calculations, of proposed BMP
- Precise maps to show tributary drainage area and proposed location(s) for BMP installation including geospatial information (through ArcGIS and/or Google Earth)
- Digital project site photos
- Preliminary agreements with joint and/or third-party entities if part of the funding application (if applicable)
- A city council resolution specific to each proposed project and funding commitment must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. A sample resolution is included as Exhibit 11-2. **Local agencies, at a minimum, must include items a-l.** The mechanism selected shall serve as a formal request for CTFP funds and states that matching funds will be provided by the agency. A final resolution authorizing request for funding consideration with a commitment of local match funding must be provided with the project application. **If a draft copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board.



~~For the Tier 1 Grant Program, An~~ unbound original and two copies (total of three) of the completed application form and supporting documentation are to be submitted, plus an electronic copy of the complete application materials. Electronic application materials can be submitted via email, USB drive, or Dropbox. CD/DVD files are not accepted. Use separate sheets of paper if necessary.

There is no maximum length for proposals. All pages must be numbered and printed on 8 1/2 x 11 sheets of white paper. Maps and drawings can be included on 11 x 17 sheets, folded into the proposal. The original proposal should be left unbound for reproduction purposes.

Submitted applications are considered final. Any applications that do not contain all required information and documentation will be disqualified.



## Exhibit 11-2 (Tier 1 Sample Resolution)

RESOLUTION NO. \_\_\_\_\_

A RESOLUTION OF THE CITY COUNCIL/BOARD OF THE CITY/COUNTY OF \_\_\_\_\_

AUTHORIZING AN APPLICATION FOR FUNDS FOR THE ENVIRONMENTAL CLEANUP, TIER 1 GRANT PROGRAM UNDER ORANGE COUNTY LOCAL TRANSPORTATION ORDINANCE NO. 3 FOR (PROJECT NAME).

- (a) WHEREAS, Orange County Local Transportation Ordinance No.3, dated July 24, 2006, and is known and cited as the Renewed Measure M Transportation Ordinance and Investment Plan makes funds available through the Environmental Cleanup Program to help protect Orange County beaches and waterways from transportation-generated pollution (urban runoff) and improve overall water quality.
- (b) WHEREAS, the Environmental Cleanup, Tier 1 Grant Program consists of funding purchases and installation to catch basins with Best Management Practices, such as screens, filters, inserts, and other "street-scale" low flow diversion projects.
- (c) WHEREAS, OCTA has established the procedures and criteria for reviewing proposals; and
- (d) WHEREAS, (ADMINISTERING AGENCY) possesses authority to nominate water quality improvement projects that have a transportation pollution nexus to finance and construct the proposed project; and
- (e) WHEREAS, by formal action the (GOVERNING BODY) authorizes the nomination of (PROJECT NAME), including all understanding and assurances contained therein, and authorizes the person identified as the official representative of the (ADMINISTERING AGENCY) to act in connection with the nomination and to provide such additional information as may be required; and
- (f) WHEREAS, the (ADMINISTERING AGENCY) will maintain and operate the equipment acquired and installed; and
- (g) WHEREAS, the (ADMINISTERING AGENCY) will give OCTA's representatives access to and the right to examine all records, books, papers or documents related to the funded Tier 1 Grant Project; and
- (h) WHEREAS, the (ADMINISTERING AGENCY) will cause work on the project to be commenced within a reasonable time after receipt of notification from OCTA and that the project will be carried to completion with reasonable diligence; and
- (i) WHEREAS, the (ADMINISTERING AGENCY) will comply where applicable with provisions of the California Environmental Quality Act, the National Environmental Policy Act, the American with Disabilities Act, and any other federal, state, and/or local laws, rules and/or regulations;
- (j) WHEREAS, the (ADMINISTERING AGENCY) must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Renewed Measure M Ordinance eligibility requirement.
- (k) WHEREAS, the (ADMINISTERING AGENCY) authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors.
- (l) WHEREAS, the City/County of \_\_\_\_\_ will provide a minimum of 20% in matching funds for the (PROJECT NAME) as required by the Orange County Comprehensive Transportation Funding Programs Guidelines.
- NOW, THEREFORE, BE IT RESOLVED that the City/County of \_\_\_\_\_ hereby authorizes (NAME OF AGENCY REPRESENTATIVE) as the official representative of the (ADMINISTERING AGENCY) to accept funds for the Environmental Cleanup, Tier 1 Grant Program for (PROJECT NAME).
- BE IT FURTHER RESOLVED that the City/County of \_\_\_\_\_ agrees to fund its share of the project costs and any additional costs over the identified programmed amount.



## Eligible Expenditures

- ~~ECP~~-(Project X) funds must be for capital improvement. Construction management and project management cannot exceed 15 percent (15%) of the total construction costs.
- ~~ECP~~-(Project X) funds can only be used for facilities that are in public ownership for public use; however, water quality improvements on private property, which are connected to municipal separate storm sewer systems, are eligible. (For example, a homeowner association can apply for funding through an eligible agency if the proposed project is connected to a public facility.)
- Reducing volume of surface flows is an integral factor of improving water quality, therefore, projects that have water-saving features (i.e., drip systems) are eligible for funding considerations.

## Ineligible Expenditures

- O&M costs are not eligible expenditures. O&M costs cannot be utilized as a source of matching funds.
- ~~ECP~~-(Project X) funds are not to be used for planning.
- Expenditures prior to the grantee executed letter agreement date cannot be considered eligible for funding or match.
- Landscaping installation and replacement are not eligible for funding consideration.
- Replacement of equipment funded with ~~ECP~~-(Project X) funds that is still within its anticipated useful life (based on manufacturer's specifications).
- Capital equipment purchases related to regular on-going street maintenance efforts, including, but not limited to: trash receptacles, vacuum trucks and/or equipment, street sweepers, signage, etc.

## Reporting and Reimbursement

A final report must be filed within 180 days of the project being completed with information as shown in Form 10-16. See Chapter 9 for the process and requirements regarding reimbursements and reporting for the Tier 1 Grant Program.

Additionally, an exception to Precept #36: Agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve, as such are the reviewing and approving bodies, respectively, for this program.

## Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP guidelines and may conduct a field review. OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the



review. Agencies must maintain separate records for projects (i.e., expenditures, interest) to ensure compliance. Only CTFP eligible items listed on a project's cost estimate form will be reimbursed. See Chapter 10 for independent audit requirements beyond the technical and/or field review.

## Additional Information

Completed applications and questions regarding these procedures and criteria should be directed to:

By mail:

~~Joseph Alcock~~ [Alfonso Hernandez](#)

Orange County Transportation Authority

P.O. Box 14184

Orange, CA 92863-1584

Tel: (714) 560-5~~363673~~

Fax: (714) 560-5794

In person:

Orange County Transportation Authority

600 South Main Street

Orange, CA 92863-1584

Via email (for electronic submittal):

~~j.alcock~~ [AHernandez@octa.net](mailto:AHernandez@octa.net)

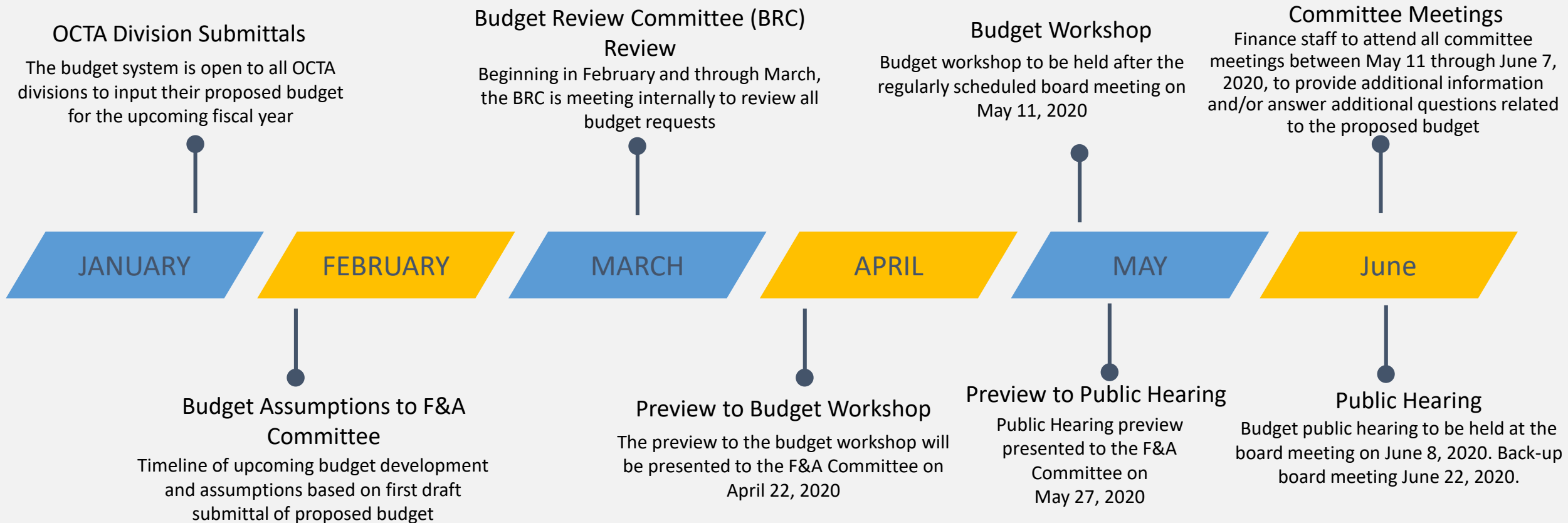


# Fiscal Year 2020-21 Budget Kick-Off and Assumptions

OCTA



# FY 2020-21 Budget Timeline





# Major Programs

- Measure M2
  - Freeway
  - Streets and Roads
  - Transit
- Transit
  - Bus Program
  - Rail Program
    - Metrolink
    - OC Streetcar
- 91 Express Lanes
- Motorist Services
  - Freeway Service Patrol
  - Call Box Program
  - 511 Program
- Orange County Taxi Administration Program



# Measure M2 Program Assumptions

- Sales Tax Revenue
  - Forecast of \$345 million based on MuniServices forecasted growth rate of 2.4 percent
- Expenditures
  - Freeway Mode – expenditures primarily driven by right-of-way, design, and construction efforts for the I-405 Improvement, South County I-5 Improvement and SR-55 Improvement Projects
  - Streets and Roads Mode – expenditures driven by contributions to the cities to support the Local Fair Share, Regional Capacity and Traffic Signal Synchronization Programs
  - Transit Mode – expenditures primarily to support Metrolink operations and construction of the OC Streetcar



# Bus Program Revenue Assumptions

- Operating Revenue
  - Sales tax revenue estimated at \$179 million based on MuniServices forecasted growth rate of 2.5 percent
  - Fare revenue projected at \$47 million
  - State Transportation Assistance and Road Repair and Accountability Act estimated to be \$39 million
  - Federal grants for preventative maintenance and capital cost of contracting
- Capital Revenue
  - Federal grants for bus purchases
  - Road Repair and Accountability Act estimated at \$6 million to support rehabilitation and replacement of capital



# Bus Operations Expenditure Assumptions

- Fixed-route service
  - Revenue hours consistent with current year at 1.6 million
- Paratransit service
  - Total trips forecasted to increase by 2 percent to 1.8 million driven by demand
  - Trips comprised of ACCESS primary and supplemental service, same-day taxi service, and special agency service
- Microtransit service
  - Continuation and potential expansion of OC Flex service with an increase in revenue hours from 23,640 to 32,736



# Rail Program Revenue Assumptions

- Metrolink Operating Revenue
  - Measure M2 High Frequency Metrolink Service funds estimated at \$23 million
    - Represents 73 percent of operating funds
  - Federal Transportation Administration (FTA) grants estimated at \$8.5 million
    - Represents 27 percent of operating funds
- Metrolink Capital Revenue
  - FTA grants providing approximately \$18 million to support rehabilitation and replacement of capital



# Rail Program Expenditure Assumptions

- Metrolink Operating Expenditures
  - Sustain current service level of 74 trips
  - Operating subsidy to increase by 3.9 percent to \$31.6 million
    - Metrolink will directly draw down \$8.5 million in OCTA FTA 5307 grants
    - Net budgeted operating subsidy of \$23.1 million
- Metrolink Capital Expenditures
  - Capital expenditures driven by improvements to the Anaheim Canyon Station and construction of the Placentia Metrolink Station



# 91 Express Lanes Program Assumptions

- Revenue Assumptions
  - Toll revenue: \$51 million driven by 17.8 million trips
  - Non-toll revenue: \$11 million primarily consisting of violation fees and interest income
- Expenditure Assumptions
  - Primary operating cost consists of the Cofiroute contract estimated at \$7 million
  - Contribution to construction of the Placentia Metrolink Station of \$14 million
  - Contribution to SR-91 Riverside Freeway improvements between SR-55 and SR-57 (M2 Program Project I) of \$5 million



# Motorist Services & OCTAP Programs

- Service Authority for Freeway Emergencies Revenue

- Includes revenue from Department of Motor Vehicles fees, State Highway Account, Road Repair and Accountability Act and M2 Program
- Program revenue anticipated to be \$7 million

## Expenditures

- Includes Freeway Service Patrol, Call Box and 511 Programs
- Program expenditures anticipated to be \$10 million

- Orange County Taxi Administration Program Revenue

- Two year agreement with cities set to expire December 2020
- External contributions from cities estimated to be \$176 thousand
- Company fees, vehicle fees, and driver fees estimated at \$2 thousand

## Expenditures

- Program expenditures anticipated to be \$273 thousand



# Next Steps

- Internal review will continue with OCTA finance staff and the Budget Review Committee
- Staff will return to the Finance and Administration Committee on April 22nd with a presentation providing a preview of the Budget Workshop Presentation





# Update on Interstate 5/El Toro Road Interchange Project



# Project Area





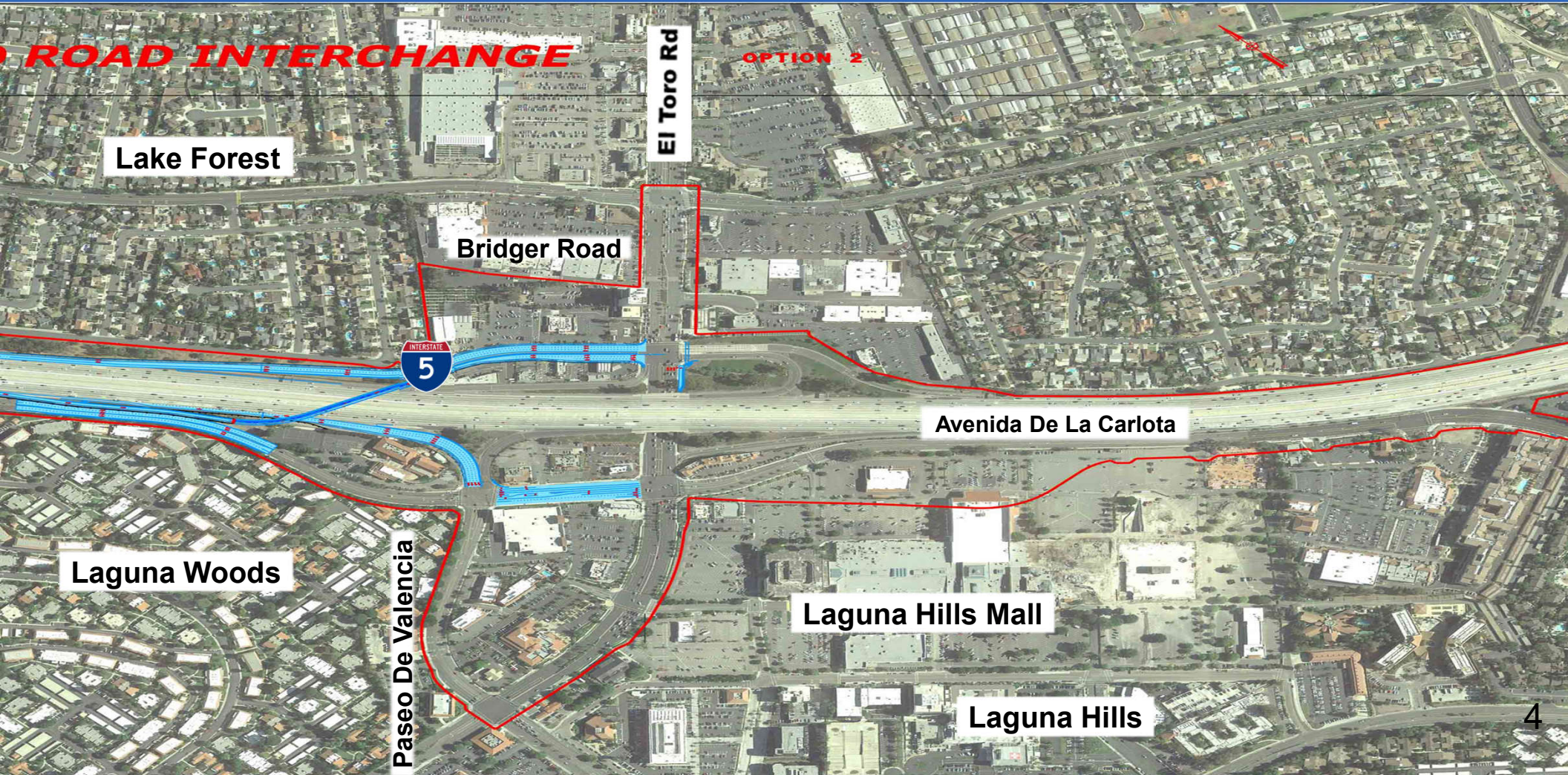
# Project Background/Timeline



- February 2015 – Project Study Report/Project Development Support considered 15 alternatives – four build alternatives were recommended for further study
- May 2017 – California Department of Transportation (Caltrans) began the Project Approval/Environmental Document (PA/ED) phase
- July 2018 – Public information meeting held at Laguna Woods City Hall with four build alternatives presented
- August 2018 to February 2019 – Design and right-of-way (ROW) workshops held between Orange County Transportation Authority (OCTA), Caltrans, and cities resulting in two of four build alternatives being removed from further study
- April to May 2019 – Public circulation and review of draft ED with two build alternatives presented



# Alternative 2: Flyover



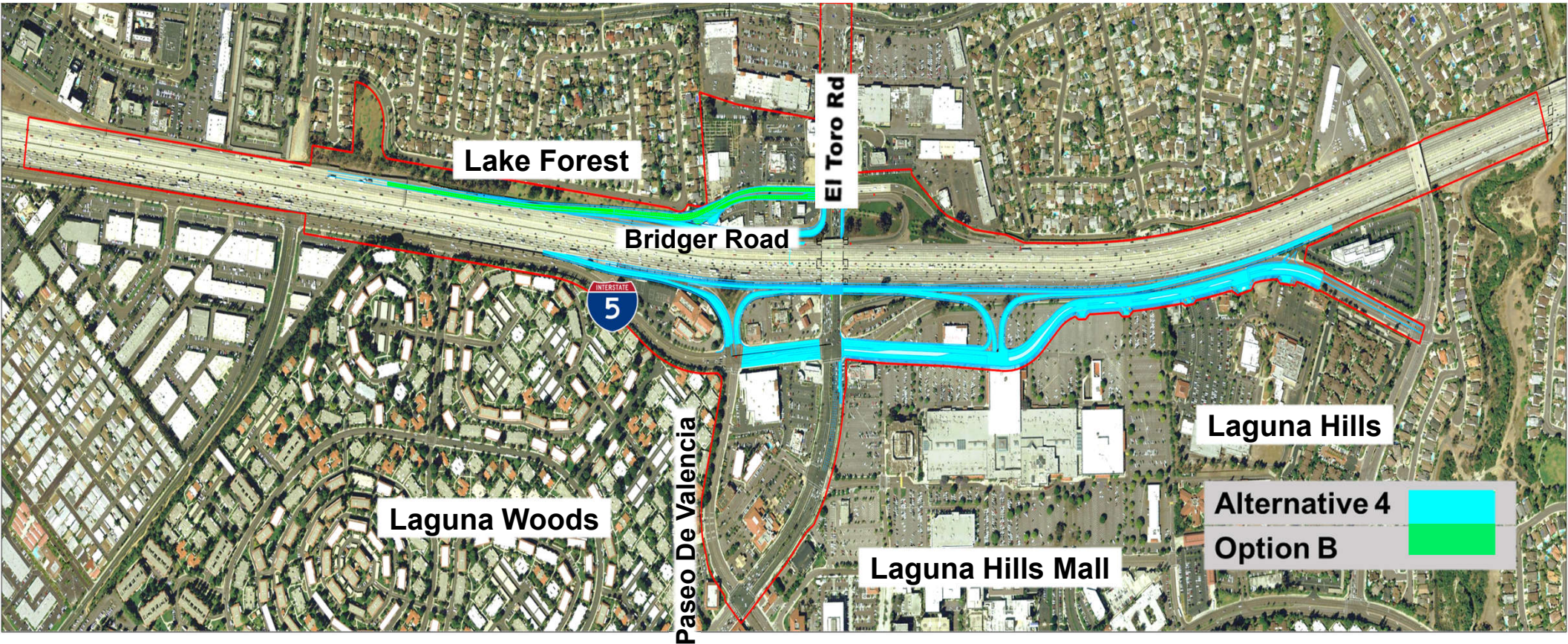


# Alternative 4: Collector Distributer Road and Hook Ramps





# Alternative 4 and Option B: Collector Distributer Road and Hook Ramps





# Cost Benefit Comparison

	Alt 2	Alt 4	Alt 4 w Option B
Name	Flyover	Collector Distributer Road and Hook Ramps	Collector Distributer Road and Hook Ramps (including Bridger Road)
Cost*	\$175 million	\$241 million	\$231 million
Traffic Benefit	High	High	High

- Note: Cost estimates are in 2019 dollars



- Draft responses to public comments prepared by Caltrans
- Public comments received during public review:
  - Extent of needed ROW for each of two build alternatives
  - Visual impacts
  - Soundwalls
  - Construction impacts



- Four meetings held to discuss city concerns (October 2019 to January 2020)
  - Review of previous/current alternatives
  - Review of local traffic circulation from OCTA's traffic model
  - Discussion of new concepts
  - Discussion of new consultant effort and city financial commitments



# Next Steps



- Continue meetings between OCTA, Caltrans, and local cities
- Financial commitment by each city for study effort – March 2020
- Release request for proposals for concept evaluation study – April 2020
- Begin concept evaluation – September 2020
- Project update to OCTA Board of Directors – December 2020
- Draft study report – January 2021
- Final study report – March 2021