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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, May 11, 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 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.

### **Guidance for Public Access to the Board of Directors Meeting**

On March 12, 2020 and March 18, 2020, Governor Gavin Newsom enacted Executive Orders N-25-20 and N-29-20 authorizing a local legislative body to hold public meetings via teleconferencing and make public meetings accessible telephonically or electronically to all members of the public to promote social distancing due to the state and local State of Emergency resulting from the threat of Novel Coronavirus (COVID-19).

In accordance with Executive Order N-29-20, and in order to ensure the safety of the Orange County Transportation Authority (OCTA) Board of Directors (Board) and staff and for the purposes of limiting the risk of COVID-19, in person public participation at public meetings of the OCTA will not be allowed during the time period covered by the above referenced Executive Orders.





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## **BOARD AGENDA**

### **Guidance for Public Access to the Board of Directors Meeting (Continued)**

Instead, members of the public can listen to AUDIO live streaming of the Board and Committee meetings by clicking the below link:

<http://www.octa.net/About-OCTA/Who-We-Are/Board-of-Directors/Live-and-Archived-Audio/>

Public comments may be submitted for the upcoming Board and Committee meetings by emailing them to [boardofdirectors@octa.net](mailto:boardofdirectors@octa.net)

If you wish to comment on a specific agenda Item, please identify the Item number in your email. All public comments that are timely received will be part of the public record and distributed to the Board. Public comments will be made available to the public upon request.

In order to ensure that staff has the ability to provide comments to the Board Members in a timely manner, please submit your public comments **30 minutes prior to the start time of the Board and Committee meeting date.**





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## **BOARD AGENDA**

### **Call to Order**

### **Roll Call**

### **Invocation**

Director Hernandez

### **Pledge of Allegiance**

Chairman Jones

### **Special Calendar**

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

- 1. Metrolink Update: Performance Overview, COVID-19 Response, Budget Development**  
Jennifer L. Bergener

Metrolink staff will present a verbal overview of ridership, service performance, and the impact and response to COVID-19 on operation and development of the Southern California Regional Rail Authority Fiscal Year 2020-21 Budget.

- 2. Coronavirus (COVID-19) Update**  
Darrell E. Johnson

The Orange County Transportation Authority has been preparing for and is responding to the public health emergency caused by the coronavirus pandemic and closely monitoring the related transportation implications. Following the directions issued by Governor Gavin Newsom and County public implemented its Emergency Operations Plan and taken steps to ensure the health and safety of the public and Orange County Transportation Authority employees. An overview and update on these efforts are presented.





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**BOARD AGENDA****Consent Calendar (Items 3 through 11)**

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

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

Approval of the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of April 27, 2020.

**4. Adoption of the Orange County Transportation Authority's Public Transportation Agency Safety Plan**

Matthew DesRosier/Maggie McJilton

**Overview**

The Federal Transit Administration published the Public Transportation Agency Safety Plan regulation, 49 CFR Part 673, on July 19, 2018, which took effect the following year, on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Urbanized Area Formula Program (49 USC Section 5307) must develop, and have adopted by the Board of Directors, a Public Transportation Agency Safety Plan for its transit system. The original due date for adoption was July 20, 2020 but has since been extended by the Federal Transit Administration to December 31, 2020. As part of the regulation, agencies are to implement a Safety Management System risk-based approach.

**Recommendation**

Adopt the Public Transportation Agency Safety Plan as required under 49 CFR Part 673.





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## **BOARD AGENDA**

### **5. Regional Planning Update** Warren Whiteaker/Kia Mortazavi

#### **Overview**

Regional planning updates are provided periodically to highlight transportation planning issues impacting the Orange County Transportation Authority and the Southern California region. This update focuses on federal rulemaking regarding fuel efficiency and greenhouse gas emission standards, the Southern California Association of Governments' 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy, and the California Department of Transportation's approach to evaluating transportation impacts under the California Environmental Quality Act.

#### **Recommendation**

Receive and file as an information item.

### **6. 2020 State Transportation Improvement Program Update** Ben Ku/Kia Mortazavi

#### **Overview**

On March 26, 2020, the California Transportation Commission approved the final 2020 State Transportation Improvement Program, which will provide \$200 million to six high-priority projects throughout Orange County. An update on the programming actions and related changes is provided for review and approval.

#### **Recommendations**

- A. Authorize the use of up to \$3 million in Measure M2 funds for the Interstate 605 Katella Interchange Project.
- B. Authorize the use of up to \$5.5 million in federal Surface Transportation Block Grant funds for the Interstate 5 Managed Lanes Project from Avenida Pico to the Orange County/San Diego County line area.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above actions.





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**BOARD AGENDA**

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

### **7. Third Quarter Fiscal Year 2019-20 Capital Action Plan and Performance Metrics Report**

James G. Beil

#### **Overview**

Staff has prepared a quarterly progress report on capital project delivery for the period of January 2020 through March 2020, for the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

#### **Recommendation**

Receive and file as an information item.

### **8. Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 - Utility Work at Almond Avenue**

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 contract change order is needed to provide additional utility work to support Southern California Edison and Frontier Communications relocation efforts on Almond Avenue in the City of Seal Beach.

#### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 72 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$1,843,329, to provide additional utility work to support Southern California Edison and Frontier Communications relocation efforts on Almond Avenue.





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**BOARD AGENDA**

**9. Cooperative Agreements with the California Department of Transportation for the 91 Express Lanes Toll Entrance Gantries Infrastructure Project**

Josue Vaglienty/James G. Beil

**Overview**

The Orange County Transportation Authority proposes to enter into two cooperative agreements with the California Department of Transportation to define roles, responsibilities, and funding obligations for the design and construction phase of the 91 Express Lanes toll entrance gantries infrastructure project.

**Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2275 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$115,000, to provide reimbursement for final plans, specifications, and estimate, construction bid documents, and advertisement and award of the construction contract for the 91 Express Lanes toll entrance gantries infrastructure project.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2276 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$1,950,000, to provide reimbursement for construction capital funding and construction management services for the 91 Express Lanes toll entrance gantries infrastructure project.





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**BOARD AGENDA**

**10. Cooperative Agreement with the California Department of Transportation for the Interstate 605/Katella Avenue Interchange Improvement Project**

Josue Vaglienty/James G. Beil

**Overview**

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation to define roles, responsibilities, and funding obligations for the preparation of plans, specifications, and estimates, and advertisement and award of the construction contract for the Interstate 605/Katella Avenue Interchange improvement project.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2199 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$300,000, to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the Interstate 605/Katella Avenue Interchange improvement project.

**11. Comprehensive Transportation Funding Programs - 2020 Call for Projects Programming Recommendations**

Alfonso Hernandez/Kia Mortazavi

**Overview**

The Orange County Transportation Authority issued the 2020 annual Measure M2 Comprehensive Transportation Funding Programs - Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects in August 2019. This call for projects made available up to \$40 million in Measure M2 competitive grant funding for regional roadway capacity and signal synchronization projects countywide. A list of projects recommended for funding is presented for review and approval.





## **BOARD AGENDA**

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### **11. (Continued)**

#### **Recommendations**

- A. Approve the award of \$23.4 million in 2020 Measure M2 Regional Capacity Program (Project O) funds to eight local agency projects.
- B. Approve the award of \$12.1 million in 2020 Measure M2 Regional Traffic Signal Synchronization Program (Project P) funds to six local agency projects.

### **Regular Calendar**

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

### **12. Agreement for the Development and Implementation of a New Mobile Ticketing Application**

Sam Kaur/Andrew Oftelie

#### **Overview**

On February 10, 2020, the Board of Directors approved the release of a request for proposals for the development and implementation of a new mobile ticketing application. Proposals were received in accordance with the Orange County Transportation Authority's procurement procedures for professional and technical services. Board of Directors' approval is required to execute an agreement for a new mobile ticketing application.

#### **Recommendations**

- A. Approve the selection of Bytemark, Inc., as the firm to develop, host, license, and maintain a mobile ticketing application.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2067 between the Orange County Transportation Authority and Bytemark, Inc., in the amount of \$1,117,423, for a five-year initial term, with two, two-year option terms for the development, hosting, license, and maintenance of a mobile ticketing application.
- C. Amend the Orange County Transportation Authority's Fiscal Year 2019-20 Budget, in the amount of \$1,117,423, to accommodate Agreement No. C-0-2067 for the development, hosting, license, and maintenance of a mobile ticketing application.





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**BOARD AGENDA**

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

### **13. Proposed Amendment to the Orange County Local Transportation Authority Measure M2 Ordinance No. 3**

Adriann Cardoso/Kia Mortazavi

#### **Overview**

The voter-approved Measure M2 Ordinance No. 3 requires that local jurisdictions meet a maintenance of effort requirement to remain eligible to receive Measure M2 funding. Local jurisdictions are experiencing a significant decline in general fund revenues because of the novel coronavirus pandemic, which is expected to impact their ability to meet this maintenance of effort requirement. An amendment to the ordinance is recommended to assist the local jurisdictions through this unprecedented period of economic uncertainty. The proposed amendment is presented for Board of Directors' consideration, and approval is requested to set a public hearing date initiating the amendment process.

#### **Recommendations**

- A. Direct staff to initiate the process to amend the Orange County Local Transportation Authority Measure M2 Ordinance No. 3 to address the anticipated near-term negative growth in general fund revenues as it relates to the maintenance of effort requirement.
- B. Direct staff to set a date of June 22, 2020, for a public hearing and Board of Directors action to consider adoption of the amendment to the Orange County Local Transportation Authority Measure M2 Ordinance No. 3 as it relates to the maintenance of effort requirement.
- C. Approve updates to the Fiscal Year 2020-21 Measure M2 Eligibility Guidelines, including revised maintenance of effort forms addressing the changes needed to implement the proposed amendment.





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## **BOARD AGENDA**

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

Ross Lew/James G. Beil

#### **Overview**

The Orange County Transportation Authority is currently underway with the implementation of the State Route 55 improvement project from Interstate 405 to Interstate 5. This report provides a project update.

#### **Recommendation**

Direct staff to continue the implementation of the State Route 55 improvement project from Interstate 405 to Interstate 5 through construction as included in the Next 10 Delivery Plan.

### **Discussion Items**

#### **15. Public Comments**

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

#### **17. Directors' Reports**

#### **18. Closed Session**

There are no Closed Sessions scheduled.

### **19. Orange County Transportation Authority Fiscal Year 2020-21 Budget Workshop**

Victor Velasquez/Andrew Oftelie

#### **Overview**

The Orange County Transportation Authority is developing the fiscal year 2020-21 budget, which identifies available revenues and costs associated with providing transportation services and programs for Orange County. The proposed budget will be reviewed in detail in an informal workshop following the May 11, 2020, Orange County Transportation Authority Board of Directors' meeting.

#### **Recommendation**

Receive and file as an information item.





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**BOARD AGENDA****20. Adjournment**

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on FRIDAY, May 22, 2020**, at the Orange County Transportation Authority Headquarters, Board Room - Conference Room 07-08, 550 South Main Street, Orange, California.



# Metrolink Update

A scenic photograph of a Metrolink train at a beach station during sunset. The train, a green and silver electric multiple unit, is positioned on the right side of the frame, moving towards the left. The station platform is visible, featuring a covered picnic area with tables and benches. Several tall palm trees are scattered along the beach and behind the station. The sun is low on the horizon, casting a warm orange glow across the sky and reflecting on the ocean. The sky is filled with soft, wispy clouds. In the background, some buildings and a parking lot are visible on a hillside.

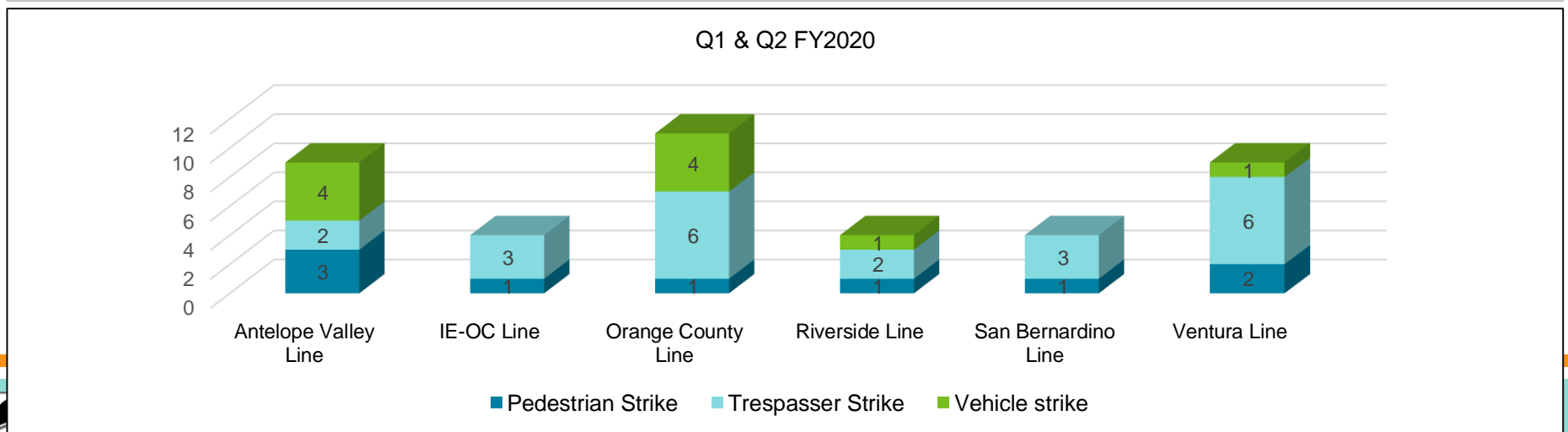
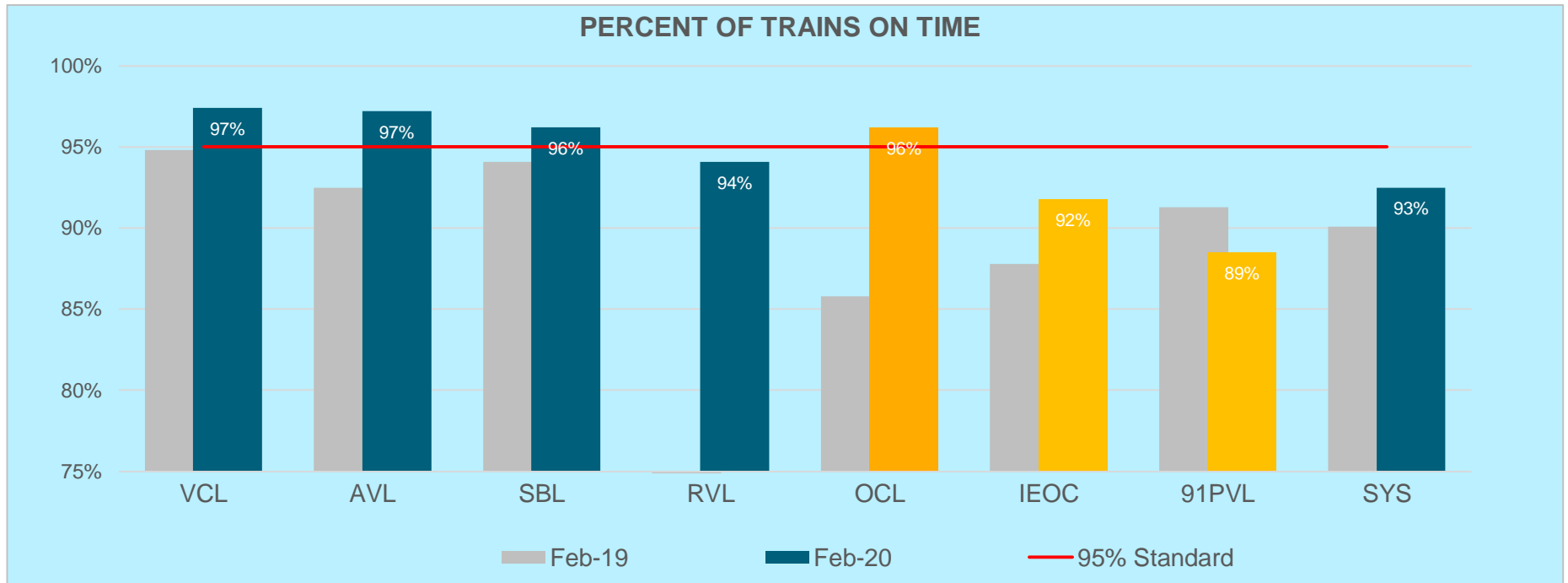
Performance Overview  
COVID-19 Response  
Budget Development





# SERVICE PERFORMANCE

## FEBRUARY 2020







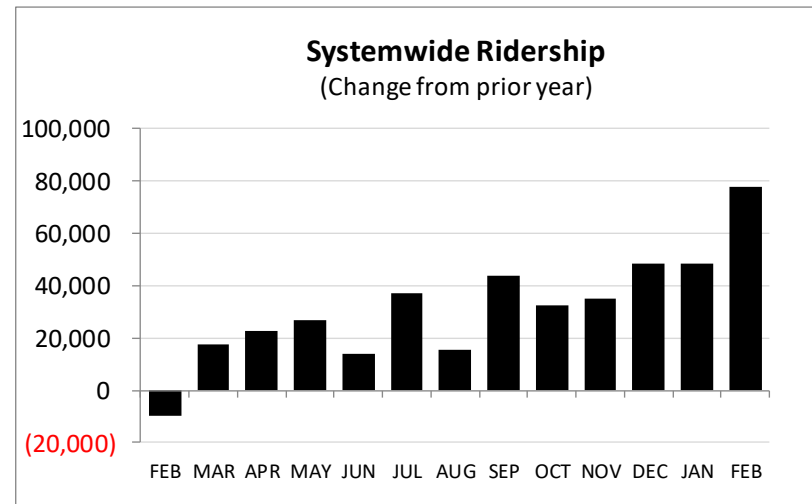
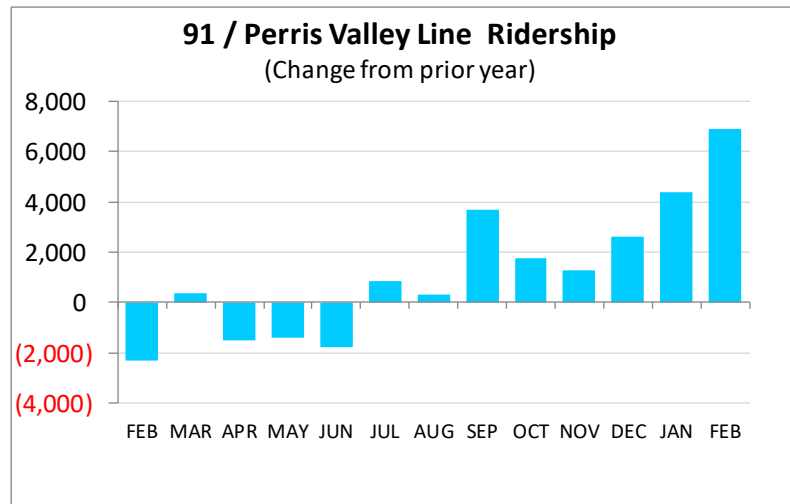
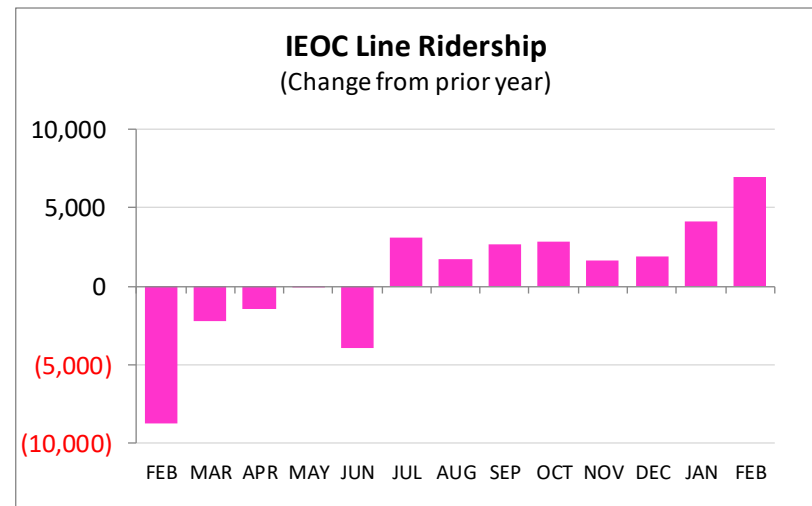
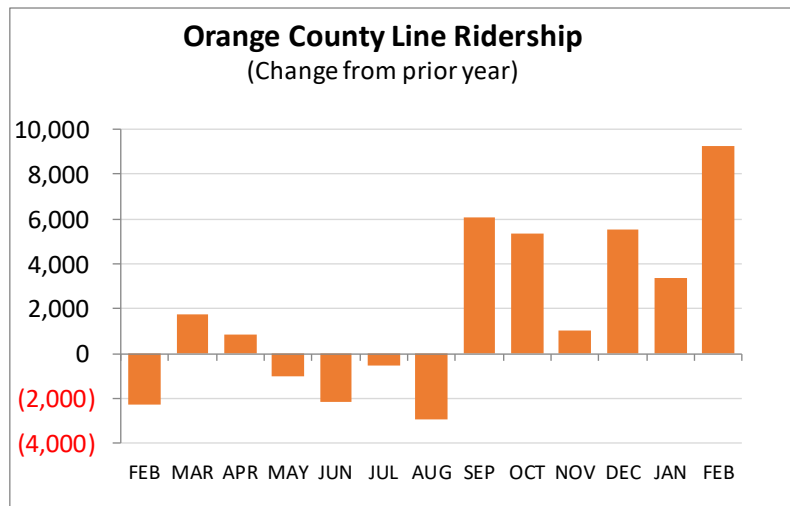
# RIDERSHIP UPDATE

## FEBRUARY 2020

FEB 2020 **1,013,757**  
Systemwide Boardings  
FEB 2019 **935,781**

**+8.3%**

### RIDERSHIP CHANGE FROM PRIOR YEAR - LAST 13 MONTHS







## Tier 4s in Revenue Service

- 32 Currently Deployed
- Summer 2020: All 40 Locomotives Deployed



A More Environmentally Friendly Metrolink

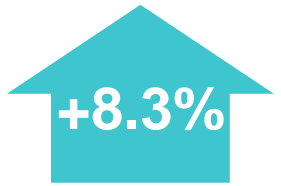




# RIDERSHIP UPDATE

## FEBRUARY 2020

FEB 2020 **1,013,757**  
Systemwide Boardings  
FEB 2019 **935,781**



## FEBRUARY 2020 HIGHLIGHTS

- Ridership increased by 8.3% over February 2019.
- Most lines reported the best ridership growth in many months, with 40% of the growth coming from intermediate trips outside of LA Union Station.
- For the fiscal year through February ridership was up **4.3%** from a year ago, while fare revenue was up **3.7%** over the same period.
- Systemwide on-time performance improved to 93%, from 90% a year earlier.
- **Job growth and higher gasoline prices continued to create favorable economic conditions for Metrolink.**





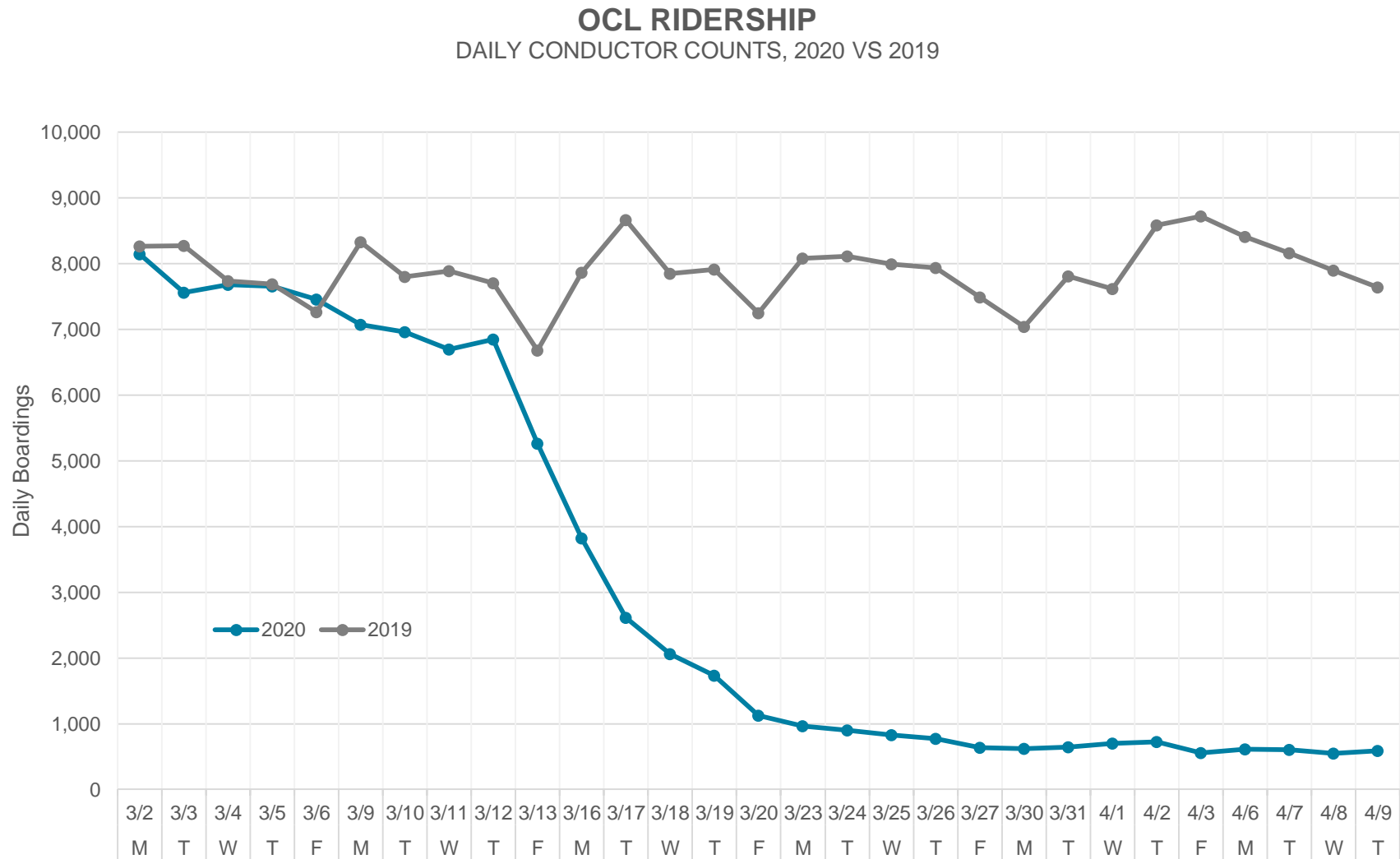
# COVID-19: Impact & Response





# OCL Ridership

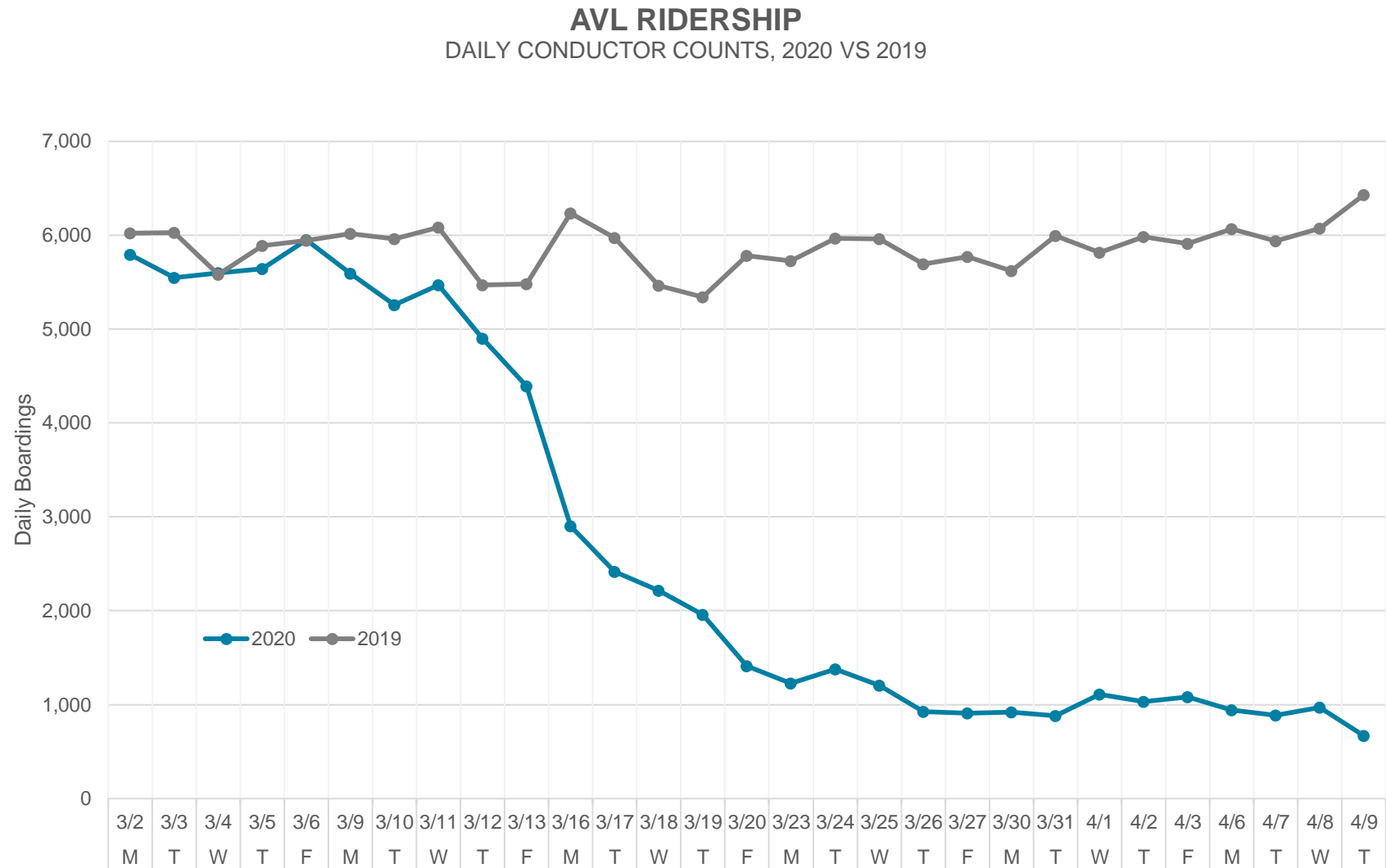
## March 2 – April 9 Weekday Boardings





# IEOC Ridership

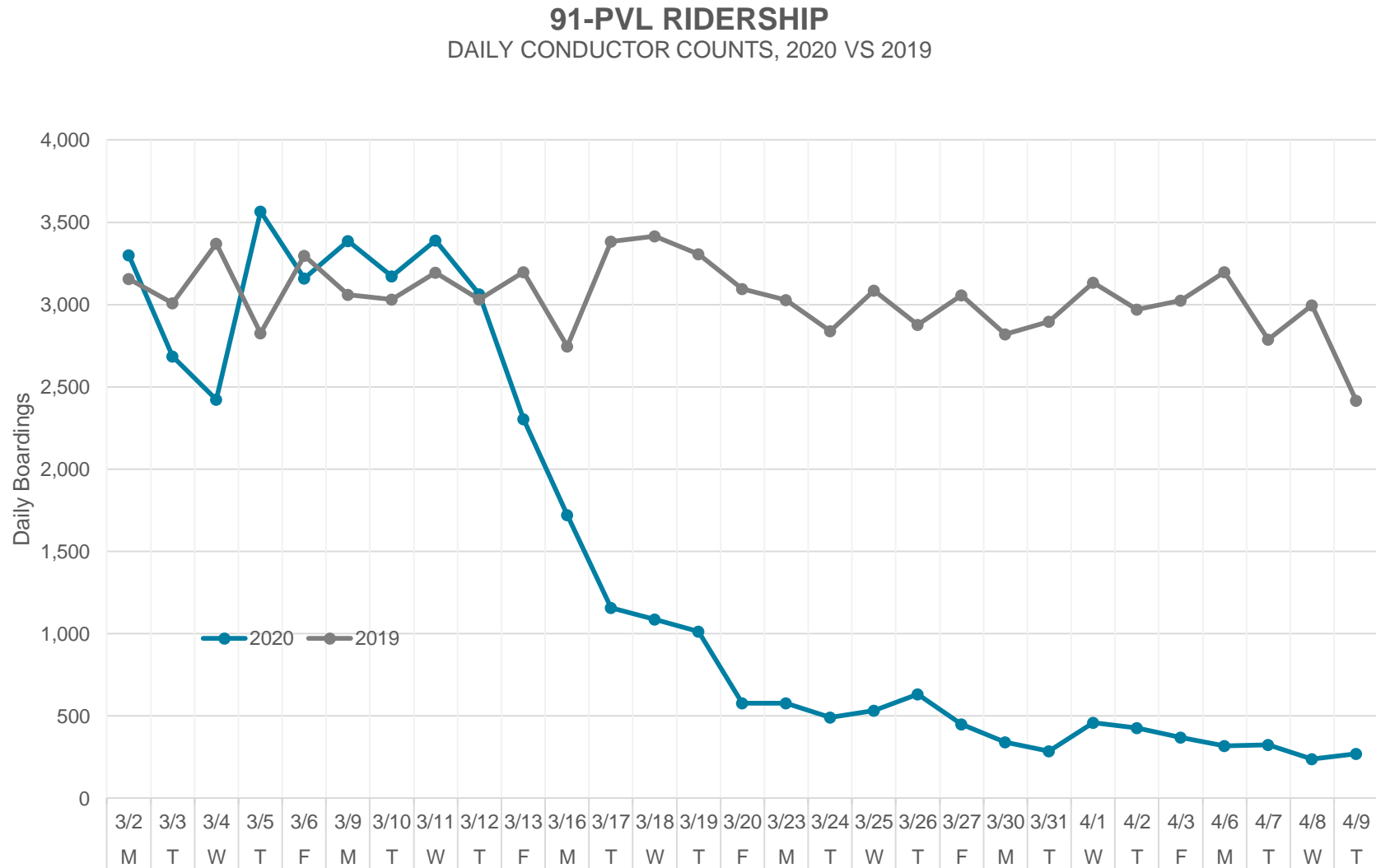
## March 2- April 9 Weekday Boardings





# 91-PVL Ridership

## March 2 – April 9 Weekday Boardings





# COVID-19: Key Actions

- Safety & health precautions
  - Increased porters & car cleaning frequency
  - Crew cleans trains every day
  - Touch-point sanitation
  - Crew fills hand sanitizers more regularly
  - Team has supply of masks, gloves and sanitizer
- March 4 & March 24: Communication with passengers: Metrolink Safety Precautions and Cleaning Standards
- March 13: Work from Home Option Announced
- March 26: Implemented 30% Service Reduction
- March 26: Text Feature Launched – Text 'ML19' to 333777 for latest updates
- April 1: Families First Cares Act compliant
- Today: Ridership ↓ 90% vs 2019



# Recovery Plan Framework

- Advocacy – Federal CARES Act
- Ridership Recovery Scenarios
- “New Normal” Campaign
- FY20 & FY21 Budget Approach



# FY20 Cost Containment Strategies

## Underway

- Travel freeze (estimate of \$395k)
- Reviewing all discretionary spending to evaluate whether we can postpone to a future date
- Freeze on hiring that is not in the “offer” stage, except for mission critical positions (25 FTE, 19 LT, 12 PT, 23 GOCT, 7 Internships)
- Dept Heads have identified +\$7M in savings/deferral



# Operating Surplus

DESCRIPTION	METRO	OCTA	RCTC	SBCTA	VCTC	TOTAL
<b>Operating Budget (\$000)</b>						
FY18 Surplus Available	\$269	<b>426</b>	1,239	1,841	0	\$3,775
FY 19 Surplus Available	<u>1,333</u>	<u><b>804</b></u>	<u>497</u>	<u>555</u>	<u>410</u>	<u>\$3,599</u>
Total	\$1,602	<b>\$1,230</b>	\$1,736	\$2,396	\$410	\$7,374



# Continuing Appropriations Request

## Operating Subsidy by Member Agency @ FY20 Level

METRO	\$18,729
OCTA	\$ 7,274
RCTC	\$ 5,111
SBCTA	\$ 4,120
VCTC	<u>\$ 2,577</u>
<b>Total</b>	<b>\$37,810</b>
	<b>3 Months</b>



# Next Steps

- Request Delay of Transmittal of Formal FY21 Operating Budget
- Continue Transparent Communications with OCTA CEO
- Implement “New Normal” Campaign



Create Value, Exceed Expectations.



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 April 27, 2020 regular meeting of the Orange County Transportation Authority (OCTA) and affiliated agencies was called to order by Chairman Jones at 9:03 a.m. at the OCTA Headquarters, 550 South Main Street, Board Room – Conference Room 07-08, Orange, California.

Chairman Jones announced today's Board of Directors (Board) will participate via teleconferencing and all votes would be taken by roll call.

## **Roll Call**

The Clerk of the Board conducted an attendance Roll Call and announced there was quorum of the Board as follows:

Directors Present: Steve Jones, Chairman

*Via teleconference:*

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  
Gregory T. Winterbottom

Director Absent: Ryan Chamberlain, District Director  
California Department of Transportation District 12

Also Present: Darrell E. Johnson, Chief Executive Officer (CEO)  
Jennifer L. Bergener, Deputy CEO/Chief Operation Officer  
Laurena Weinert, Clerk of the Board (COB)  
Martha Ochoa, Assistant COB  
James Donich, General Counsel (teleconference)



## **Invocation**

Director Davies gave the invocation.

## **Pledge of Allegiance**

Chairman Jones led in the Pledge of Allegiance.

## **Special Calendar**

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

#### **1. Coronavirus (COVID-19) Update**

Darrell E. Johnson, CEO, provided an update on OCTA's efforts to proactively respond to the COVID-19 pandemic, and referenced the materials emailed to the Board in advance of today's Board meeting.

Director Steel inquired if the stations and bus stops have the current "Sunday" bus schedule, if hand sanitizer is available on the bus for passengers, and if social distancing seat markers are on the buses.

Mr. Johnson highlighted how the "Sunday" bus schedule have been communicated to the public. He stated that OCTA is attempting to purchase hand sanitizer for passengers and currently not on the buses, staff is working on a social distancing bus seat plan, and OCTA is following the guidelines of the Federal Transit Administration.

Director Steel requested hand sanitizer for the passengers be made available on the buses, and Mr. Johnson acknowledged Director Steel's directive.

No action was taken on this information item.

## **Consent Calendar (Items 2 through 17)**

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

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

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of April 13, 2020.



**3. Fiscal Year 2019-20 Internal Audit Plan, Third Quarter Update**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to receive and file the Orange County Transportation Authority Internal Audit Department Fiscal Year 2019-20 Internal Audit Plan, Third Quarter Update.

**4. Cooperative Agreement with the Riverside County Transportation Commission for the State Route 91 Corridor Operations Project**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2227, to define roles and responsibilities between the Orange County Transportation Authority and the Riverside County Transportation Commission, in the amount of \$15,000,000, for the construction of the State Route 91 Corridor Operations Project between the Green River on-ramp and southbound State Route 241 toll road.

**5. Amendment to Agreement for Bus Advertising Revenue Program**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to execute Amendment No. 2 to Agreement No. C-5-3076 between the Orange County Transportation Authority and Outfront Media Group, LLC, to eliminate the annual minimum guarantee and adopt a payment term based solely on a revenue-sharing arrangement for the remainder of the first option term beginning April 1, 2020 through August 31, 2020.

**6. Third Quarter Fiscal Year 2019-20 Procurement Status Report**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to receive and file as an information item.

**7. Approval of the Fiscal Year 2020-21 Local Transportation Fund Claim for Laguna Beach Public Transportation Services**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to:

- A. Approve the Laguna Beach Municipal Transit Lines Fiscal Year 2020-21 Local Transportation Fund Claim for public transportation services in the amount of \$1,205,587.
- B. Authorize the Chief Executive Officer of the Orange County Transportation Authority to issue allocation/disbursement instructions to the Orange County Auditor-Controller in the amount of the claim.



**8. First Quarter 2020 Investment and Debt Report**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to receive and file the Quarterly Debt and Investment Report prepared by the Treasurer as an information item.

**9. State Legislative Status Report**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to:

- A. Adopt an OPPOSE position on AB 2011 (Holden, D-Pasadena) and on SB 1390 (Portantino, D-Glendale), which would each create a new construction authority to extend the Gold Line from the City of Montclair to the Ontario International Airport.
- A. Adopt an OPPOSE UNLESS AMENDED position on SB 1363 (Allen, D-Santa Monica), which would require metropolitan planning organizations to meet vehicle miles traveled reduction targets as part of the regional transportation plan.

**10. Federal Legislative Status Report**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to receive and file as an information item.

**11. Approval to Release Request for Proposals for Claims Administration Services of the Self-Insured Workers' Compensation Program**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to:

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2202 to provide claims administration services for the Orange County Transportation Authority's Self-Insured Workers' Compensation Program.
- B. Approve the release of Request for Proposals 0-2202 to select a firm to provide claims administrative services for a five-year term.



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

**12. Approval of the Fiscal Year 2020-21 Local Transportation Fund Claim for Public Transportation and Community Transit Services**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to:

- A. Approve the Orange County Transit District Fiscal Year 2020-21 Local Transportation Fund Claim for public transportation services in the amount of \$165,118,625, and for community transit services in the amount of \$8,753,906, for a total claim amount of \$173,872,531.
- B. Authorize the Chief Executive Officer to issue allocation/disbursement instructions to the Orange County Auditor-Controller in the full amount of the claims.

**13. Approval to Release Request for Quotes for the Procurement of Ten 40-Foot Plug-In Battery-Electric Buses**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to approve the release of Request for Quotes 0-2165 to purchase up to ten 40-foot plug-in battery-electric buses from qualified vendors under the California Statewide Contract for Zero-Emission Transit Buses issued by the California Department of General Services.

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

**14. Orange County Local Transportation Authority Measure M2 Agreed-Upon Procedures Reports, Year Ended June 30, 2019**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to:

- A. Direct staff to monitor implementation of corrective actions proposed by the cities.
- B. Direct staff to review observations and develop recommendations, as appropriate, for Board of Directors' consideration related to the City of Anaheim's compliance with the Measure M2 Ordinance and Eligibility Guidelines.



**15. Approval to Release Invitation for Bids for Metrolink Train Stations Platform Detectable Tiles Replacement and Painted Guidelines Restriping Project**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to approve the release of Invitation for Bids 9-1787 for the Metrolink Train Stations Platform Detectable Tiles Replacement and Painted Guidelines Restriping Project.

**16. Approval to Release Request for Proposals for Public Outreach for the State Route 55 Improvement Project**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to:

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2104 to provide public outreach consulting services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.
- B. Approve the release of Request for Proposals 0-2104 to select a firm to provide public outreach consulting services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5 for a five-year initial term, with an option term of up to 36 months.

**17. Amendment to Agreement for Public Outreach Services for the Interstate 5 Central County Improvements Project Between State Route 55 and State Route 57**

A motion was made by Director Hennessey, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-5-3207 between the Orange County Transportation Authority and Hill International, Inc., in the amount of \$100,340, to exercise the option term of the agreement to provide continued community outreach services, from August 1, 2020, to July 31, 2021, increasing the maximum obligation of the agreement to a total contract value of \$501,702.



## **Regular Calendar**

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

#### **18. Beach Boulevard Corridor Study Final Report**

Sam Sharvini, Transportation Analyst, provided a PowerPoint presentation for this item as follows:

- Project Overview;
- Corridor Overview;
- Purpose and Need;
- Public Engagement;
- Toolbox Development;
- Toolbox;
- Case Studies;
- Eight-Lane Roadway Segment Case Study;
- Next Steps; and
- Improvements Toolbox.

A discussion ensued regarding the following:

- Directors Delgleize and Shaw requested that this study be presented to the cities of Huntington Beach and La Habra City Councils.
- OCTA will offer the presentation for any of the corridor cities.
- Director Delgleize complimented the presentation, acknowledged Mr. Sharvini for presenting, and expressed excitement for the study.

No action taken on this receive and file as an information item.

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

#### **19. Award of Agreement for the Purchase of Paratransit Buses**

Cliff Thorne, Director of Maintenance and Motorist Services, reported the following:

- Background;
- How the replacement cutaway buses will be equipped, and 117 are recommended;
- Based on OCTA's analysis, the cutaway buses will be gasoline powered;
- The analysis was presented to the Transit Committee on November 14, 2019 and Board-approved on December 9, 2019; and
- Procurement approach was highlighted.



**19. (Continued)**

A discussion ensued regarding the following:

- Mr. Johnson, CEO, stated that OCTA was assessing the procurement schedule under COVID-19, and the recommended actions did not go through the typical committee process as OCTA was faced with an expiring bid date.
- The recommended cutaway buses do not fall under the California Air Resources Board Innovation Clean Transit regulation that are required of 40- and 60-foot buses.
- OCTA's cutaway buses are currently gasoline, and to transition the fleet to propane or natural gas would require a new infrastructure with a large capital investment.
- In 2026, the zero-emissions bus rule for cutaway buses would apply.
- OCTA will analyze and present alternative fuel options for the fleet at a future Transit Committee and Board meetings.

A motion was made by Director Hennessey, seconded by Vice Chairman Do, and following a roll call vote, declared passed 17-0 to:

- A. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1570 between the Orange County Transportation Authority and Creative Bus Sales, Inc., in the amount of \$14,953,419, for the purchase of up to 117, 22-foot gasoline-powered cutaway buses, with an option to purchase up to ten additional cutaway buses.
- B. Amend the Orange County Transportation Authority Fiscal Year 2019-20 Budget by \$241,459 to accommodate the final cost of 117, 22-foot gasoline-powered cutaway buses.

**20. Public Comments**

The Clerk of the Board stated for the record that a member of the public, Charles Johnson, Teamsters Local 952 representative, came in-person to provide a public comment. Due to the Governor's Executive Orders under COVID-19 for public meetings, once the public comment is received it will be emailed to the Board.



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

Darrell E. Johnson, CEO, reported on the following:

- Due to the teleconferencing of the Board meetings, OCTA has not been able to recognize the Employees of the Month (EOM).
- The March and April EOMs were virtually congratulated and announced as follows:

Month of March:

- Ricardo Serna, Coach Operator
- Todd Fairbanks, Maintenance
- Ana Ripalda, Administrative, Bus Operations

Month of April:

- Mike Nguyen, Coach Operator
- Ruebenn Anderson, Maintenance,
- Matt DesRosier, Administrative, Health, Safety, and Environmental Compliance Department

**22. Directors' Reports**

There were no Director's reports.

**23. Closed Session**

A Closed Session were held as follows:

- A. 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.
- B. Pursuant to Government Code Section 54956.9(a) - Conference with General Counsel - Existing Litigation; Orange County Transportation Authority v. G.B Enterprises, et al., OCSC Case No. 30-2018-00978538.
- C. Pursuant to Government Code Section 54957.6 to discuss negotiations with Teamsters Local 952 regarding the coach operators. The lead negotiator for the Orange County Transportation Authority is Maggie McJilton, Executive Director of Human Resources and Organizational Development, and Teamsters Local 952 designee.

There were no report outs for the above noted Closed Session items.

All Board Members were present for the Closed Session items.



**24. Adjournment**

The meeting adjourned at 9:50 a.m.

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, May 11, 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

**May 11, 2020**

**To:** Members of the Board of Directors  
**From:** *RW*  
Laurena Weinert, Clerk of the Board  
**Subject:** Adoption of the Orange County Transportation Authority's Public Transportation Agency Safety Plan

### Executive Committee Meeting of May 4, 2020

**Present:** Chairman Jones, Vice Chairman Do, and Directors Davies, Hennessey, M. Murphy, and Shaw  
**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 6-0 by the Members present.

### **Committee Recommendation**

Adopt the Public Transportation Agency Safety Plan as required under 49 CFR Part 673.





**May 4, 2020**

**To:** Executive Committee

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

**Subject:** Adoption of the Orange County Transportation Authority's Public Transportation Agency Safety Plan

### **Overview**

The Federal Transit Administration published the Public Transportation Agency Safety Plan regulation, 49 CFR Part 673, on July 19, 2018, which took effect the following year, on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Urbanized Area Formula Program (49 USC Section 5307) must develop, and have adopted by the Board of Directors, a Public Transportation Agency Safety Plan for its transit system. The original due date for adoption was July 20, 2020 but has since been extended by the Federal Transit Administration to December 31, 2020. As part of the regulation, agencies are to implement a Safety Management System risk-based approach.

### **Recommendation**

Adopt the Public Transportation Agency Safety Plan as required under 49 CFR Part 673.

### **Background**

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

On February 5, 2016, the Federal Transit Administration (FTA) released a Notice of Proposed Rulemaking that outlined the future requirements for a written PTASP for transit systems and the incorporation of a SMS approach. The rule was finalized on July 19, 2018, with an effective date of July 19, 2019. The final rule outlined the requirements of the PTASP and included details on what the



FTA would expect as part of an agency's written program and risk-based SMS approach. Understanding the complexity of the new rule and the timeline of events that an agency would need to adhere to, the FTA gave each agency one year to develop and incorporate their safety oversight strategy. The original due date for Board of Directors (Board) adoption of the PTASP was July 20, 2020 but has since been extended by the FTA to December 31, 2020.

During the drafting and release of the new rule, oversight responsibilities were also established to clarify the duties of the FTA and local regulatory bodies classified as State Safety Oversight (SSO) agencies (49 CFR Part 674). The FTA is responsible for the written rule, oversight and certification of the SSO, technical assistance, and auditing an agency's PTASP through the Triennial Audit process.

### ***Discussion***

The final PTASP rule provides an outline of the expected SMS requirements that includes four primary components and 16 subcomponents. The four primary components include Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.

#### **Component 1: Safety Management Policy**

##### **Subcomponents:**

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

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

#### **Component 2: Safety Risk Management**

##### **Subcomponents:**

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



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

#### **Component 3: Safety Assurance**

##### **Subcomponents:**

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

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

#### **Component 4: Safety Promotion**

##### **Subcomponents:**

- Safety training program
- Safety communication

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



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

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

Following that effort, OCTA initiated a contract with STV Incorporated (STV) in April 2019 and has worked in partnership with them to draft the PTASP. In addition to the partnership with STV, OCTA submitted the draft document to the FTA's PTASP Technical Assistance Center (TAC) on March 3, 2020, requesting a comprehensive compliance review and ensure the document met the expected requirements. On March 10, 2020, OCTA received a response back from the TAC with very few minor recommendations. All recommendations from the TAC have been incorporated in the final PTASP for adoption.



***Summary***

Staff is requesting the Board to adopt OCTA's PTASP and thereby confirming compliance with the 49 CFR Part 673 mandate. This adoption is being requested prior to the regulatory required date since OCTA has been proactive in the planning process and is ready to adopt such measures. Adoption of the PTASP will allow staff to incorporate this plan into business as additional means to ensure the safety of OCTA's employees, customers, and communities.

***Attachment***

- A. Orange County Transportation Authority Public Transportation Agency Safety Plan – May 2020

**Prepared by:**



---

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

**Approved by:**



---

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





**ORANGE COUNTY  
TRANSPORTATION  
AUTHORITY**

**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN**

**MAY 2020**







**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN  
FOR THE  
ORANGE COUNTY TRANSPORTATION AUTHORITY**

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**EXECUTIVE SUMMARY**

Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) grants the Federal Transportation Administration (FTA) the authority, to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. As a component of this safety oversight framework, recipients of FTA Chapter 53 funding are required to develop and implement a Public Transportation Agency Safety Plan (PTASP), Regulation 49 C.F.R. Part 673 based on Safety Management Systems (SMS) principles and methods.

On July 19, 2018, the FTA published the PTASP final rule, requiring certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement SMS. The goal of SMS is to increase the safety of transit systems by proactively identifying, assessing and controlling risks. Further, Regulation 49 C.F.R. Part 673 puts the FTA and the Orange County Transportation Authority (OCTA) in a position to provide guidance that strengthens the use of safety data to support management decisions, improves the commitment of transit leadership to safety, and fosters a culture of safety promoting awareness and responsiveness to safety risks.

SMS is a comprehensive, collaborative, proactive, and a data-driven approach to managing safety, thus bringing management and labor together to: better control risk, detect and correct safety issues in a timely manner, effectively share and analyze safety data, and precisely measure safety performance.

***Our Mission*** is to develop and deliver transportation solutions to enhance quality of life and keep Orange County moving.

***Our Vision*** is, an integrated and balanced transportation system that supports the diverse travel needs and reflects the character of Orange County.

OCTA is a public agency that conducts its business with integrity, in an honest and ethical manner. Our values consist of safety, integrity, customer focus, can-do spirit, communication and teamwork/partnership. OCTA keeps people moving by reducing freeway congestion, improving safety and efficiency on our local roads, providing bus service and regional multimodal connections, helping people find ways to leave their cars home, and providing safe, convenient transportation that is FTA and Americans with Disabilities Act (ADA) compliant to those with special accommodations. These values shape the way we do business and significantly influence who we are and how we want to be viewed by others.

OCTA has taken steps of creating an environment where safety culture is paramount by adopting safety as a core value. Individual efforts alone do not result in the desired outcome. A positive safety culture is achieved only when it develops an aggregate attitude that safety is paramount in all transit services. This type of safety thinking permits individuals to resist complacency, commit to excellence, and take personal accountability. The cumulative effect of these attitudes develops an organizational attitude of self-regulation for safety. It fosters a universal type of safety mindset.



Accordingly, safety culture is both attitudinal, as well as structural, and revolves around the common beliefs and actions of individuals and the organization. It consists not only of identifying safety issues, but also resolving them with appropriate actions.

OCTA is committed to Safety as a systematic and comprehensive approach to identifying hazards and risks and has adopted the SMS framework by establishing a safety policy; identifying hazards and controlling risks; setting goals and planning and measuring performance. OCTA uses SMS as means of agency-wide support for transit safety by establishing a culture where everyone is accountable for safety. The success of these efforts starts with senior executives and labor leadership visibly demonstrating their commitment to safety and leading by example to resolve safety issues.

The implementation of SMS, as described within this document, has been ongoing at OCTA through the execution of multiple activities, including:

- Extensive hazard identification, analysis and resolution;
- Increased internal auditing to ensure our processes are functioning as intended;
- Safety Outreach with the community – as good neighbors and partners with emergency management resources in the surrounding communities; and
- Focus on improved safety training for all employees – to ensure that OCTA is as safe as practical with the understanding that safety is everyone’s responsibility.

OCTA has developed and adopted this PTASP to comply with FTA regulations. OCTA’s Board of Directors, Accountable Executive, and Chief Safety Officer have reviewed and approved the PTASP through (resolution #-); assuring its content meets the requirements of Regulation 49 C.F.R. Part 673 through the establishment of a comprehensive SMS framework.



**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN  
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**DEFINITIONS**

**Source:** All definitions are official U.S. Department of Transportation, Federal Transit Administration definitions related to the Public Transportation Agency Safety Plan.

**Accident:** an event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

**Accountable Executive:** a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the Agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the Agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. § 5329(d), and the Agency's Transit Asset Management Plan in accordance with 49 U.S.C. § 5326.

**Chief Safety Officer:** an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

**Core Safety Responsibilities:** responsibilities, accountabilities, and authority of the accountable executive, the key safety officers, and key members of the safety management team.

**Desired Safety Outcomes or Goals:** safety outcomes for each risk using the measurable safety performance indicators established.

**Document Revision and Control:** a description of the regular annual process used to review and update the plan including a timeline for implementation of the process.

**Event:** any accident, incident, or occurrence.

**Hazard:** any real or potential condition that can cause injury, illness, death; damage to or loss of the facilities equipment, rolling stock, or infrastructure; or damage to the environment.

**Hazard Probability:** likelihood of a hazard consequence to occur.

**Hazard Severity:** the effect/damaging result of a hazards consequence.

**Incident:** an event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.



**Injury:** any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event. Agencies must report each person transported away from the scene for medical attention as an injury, whether or not the person appears to be injured.

**Occurrence:** an event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

**Performance target:** a quantifiable level of performance or condition expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration.

**Policy Statement:** a statement establishing senior management commitment to continual safety improvement, signed by the executive accountable for the operation of the Agency and the board of directors.

**Prioritized Safety Risks:** a description of the most serious safety risks to the public, personnel and property.

**Reportable:** an event occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle, excluding occupational safety events occurring in administrative buildings.

**Risk:** an assessed probability and severity calculation to classify the overall potential consequences of a hazard.

**Risk Control Strategies and Actions for Prioritized Safety Risks:** a description of risk control strategies and actions the Agency will undertake to minimize exposure of the public, personnel and property to hazards, including a schedule for implementing the risk control strategies and the primary entity responsible for each strategy.

**Safety Assurance:** a list of defined safety performance indicators for reach priority risk and associated targets the Agency will use to determine if it is achieving the specified safety goals.

**Safety Culture:** the product of individual and group values, attitudes, competencies and patterns of behavior that determine commitment to safety management. Four attributes of a positive safety culture:

**Reporting:** encouraging employees to divulge information about hazards that they encounter

**Just:** rewarding employees for providing essential safety-related information, and holding them accountable for deliberate violations of the rules

**Flexible:** adapting to changing demands and reacting to events

**Learning:** willing to change based on safety indicators and hazards uncovered through assessments, audits, data and incidents.

**Safety Performance Target:** a performance target related to safety management activities.



**Safety Risk Management Approach:** the formal processes the agency uses to identify hazards, analyze and assess safety risks, and develop, implement and evaluate risk controls.

**Safety Training Program:** a comprehensive safety training program for agency staff that ensures staff are trained and competent to perform their safety duties.

**Serious Injury:** any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second or third degree burns, or any burns affecting more than 5 percent of the body surface.

**Source: NTD Safety and Security Reporting Manual**

**Fatality:** a death or suicide confirmed within 30 days of a reported event. Does not include deaths in or on transit property that are a result of illness or other natural causes; a death due to, Collision (including suicides), Fire, Hazardous material spill, Acts of God, System or personal security event (including suicides), and Other safety events.

**Source: National Public Transportation Plan Performance Measures**

**Fatalities:** total number of reportable fatalities and rate per total vehicle revenue miles by mode.

**Injuries:** total number of reportable injuries and rate per total vehicle revenue miles by mode.

**Safety Events:** total number of reportable events and rate per total vehicle revenue miles by mode.

**Other Safety Events:** include but are not limited to slips, trips, falls, smoke, power failure, maintenance-related issues, or electric shock. To be reported as a major event, these events must **either** meet the fatality, evacuation, or property damage threshold **or** result in two or more injured persons. Other Safety Events that cause only one person to be immediately transported from the scene for medical attention, and that do not trigger any other reporting threshold, are reported on the Non-Major Monthly Summary Report form. The FTA includes Other Safety Events that occur in a transit maintenance facility and meet a reporting threshold but continues to exclude occupational safety events occurring in administrative buildings.

***Note:** Definitions from the U.S. Department of Transportation, Federal Transit Administration should be applied uniformly across the entire agency, to ensure safety performance measures are accurate agency wide and SMS is applied systematically.*



## ACRONYMS

ADA	Americans with Disabilities Act
ART	Annual Required Training
BSSPP	Bus System Safety Program Plan
CAP	Corrective Action Plan
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
CMP	Configuration Management Plan
COOP	Continuity of Operations Plan
CPUC	California Public Utilities Commission
CSO	Chief Safety Officer
EOC	Emergency Operations Center
FAST	Fixing America's Surface Transportation Act
FTA	Federal Transportation Administration
HR	Human Resources
HROD	Human Resources and Organizational Development Division
HSEC	Health, Safety and Environmental Compliance Department
IIPP	Injury and Illness Prevention Program
LMS	Learning Management System
MAP-21	Moving Ahead for Progress in the 21 <sup>st</sup> Century
MPO	Metropolitan Planning Organization
NPTSP	National Public Transportation Safety Plan
NTD	National Transit Database
NTSB	National Transportation Safety Board
OC	Orange County
OCTA	Orange County Transportation Authority
OHA	Operating Hazard Analysis
OSHA	Occupational Health and Safety Administration
OTS	Occurrence Tracking System
PHA	Preliminary Hazard Analysis
PTASP	Public Transportation Agency Safety Plan
Ri2	Routes Issues and Information Reporting Program
SCAG	Southern California Association of Governments
SCOT	Student Coach Operator Training
SMS	Safety Management System
SRM	Safety Risk Management
SOP	Standard Operating Procedure
SSCP	Safety and Security Certification Plan
SSEPP	Security Emergency Preparedness Plan
SSHA	Sub-System Hazard Analysis
SSOA	State Safety Oversight Agency
SSO	State Safety Oversight
TAM	Transit Asset Management
USC	United States Code



**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN  
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**1. INTRODUCTION**

OCTA was created in 1991, consolidating the functions of seven separate transportation agencies, including the Orange County Transportation Commission, the Orange County Transit District, the Consolidated Transportation Services Agency, the Orange County Local Transportation Authority, the Orange County Service Authority for Freeway Emergencies, the Orange County Congestion Management Agency and the Orange County Service Authority for Abandoned Vehicles. OCTA is served by 17 Board Members.

OCTA's 17-member Board of Directors consists of five County Supervisors, ten city members, and two public members. The District Director of the California Department of Transportation, District 12, serves as an Ex-officio member. Board of Supervisors are elected by Supervisorial Districts to a four-year term. City Members are appointed by the Orange County City Selection Committee to a two-year term. Public Members are appointed by OCTA Board of Directors to a four-year term. Ex-officio Member, Caltrans District 12, District Director, is appointed by the Governor to a four-year term Public Utilities Code Sec. 130052(d).

The Chief Executive Officer (CEO) reports directly to the OCTA Board of Directors; the Deputy CEO reports to the CEO and is tasked with the duties of "acting CEO" in the absence of the CEO. The Deputy CEO is also tasked with reporting to the Board of Directors in the CEO's absence. The CEO is responsible for the daily management of all systems operated by OCTA and ensures federal, state, local, and agency safety requirements are being met.

*Facilities and Bus Facilities:*

OCTA owns and maintains five maintenance and operating bases, eight transportation centers, and one administration location that supports the bus bases and transportation centers. Additionally, there are support facilities, terminals, Park-N-Ride terminals, employee parking lots, surplus properties, communications, and other miscellaneous locations. The facilities are comprised of 47 buildings and structures totaling over 400,000 square feet. The structures are situated on 80 acres of property throughout Orange County with an initial capital cost of more than \$50 million dollars.

The primary physical elements of the OCTA bus system are facilities and buses. The five maintenance and operating bases operate 24 hours per day, seven days a week, 365 days a year. The five bases are as follows:

- Base 1-Santa Ana;
- Base 2-Irvine Construction Circle (Paratransit);
- Base 4-Garden Grove;
- Base 6-Anaheim (Contracted Fixed Route); and
- Base 7-Irvine Sand Canyon (Contracted Fixed Route).



### Bus Service and System Description

OCTA's bus system offers 58 routes and over 5,000 bus stops which operate over a 798 square-mile area, in 34 cities and unincorporated areas. OCTA routes include local and community routes which travel between cities, express routes which travel on freeways, OC Flex on-demand service, and Stationlink service that connects Orange County Metrolink stations with major employment centers. Figure 1 depicts the OCTA system map.

**Figure 1**

### THE OCTA SYSTEM MAP





**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN  
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**2. TRANSIT AGENCY INFORMATION**

<b>Transit Agency Name</b>	Orange County Transportation Authority- OCTA		
<b>Transit Agency Address</b>	550 South Main Street Orange, CA 92868		
<b>Name and Title of Accountable Executive</b>	Darrell E. Johnson, OCTA Chief Executive Officer		
<b>Name of Chief Safety Officer or SMS Executive</b>	Matthew DesRosier		
<b>Mode(s) of Service Covered by This Plan</b>	Bus and Paratransit: Directly Operated and Contracted	<b>List all FTA Funding Types</b>	5307, 5309, 5310, 5337, and 5339
<b>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</b>	Commuter Bus, Bus, Vanpool, Demand Response, Demand Response Taxi, and Paratransit services.		
<b>Does the agency provide transit services on behalf of another agency or entity?</b>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Description of Arrangements: OCTA operates fixed-route service for the Irvine iShuttle; and operates ADA service the Laguna Beach Trolley, Anaheim Transit Network, iShuttle, and Project V community shuttles.		
<b>Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided</b>	N/A		



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**3. PLAN DEVELOPMENT, APPROVAL, AND UPDATES**

<b>Name of Entity That Drafted This Plan</b>	Orange County Transportation Authority	
	<b>Signature of Accountable Executive</b>	<b>Date of Signature</b>
<b>Signature by Accountable Executive</b>		
<b>Approval by the Board of Directors or an Equivalent Authority</b>	<b>Name of Individual/Entity That Approved This Plan</b>	<b>Date of Approval</b>
	<b>Relevant Documentation (title and location)</b>	
	<b>Name of Individual Entity That Certified This Plan</b>	<b>Date of Certification</b>
<b>Certification of Compliance</b>	<b>Relevant Documentation (title and location)</b>	

<b>Version Number and Updates</b> Record the complete history of successive versions of this plan.			
<b>Version Number</b>	<b>Section/Pages Affected</b>	<b>Reason for Change</b>	<b>Date Issued</b>



### **Annual Review and Update of the Public Transportation Agency Safety Plan**

Due to the implementation of 49 CFR Part 673, OCTA is required to annually submit the current PTASP to the Board of Directors for review and approval, along with an annual safety report. The annual review of the PTASP will be conducted by the Accountable Executive, the Chief Safety Officer and the SMS Program Manager each fiscal year, no later than June 30. No proposed change will be incorporated into the PTASP until it has been approved by the CEO and the Board of Directors. Annual review and updating of the PTASP will consist of the CEO signing and dating this document and submitting to the Board of Directors for review. All changes to the PTASP are recorded in the PTASP Activity Log; displaying the version number, section/pages affected, the reason for change and the date of the change.

Necessary updates outside the annual update will be bulletins, which will be incorporated in the body of the PTASP each year for approval. Any division Executive Director or other official may submit a proposed change at any time for review and adoption. Proposed changes are submitted to the Chief Safety Officer and a determination is made whether to convene a special SMS/PTASP Committee meeting, or to include the matter on the agenda for the regular SMS/PTASP Committee monthly meeting.



## Management's Commitment

The individuals signing this PTASP, attest all items and conditions contained in this plan are understood, accepted, recommended, and supported; they are committed to implementing the PTASP and achieving its safety goals and objectives.



Jennifer L Bergener, Deputy Chief Executive Officer,  
Chief Operations Officer

4/27/2020

Date



Andrew Oftelie, Chief Financial Officer

4/24/2020

Date



Beth McCormick, Executive Director of Bus Operations

4/24/2020

Date



Maggie McJilton, Executive Director, HROD

4/24/2020

Date



Jim Beil, Executive Director, Capital Programs

4/24/2020

Date



Maggie McJilton, Executive Director, External Affairs

4/24/2020

Date



Kia Mortazavi, Executive Director, Planning

4/27/2020

Date



Matt DesRosier, Manager, Health, Safety  
& Environ. Compliance, Chief Safety Officer

4/24/2020

Date



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**4. SAFETY PERFORMANCE TARGETS**

Safety Performance Management is a critical tool that supports OCTA in identifying safety concerns and monitoring progress in safety improvements. OCTA has developed the following Safety Performance Targets to focus on its commitment to safety and meet federal requirements.

	Objective	Metric	Baseline	Target
<b>Bus</b>	Reduce Fatalities	Fatalities per 100K VRM	0.00	Maintain
	Reduce Injuries	Injuries per 100K VRM	0.59	Maintain
	Reduce Safety Events	Safety Events per 100K VRM	1.03	Maintain
	Maintain System Reliability	Miles between Road Calls	1 per 14K VRM	Maintain

\*Safety Performance Targets are calculated on the calendar year.

<b>Annual Safety Performance Targets (Based on safety performance measures under NSP)</b>							
Mode	Fatalities (Total)	Fatalities Per 100k VRM	Injuries (Total)	Injuries Per 100k VRM	Safety Events (Total)	Safety Events Per 100k VRM	System Reliability (Failures/VRM)
<b>Bus</b>	0	0.00	81	0.59	133	1.03	1/14,827
	Objective		Metric		Baseline		Target
<b>Paratransit</b>	Reduce Fatalities		Fatalities per 100K VRM		0.00		Maintain
	Reduce Injuries		Injuries per 100K VRM		0.00		Maintain
	Reduce Safety Events		Safety Events per 100K VRM		0.00		Maintain
	Maintain System Reliability		Miles between Road Calls		1 per 14K VRM		Maintain

\*Safety Performance Targets are calculated on the calendar year.

<b>Annual Safety Performance Targets (Based on safety performance measures under NSP)</b>							
Mode	Fatalities (Total)	Fatalities Per 100k VRM	Injuries (Total)	Injuries Per 100k VRM	Safety Events (Total)	Safety Events Per 100k VRM	System Reliability (Failures/VRM)
<b>Paratransit</b>	0	0.00	0	0.00	0	0.00	1/14,827

**Safety Performance Target Coordination**

Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets

OCTA will foster agency-wide support for transit safety and will provide copies of their PTASP and additional information as requested to Southern California Association of Governments (SCAG) and California Public Utilities Commission (CPUC). Additionally, OCTA will evaluate agency Safety Performance Targets annually; the updated targets will be shared with the SCAG, and CPUC.

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	CPUC	
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	SCAG	



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**5. SAFETY MANAGEMENT POLICY (673.23)**

**5.1 Safety Management Policy Statement- 673.23 (a)**

OCTA is committed to developing, implementing, maintaining, and constantly improving processes to make sure all transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting standards. All levels of management and employees are accountable for the delivery of the highest level of safety performance, starting with the OCTA CEO.

OCTA managers, personnel, and outside contractors are responsible for promoting the safety of customers, employees, property and the public who encounter OCTA's transit services. Every employee must practice workplace safety, use equipment, tools and materials properly, and be trained in the work rules and procedures for their area of responsibility, including contingency plans for abnormal and emergency conditions. Each employee and contractor shall take an active part in the hazard identification and reporting process.

OCTA is committed to:

- Support the management of safety through the provision of appropriate resources to result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as paid to other management systems of the organization;
- Integrate the management of safety as a primary responsibility of all managers and employees;
- Clearly define for all staff, managers and employees alike, their accountability and responsibility for the delivery of the organization's safety performance and the overall performance of OCTA's safety management system;
- Establish and operate hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification. Eliminate or mitigate safety risks and hazardous consequences resulting from OCTA's operations or activities to a level that is acceptable and consistent with safety performance;
- Ensure no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- Comply with, and wherever possible exceed, legislative and regulatory requirements and standards;



- Ensure sufficiently skilled and trained HROD staff are available to implement safety management processes;
- Ensure all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;
- Establish and measure OCTA's safety performance against realistic and data-driven safety performance indicators and safety performance targets;
- Continually improve OCTA's safety performance through management processes that ensure appropriate safety management action is taken and is effective; and
- Ensure externally supplied systems and services to support OCTA's operations are delivered to meet OCTA's safety performance standards.

## **5.2 Process for Reporting Unsafe Conditions-673.23(b)**

Employees are required to embrace OCTA's safety goals and objectives and encouraged to report safety concerns, issues or hazards. OCTA's employees have a duty to report any unsafe condition to their supervisor, manager, Safety staff, the Accountable Executive or the SMS Program Manager. The Safety staff works with managers and employees to facilitate the reporting of hazards using email, telephone, and in-person reporting. Moreover, employees may report safety concerns, issues or hazards through the safety department intranet page, Ri2, and Ethicspoint, OCTA's ethics hotline.

### OCTA Health, Safety & Environmental Compliance Intranet Page

OCTA intranet homepage provides employees with links to the intranet pages for each division in the agency. By selecting "Organization" on the main menu bar and then scrolling to appropriate division, employees have access to the that division's intranet page. On the Health Safety and Environmental Compliance page employees may use the "Big Red Button" to submit a safety concern or get access to safety policies and information. The reporting of unsafe conditions through the "Big Red Button" are managed by the CSO and is a closed loop process that is resolved within 14 business days.

Routes Issues and Information Reporting Program (Ri2) affords OCTA employees the ability to enter information related to safety concerns, issues, or hazards into an electronic reporting forum. OCTA responds to Ri2 submissions and typically resolves the report within 14 business days. During the resolution process employees have the ability to log in and check the progress or status of their Ri2 submission.

OCTA's Ethicspoint number is available for any employee, outside contractor, or member of the public to anonymously report any safety hazards, suspected fraud, waste, abuse, illegal or unethical behavior. The report is confidential. Reports to Ethicspoint will be administered by Internal Audit for review and investigation by the appropriate department.



OCTA is committed to fair treatment of all its employees and recognizes its responsibility under state and federal law to protect from punishment and harassment any person who reports an issue, whether the allegation is found to have merit. OCTA shall not take any action or threaten any action against any employee as a reprisal for making a report unless the report was made, or the information was disclosed with the knowledge that it was false or with willful disregard for its truth or falsity. Policy violations will be managed through OCTA's Human Resources Department.

### **5.3 Safety Management Policy Communication-673.23(c)**

OCTA staff are informed of their responsibilities related to safety and SMS during onboarding, within their individual job descriptions, and receive an annual performance evaluation that includes safety related evaluation criteria. Additionally, each employee is required to acknowledge through signature that they have received a written copy of OCTA's Safety Management Policy Statement. Signed copies will be filed within individual employee files. OCTA will provide additional safety information via the Intranet; newsletters, safety bulletins, and audio-visual monitors in break rooms.

### **5.4 Authorities, Accountabilities, and Responsibilities-673.23(d)**

The purpose of the PTASP is to: maintain a formal Safety Program and establish a coordinated safety effort responsive to the needs of the operating and support departments, make sure all personnel and contractors are working toward the common goal of minimizing the occurrence of customer and employee incidents by providing safe revenue service to our customers and a safe work environment for our employees.

#### *Board of Directors*

The 17-member Board of Directors receives staff reports and considers staff recommendations that have the potential to impact operational safety. The Board of Directors makes policy level decisions and follows established protocol for voting on actions that guide OCTA's operations. OCTA Board Members also serve on smaller committees, which are intended to provide more detailed information and specifically focus on different functional areas of OCTA. The various Board committees that review and recommend actions that have potential safety and environmental impacts include the Executive Committee, which safety related items are brought before, the Legislative and Communications Committee, the Regional Planning and Highways Committee, and the Transit Committee.

#### *Executive Staff*

Executive staff refers to the Chief Executive Officer, Deputy Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Division Executive Directors, and Division Directors. The CEO is the OCTA Accountable Executive and reports directly to the OCTA Board of Directors; the Deputy CEO reports to the CEO and is tasked with the duties of "acting CEO" in the absence of the CEO. The Deputy CEO is also tasked with reporting to the Board of Directors in the CEO's absence. The CEO is responsible for the daily management of all systems operated by OCTA and ensures federal, state, local, and agency safety requirements are being met. CSO



and Executive staff directs the utilization of available resources as necessary to achieve safety goals and objectives. This management level exercises approval authority for major system modifications and facilitates coordination of safety efforts.

### *Divisions/Departments*

Human Resources and Organizational Development Division– Led by the Executive Director of Human Resources and Organizational Development (HROD), is responsible for planning, directing, and evaluating the effectiveness of all the Human Resources and Organizational Development Division systems, policies and practices, as well as related administrative functions. HROD directs the overall programs/activities of the Human Resources Department, which includes Labor & Employee Relations, EEO/ Affirmative Action, ADA general program and Title VI, Learning & Development Department, Risk Management Department, and Health, Safety, and Environmental Compliance Department.

Operations Division – Led by the Chief Operating Officer, is responsible for all operational functions in the authority: bus, streetcar, rail, on-demand services and mobility paratransit. Operations provides highly complex and responsible direction for multiple transit departments and administrative programs. Operations is also responsible for creating policy and strategic direction as well as planning to the operational functions of the Authority.

Planning Division – Led by the Executive Director of Planning, is responsible for ensuring the coordination of activities and integration of effort. Oversees, evaluates, and manages the work of agency staff and contractors conducting the strategic planning, policy development, environmental studies, design, and community relations activities to deliver highly complex multi-modal transportation planning. Planning is also responsible for creating policy and strategic direction as well as planning, directing, and evaluating the effectiveness of all Planning Division’s systems, policies and practices, and related functions.

Finance & Administration Division – Led by the Chief Financial Officer, is responsible for the direction of the overall programs/activities of the Treasury Department, Contracts Administration and Materials Management, Accounting and Financial Reporting, Financial Planning and Analysis, General Services, and leads the Finance and Information Systems.

Capital Programs Division – Led by the Executive Director of Capital Programs, is responsible for the oversight, evaluation, and management of the division’s activities to deliver highly complex multi-modal transportation rail, high speed rail, and highway programs. The division is also responsible for creating policy and strategic direction as well as planning, directing, delivering, and evaluating the effectiveness of all division systems, policies and practices, and related functions.

External Affairs Division– Led by the Executive Director of External Affairs, is responsible for marketing and public outreach programs in support of OCTA projects, services and initiatives. External Affairs directs communications programs during development and construction of transportation projects, oversees bus and rail transit marketing and customer engagement, and diversity outreach and economic opportunity programs.



Government Relations Division – Led by the Executive Director of Government Relations, is comprised of State and Federal Relations, a Grants section, and the Regional Initiatives Department. The Government Relations Division is responsible for monitoring, analyzing, and responding to government actions and decisions that affect how OCTA receives funding, plans for projects and delivers services. Government Relations also maintains an active presence at all levels of government to ensure OCTA's interests are well represented in these various forums.

### ***Positions***

#### **Directors, Managers Roles and Responsibilities**

All directors and managers are accountable and responsible for:

- implementing the safety risk management, safety assurance, and safety training and communication protocols of their department;
- safety performance within their functional areas;
- ensuring procedures are consistent with the SMS;
- determining and implementing countermeasures required to counteract safety risks and manage issues that negatively impact OCTA safety performance;
- ensuring that all employees are trained in SMS;
- supporting and requiring employees within their department to participate in safety training activities;
- integrating SRM into existing processes;
- requiring that all relevant safety information is communicated and used in decision-making;
- providing information to the CEO, COO, Executive Directors, and HSEC, as appropriate;
- ensuring that all system changes are coordinated with HSEC and documented; and
- cooperating with and providing support for evaluations and audits conducted by HSEC.

#### **Supervisor Roles and Responsibilities**

Supervisors are accountable and responsible for:

- the safety performance of all personnel and equipment under their supervision;
- implementing and maintaining safety-related control measures/mitigations;
- familiarizing employees with the safety requirements and hazards associated with the work to be performed;
- responding to identified hazards that may impact safety performance;
- reporting all mishaps and incidents to HSEC;
- sharing lessons learned from incidents; and
- implementing and adhering to SMS procedures and processes within their span of control.



## **Employee Responsibilities**

All OCTA employees are responsible for:

- becoming familiar with the safety procedures for their assigned work activity;
- performing their work safely;
- following procedures and rules;
- calling attention to hazards that may impact safety performance; and
- reporting mishaps and incidents to their Supervisor, in accordance with established requirements for the protection of themselves, co-workers, customers, facilities, and equipment.

## *Contractors*

OCTA is responsible for facilitating communication between internal stakeholders and outside contractors. All contractors are responsible for compliance with this PTASP and 49 CFR Part 673. The contractor is responsible for collecting, reviewing for accuracy, and submitting contract/performance related information and data to OCTA Operations Management monthly. The contractor is required to comply with all OCTA SMS policies and procedures, reporting and submission requirements, including those required for Hazard Identification and Analysis, the NTD submission, and preparing all required data for OCTA to report. OCTA's SMS Program Manager will receive SMS data from OCTA contractors, per the agreed upon schedule; monitor and measure the contractor's safety performance through the data provided and report to the Chief Safety Officer and the PTASP SMS Committee quarterly.

Additionally, the contractor must provide OCTA access to all work, materials, payroll, and other data, records, and accounts maintained by the contractor for auditing purposes. Any audit findings requiring corrective action must be corrected by the contractor and checked by OCTA to ensure they have been corrected.

Contractors are required to provide training to employees on a scheduled basis, to include refresher training. The Contractor is required to make sure that their staff receives training applicable to requirements of jobs performed. Training is related to knowledge and operation of equipment, dealing with the public, sensitivity to persons with disabilities, knowledge of various kinds of disabilities, rules and procedures of OCTA services, and other areas of knowledge and proficiency which, shall enable personnel to perform their jobs and meet the requirements of the Contract. OCTA reserves the right to audit training activities at its discretion.

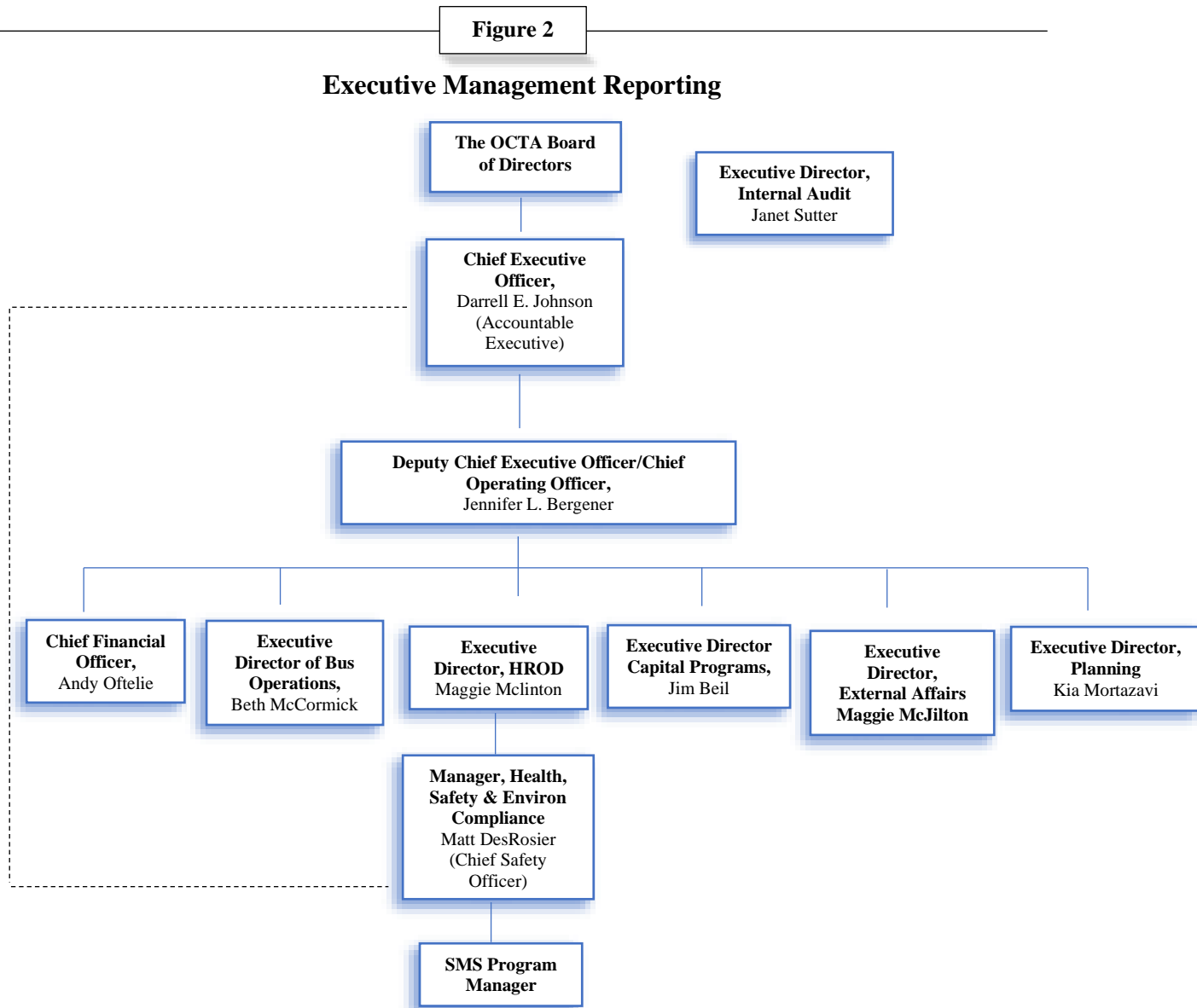
## *Lines of Authority for Safety:*

The Health, Safety, & Environmental Department, led by the Health, Safety, & Environmental Compliance Manager/CSO, reports directly to the CEO through a dotted line and reports administratively daily to the Executive Director of HROD. The Health, Safety, & Environmental Compliance Manager/CSO, is responsible for the development, implementation and administration of environmental, health, safety and sustainability policies, procedures, and programs designed to ensure regulatory compliance, minimize hazards and promote a culture of safety and sustainability. Provides leadership, technical expertise and strategic planning for implementing employee safety programs, fleet and construction safety, wellness, and



environmental compliance. Assists all departments in maintaining a safe and secure environment by providing guidance in identifying and evaluating hazards and vulnerabilities and minimizing the hazardous conditions and/or vulnerabilities to their lowest achievable level.

The CSO oversees SMS, the SMS Program Manager, and is the chair of the SMS/PTASP Committee. The HSEC Department consists of a the CSO, SMS Program Manager, and safety staff to achieve its safety responsibilities as outlined in this document.



Source: The Orange County Transportation Authority

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### *Chief Safety Officer (CSO)*

The CSO takes a proactive approach by performing the following activities:

- Manages and implements the Public Transit Agency Safety Plan, as well as answers any questions regarding the Agency's Transit Safety Plan;
- Chairs the SMS/PTASP Committee meetings;
- Leads OCTA in the implementation of the Safety Management System throughout the Agency;
- Participates in formal meetings with the FTA, CEO and other OCTA management on safety issues;
- Reports Safety Performance Measures/Targets to the MPO; and
- Develops and implements safety policies, procedures, and programs risk identification, evaluation, control, funding, and administration.

### *SMS Program Manager*

Assists the CSO in all functions and takes the lead in the following safety functions:

- Co-Chairs the SMS/PTASP Committee meetings;
- Promotes and coordinates the Safety Management System methodology within the Agency;
- Participates in formal meetings with the FTA, CEO and other management on safety issues;
- Investigates employee and vehicle accidents, incidents, and injuries; assists in developing programs to reduce injuries;
- Serves as OCTA's main contact with other agencies related to safety programs and procedures and prepares case records, documents, and data required by such agencies;
- Compiles and analyzes safety statistics; produces reports, records, documents, and manifests; accesses and updates database files;
- Coordinates staff safety meetings and attends meetings, conferences and group functions related to safety;
- Conducts training sessions relating to safety;
- Identifies health and safety concerns, analyzes reports and information, develops programs for accident/injury prevention, and submits recommendations to reduce frequency of accidents;
- Identifies safety concerns and issues, and participates in the design and implementation of safety policies and procedures;
- Performs hazard analyses as necessary;
- Tracks hazards and corrective actions; and
- Performs other job-related duties, as directed.

To ensure transit operations are conducted in the safest manner possible, all appropriate personnel have been assigned Safety and SMS related responsibilities, Table 1: Safety Roles and SMS Responsibilities. In addition, within OCTA, each department/function provides distinct roles and carries out specific responsibilities to ensure the safety of passengers, employees, local responders, and the community served.



Table 1

## Safety Task Roles and Responsibilities

SAFETY TASKS	SSO	Accountable Executive / Executive Dept.	Operations Management	Safety	Security and EP	Finance / CAMM	TTS / Engineering	HROD / Risk Management	Planning & Development	Internal Audit	D-Daily M-Monthly Q-Quarterly Y-Yearly AR-As Required
Safety Management Policy Statement	A	P	P	P	S	S	S	S	S	S	AR
Develop PTASP	A	P	P	P	RC	RC	RC	RC	RC	RC	AR
Update PTASP	A	P	P	P	RC	RC	RC	RC	RC	RC	AR
Liaison with SSO	N/A	S	S	P	S	S	S	S	S	S	AR
External PTASP Audits	P	S	S	P	S	S	S	S	S	S	AR
Conduct Internal Safety Assessment/Audits	A	A	S	P	S	S	S	S	S	P	Y
Internal Safety Reporting and Program Monitoring	A	S	S	P	S	S	S	S	S	S	AR
Safety/Security Certification	RC	A	P	P	P	S	P	S	S	S	AR
Develop Emergency Response Plans	A	A	S	S	P	S	S	S	S	S	Y
Safety Hazard, Near-Miss, and Incident Identification and Reporting	RC	P	P	P	P	P	P	P	P	P	AR
Collect and analyze all safety data and measurements	RC	S	P	P	S	S	S	S	S	S	AR
Collect and analyze all security data and measurements	RC	S	P	S	P	S	S	S	S	S	D
Maintain Database of safety statistics, measurements, trends	RC	S	P	P	S	S	S	S	S	S	D
Maintain Database of security statistics, measurements, trends	RC	S	P	S	P	S	S	S	S	S	D
Issue Accident/Incident Statistics and Reports	A	S	S	P	P	S	S	S	S	S	D
Review Passenger Accident Trends	RC	S	P	S	S	S	S	S	S	S	M
Conduct Accident/Incident Investigations	A	A	P	P	P	S	S	S	S	S	AR
Report required threshold Accidents to Outside Agencies (SSO, FTA)	A	A	P	P	S	S	S	S	S	S	AR
Safety Risk Assessments	RC	A	P	P	P	P	P	S	P	S	AR



<b>SAFETY TASKS</b>	<b>SSO</b>	<b>Accountable Executive / Executive Dept.</b>	<b>Operations Management</b>	<b>Safety</b>	<b>Security and EP</b>	<b>Finance / CAMM</b>	<b>TTS / Engineering</b>	<b>HROD / Risk Management</b>	<b>Planning &amp; Development</b>	<b>Internal Audit</b>	<b>D-Daily M-Monthly Q-Quarterly Y-Yearly AR-As Required</b>
Hazard/Risk Management and Mitigations	A	S	P	P	P	S	P	S	P	S	AR
Design Reviews	RC	S	P	P	P	S	P	S	P	S	AR
Management of Change/Configuration Management	N/A	S	P	S	S	S	P	S	S	S	AR
Safety Training Program	RC	A	P	P	S	S	S	S	S	S	AR
Security Training Program	RC	A	P	S	P	S	S	S	S	S	AR
Safety Communication	RC	S	P	P	P	S	P	S	S	S	AR
Occupational Safety and Health Program Compliance	RC	P	P	P	S	S	S	S	S	S	AR
Security and Emergency Response Program Compliance	RC	P	P	P	P	S	S	S	S	S	AR
Maintain accident record keeping, employee injury reporting forms, and related data	RC	S	S	P	S	S	S	S	S	S	AR
Provide claims administration and investigation	RC	S	S	S	S	S	S	P	S	S	D
Corrective Action Plans	A	S	P	P	P	S	P	S	S	S	D
Contractor Oversight and Compliance Assurance	RC	S	S	P	S	S	S	S	S	S	AR
PTASP Documentation Control	RC	S	S	P	S	S	S	S	S	S	AR

**Legend:**

<b>A</b>	<b>Approval</b>	The identified participant(s) is (are) responsible for approval of specified documentation
<b>P</b>	<b>Primary Task Responsibility</b>	The identified participant(s) is (are) responsible for the preparation of the specified documentation.
<b>S</b>	<b>Secondary or Support Task Responsibility</b>	The identified participant(s) is (are) to provide the necessary support to accomplish and document the task.
<b>RC</b>	<b>Review and Comment Responsibility</b>	The identified participant(s) may review and provide comments on the task or requirement.



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**6. SAFETY RISK MANAGEMENT (673.25)**

**6.1 Safety Risk Management Process 673.25(a)**

Safety Risk Management promotes the identification of hazards before they escalate into accidents or incidents, assesses safety risk, and establishes necessary mitigations. The Safety Risk Management process is comprised of the following activities: safety hazard identification, safety risk assessment, and safety risk mitigation.

**6.2 Safety Hazard Identification 673.25(b)**

Hazard identification and resolution is a core element of the PTASP/SMS emphasizing timely correction of unsafe conditions, anticipated and reconciled before serious accident, injury, or damage occurs. OCTA has the following hazard identification sources in place:

- Employee safety reporting;
- Safety observations;
- Inspections;
- Internal audits;
- Internal safety investigations;
- Accident reports;
- Compliance programs;
- PTASP/SMS committee reviews;
- SMS data/Industry data;
- State and federal government sources (including CPUC and FTA); and
- Public feedback/complaints.

The objective of hazard identification and analysis is to identify and define as many hazardous conditions as possible and enter them into the Hazard Resolution process before those conditions or associated actions cause or contribute to an accident. Hazard identification is accomplished through on-site hazard identification, hazard reporting, and/or as each Department or Base Manager collects and analyzes data to monitor trends. Departmental and Base Managers are responsible for investigating hazards and resolving such hazards within their departments utilizing the Hazard Management Process- Identification/Analysis delineated in Appendix B. When hazards cannot be resolved within the department, the Safety Department, CSO, and Accountable Executive are consulted for resolution.

Data gathered within each department is used to set the agenda for PTASP/SMS Committee meetings, where hazard data is discussed, evaluated, and disseminated to each representative departmental manager for use interdepartmentally and agency wide. The SMS Program Manager is responsible for preparing monthly data and trend analysis reports which are reviewed at monthly PTASP/SMS Committee meetings. The monthly report(s) are distributed throughout OCTA as part of Safety Promotion / Communication strategies.



OCTA documents hazards that develop through multiple sources, such as: employee reporting, accidents, incidents, and leading or lagging indicators. OCTA also evaluates hazards to determine if multiple events occurred leading up to an event. This ensures each possible cause is evaluated and documented for trending purposes.

### **6.3 Safety Risk Assessment 673.25(c)**

OCTA's Hazard Analysis Process establishes processes to assess the safety risks associated with identified hazards. The process assesses the safety risk based upon predicted probability and severity of a hazard's potential consequences.

The probability that a hazard will occur during the planned life expectancy of the system element, subsystem, or component can be described subjectively in potential occurrences per unit of time, event, population, items, or activity. Supporting rationale for assigning a hazard probability are documented in hazard analysis reports.

The severity of a hazard is defined to provide a qualitative measure of the worst credible mishap resulting from operational risks; personnel error; environmental conditions; design inadequacies; and procedural deficiencies for a system, subsystem, or component failure or malfunction.

#### **Safety Risk Assessment Request Process**

The process allows OCTA employees to submit safety concerns, as a non-punitive safety reporting system. Hazards that are deemed by Operations and/or HSEC to be an immediate threat to safety, for example poor footing in walk areas, are expected to be immediately corrected. The process is as follows:

1. Employee reports hazard to supervisor/manager – employee enters request through the safety department intranet site, Ri2, or the Ethicspoint.
2. Report entry and tracking into OTS
  - a. Once entered into the database, a tracking number is assigned, and a notification is sent to the requestor via email.
  - b. Primary Safety staff notified via email, review for complete information, and route assignments; post updates as progress is made
3. Review of issues – issues reviewed by Safety and other experts as needed.
4. Conclusions and actions to be taken – conclusions of the review guide follow-up actions to be taken.
5. Response to the requestor – Primary Safety staff sends written report to conclusions and actions taken, once determined and completed.

### **6.4 Safety Risk Mitigation 673.25(d)**

Hazards which cannot be eliminated, are mitigated through engineering controls, administrative controls or personal protective equipment. Hazards that pose an imminent danger are expected to be immediately mitigated through the organization's stop work authority.



The Accountable Executive and the CSO have authority to implement operational changes that have safety implications. Accordingly, all hazard identification and analysis proceedings should result in the issuance of a report by the SMS Program Manager to the CSO. The report includes all pertinent data developed by the PTASP/SMS Committee on the identified hazard and risk evaluation process. A recommendation achieved by consensus of the Committee is included, regardless of whether the recommendation is for a change in existing conditions or procedures, or for retention of the existing condition/risk. Any disagreement on the matter, or suggested negative ramifications of the recommendation, must also be included for review and consideration by the Accountable Executive.

The PTASP/SMS Committee Chair (CSO) discusses reports with the Accountable Executive; if required, the CSO will direct the SMS Program Manager, to prepare a report based on the Accountable Executive's response to the recommendation, including all necessary data pertaining to the decision. If deemed necessary, the appropriate department will be directed to arrange any necessary field testing, pilot program, or controlled environment for developing additional information. Such testing may be requested by the Accountable Executive, CSO or the PTASP/SMS Committee and documented.

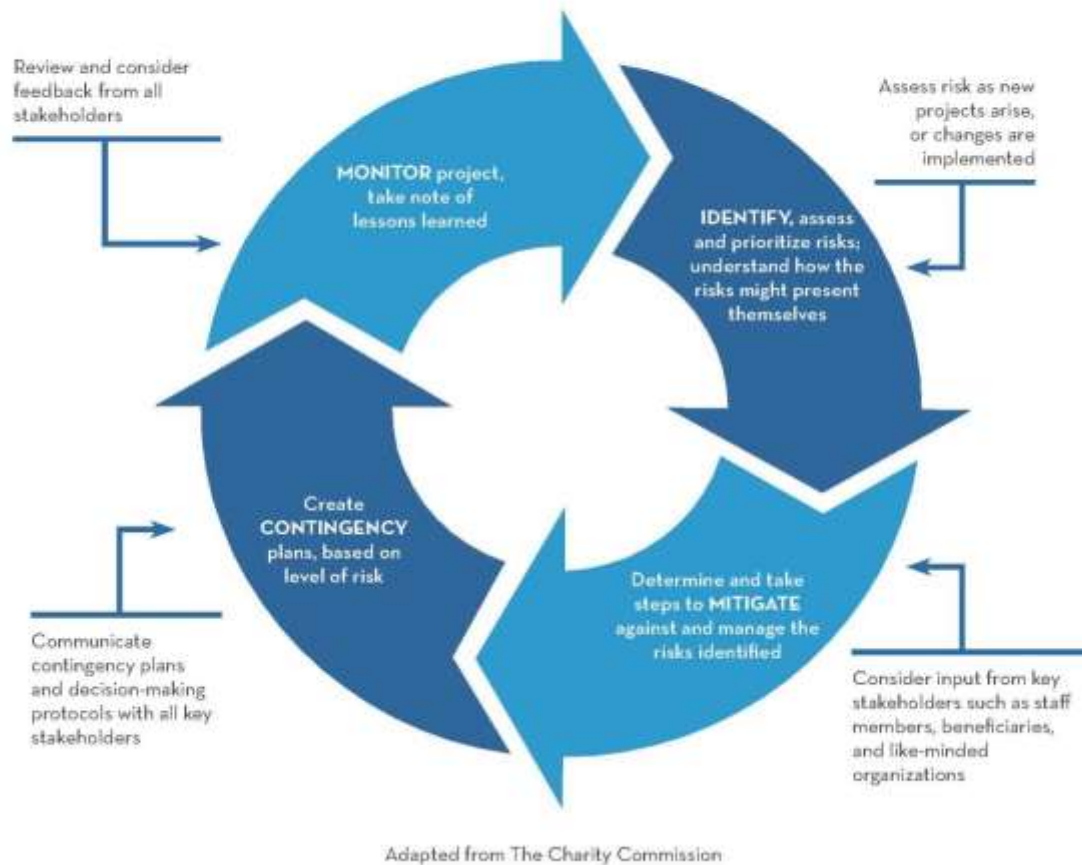
Hazards identified within the system are evaluated by appropriate staff and eliminated or mitigated to an acceptable level. The Hazard Analysis Process has been developed to ensure the optimum level of safety is achieved through the expeditious resolution of hazards. In the event the hazard has been categorized as UNACCEPTABLE, the Chief Safety Officer is responsible for maintaining the necessary information, notifications and Corrective Action Plans. Figure 3, Risk Assessment Flow Diagram displays the risk assessment cycle.



Figure 3

## Risk Assessment Flow Diagram

## The risk assessment cycle



## 6.5 Emergency Preparedness

### *Integration with Public Safety and Emergency Management*

Effective emergency preparedness, response, coordination, and training are essential elements to minimize loss resulting from an emergency or disastrous event. The objective of emergency preparedness and planning is to ensure fast efficient response to emergencies or disasters in a manner that minimizes risk to the safety and health of passengers, employees, and emergency response personnel, the community, and property.

### *Responsibilities for Emergency Preparedness*

Responsibility of Emergency Preparedness Planning, Coordination, and Training resides with OCTA management; however the Security and Emergency Preparedness Department is



responsible for providing a safe and secure environment with an "All Hazards" approach based on preparedness, protection, response, and recovery.

The primary OCTA EOC is located at the OCTA Administration Building, 600 South Main Street, Orange, CA 92868. OCTA's alternate EOC is located at the Garden Grove Annex.

The purpose of the EOC is to provide a facility from which the organization's response to an emergency can be coordinated effectively and to bring together all relevant information about the emergency in one place; organize that information into a useful format; and facilitate the coordination of resources needed to mitigate the effects of the emergency. The EOC will provide a single focal point for centralized activities, which include:

- Management of information;
- Decision making;
- Resource support; and
- Resource application.

Transit Operations and local managers, supported by the Security and Emergency Preparedness Department, are responsible for training employees on facility emergency management, emergency resources (e.g., telephone numbers, local vendors, location and inventory of emergency supplies, etc.), and response protocols of local agencies.

OCTA's Security and Emergency Preparedness Department develops, implements, and administers agency-wide security and emergency management programs and procedures for all the Agency's multi-modal operations and activities in accordance with federal, state, and local regulations, industry standards and the Agency's policies, including but not limited to:

- Emergency Operation Plan;
- System Security and Emergency Preparedness Plan (SSEPP)\*; and
- Continuity of Operations Plan\*.

***\*SSI information is available upon request and appropriate processing.***

The Security and Emergency Preparedness Department also improves emergency preparedness by evaluating responses to actual events. After action reviews are conducted for every emergency response. For major events where there are multiple injuries, property damage, or service disruption, formal review meetings are conducted and documented.

### *Emergency Exercises*

The Security and Emergency Preparedness Department is responsible for organizing and oversight of the annual emergency preparedness drill. The exercise planning is a continuous process with preliminary plans for subsequent activities established as each exercise is planned and conducted. Recommendations and primary safety goals and objectives that OCTA wants to convey to the emergency response agencies are presented to the Security and Emergency Preparedness Department which determines the drill scenario and location each year.



The execution of these activities will function as part of OCTA's Safety Review Process and will serve to evaluate the emergency response capabilities and procedures of all involved parties. Scenarios are acted out to demonstrate, inform, and train OCTA personnel and emergency responders of their individual roles and responsibilities. Findings generated through these activities are documented, and corrective actions generated because of exercises, will be developed and tracked through Corrective Action Plan (CAP) completion.



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**7. SAFETY ASSURANCE (673.27)**

The Safety Assurance component describes how OCTA implements mitigations that are prudent and effective in addressing potential risk of identified hazards. Organizationally, safety related data is collected, analyzed by the SMS Program Manager, and transmitted to the SMS/PTASP Committee for the purpose of review, trending, and use by the Agency to support the review of safety objectives and goals.

**7.1 Safety Performance Monitoring and Measurement 673.27 (b)(1)**

Each OCTA department generates its own performance data used for detection of trends or problems prior to the development of major safety concerns. It is the task of OCTA's SMS Program Manager to monitor and measure the safety performance of the agency's operations through data provided from all OCTA departments and to report to the Chief Safety Officer and the PTASP SMS Committee quarterly.

OCTA's Occurrence Tracking System (OTS) is an electronic tool used to track and monitor safety data and objective performance. The OTS is a database that tracks an occurrence or condition, identifies the responsible party, and tracks an item's corrective/preventive actions to closure.

Selected data is accumulated and analyzed for ongoing trending and performance measurement, including fatalities, injuries to passengers and/or OCTA personnel, system reliability, and other safety related events. The SMS Program Manager reports the results of such data quarterly at the SMS/PTASP Committee meeting.

**7.2 Hazard Mitigation Monitoring Process 673.27 (b)(2)**

Monitoring and measurement establishes a baseline for a system; comparing the difference between the criteria and condition at a specific point in time. Once a baseline or goal is established through monitoring and measurement, data can be used as criteria in evaluating operations to reduce risk and hazard and overall safety objective/goal achievement. Ongoing monitoring is built into OCTA's operations, performed continually, and responsive to change. Ongoing monitoring includes regular management and supervisory activities, comparisons, reconciliations, and other routine actions.

OCTA's Operations Management and the Safety Department perform base safety inspections, record the walk, and document any observations.

OCTA, under the regulatory requirements established by the California Occupational Health and Safety Administration (Cal/OSHA), also utilizes an Injury and Illness Prevention Program (IIPP) to establish methods and processes to identify and eliminate unsafe conditions or practices and control workspace safety hazards. All other local, state, and federal regulations that govern safety compliance outside the jurisdiction of the FTA support the SMS efforts.



### *Safety Certification*

Safety Certification is the process of verifying that safety requirements are included as early as the planning phase through the life of a project, ensuring the safety of customers, employees, emergency responders, and the public to aid in establishing a proactive approach towards hazard mitigation.

OCTA requires the Safety Certification process to be performed for major projects, rehabilitating or modifying existing systems, or to replace vehicles and equipment. Once the need for Safety Certification is identified, the process becomes part of the project, beginning with the preparation of the project specification and the design contracts. Safety objectives are considered during all activities of a project. Safety objectives include but are not limited to:

- Establish a formalized process that is sufficiently documented to verify compliance with safety requirements;
- Ensure safety is an integral part of the design, procurement, construction, testing, and operations;
- Ensure safety decisions are made by appropriate Project Managers, committees, and responsible contractors;
- Ensure any safety hazards and vulnerabilities that become apparent during reviews, audits, inspections, or system testing are resolved, either by redesign, use of safety/warning devices, or by implementation and enforcement of special procedures; and
- Ensure affected outside response agencies, including fire and police departments, are prepared to respond.

### **7.3 Accident Notification, Investigation, and Reporting 673.27 (b)(3)**

Effective accident/incident investigation and reporting is key to identifying and eliminating hazards to prevent reoccurrence. To minimize and control the threat to life, health, and property, it is essential all appropriate parties be notified of an accident/incident as quickly as possible to ensure a timely response to the scene. Accident/incident reporting and investigation shall be conducted to ensure all accidents/incidents are investigated objectively with the goal of determining causal factors and contributing causal factors.

OCTA's Incident and Injury Investigation policy provides investigation criteria and guidelines for incidents that result in property damage, occupational injuries, environmental damage, or similar unforeseen harmful events. OCTA has an accident notification system (NOTO), Everbridge, which sends an email notification to key organizational personnel, including the Safety Department, regarding an incident or passenger/employee injury. When Central Communications gets a call notifying them of an incident or injury; Central Communications logs the call, generates an occurrence in OTS, and develops and distributes a NOTO. If necessary, in the event of an incident or injury, Emergency Response agencies will be dispatched immediately.

In the event of an accident/incident, a Field Supervisor has the responsibility to respond to the occurrence. The Field Supervisor will then report to his/her supervisor, who is responsible for notifying and updating the base management and Central Communications during the response



efforts. The report from the accident/incident or investigation is submitted to Base Management for review through the OTS. The reporting structure/responsibilities for accidents/incidence is outlined in OCTA's Employee Safety Responsibilities Matrix.

If during an onsite investigation/inspection, a concern arises that constitutes an immediate threat to safety, OCTA staff and management will halt the operation through "stop work authority" and respond immediately to reduce the safety hazard to an appropriate level using the safety risk mitigation processes. Any issues or findings are provided to the CSO and SMS Program Manager in writing for tracking safety performance and for inclusion in the quarterly SMS/PTASP Committee meeting report.

#### *Corrective Action Resulting from Accident Investigation*

Corrective Action Plans for accidents and incidents will follow the same procedures delineated in the Safety Risk Management section.

### **7.4 Drug and Alcohol Policy**

OCTA has implemented the Federal Transit Administration Regulations as set forth in 49 CFR Part 655 and require testing for prohibited substances in the case of transit accidents. OCTA's process for conducting such testing is delineated in the OCTA Drug and Alcohol Policy Manual.

### **7.5 Internal Safety Reporting Program Monitoring 673.27 (b)(4)**

OCTA currently records and reports safety data from operations and facilities to the CSO and SMS Program Manager; the data is recorded and reported to the SMS/PTASP Committee. The SMS Program Manager monitors the safety data for performance measurement and trending. Further, in accordance with the FTA NTD Safety and Security Policy Manual, the OCTA data is recorded and reported in accordance with federal regulations.



### *Internal Safety Audits*

OCTA's current internal audit process is a proactive approach that verifies safety programs have been developed, implemented, and are effective. The internal audit process assesses the effectiveness of safety programs; identifies process deficiencies; identifies potential hazards in the operational system; identifies weaknesses in system safety programs; verifies prior corrective actions are being tracked for closure and evaluates their effectiveness; recommends system safety improvements; provides management with an assessment of the system safety program; and assures continuing evaluation of safety-related programs, issues, awareness, and reporting. OCTA's SMS practices and processes may be evaluated in whole or in part, during regularly scheduled internal audits and according to OCTA's Board approved audit plan.

OCTA will conduct its own independent audit of the PTASP and SMS practices according to the SSOA schedule and requirements, using adequately trained SMS staff, consultants, or contractors. OCTA will also participate in the FTA triennial reviews, providing trained and knowledgeable staff and/or consultants in SMS, OCTA's operational processes, and appropriate documentation of such processes, as requested by reviewers.

### **7.6 Management of Change 673.27 (c)**

Stimuli for system changes and modifications originate both internally and externally and those changes may introduce new hazards and safety risks into transit operations. In either case, appropriate staff are assigned responsibility for managing and implementing the change and evaluating the change through the Safety Risk Management Process. This process demands coordination and cooperation within and between OCTA divisions, departments, and relevant outside agencies and organizations.

OCTA is establishing a process where all proposed changes will flow through the Change Control Committee and this process will be in accordance with OCTA's Configuration Management Policy.

The Configuration Management Policy sets up a Change Control Committee that meets monthly, or as needed, to evaluate proposed and/or potential changes affecting OCTA systems; these changes include those affecting system reliability, system maintainability, system upgrades, system expansions, ability to share information with other systems, and the ability to integrate with other systems. The Configuration Management Committee discusses project status, planned future projects, new business and assignments, safety impacts, potential hazards, and other relevant topics. The Configuration Management process accommodates changes and ensures documents, records, and data remain concise and valid.

It is important that safety requirements are included as early as the planning phase through the life of a project, ensuring the safety of customers, employees, emergency responders, and the public is considered. Safety objectives are incorporated into all projects in accordance with the Configuration Management Policy.



## **7.7 Continuous Improvement 673.27(d)**

Evaluation of the SMS is necessary to ensure it effectively and efficiently allows OCTA to meet safety objectives and performance targets. OCTA uses the data and information collected from the subcomponents in this Safety Assurance section while conducting safety performance monitoring to address any identified deficits in SMS organizational structures, processes, and resources in a timely manner. OCTA strives for continuous improvement and recognizes this is a dynamic process and significant efforts within Safety Assurance and Safety Promotion are required to improve systems and practices to comply with SMS standards.

### *Data Analysis and Tracking*

Safety-related data is collected, compiled, organized, stored, and maintained by individual departments, the data is then reported to, and analyzed by, the SMS Program Manager. Further, the information gathered during this process is reported to the PSMS/PTASP Committee by the SMS Program Manager and used by OCTA to identify hazards through trend analysis. If a trend is identified through the analysis, the trend is further investigated to determine the causes and tracked through resolution by the responsible department and the SMS Program Manager. Moreover, tracking of hazard-related data is used to identify trends; trends are further analyzed and/or investigated to determine causal factors. Identified hazards are categorized with corrective action recommendations. Corrective actions are tracked within the responsible department to closure using a hazard tracking log and reported to the SMS Program Manager.

### *Procurement Risk Mitigation*

OCTA's Procurement Policy describes procedures to guide staff members, potential vendors, contractors, and suppliers with respect to procurement activities taken on behalf of OCTA, recognizing safety and asset protection as core business values.

Equipment, materials, and professional services for use by OCTA are procured based on safety and industry specifications provided by the user department. OCTA policies and procedures require management authorize all purchases. Requisitions are reviewed by the associated management of the requesting department for safety specifications and efficient and effective usefulness. Larger purchases require a contract developed under supervision of an associate management and are subject to approval by the Board. This assures all essential specification requirements, applicable standards and restrictions are included in the contract terms. Purchasing personnel are not authorized to modify the specifications or grant exceptions.

In its effort to ensure the procurement process considers and evaluates the safety aspects of services, equipment, and other materials obtained, OCTA includes safety specification requirements in all technical specifications and contracts. The Procurement Department requires all safety related purchase requests be reviewed and approved by the Project/Procurement Manager in consultation with the Safety Department.



### *Transit Asset Management (TAM)*

TAM is a business model used to guide the prioritization of funding based on the condition of assets. TAM defines State of Good Repair as the condition of an asset to operate at full performance level: able to perform its designated function, does not pose an unacceptable safety risk, and its lifecycle investments have not been met or recovered. OCTA has adopted TAM as the official, institutional approach in managing infrastructure assets, making capital investment and operational expenditure decisions, and considers the results of its condition assessments while performing safety risk management and safety assurance activities. TAM data is provided to the SMS Program Manager for inclusion in the monthly SMS/PTASP Committee meeting agenda.



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**8. SAFETY PROMOTION (673.29)**

Safety Promotion fosters a positive safety culture and improves safety performance by increasing safety awareness through training and communication. Appropriate training for all employees regardless of their position within OCTA, provides knowledge for a successful SMS. Through communication of lessons learned and safety performance data, employees are made aware of safety priorities and concerns as they relate to their individual job tasks and the entire OCTA organization. Developing a safety culture requires regular training and ongoing promotion. The activities below must be continually implemented, reviewed, and updated.

**8.1 Safety Training Program 673.29 (a)**

With the implementation of the PTASP and SMS, OCTA has adopted a training program to ensure all employees are aware of the PTASP and SMS responsibilities. New employees will be trained while attending new employee orientation/onboarding and current employees will undergo SMS/PTASP familiarization training. All employees will sign-off verifying they have been trained in the SMS process and understand their role and responsibility.

Employees at all levels of the Agency need to understand 1) what SMS is, 2) how it supports OCTA's mission, and 3) what their specific individual SMS responsibilities are. OCTA has developed criteria to identify and provide skills training related to safe job performance to include initial and refresher training for all relevant job functions. Training includes measures for ensuring employees are competent to perform their safety-related duties.

OCTA has robust safety training programs including, but not limited to, the following:

- Student Coach Operator Training (SCOT)
- Operations new hire training
- Annual Required Training (ART)
- CAL/OSHA required training
- OCTA CORE 11 Safety Training
- Retraining based on performance deficits
- Maintenance new hire and ongoing training
- Maintenance tailgate meetings
- Safety Spotlights

Employees receive training related to the employee safety-reporting program during initial orientation training and are encouraged to use the identified mechanisms to report safety hazards, near misses, concerns, and issues. Bus operator and vehicle maintenance employee training programs provide opportunities for delivering SMS related training. OCTA's six-week formal new-hire bus operator training program curriculum includes classroom and behind-the-wheel training. Operator and mechanic training includes an eight-hour ART program to meet the requirements of a commercial driver's license. Maintenance employees receive extensive training



at hire and aggressive ongoing skills development training and refresher training on safety-related topics.

All SMS/PTASP safety-related classroom and on the-job-training is appropriately documented within individual employee safety training records and can be accessed through the Learning Management System (LMS) and Records Management. Training documentation for operators and mechanics is kept within the individual departments and mandatory administrative training is documented through Halogen LMS software. All training records can be accessed upon request.

OCTA evaluates the effectiveness of its safety-related training through departmental inspections, compliance assessments, and audits. All formal training processes shall be reviewed and audited periodically, when an accident investigation lists training as contributory, when training becomes suspect during any hazard analysis process, or when summary student test scores indicate low instructional effectiveness. All training classes, training manuals, and lesson plans are subject to review and audit.

Safety-related training curriculum for all employees is updated to reflect new techniques, technologies, and results of investigations, corrective actions, and regulatory changes. OCTA provides training to employees on new equipment, technologies, and regulatory changes as necessary.

#### *Emergency Response Planning, Coordination, and Training*

The Security and Emergency Preparedness Department is responsible for providing a safe and secure environment with an “All-Hazards” approach based on preparedness, protection, response, and recovery. The Department ensures OCTA is compliant with required employee training in the National Incident Management System and the 9/11 Commission Act.

Operations managers are responsible for training employees on evacuation procedures, facility emergency management organization, emergency resources, response protocols of local response agencies, and the SMS.

#### *Contractor Safety*

Contractors are required to comply with all applicable State and Federal Regulations and those established by OCTA. Each contractor is responsible for and shall comply with all safety, fire, security policies, procedures, and safe work practices, as well as any other appropriate safety procedures specified in the contract. OCTA reserves the right to audit training activities at its discretion.

### **8.2 Safety Communication 673.29 (b)**

OCTA has developed quantifiable goals to ensure performance can be tracked, evaluated, and measured for continued improvement and success. OCTA has established effective safety communication activities to ensure all employees and contractors are aware of the following goals and responsibilities:



- Continue growth and development of all OCTA SOPs, Policies, and Plans on an annual basis to ensure they reflect the current operating environment;
- Continue to grow SMS, allowing OCTA to systematically identify safety hazards, mitigate risk and reduce fatalities and injuries resulting from transit operations;
- Reduce the injury incidence rate by minimizing exposure to unsafe conditions and reducing hazardous employee behavior;
- Provide a safe and efficient transit operation by ensuring that all vehicles, equipment and facilities are regularly inspected, maintained and serviced as needed; and
- Achieve 100 percent of scheduled routine inspections, preventive and regular maintenance work is completed on time, and essential repairs addressed in a designated time.

Further, OCTA ensures employees and contractors are mindful of SMS responsibilities, processes, activities, and tools relevant to their responsibilities through the following communication platforms:

- Employee Safety Reporting;
- Safety meetings;
- Union meetings;
- Coach operator quarterly meetings with supervisors and managers;
- OCTA Intranet; newsletters, safety bulletins, audio-visual monitors in break rooms;
- Signage;
- Operator log-in messages;
- Text message alerts;
- Radio supervisor communication with operators;
- One-on-one communication between supervisors and frontline employees;
- Daily Maintenance Tailgate meetings;
- Meetings with contractors;
- Committee meetings;
- Safety emails and notifications;
- Safety captains;
- Base television displays and bulletin boards;
- Safety campaigns;
- Intranet postings.

As part of the SMS program, the SMS Program Manager collects data to provide performance reports and trend analysis to the SMS/PTASP Committee, to include: the types of safety actions taken, why safety procedures have been introduced or changed, and information related to significant accident and incident investigation outcomes. OCTA communicates employees' responsibilities in OCTA Staff Safety Roles and SMS Responsibilities Matrix, Appendix B.

### **8.3 SMS Documentation and Records 673.11 (c), 673.31**

OCTA must at a minimum, maintain documents that set forth its PTASP, including those related to the implementation of its SMS, and results from SMS processes and activities. As part of



673.31 (d), OCTA will maintains all documentation regarding SMS and PTASP, including results. The documentation will be available upon request by the FTA or other federal entity having jurisdiction and to auditors. OCTA's SMS documentation will be maintained for three years, in accordance with FTA requirements and OCTA's Records Management.

OCTA has set up a SharePoint site application for all PTASP/SMS recordkeeping. The SharePoint site application allows for ease of document review, sharing, control, and archiving PTASP/SMS documents between authorized/applicable personnel. Documents on the SharePoint site may include but are not limited to: Draft and Final PTASP, meeting agendas, meeting minutes, audit reports, Emergency Management Plan, PTASP related correspondence, data reports, hazard analyses, corrective action logs, training, etc.



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**APPENDIX A  
IMPLEMENTATION ACTIONS**

**2020 IMPLEMENTATION ACTIONS**

<b>PTASP/FTA Code</b>	<b>Action Item</b>	<b>Timeline</b>	<b>Responsible Person / Group</b>
673.23	Establish and implement PTASP/SMS Committee	Q1	HSEC/Planning
673.23	Establish safety performance targets and objectives	Q1	PTASP/SMS Committee
673.23	Engage the Contracted Services Management in PTASP expectations/requirements	Q1	HSEC / Operations
673.31	Establish a Documentation Control/Management System (Records Management)	Q1	Information Systems / HSEC
673.23	Implement PTASP through the Board of Directors	Q2 (May)	CEO/Planning/HSEC/Operations
5323	Submit Certification of Assurance to the FTA	Q2 (July)	Finance and Administration / Government Affairs / HSEC
673.23	Safety Management Policy Communication – existing and new employees	Q2	HSEC / HR / Operations
673.29	Establish SMS communication tools and strategy	Q3	HSEC / External and Internal Communications
	Expand on existing hazard reporting systems to include anonymous reporting	Q3	IS / HSEC / Operations
673.25	Identify and implement a Risk Assessment process (All new hazards)	Q4	PTASP/SMS Committee / Operations / HSEC
673.27	Establish a hazard/risk mitigation monitoring process	Q4	PTASP/SMS Committee / Operations / HSEC
673.27	Establish a single data depository for safety and SMS data <ul style="list-style-type: none"> <li>- Create dashboard for summary and real time analysis</li> <li>- Safety performance monitoring and measuring</li> </ul>	Q4	Information Systems / HSEC / Operations
673.29	Identify and establish SMS training requirements for OCTA staff and contractors	Q4	HSEC / Learning & Development / Operations
673.27	Conduct a safety culture survey to assess existing status	Q4	HSEC / HR



**2021-2023 IMPLEMENTATION ACTIONS**

PTASP/FTA Code	Action Item	Timeline	Responsible Person / Group
673.27	Annual PTASP review and updates	Q2 2021 (June)	CEO / Chief Safety Officer / SMS/PTASP Committee
673.23	Incorporate OC Streetcar into the PTASP and submit draft to the CPUC for review/approval	Q2 2021 (April)	HSEC / Operations
673.23	Submit updated PTASP through the Board of Directors to OC Streetcar detail	Q2 2021 (July)	CEO / HSEC / Operations
673.27	Independent PTASP/SMS audit utilizing contractor, consultant, or other organization	Q2 2022 (June)	HSEC / Internal Audit
673.25	Complete a formal risk analysis for existing operational hazards	Q4 2022	HSEC / Operations
673.27	FTA Triennial Review to include PTASP/SMS	Q4 2022	Government Relations / HSEC / Operations



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**APPENDIX B  
HAZARD MANAGEMENT PROCESS-IDENTIFICATION/ANALYSIS**

OCTA facilities require System Safety be effective in helping identify and minimize hazards, in a mature operational environment. Hazardous conditions are identified, investigated and resolved to an acceptable level. The PTASP, this Hazard Identification/Analysis Process document, and the associated system safety tasks, provide for a method of identifying, analyzing, assessing, and resolving conditions or circumstances that are deemed to present a threat to the safe operation of OCTA transit system.

This Hazard Analysis document incorporates proven methods of tests and inspections employed by each OCTA division and department, enabling the examination of all aspects of operation and review of their interdisciplinary ramifications. This provides management with hazard and risk visibility and the causes and effects of potential accidents. In addition, continual monitoring verifies the total system, including but not limited to patrons, the public, employees, contractors, equipment, the environment; OCTA maintains an acceptable level of safety, and that potential hazards do not exist in operational areas previously determined to be safe.

Hazard identification and resolution is a core element of the PTASP and this Hazard Identification/Analysis document, emphasizing timely correction of unsafe conditions, anticipated and reconciled before serious accident, injury, or damage occurs. To ensure it provides as safe and reliable transportation services as possible, OCTA has established a process by which hazards are identified, analyzed for potential impact on the operating system, and resolved in a manner acceptable to OCTA's management and applicable regulatory agencies.

OCTA management, staff, contractors, and suppliers are required to implement high standards of safety and system assurance throughout the design, construction, testing, and operational phases of OCTA's projects. Hazards, which cannot be eliminated in the design, are to be controlled by safety devices, warning devices, training, and/or written procedures to prevent mishaps. Most hazards are identified in the field, reported, and entered in reports. These hazards are addressed by the responsible departments through routine corrective measures and do not require special attention.

**Hazard Identification**

Hazard identification is accomplished as Department Managers collect and analyze data to monitor trends. Unless additional resources are requested, the Department Manager investigates and resolves all hazards within their department. OCTA Department Managers review reports daily from the previous days' operation. Immediate corrective action is initiated when appropriate; otherwise, data is evaluated and used to set the agenda for the next PTASP/SMS Committee meeting. The SMS Program Manager prepares a trend analysis report for PTASP/SMS meeting. Trend analysis reports are reviewed at PTASP/SMS Committee meetings. Additionally, each Department Manager reviews departmental reports and shift change briefings for the previous operational period and makes a similar evaluation for their department.



OCTA documents hazards that develop through multiple sources, such as: accidents, incidents, and leading indicators. OCTA also evaluates hazards to determine if multiple events occurred leading up to an event. This ensures each possible cause is evaluated and documented for trending purposes. To address hazards resulting from system extensions or modifications, operational and other changes, safety analyses included in design and procurement contracts will provide for:

- Identification of potential hazards;
- Assessment of the severity and probability of occurrence of each potential hazard;
- Timely awareness of hazards for those who must resolve them; and
- Tractability and control of hazards through all phases of a project's life cycle.

### *Hazard Investigation and Reporting*

Hazards which are not resolved at the operating, maintenance, or other front-line department level are appropriately investigated by the CSO, assisted by the responsible Operations Department. Investigation findings are documented and reported to the CSO for resolution.

### **Safety Risk Assessment**

Hazard severity categories are defined to provide a qualitative measure of the worst credible mishap resulting from personnel error; environmental conditions; design inadequacies; and procedural deficiencies for a system, subsystem, or component failure or malfunction. The probability a hazard will occur during the planned life expectancy of the system element, subsystem, or component can be described subjectively in potential occurrences per unit of time, event, population, items, or activity. A qualitative hazard probability may be derived from research, analysis, and evaluation of historical safety data from the same or similar systems. Supporting rationale for assigning a hazard probability are documented in hazard analysis reports.

The objective of hazard identification and analysis is to identify and define as many hazardous conditions as possible and enter them into the Hazard Resolution process before those conditions or associated actions cause or contribute to an accident. Although it is virtually impossible to identify every hazard, there are two basic time-tested methods for orderly identification of hazards: inductive and deductive. The inductive hazard identification method consists of an analysis of system components to identify their respective failure modes and the effects they will have on the total system. This method assumes the failure of single elements or events and, through analysis, determines the potential consequential effects on the system or subsystem. The techniques commonly used for inductive hazard identification include:

**Preliminary Hazard Analysis (PHA)** – is a semi-quantitative analysis performed to identify potential hazards and accidental events that may lead to an accident, rank the identified accidental events according to their severity, and identify required hazard controls and follow-up actions.

**Sub-System Hazard Analysis (SSHA)** – is a safety analysis tool for identifying hazards, their associating causal factors, effects, level of risk, and mitigation design measures.



**Operating Hazard Analysis (OHA)** - is performed to determine all applicable operational safety requirements for personnel, procedures, and equipment throughout all phases of the system life cycle. Engineering data, procedures, and instructions developed from other safety analyses, the engineering design, and initial test programs are all used to support this analysis. Operating hazards are generally resolved in preparation for operations by way of training, developing operating procedures, and developing emergency operating procedures.

These types of hazard analyses may also be utilized by OCTA during major capital projects, system modifications, system changes that require Safety / Security Certification, or as determined by the CSO.

The deductive hazard identification method involves defining an undesired effect or event and then deducing the possible conditions or system component faults (or combinations thereof) which are necessary to cause the undesired effect or event.

### **Hazard Analysis Methodology**

The hazard analysis methodology has two steps: evaluating hazard severity (categorizing the hazard) and evaluating hazard probability.

#### ***Hazard Severity***

OCTA assigns a hazard severity rating based on the definitions in MIL-STD-882E. It is a subjective determination of the worst case that could be anticipated to result from design inadequacies, human error, component failure or malfunction. The ratings are:

**Category 1, Catastrophic** - Operating conditions are such that design deficiencies, human error, element, sub system or component failure or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.

**Category 2, Critical** - Operating conditions are such that design deficiencies, human error, element, sub system or component failure or procedural deficiencies may cause severe injury, severe occupational illness or major system damage and require immediate corrective action.

**Category 3, Marginal** - Operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.

**Category 4, Negligible** - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies will result in less than minor injury, occupational illness or system damage.

Hazard severity categories are defined to provide a qualitative measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies, and procedural deficiencies for a system, subsystem or component failure or malfunction. It reflects the principle that not all hazards pose an equal amount of risk to personnel safety.



### *Hazard Severity Index*

HAZARD SEVERITY		
Category	Severity	Characteristics
1	Catastrophic	Death or system loss
2	Critical	Severe injury, severe occupational illness or major system damage
3	Marginal	Minor injury, minor occupational illness or minor system damage
4	Negligible	Less than minor injury, occupational illness or system damage

### *Hazard Probability*

The probability that a hazard will occur during the planned life expectancy of the system element, subsystem, or component can be described subjectively in potential occurrences per unit time, event, population, items or activity. A qualitative hazard probability may be derived from research, analysis and evaluation of historical safety data from the same or similar system. OCTA assigns a probability rating to a particular event or a specific hazard occurring during the planned life expectancy of the operating system. Supporting rationale for assigning a hazard probability is documented in hazard analysis reports.

### *Hazard Probability Index*

HAZARD PROBABILITY			
Description	Level	Specific Individual Event	Fleet/ Inventory
Frequent	A	Likely to occur frequently	Continuously experienced
Probable	B	Will occur several times in the system's lifecycle	Will occur frequently
Occasional	C	Likely to occur sometime in the system's lifecycle	Will occur several times
Remote	D	Unlikely, but possible to occur in the system's lifecycle	Unlikely, but can be expected to occur
Improbable	E	So unlikely it can be assumed occurrence may not be experienced	Unlikely to occur but possible
Eliminated	F	Eliminated	



***Hazard Categorization (Identified by Hazard Risk Index)***

Through the established process, OCTA will assess the level of risk for each identified hazard to determine what action(s) must be taken to correct or document the hazard risk. This risk assessment system is incorporated into the formal analysis which enables the CSO and CEO, if concurrence is necessary, to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, dollars, operations, etc.) to reduce the hazard to an acceptable level.

The Hazard Risk assesses the risk based upon hazard category and probability and the criteria for defining further actions based upon the index.

OCTA applies its collective, deductive reasoning and/or may utilize a method represented by MIL-STD-882E. The information is compiled, and any necessary statistics or trend information is entered into the permanent file.

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***Hazard Risk Index***

HAZARD RISK INDEX				
	1	2	3	4
Frequency of Occurrence	Catastrophic	Critical	Marginal	Negligible
(A) Frequent	1A	2A	3A	4A
(B) Probable	1B	2B	3B	4B
(C) Occasional	1C	2C	3C	4C
(D) Remote	1D	2D	3D	4D
(E) Improbable	1E	2E	3E	4E
(F) Eliminated	Eliminated			

When the Hazard Severity Index is combined with the Hazard Probability Index, the result is the Hazard Risk Index. Each Hazard Risk Index requires a specific level of action. Actions will be taken to eliminate identified hazards or reduce the associated risk. A hazard with a risk index of "Unacceptable" is not permitted and must be redesigned or modified to eliminate or minimize and control the hazard to a more acceptable level.



### *Hazard Acceptance Criteria*

HAZARD ACCEPTANCE CRITERIA			
Hazard Risk Index		Decision Authority	Special Conditions
	1A, 1B, 1C, 2A, 2B	Unacceptable	Requires review by CSO and Executive Director
	1D, 2C, 3A, 3B	Undesirable	Requires review by CSO and Executive Director
	1E, 2D, 2E, 3C, 3D, 3E, 4A, 4B	Acceptable with Review	Requires review by CSO
	4C, 4D, 4E	Acceptable	Determination made by Manager, No Review Required
	1F, 2F, 3F, 4F	Eliminated	Eliminated

### **Hazard Control and Elimination**

Before implementation of any corrective action, system safety analyses establish a hazard severity category (1 through 4) and a probability ranking (A through E) which are combined to form a Risk Index, reflecting both severity and probability of occurrence for each identified hazard. The range of possible Risk Indices is shown in the above Sample Hazard Evaluation, Analysis, and Resolution Matrix.

### *Hazard Risk Indices*

Risk assessment criteria will be applied to the identified hazards based on their estimated severity and probability of occurrence to determine acceptance of the risk or the need for corrective action to further reduce the risk.

Action will be taken to eliminate identified hazards or reduce the associated risk. Catastrophic and critical hazards will be eliminated, or their associated risk reduced to an acceptable level. If this is impossible or impractical, alternatives will be recommended for the appropriate decision-making Hazard Resolution and Control.

OCTA shall use the Hazard Resolution and Control process as described below. The process involves the analysis and corrective action taken to reduce the risk associated with an identified hazard to the lowest practical level. The order of precedence resolving identified hazards is as follows:

- **Design for Minimum Risk.** Design new facilities and equipment to eliminate hazards. If an identified hazard cannot be eliminated, its associated risks must be reduced to an acceptable level (see Risk Assessment Criteria) through the design selection.



- **Utilization of Safety Devices.** If an identified hazard cannot be eliminated, or its associated risk cannot be reduced through design selection, that risk must be reduced to an acceptable level using protective safety features or devices. Provision is made, and procedure is issued for periodic inspection and functional checks of safety devices.
- **Warning Devices.** When neither design nor safety devices can effectively eliminate identified hazards or reduce risk to an acceptable level, warning devices are used to detect the condition and produce an adequate warning signal to alert individuals to the hazard. Warning devices are standardized to minimize the probability of incorrect reaction of personnel to these warning signals.
- **Develop Special Procedures and Training.** When it is impossible or impractical to eliminate hazards through design selection or adequately reduce its associated risks through safety or warning devices, then approved procedures and special training programs are used. Procedures may include the use of personal protective equipment. Precautionary notations and warning signs are standardized. OCTA employees who perform critical tasks require certification of personal proficiency.

Warning, caution, and other forms of written advisories cannot be used as the only method of risk reduction for Category 1 (Catastrophic) and Category 2 (Critical) hazards.

Facility and system contract documents require that contractors/suppliers solve hazards in accordance with this list, in order of precedence. Specifications include the requirement for contractors/suppliers who provide system, subsystem or equipment during construction to establish and maintain a safety program. These programs, at a minimum, define objectives, tasks, procedures, schedules, and data submittal for the safety activities that are performed by the contractor/supplier. The safety program and supporting documentation are subject to review and approval by OCTA.

Hazards identified within the system are evaluated by the Safety Committee, appropriate staff and eliminated and controlled to a level acceptable to OCTA. As part of the hazard resolution process, reports summarizing status of safety issues and concerns are prepared and distributed to OCTA's management and other project participants for review and comment.

The Accountable Executive or CSO has authority to implement any change that has system safety implications. Accordingly, all hazard identification and analysis proceedings result in the issuance of a report by Safety to the Accountable Executive. The report is prepared by Safety and includes all pertinent data developed on the identified hazard. A recommendation achieved by consensus must be included, regardless of whether this recommendation is for a change in existing conditions or procedures, or for retention of the status quo. Any disagreement on the matter, or suggested negative ramifications of the recommendation, must also be included, to present as much information as possible to the Accountable Executive.

Hazards identified within the system are to be evaluated by appropriate staff and eliminated or controlled to an acceptable level. The following schedule has been developed to ensure the optimum level of safety is achieved through the expeditious resolution of hazards. All hazard levels



are reviewed by appropriate staff. In the event the hazard has been categorized as UNACCEPTABLE, the CSO is responsible for maintaining the necessary information, notifications and Corrective Action Plans.

HAZARD RESOLUTION SCHEDULE	
Criterion	Resolution Timetable
Unacceptable	Must be eliminated as soon as possible; there is no other option.
Undesirable	Must be resolved in 30 working days
Acceptable with review	Must be resolved in 30 working days
Acceptable	Notification within 30 working days
Eliminated	No notification required

### **Hazard Tracking**

OCTA will utilize a hazard tracking log which consists of the following information and is maintained by the CSO:

- Assigned hazard number;
- Date hazard identified;
- Hazard title;
- Hazard description;
- Sources from which it was identified;
- The element of OCTA's operation affected by the hazard;
- Initial hazard classification;
- Current hazard classification; and
- Corrective action plan.

The hazard tracking log is updated monthly or as requested. All captured data is analyzed for the identification of developing trends to ensure future safety risks/hazards can be mitigated and/or eliminated.



**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN  
FOR THE  
ORANGE COUNTY TRANSPORTATION AUTHORITY**

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**APPENDIX C**

**PTASP RELATIONSHIP TO OTHER FEDERAL REGULATIONS**

**Public Transportation Safety Program Rule- 49 U.S.C. § 5329**

The Public Transportation Safety Program Rule establishes substantive and procedural rules for FTA’s administration of the Public Transportation Safety Program authorized by 49 U.S.C. § 5329. The rule establishes FTA’s Safety Management Systems (SMS) approach to the development and implementation of the Safety Program. Further, it sets rules of practice for the FTA’s enforcement authority and describes the contents of a National Public Transportation Safety Plan.

*National Public Transportation Safety Plan (NPTSP)- section 5329(b)*

Through the NPTSP, the FTA has adopted the principles and methods of SMS as the basis for enhancing the safety of public transportation in the United States. The NPTSP is a policy document, communications tool, and a repository of standards, guidance, best practices, tolls, technical assistance, and other resources.

OCTA’s PTASP was written in accordance to the Public Transportation Safety Program Rule and the NPTSP was a core document in outlining OCTA’s SMS.

**Public Transportation Agency Safety Plan (PTASP) Rule- 49 CFR Part 673**

The Federal Transit Administration (FTA) published a final rule for PTASP as authorized by the Moving Ahead for Progress in the 21st Century Act (MAP-21). This final rule requires States and certain operators of public transportation systems that receive Federal financial assistance under Urbanized Area Formula Program (49 U.S.C. § 5307) to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). Transit operators must certify they have a safety plan, meeting the requirements of the rule, in place by July 20, 2020. OCTA is on schedule to meet the July 20, 2020 deadline and, to remain compliant, will review and revise the Plan annually and have it certified by the OCTA Board.

The safety plan requirements for rail transit agencies under FTA’s original State Safety Oversight Rule (49 C.F.R. Part 659) implemented system safety through 21 specific requirements for System Safety Program Plans (SSPPs). The major focus of system safety is to integrate risk management into the overall system engineering process rather than addressing hazards as day-to-day operational considerations. The PTASP replaces the current OCTA BSSPP. Once the “OC Streetcar” is in operation in 2022, OCTA will be fully responsible to the requirements and for having related practices reviewed by the appropriate State Safety Oversight program.

**State Safety Oversight (SSO) Rule- 49 CFR Part 674**

On March 16, 2016, FTA issued a final rule for State Safety Oversight (SSO) to oversee the safety of rail fixed guideway public transportation systems, and entities that own or operate rail fixed



guideway public transportation systems with Federal financial assistance authorized under 49 U.S.C. Chapter 53.

The State Safety Oversight Agency (SSOA) has authority to review, approve, oversee, and enforce the Public Transportation Agency Safety Plan for a rail fixed guideway public transportation system required by 49 U.S.C. 5329(d). The SSOA has investigative and enforcement authority with respect to the safety of all rail fixed guideway public transportation systems within the State.

Once the OC Streetcar initiates revenue operations, at least once every three years, the SSOA will audit OCTA's compliance with the Public Transportation Agency Safety Plan required by 49 U.S.C. 5329(d). At least once a year, the SSOA reports the status of the safety of each rail fixed guideway public transportation system to the Governor, the FTA, and the Board of Directors, or equivalent entity, of the rail fixed guideway public transportation system. The FTA will audit each State's compliance at least triennially, consistent with 49 U.S.C. 5329(e)(9).

### **Transit Asset Management (TAM) Rule- 49 CFR Part 625**

Through the implementation of its TAM Plan, required under 49 C.F.R. Part 625, OCTA can consider the results of its condition assessments while performing safety risk management and safety assurance activities. The PTASP final rule applies to only Section 5307 recipients and sub-recipients, and the TAM rule applies to all operators of public transit. However, the two plans can support one another by providing useful data for agency use and NTD reporting.

The results of TAM condition assessments, and subsequent SMS analysis can help prioritize a transit agency's TAM Plan elements. Condition assessments help identify potential safety issues, which could undergo a safety risk assessment as part of Safety Risk Management (SRM). Further, TAM data and analysis can also be used for performance monitoring and measurement as part of Safety Assurance. Results of safety risk assessments and safety performance monitoring and measurement can guide the prioritization of an asset for repair or replacement. OCTA is responsible for both the TAM Plan and the PTASP and can benefit by coordinating efforts and data.

### **Public Transportation Safety Certification Training Program Rule- 49 CFR Part 672**

The Safety Certification Training Program establishes a curriculum and minimum competencies for Federal, SSOA personnel and contractors who conduct safety audits and examinations of rail fixed guideway public transportation systems, and for designated transit agency personnel and contractors who are directly responsible for safety oversight of a recipient's rail fixed guideway public transportation systems. The final rule for the Safety Certification Training Program replaces an interim program which became effective on May 28, 2015. OCTA should continue to educate individuals whom are directly responsible for SMS or are directly responsible for safety oversight to ensure compliance.



### National Transit Database (NTD) Rule 49 U.S.C 5335(a)

Transit agency's receiving funding from the Urbanized Area Formula Program (5307) or Rural Formula Program (5311) are required to submit data to the NTD in uniform categories. OCTA submits reports to NTD each fiscal year. The PTASP rule and NTD reporting rule are related, as both rules require OCTA to track data based on the same data points; fatalities, injuries and safety events per total revenue vehicle mile by mode, with the additional requirement of mean distance between major mechanical failures.

The following table is a summary of FTA safety regulations, which impact the PTASP, requiring OCTA compliance.

#### FTA SAFETY REGULATIONS

Regulation	Overview
Public Transportation Safety Program Rule CFR Part 670	Establishes the procedural rules for enforcement of FTA's safety programs.
National Public Transportation Safety Plan 49 U.S.C. 5329	Manages the safety risks and safety hazards within public transportation systems.
Public Transportation Agency Safety Plan 49 CFR Part 673	Requires transit agencies to develop and implement safety plans based on SMS principles, performance targets.
State Safety Oversight 49 CFR Part 674	Strengthens state oversight of rail transit systems.
Transit Asset Management 49 CFR 625	TAM Plan establishes state of good repair performance measures and targets NTD reporting.
Public Transportation Safety Certification Training Program 49 CFR Part 672	Establishes training curriculum to ensure basic level of safety-related competency for rail transit system auditing and oversight.
National Transit Database 49 U.S.C. 5335(a)	Reporting system, using uniform categories to accumulate public transportation financial, operating, and asset condition.

Source: <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/regulations-and-guidance>



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**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN  
FOR THE  
ORANGE COUNTY TRANSPORTATION AUTHORITY**

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**APPENDIX D**

**REFERENCED AND RELATED DOCUMENTS**

Configuration Management Policy  
Continuity of Operations Plan (COOP)  
Drug and Alcohol Policy  
Drug and Alcohol Policy Manual  
Ethicspoint Policy  
Emergency Operation Plan (EOP)  
Hazard Identification/Analysis  
Injury and Illness Prevention Program  
Internal Audit Policy  
NTD Reporting Policy  
Procurement Policy  
Records Management Policy  
System Security and Emergency Preparedness Plan (SSEPP)  
Safety Review Process  
SMS/PTASP Committee Policy  
Transit Asset Management Plan





COMMITTEE TRANSMITTAL

May 11, 2020

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

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

**Subject:** Regional Planning Update

Regional Planning and Highways Committee Meeting of May 4, 2020

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

**Absent:** None

**Committee Vote**

Following the roll call vote, this item was declared passed 6-0 by the Members present.

Director Bartlett was not present to vote on this item.

**Committee Recommendation**

Receive and file as an information item.





**May 4, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Regional Planning Update

### **Overview**

Regional planning updates are provided periodically to highlight transportation planning issues impacting the Orange County Transportation Authority and the Southern California region. This update focuses on federal rulemaking regarding fuel efficiency and greenhouse gas emission standards, the Southern California Association of Governments' 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy, and the California Department of Transportation's approach to evaluating transportation impacts under the California Environmental Quality Act.

### **Recommendation**

Receive and file as an information item.

### **Background**

The Orange County Transportation Authority (OCTA) regularly coordinates with other planning and regulatory agencies within the Southern California region. This coordination is conducted at many levels, involving the OCTA Board of Directors (Board), executives, and technical staff. Some examples of the coordination through regional planning forums in which OCTA participates include:

- Southern California Association of Governments (SCAG) Regional Council, policy committees, and technical working groups;
- State Route 91 Advisory Committee;
- Regional Chief Executive Officers meetings;
- South Coast Air Quality Management District working groups; and
- Interregional planning coordination meetings (OCTA, SCAG, the San Diego Association of Governments [SANDAG], and the California Department of Transportation [Caltrans] districts 7, 11, and 12).



Staff most recently provided a regional planning update to the OCTA Board in September 2019. The current status of items previously presented and other ongoing regional planning activities is provided in Attachment A, which includes a matrix that identifies lead agencies, a summary of each activity, key dates, OCTA's interests, and current involvement.

Since the September update, new activities have emerged concerning rulemaking for nationwide fuel efficiency and greenhouse gas (GHG) emission standards, SCAG's 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS), and Caltrans' approach to evaluating transportation impacts under the California Environmental Quality Act (CEQA). A discussion of each of these new activities is provided below.

### ***Discussion***

#### **The Safer Affordable Fuel Efficient (SAFE) Vehicles Rule for Model Years 2021-2026 Passenger Cars and Light Trucks**

On August 24, 2018, the United States Department of Transportation's National Highway Transportation and Safety Administration (NHTSA) and the U.S. Environmental Protection Agency (EPA) jointly issued "The SAFE Vehicles Rule for Model Years 2021-2026 Passenger Cars and Light Trucks." This proposed rule was designed to roll back previously established federal Corporate Average Fuel Economy (CAFE) and vehicle GHG emission standards.

On September 27, 2019, NHTSA and EPA jointly issued the "One National Program" (Part One Rule) to finalize elements of the proposed SAFE Vehicles Rule. Effective November 26, 2019, the Part One Rule affirms NHTSA's statutory authority to set nationally applicable fuel economy standards that preempt state and local programs. Additionally, under the Part One Rule, EPA withdrew the Clean Air Act (CAA) preemption waiver that it granted to the State of California. The waiver had allowed California to set its own, more stringent standards governing vehicle GHG emissions.

Due to the withdrawal of the waiver, California can no longer apply CARB's Emission Factor (EMFAC) model to demonstrate that California's transportation plans conform to CAA standards. Conformity of the transportation plans with CAA is a precondition to access federal transportation funds, which are derived from federal fuel excise taxes.

To address the issue, CARB released adjustment factors to account for the impact of the Part One Rule. These adjustments can be applied to emission outputs from the EMFAC model to account for the impact of the Part One Rule. On March 5, 2020, CARB officially submitted the off-model adjustment factors to EPA.



EPA affirmed the continuing use of EMFAC for transportation conformity determinations with CARB's EMFAC adjustment factors in California on March 12, 2020. The Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) have since resumed their review and approval of new transportation conformity determinations.

On March 30, 2020, NHTSA and EPA jointly issued final rules (Part Two Rule) to amend and establish new GHG emissions and CAFE standards. Specifically, EPA is amending GHG emission standards for model years 2021 and later, and NHTSA is amending CAFE standards for the model year 2021, and setting new CAFE standards for model years 2022-2026. The final rules would require automakers to increase the average fuel economy of passenger vehicles by one and a half percent annually, compared with the previously established five percent annual increase.

The EMFAC off-model adjustment factors only account for the impact of the Part One Rule, not the pending Part Two Rule. The Part Two Rule will use the same 60-day effective date upon publication in the Federal Register as the Part One Rule. Since the Part Two Rule has emission impacts, it is anticipated to require further adjustments to the EMFAC emission model that need to be developed and approved by EPA, potentially delaying new transportation conformity determinations and plans/projects, which rely on those determinations. This issue is under discussion by state and regional agencies, and more information will be provided in future reports.

### SCAG's 2020-2045 RTP/SCS

The RTP/SCS documents major transportation investments in the SCAG region over a minimum 20-year horizon and is required to be updated every four years under state and federal law. On May 7, 2020, the SCAG Regional Council is scheduled to adopt the 2020-2045 RTP/SCS. The previously scheduled adoption date of April 2, 2020, was postponed as a result of the public health directive limiting public gatherings due to the novel coronavirus (COVID-19) pandemic and SCAG Regional Council rules (at the time) that did not allow for Regional Council meetings to be held via teleconference and/or videoconference.

Upon adoption by the SCAG Regional Council, SCAG staff will submit the RTP/SCS and their initial conformity determination to FHWA and FTA for review and approval, as required under the federal CAA. The review consists of a finding by FHWA and FTA that all conformity requirements have been met, including those regarding the acceptability of funding assumptions, emission analyses, and demonstration of timely implementation of transportation control measures. Given the uncertainty raised by the SAFE Part Two Rule and the typical federal review process timeframe of approximately 60 days, SCAG is seeking an expedited FHWA and FTA approval before June 2, 2020, when the



region's current transportation conformity determination expires. Without a positive conformity finding, many projects throughout the region would face significant delays, and the region could eventually face sanctions that limit funding and project implementation. The ability of the region to access new federal funding opportunities can also be affected due to a lack of a conformity determination.

SCAG staff is also required to submit the RTP/SCS to CARB for a technical review of the SCS element. This review focuses on the strategies and assumptions used to demonstrate how the SCAG region's GHG emission reduction targets can be met. The targets represent a per capita GHG emission reduction from 2005 levels and are currently set for the SCAG region at an eight percent reduction by 2020, and a 19 percent reduction by 2035. The RTP/SCS employs a mix of specific projects and regional strategies beyond the projects submitted by the county transportation commissions to demonstrate GHG emission reductions. It is anticipated that by June 2020, CARB will accept SCAG's determination that the RTP/SCS meets the reduction targets.

On December 9, 2019, the Board approved a set of staff comments on the draft 2020-2045 RTP/SCS that were submitted to SCAG. The draft RTP/SCS incorporated the projects and commitments identified in OCTA's 2018 Long-Range Transportation Plan (LRTP). However, the OCTA comment letter (Attachment B) focused on the regional strategies and assumptions developed by SCAG to demonstrate GHG emission reductions that go above and beyond the projects submitted by the county transportation commissions. These include the assumptions for new revenue sources, passenger rail service expansion assumptions, regional express lanes, and other investments beyond the LRTP. Additionally, the letter recommended that mapping of high-quality transit areas be refined to reflect areas of transit accessibility accurately.

SCAG staff acknowledged OCTA's concerns and, where feasible, made appropriate modifications for the final RTP/SCS. SCAG's responses to OCTA's comments are provided in Attachment C. It should be noted that OCTA's projects, including Measure M2, are reflected in the final RTP/SCS. Additionally, the RTP/SCS demonstrates conformity with the federal requirements (through SAFE Part One Rule) and state GHG emission reduction targets.

#### Caltrans SB 743 (Chapter 386, Statutes of 2013) Implementation

In January 2019, the California Natural Resources Agency finalized updates to the CEQA Guidelines, including the incorporation of SB 743. SB 743 changes the focus of transportation impact analysis in CEQA from measuring impacts to drivers (congestion), to measuring the impact of driving (vehicle miles traveled). The change is being made by replacing the level-of-service (LOS) analysis metric for congestion with a vehicle miles of travel (VMT) metric. It also provides a streamlined review of land use and transportation projects that will help reduce



future VMT growth. This shift in transportation impact focus is intended to better align transportation impact analysis and mitigation outcomes with the state's goals to reduce GHG emissions, encourage infill development, and improve public health through more active transportation investments. July 1, 2020, is the effective statewide implementation date, and agencies may opt-in use of the new metrics earlier, if desired.

In December 2018, the Governor's Office of Planning and Research (OPR) developed recommendations regarding assessment of VMT, thresholds of significance, and mitigation measures. For land-use projects, OPR identified VMT per capita, VMT per employee, and net VMT as new metrics for transportation analysis under CEQA. For transportation projects; however, lead agencies for roadway capacity projects have discretion to choose which metric to use to evaluate transportation impacts.

Caltrans has chosen to use VMT as the CEQA transportation metric for projects on the state highway system and are developing guidance that provides:

- A phase-in process that avoids reanalysis of certain projects already undergoing CEQA environmental analysis and project delay;
- Clarification of the type of projects requiring detailed VMT analysis;
- Identification on acceptable mitigation, including but not limited to, VMT banking, regional investment programs, and exchange mechanisms;
- Quantification tools for VMT, including induced travel and methodology for VMT-based analyses; and
- Clarification on safety and operations analysis, including tools to assess safety impacts, which could include use of LOS as an input for the safety analysis.

There are many concerns and unresolved issues with Caltrans' proposed approach to transportation impacts under CEQA. Caltrans is deviating from standard CEQA practices for evaluating project impacts. Caltrans would also require use of a generic statewide tool for analyzing project impacts, rather than a validated local travel demand model that complies with state and federal congestion management program requirements. This proposed approach would likely show significant impacts for just about any state highway capacity project in Orange County. This would result in more Environmental Impact Reports (rather than simpler and less costly environmental documents) and would require investment in all feasible mitigation measures to reduce VMT, which could significantly increase costs to taxpayers. Additionally, Caltrans' proposal does not clearly address the possibility of subarea agencies (like OCTA) developing program-level environmental documents that may help to streamline project implementation. This may be an oversight, but it should be addressed.



Comments on Caltrans' proposed guidance are due June 15, 2020. OCTA continues to engage with Caltrans as they refine the guidance and is coordinating with SCAG, SANDAG, and the other county transportation commissions on the overarching concerns for our region. Further, OCTA is providing support to Orange County local agency efforts to prepare revised local transportation impact analysis tools that address SB 743 requirements.

**Summary**

Staff continues to coordinate ongoing activities regarding transportation planning in Orange County and Southern California. As drafts of these planning documents are released, staff will review and provide comments as needed to protect the interests of OCTA. Staff will continue to keep the Board informed on the status of these ongoing activities.

**Attachments**

- A. May 2020, Regional Planning Activities
- B. Letter to Ms. Sarah Jepson, Planning Director, Southern California Association of Governments, From Kia Mortazavi, Executive Director, Planning, Orange County Transportation Authority, RE: Comments on the Draft 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy and Program Environmental Impact Report, Dated January 24, 2020
- C. Excerpt from 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy, Public Participation and Consultation Technical Report, Appendix 2, Comments and Responses, March 2020

**Prepared by:**

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Executive Director, Planning  
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## May 2020 Regional Planning Activities

### U.S. National Highway Traffic Safety Administration (NHTSA) and U.S. Environmental Protection Agency (EPA)

	Summary	Key Dates	Orange County Transportation Authority (OCTA) Interest	OCTA Role
<b>The Safer Affordable Fuel Efficient (SAFE) Vehicles Rule for Model Years 2021-2026 Passenger Cars and Light Trucks</b>	<p>On September 27, 2019, U.S. Department of Transportation's NHTSA and EPA jointly issued Part One Rule of the Safer Affordable Fuel Efficient (SAFE) Vehicles Rule. Part One Rule affirms NHTSA's statutory authority to set nationally applicable Corporate Average Fuel Economy (CAFE) standards that preempts state and local programs and withdraws the Clean Air Act preemption waiver that it granted to the State for the California Air Resources Board (CARB) greenhouse gas (GHG) and Zero-Emission Vehicle programs.</p> <p>In response, CARB developed and released off-model adjustment factors for the Emission Factor (EMFAC) emissions model to account for the impact of the Part One Rule. EPA subsequently affirmed the continuing use of EMFAC off-model adjustments for transportation conformity determinations.</p> <p>On March 30, 2020, NHTSA and EPA jointly issued final rules (Part Two Rule) to roll back the CAFE and vehicle GHG emissions standards promulgated under the Obama Administration.</p> <p>The EMFAC off-model adjustment factors only account for the impact of the Part One Rule, not the pending Part Two Rule. It is anticipated that the Part Two Rule will require further adjustments to the EMFAC emissions model, potentially delaying new transportation conformity determinations.</p>	<p><u>September 2019</u> – NHTSA and EPA issued final rule for Part One</p> <p><u>November 2019</u> – Part One effective</p> <p><u>March 2020</u> – Part One EMFAC adjustments approved</p> <p><u>March 2020</u> – NHTSA and EPA issued final rule for Part Two</p> <p><u>June 2020</u> – Part Two effective</p> <p><u>TBD</u> – Part Two EMFAC adjustments approved</p>	<p>Monitor rule making process to determine opportunities to limit delay or loss of funding for Orange County projects.</p>	<p>Coordinate with the Southern California Association of Governments (SCAG) and California Association of Councils of Government.</p>



## May 2020 Regional Planning Activities

### California Department of Transportation (Caltrans)

Summary	Key Dates	(OCTA) Interest	OCTA Role
<b>Interstate 5 (I-5) High-Occupancy Toll (HOT) Lanes</b>	<p>Caltrans District 12 is studying implementation of HOT lanes on I-5 between the Los Angeles County line and State Route 55. Caltrans District 12 staff stated this effort is District 12's highest planning priority at this time. District 12 finalized a project study report (PSR) and a concept of operations (ConOps) in November 2019 and presented a summary to the OCTA Board of Directors (Board) in December 2019. The OCTA Board requested that Caltrans include an HOV 3+ occupancy alternative as part of the subsequent environmental studies.</p>	<p><u>January 2019</u> – Comments submitted on 65 percent draft ConOps and PSR</p> <p><u>April 2019</u> – Comments submitted on 95 percent draft PSR</p> <p><u>November 2019</u> – Caltrans finalized ConOps and PSR</p> <p><u>Summer 2020</u> – Caltrans anticipated to initiate environmental studies for I-5 Managed Lanes</p>	<p>Prioritize corridor-wide (general purpose and carpool lanes) operational benefits and reliability.</p> <p>Coordinate with Caltrans and other partner agencies throughout development of the ConOps, PSR, and subsequent studies.</p>
<b>Updates to the California Environmental Quality Act (CEQA) Guidelines incorporating SB 743 (Chapter 386, Statutes of 2013)</b>	<p>A key element of the update is the focus on promoting the reduction of GHG emissions, the development of multimodal transportation networks, and a diversity of land uses, as required by SB 743. This puts an emphasis on the use of vehicle miles traveled for determining transportation impacts in CEQA documents.</p> <p>For transportation projects, lead agencies have discretion over how to evaluate a project's transportation impact. However, the evaluation criteria must promote the reduction of GHG emissions, the development of multimodal transportation networks, and a diversity of land uses.</p> <p>Caltrans is drafting guidance for evaluation criteria consistent with SB 743 for transportation projects involving the state highway system.</p>	<p><u>December 2018</u> - Governor's Office of Planning and Research released technical advisory on evaluating transportation impacts in CEQA pursuant to SB 743</p> <p><u>January 2019</u> – Office of Administrative Law approved new regulations for implementing CEQA, including changes related to SB 743</p> <p><u>Anticipated April 2020</u> – Caltrans released guidance on evaluating transportation projects involving the state highway system</p> <p><u>July 2020</u> – Lead agencies must comply with latest CEQA guidelines, including those related to SB 743</p>	<p>Minimize potential for CEQA-related litigation concerns, negative mobility impacts, and increased time and cost for project development and implementation.</p> <p>Prepare internal procedures to address final rule.</p> <p>Coordinate with SCAG on opportunities to tier off programmatic-level environmental documents.</p>



## May 2020 Regional Planning Activities

### Caltrans (continued)

	Summary	Key Dates	(OCTA) Interest	OCTA Role
<b>California Transportation Plan (CTP) 2050</b>	Update to the state's Long-Range Transportation Plan (L RTP), which establishes strategic goals, policies, and recommendations to improve multimodal mobility and accessibility while reducing GHG emissions.	<p><u>2018</u> – Public and stakeholder engagement, tribal listening sessions, future of mobility white paper</p> <p><u>2019</u> – Transportation scenario development, economic and transportation modeling, and technical reviews</p> <p><u>2020</u> – Public workshop report, implementation plan, and final plan</p> <p><u>2021</u> – Implement CTP strategies and recommendations</p>	<p>Ensure that the goals, policies, and strategies do not conflict with OCTA plans or projects.</p> <p>Emphasize the need for any CTP strategies to be vetted at the local and regional levels, prior to including in local/regional plans.</p>	<p>Participate in stakeholder workshops.</p> <p>Provide comments.</p> <p>Coordinate with Caltrans.</p>



## May 2020 Regional Planning Activities

### South Coast Air Quality Management District (AQMD)

Summary		Key Dates	(OCTA) Interest	OCTA Role
<b>Sales Tax Ballot Initiative Authorization</b>	<p>AQMD sponsored SB 732, which would have authorized the AQMD Board, or the voter initiative process, to place a sales tax increase proposal ranging from a quarter-cent up to one-cent on the 2020 ballot to fund the strategies identified in the 2016 Air Quality Management Plan. The proposal was estimated to generate up to \$1.4 billion a year for air pollution emission reduction, including providing incentives to businesses to promote the development and deployment of clean technology and facilitate truck fleet turnover.</p> <p>It is anticipated that the same language from the prior SB 732 bill will be carried over into a new bill, AB 2241 (Calderon, Whittier).</p>	<p><u>May 2019</u> – OCTA Board adopted oppose position on SB 732</p> <p><u>January 2020</u> – AQMD requested bill be pulled to secure additional support</p> <p><u>February 2020</u> – AB 2241 introduced</p>	<p>Ensure funding sources currently utilized by OCTA are not diverted.</p> <p>Identify opportunities for funding that could benefit OCTA plans and projects.</p>	Monitoring and communicating with AQMD.



## May 2020 Regional Planning Activities

### SCAG

Summary		Key Dates	(OCTA) Interest	OCTA Role
<b>2020–2045 Regional Transportation Plan/ Sustainable Communities Strategy (2020 RTP/SCS)</b>	<p>Federally required transportation planning document. Addresses needs over a 20-plus year planning horizon and constrained by a reasonably foreseeable revenue forecast. Must also demonstrate air quality conformity and GHG emissions reductions with budgeted levels set by EPA and CARB.</p> <p>SCAG has branded the 2020 RTP/SCS as “Connect SoCal”.</p>	<p><u>November 2018</u> – OCTA submitted projects consistent with 2018 LRTP</p> <p><u>May – June 2019</u> – SCS workshops</p> <p><u>November 2019</u> – Release draft RTP/SCS for public review</p> <p><u>January 2020</u> – OCTA submitted comments on the draft 2020 RTP/SCS</p> <p><u>May 2020</u> – SCAG to adopt final 2020 RTP/SCS</p>	<p>Ensure inclusion of projects identified in the final 2018 LRTP.</p> <p>Support policies that are consistent with OCTA positions.</p>	<p>Coordinate with SCAG and other partner agencies.</p> <p>Participate in working groups.</p> <p>Monitor SCAG policy committees.</p> <p>Review and comment on related materials.</p>
<b>Sustainable Communities Program</b>	<p>Grant program that funds sustainability planning efforts and development of local plans that support the implementation of the 2016 RTP/SCS. The grant program is comprised of three main categories: active transportation, integrated land use, and green region initiative projects.</p> <p>Four Orange County projects were selected for funding through the 2018 Sustainable Communities Program. Seven Orange County projects were selected for funding through the 2017 active transportation call for proposals. An additional seven Orange County projects were previously selected through the 2016 call for proposals.</p>	<p><u>March 2019</u> – SCAG Regional Council approved 2018 Sustainable Communities Program</p>	<p>Funding opportunity for Orange County planning efforts.</p>	<p>Coordinate with SCAG and partner agencies, as necessary, to initiate the projects in a timely manner.</p>



## May 2020 Regional Planning Activities

### San Diego Association of Governments (SANDAG)

Summary	Key Dates	(OCTA) Interest	OCTA Role
<p><b>2019 Federal RTP and 2021 Regional Plan</b></p> <p>Federal and state laws require that SANDAG complete an RTP/SCS every four years. Under this timeline, the next RTP/SCS would have been required by October 2019. In February 2019, the SANDAG Board approved an action plan to postpone the next RTP/SCS to late 2021.</p> <p>To do so, AB 1730 was passed, which allows SANDAG's current 2015 RTP/SCS and its associated CEQA document to remain valid after October 2019.</p> <p>SANDAG prepared the 2019 Federal RTP to comply with federal requirements and obtain an air quality conformity finding from the U.S. Department of Transportation.</p>	<p><u>February 2019</u> – SANDAG Board approved action plan to develop 2021 Regional Plan</p> <p><u>October 2019</u> – SANDAG Board adopted 2019 Federal RTP</p> <p><u>Late 2021</u> – SANDAG Board to adopt 2021 RTP/SCS</p>	<p>Monitor development of plans and projects that approach the Orange County border.</p>	<p>Monitoring.</p>



## May 2020 Regional Planning Activities

### Los Angeles County Metropolitan Transportation Authority (Metro)

Summary	Key Dates	(OCTA) Interest	OCTA Role
<p><b>2028 Olympics</b></p> <p>The Greater Los Angeles Area must begin preparing for the 2028 Olympics. This will include greater coordination between OCTA, Metro, and other planning agencies in the area</p> <p>OCTA, in collaboration with Metro and other transit operators along the county line, recently initiated the LA-OC Transit Connections Study. The study will develop recommendations for both short-term route changes and long-term improvements based on existing and future transit needs. The effort will build on recent bus restructuring efforts at OCTA, Metro, Long Beach Transit, and Foothill Transit. In addition, the study will consider existing service and future changes to Metrolink and Metro rail transit services.</p>	<p><u>November 2, 2017</u> – Memorandum of understanding signed between OCTA and Metro</p> <p><u>November 30, 2017</u> – Metro announced the Twenty-Eight by '28 initiative</p> <p><u>January 2018</u> – Metro Board approved a list of projects, 20 of which are already slated for completion by 2028 and eight require additional funding (estimated at \$26.2 billion) to deliver by 2028</p> <p><u>September 2018</u> – Metro Board directed development of Twenty-Eight by '28 funding plan</p> <p><u>December 2018</u> – Twenty-Eight by '28 Program Financing/Funding White Paper, which included recommendations for congestion pricing as new source of revenue</p> <p><u>June 2019</u> – OCTA executed contract to begin the LA-OC Transit Connections Study</p> <p><u>September 2019</u> – Metro initiated for Congestion Pricing Feasibility Study</p>	<p>Coordinate with Metro and the City of Los Angeles as preparations begin for the 2028 Olympics.</p> <p>Monitor development of financing/ funding strategy and potential implementation of the Twenty-Eight by '28 program of projects.</p> <p>Coordinate with Metro on a new intercounty study.</p>	<p>Coordinate with Metro and other partner agencies.</p>



## May 2020 Regional Planning Activities

### Metro (continued)

	Summary	Key Dates	(OCTA) Interest	OCTA Role
<b>Gold Line Eastside Transit Corridor Phase 2</b>	<p>Study of three alternatives for extending the Metro L Line (Gold) to more eastern Los Angeles County communities. One alternative traverses the northern side of State Route 60 (SR-60), another travels along Washington Boulevard, terminating near Orange County, and the third would build both the SR-60 and Washington Boulevard alignments.</p> <p>In February 2020, the Metro Board of selected the “Washington Alternative” for further evaluation.</p> <p>Included in Twenty-Eight by '28 program of projects for potential acceleration.</p>	<p><u>February 2020</u> – Metro Board approved proceeding with CEQA only for the project’s environmental process and withdrawing the SR-60 and combined alternatives from further consideration in the environmental study</p>	<p>Support alternatives that create potential for future connections into Orange County.</p>	<p>Monitoring.</p>



## May 2020 Regional Planning Activities

### Metro (continued)

Summary		Key Dates	(OCTA) Interest	OCTA Role
<b>West Santa Ana Branch Transit Corridor Project</b>	<p>A new 19-mile light rail transit line that would connect downtown Los Angeles to southeastern Los Angeles County, which could provide potential for a future extension into Orange County along the Pacific Electric Right-of-Way.</p> <p>Included in Twenty-Eight by '28 program of projects for potential acceleration.</p>	<p><u>Summer 2017</u> – Initiated environmental studies and conducted public scoping meetings</p> <p><u>March 2018</u> – Four additional northern alignment options evaluated</p> <p><u>May 2018</u> – Two of the four northern alignment options added to environmental studies</p> <p><u>July 2018</u> – Additional scoping meetings</p> <p><u>December 2020</u> – Anticipate release of draft environmental document for public comment</p> <p><u>April 2021</u> – Anticipate selection of a locally preferred alternative</p> <p><u>2028</u> – Anticipate opening service</p>	Support alternatives that create potential for future connections into Orange County.	Monitoring.
<b>Countywide Express Lanes Strategic Plan</b>	<p>Establishes a vision for a system of Express Lanes for Los Angeles County that is intended to address federal performance standards and provide a more reliable and faster travel option, utilizing existing capacity in carpool lanes.</p> <p>Express lanes on Interstate 105 and Interstate 10 (from Interstate 605 to San Bernardino County line) included in Twenty-Eight by '28 program of projects for potential acceleration.</p>	<p><u>Pending</u> – Initiation of planning studies and a financial plan for the Tier 1 projects that are intended to be delivered in the next five to ten years</p>	Monitor development of plans and projects that approach the Orange County border.	Monitoring.



## May 2020 Regional Planning Activities

### Transportation Corridor Agencies (TCA)

	Summary	Key Dates	(OCTA) Interest	OCTA Role
<b>South County Traffic Relief Effort Project Approval/Environmental Review</b>	<p>Project initiation document (PID) developed by TCA to identify and analyze potential alternatives for toll road alignments in southern Orange County.</p> <p>With PID approval from Caltrans, TCA initiated scoping for the Project Approval/Environmental Document (PA/ED) phase of project development.</p> <p>Based on technical work, public input, and policy direction, three alternatives are proposed to move forward in the project development process. These include a non-tolled extension of Los Patrones Parkway from Cow Camp Road to Avenida La Pata, widening of Ortega Highway between Calle Entradero to Reata Road, and extension of the I-5 carpool lane from Avenida Pico to the San Diego County line.</p>	<p><u>November 2018</u> – TCA Board approved a \$5 million contract to initiate PA/ED and directed TCA staff to return at the conclusion of the scoping phase to seek authorization to proceed.</p> <p><u>May 2019</u> – Caltrans approved PID</p> <p><u>November 2019 through February 2020</u> – formal scoping period</p> <p><u>March 2020</u> – TCA Board direct staff to work with the County of Orange and other stakeholders to prepare a project development plan for the Los Patrones Parkway non-tolled extension, approved recommendations to support Caltrans and OCTA efforts to advance the I-5 carpool lane improvements from Avenida Pico to the San Diego County line area, and approved supporting plans to complete the widening of Ortega Highway in the City of San Juan Capistrano.</p>	Ensure consistency with OCTA plans and projects.	Coordinate with TCA and other stakeholder agencies. Provide comments as necessary.



## TCA (continued)

	Summary	Key Dates	(OCTA) Interest	OCTA Role
<b>Transportation Control Measure (TCM) substitution</b>	<p>TCA is seeking to remove the TCM designation from three portions of TCA facilities: 1) the San Joaquin Hills Transportation Corridor (FTIP Project ID: ORA10254), 2) the Eastern Transportation Corridor (ORA050), and 3) the Foothill Transportation Corridor-North (ORA051).</p> <p>TCA is working with OCTA and SCAG on next steps, including a formal substitution. TCA will participate in interagency consultation on any requested TCM substitutions through SCAG's Transportation Conformity Working Group.</p> <p>As part of the 2020-2045 RTP/SCS development process, SCAG, TCA, and OCTA were able to extend the TCM deadline for these three projects from December 31, 2020, to December 31, 2022.</p>	<p><u>Summer 2020</u> – Initiate formal substitution process with SCAG</p> <p><u>Fall 2020</u> – Presentation to the SCAG Transportation Conformity Working Group</p> <p><u>Fall 2020</u> – Present to the SCAG Energy and Environment Committee and Regional Council for approval</p> <p><u>2021</u> – Anticipate CARB and EPA concurrence</p>	Avoid potential impacts to regional transportation funding.	Coordinating with SCAG and TCA.





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Ms. Sarah Jepson  
Planning Director  
Southern California Association of Governments  
900 Wilshire Boulevard, Suite 1700  
Los Angeles, CA 90017

Re: **Comments on the Draft 2020-2045 Regional Transportation Plan/  
Sustainable Communities Strategy and Program Environmental Impact  
Report**

Dear Ms. Jepson:

Thank you for the opportunity to comment on the Southern California Association of Governments' (SCAG) draft 2020-2045 Regional Transportation Plan/ Sustainable Communities Strategy (RTP/SCS), and associated Program Environmental Impact Report (PEIR). The draft RTP/SCS and PEIR reflect the transportation and funding challenges that the region will face in the coming years. These documents are critical to the region's ability to improve mobility, and to operate and maintain the transportation system.

The Orange County Transportation Authority (OCTA) appreciates that SCAG has included the commitments identified in OCTA's 2018 Long-Range Transportation Plan (LRTP), as well as demographic forecasts approved and submitted by the Orange County Council of Governments. Additionally, OCTA recognizes the hard work and cooperation of SCAG staff throughout the RTP/SCS and PEIR development process.

In reviewing the draft RTP/SCS and PEIR, OCTA has identified several policy and technical matters that require attention. These primarily focus on regional strategies that go above and beyond the projects submitted by the county transportation commissions (CTCs). The regional strategies include assumptions for new revenue sources, passenger rail assumptions, regional express lanes, and other investments beyond the LRTP. Additionally, OCTA recommends refining the mapping of High-Quality Transit Areas (HQTAs) to accurately reflect areas of transit accessibility.

#### New Revenue Sources and Innovative Financing Strategies

The draft RTP/SCS suggests that without the use of anticipated new revenue sources and innovative financing strategies, the region faces a funding shortfall of approximately \$139.4 billion (in year-of-expenditure dollars [YOES]). The following



guiding principles were used to identify reasonably available funding sources to address the shortfall:

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

Utilizing these principles, the draft RTP/SCS identifies seven anticipated revenue sources and innovative funding strategies projected to generate \$139.4 billion (YOES) over the planning horizon. Two sources combined (mileage-based user fee and local road charge program) would account for nearly 86 percent of the identified new revenues sources. As noted in the draft RTP/SCS, several requisite actions are anticipated before full deployment of these new transportation user fees would be realized.

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

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

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



#### Passenger Rail Assumptions

The draft RTP/SCS assumes the Metrolink Southern California Optimized Rail Expansion (SCORE) Program capital components are completed by 2035 at a cost of \$10.5 billion (YOE\$). The SCORE Program would accommodate a significant increase in Metrolink service with up to 15-minute peak-period service on much of the Metrolink system. The draft RTP/SCS also assumes SCORE Program operating costs between 2035 and 2045 of \$3.2 billion (YOE\$), funded by new revenue sources and innovative funding strategies.

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

OCTA recommends that SCAG staff provide regular updates to the SCAG Transportation Committee and Regional Council regarding both the CHSR Project and the Metrolink SCORE Program. OCTA recommends that SCAG staff coordinate efforts to develop an integrated capital and operating plan for the CHSR Project and the Metrolink SCORE Program. Additionally, OCTA suggests that SCAG staff assist Metrolink and the CTCs in detailing implementation steps for the SCORE Program including securing new revenue sources to support operations at the levels assumed in the draft RTP/SCS.

#### Regional Express Lane Network

The draft RTP/SCS generally carries over the proposed regional express lane network included in the adopted 2016-2040 RTP/SCS. The draft RTP/SCS proposed regional express lane network segments would add the following Orange County express lane segments:

Facility	From	To
I-405	SR-55	Los Angeles County line
SR-73	MacArthur Boulevard	I-405
SR-55	I-405	SR-91
I-605	I-405	Los Angeles County line

I-405 – Interstate 405

SR-91 – State Route 91

SR-55 – State Route 55

I-605 – Interstate 605

SR-73 – State Route 73



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

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

#### Other Investments Beyond the 2018 LRTP

The draft RTP/SCS proposes several other investments in addition to those noted herein that affect Orange County and go beyond the LRTP. Examples include:

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

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

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

OCTA recognizes that it is within SCAG's purview to plan for regional strategies that enhance transportation; however, it should be noted that OCTA is committed to delivering the projects within the LRTP. The draft RTP/SCS should clearly state that the regional strategies suggest improvements beyond the projects submitted by OCTA, and that the implementation of the strategies is subject to availability of new revenue sources and the necessary project development and review processes by the implementing agencies. OCTA will only consider additional investments after new revenues are realized and identified to account for these additional improvements.



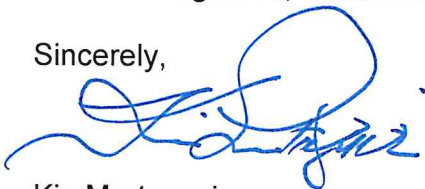
Ms. Sarah Jepson  
January 24, 2020  
Page 5

Mapping of HQTAs

As noted in the draft RTP/SCS, HQTAs are defined as “generally a walkable transit village or corridor, consistent with the adopted RTP/SCS, and is within one half-mile of a well-served transit stop or a transit corridor with 15-minute or less service frequency during peak commute hours.” The draft RTP/SCS further notes that SCAG based the definition on language in SB 375 (Chapter 728, Statutes of 2008), which defines Major Transit Stops and HQTcs. OCTA recommends revising the mapping of HQTAs in the RTP/SCS to reflect the nuance with certain HQTcs that fail to meet the “walkable corridor” characterization. Namely, freeway-running segments of HQTcs are clearly not walkable and should be treated like a rail transit service, focusing only on stop locations when operating on a freeway. Additionally, OCTA notes that subsequent use of HQTAs for other planning activities and/or policy decisions should recognize that transit agencies adjust existing service on a regular basis and planned improvements are expected to be implemented by the RTP/SCS horizon year of 2045. For example, planned improvement could fall outside the Sixth Cycle Regional Housing Needs Assessment timeframe. Transit planning studies may also be completed by transit agencies on a more frequent basis than the RTP/SCS is updated by SCAG.

Additional technical comments will be submitted separately. OCTA appreciates SCAG’s work on the RTP/SCS and PEIR and looks forward to the adoption of the final 2020-2045 RTP/SCS and PEIR in April. If you have further questions, please contact Greg Nord, Section Manager II, at (714) 560-5885 or [gnord@octa.net](mailto:gnord@octa.net).

Sincerely,



Kia Mortazavi  
Executive Director, Planning

KM:ww

c: Executive Staff



**ATTACHMENT C**

**Excerpt from 2020-2045 Regional Transportation Plan/  
Sustainable Communities Strategy**

**Public Participation and Consultation Technical Report  
Appendix 2, Comments and Responses**

**March 2020**



ID	Comment	Response
<i>Submitted by</i> <b>Orange County Council of Governments</b>		Submittal 0001497 <b>Related Documents</b> <a href="#">Link</a>
0001497.09	p. 37, column 1[see redline edit #18 on pg.63 of attachment]	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001497.10	p. 37, column 2[see redline edit #19 on pg.63 of attachment]	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001497.11	p. 38, column 1[see redline edit #12 on pg.64 of attachment]	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001497.12	p. 38, column 2[see redline edit #21 on pg.64 of attachment]	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001497.13	Pg. 39 4th bullet: sentence is not finished	Comment noted. The Transportation Safety & Security Technical Report has been updated to reflect the following combined action: SCAG will continue to represent Southern California on the California Strategic Highway Safety Plan (SHSP) Steering Committee, the California Walk Bike Technical Advisory Committee, and the Active Transportation Program Technical Advisory Committee.
0001497.14	Pg. 39 5th bullet: First part of the sentence is missing	Comment noted. The Transportation Safety & Security Technical Report has been updated to reflect the following combined action: SCAG will continue to represent Southern California on the California Strategic Highway Safety Plan (SHSP) Steering Committee, the California Walk Bike Technical Advisory Committee, and the Active Transportation Program Technical Advisory Committee.
0001497.15	Pg. 40 Urban areas are usually multi-modal and have more conflict points. Asspeed increases, driver focuses less on surroundings, [and the driver's]field of vision & ability to see pedestrians, bicyclists or carsentering the roadway is diminished.	Comment noted. The Transportation Safety & Security Technical Report has been updated.
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001498 <b>Related Documents</b> <a href="#">Link</a>
0001498.01	1.All Documents Multiple locations Define acronyms before first use. For example, SB 375 appears first on page 2 but initially defined on page 41 of the main book.	Comment noted. The edits have been made to text wherever applicable.
0001498.02	2.All documentsMultiple locations Improve consistency in writing style—examples include spelling out percent vs. %, inconsistent number of decimal places when directly comparing values, uses of dash vs. en dash / em dash, capitalization of Plan vs. plan (when it is referring to Connect SoCal), etc.	Comment noted. The edits have been made to text wherever applicable.
0001498.03	3.All documentsMultiple locations Consider adding “Note: Numbers may not sum to total due to rounding” to applicable tables and graphics.	Comment noted. SCAG will consider your suggestion in the Final Connect SoCal.
0001498.04	4.pg. 5; right column; Core VisionDifferentiate the following text with formatting and/or spacing: “Progress and next steps to advance the Core Vision can be found throughout Chapter 3”. Otherwise, it appears to be part of the Core Vision.	Comment noted. The edits have been made to text wherever applicable.
0001498.05	5.Pg. 5; right column; Key Connections Differentiate the following text with formatting or spacing: “Key connections can be found in Chapter 3”. Otherwise, it appears to be part of the Key Connections.	Comment noted. The edits have been made to text wherever applicable.



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001498 <a href="#">Related Documents Link</a>
0001498.06	6. Pg. 5; right column; Economic Impact For jobs values, consider displaying in thousands to be more consistent with other values listed. Also, missing “per year” notation as these are average annual jobs.	Comment noted. The edits have been made to text wherever applicable.
0001498.07	7. Pg. 5; right column; Plan Benefits Verify values as it appears to be inconsistent with the Performance Measures Technical Report.	Comment noted. The edits will be made to ensure consistency between documents wherever applicable.
0001498.08	8. Pg. 8; right column; Laws that guide the Plan; 1st bullet. Verify that the reference be to “U.S.C.”, as in United States Code.	Comment noted. The edits have been made to text wherever applicable.
0001498.09	9. Pg. 11; left column; How the Plan was developed; 3rd paragraph Requested edits:SCAG worked closely with each of the six county transportation commissions throughout 2018 to update the list of regionally significant transportation projects that was established in Connect SoCal’s predecessor, the 2016 RTP/SCS. Each county transportation commission in turn worked with their partner transportation agencies (including applicable transit providers, rail operators, marine port and airport authorities and Caltrans District offices) to finalize a list of county-priority projects to submit to SCAG. This effort culminated in a comprehensive update to the list of programs and projects, which numbers in the thousands. SCAG worked collaboratively with key stakeholders to identify additional regional initiatives that go beyond county-level commitments and are intended to address challenges that are uniquely regional in nature.	Comment noted. The edits have been made to text wherever applicable.
0001498.10	10. Pg. 11; left column; How the Plan was developed; 4th paragraph; 5th line Replace “New Mobility” with “Mobility Innovations”	Comment noted. SCAG will consider your recommendation wherever applicable.
0001498.11	11. Pg. 11; right column; How the Plan was developed; 3rd paragraph Suggested edits: Feedback received through our CBO partners was used to identify areas where the Plan could be refined to meaningfully reflect the priorities and concerns of these traditionally underserved groups, particularly because they have historically been disproportionately burdened by the negative outcomes associated with land use patterns and transportation policies. Highlights of what we heard from them include:	Comment noted. The edits have been made to text wherever applicable.
0001498.12	12.Pg. 13; right column; Connect SoCal technical reports Revise "Economic & Job Creation Analysis Jobs Forecast	Comment noted. The edits have been made to text wherever applicable.
0001498.13	13.Pg. 19; left column; Structural economic changes; last paragraph; last sentence Suggest revising to reflect that local option sales tax measures fund not only future transportation infrastructure but also help to maintain the existing transportation system.	Clarified.
0001498.14	14. Pg. 22; Table 2.1, Share of Total Growth (2008-2016) Verify values as the majority appear to be inconsistent with the Demographics and Growth Forecast Technical Report.	Verified for consistency and updated.
0001498.15	15. Pg. 27, Exhibit 2.4 Request adding SR-55 between I-405 and I-5 as a Major Freight Highway Corridor based on truck volumes.	Please note that the referenced segment is included as a part of the primary highway freight system.
0001498.16	16.Pg. 29; Transportation system; 2nd, 3rd, and 5th bullets Tables 2.2 and 2.3 do not differentiate between bicycling and walking, so statements in bullets cannot be confirmed. Also, verify if the statements are accurate, comparing the numbers from the Demographic and Growth Forecast Technical Report, the statements appear to be unsupported.	Statements confirmed and modified as necessary.



ID	Comment	Response	
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal	0001498 <a href="#">Related Documents</a> <a href="#">Link</a>
0001498.17	17.Pg. 29; right column; Transportation system; last bullet Total number of trips are not addressed in Table 2.3, so the statement cannot be confirmed.	Updated to reflect data from the table.	
0001498.18	18. Pg. 32; right column; Affordable housing; last paragraph Add the source for the economic benefits of new housing construction.	Reference added.	
0001498.19	19.Pg. 41; left column; Access & mobility; 1st paragraph Clarify what is “outdated road technology”.	Comment noted. "Outdated road technology" is a generic expression used to describe obsolete technology associated with roadways, that could be related to pavement, roadway safety, signage, ITS etc.	
0001498.20	20. Pg. 41; left column; Access & mobility; 2nd paragraph Provide a reference to Congestion Management Technical Report.	Comment noted.	
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal	0001499 <a href="#">Related Documents</a> <a href="#">Link</a>
0001499.01	Thank you for the opportunity to comment on the Southern California Association of Governments' (SCAG) draft 2020-2045 Regional Transportation Plan/ Sustainable Communities Strategy (RTP/SCS), and associated Program Environmental Impact Report (PEIR). The draft RTP/SCS and PEIR reflect the transportation and funding challenges that the region will face in the coming years. These documents are critical to the region's ability to improve mobility, and to operate and maintain the transportation system.The Orange County Transportation Authority (OCTA) appreciates that SCAG has included the commitments identified in OCTA's 2018 Long-Range Transportation Plan (LRTP), as well as demographic forecasts approved and submitted by the Orange County Council of Governments. Additionally, OCTA recognizes the hard work and cooperation of SCAG staff throughout the RTP/SCS and PEIR development process.	Thank you for your comments on Connect SoCal and its associated PEIR. Comments noted.	
0001499.02	In reviewing the draft RTP/SCS and PEIR, OCTA has identified several policy andtechnical matters that require attention. These primarily focus on regional strategiesthat go above and beyond the projects submitted by the county transportationcommissions (CTCs). The regional strategies include assumptions for new revenuesources, passenger rail assumptions, regional express lanes, and other investmentsbeyond the LRTP. Additionally, OCTA recommends refining the mapping ofHigh-Quality Transit Areas (HQTAs) to accurately reflect areas of transitaccessibility.	Thank you for your comment. As this is an introductory statement, your specific comments and responses are addressed separately.	



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001499 <a href="#">Related Documents</a> <a href="#">Link</a>
0001499.03	New Revenue Sources and Innovative Financing StrategiesThe draft RTP/SCS suggests that without the use of anticipated new revenuesources and innovative financing strategies, the region faces a funding shortfall ofapproximately \$139.4 billion (in year-of-expenditure dollars [YOE\$]). The following guiding principles were used to identify reasonably available funding sources toaddress the shortfall:Establish a user fee-based system that better reflects the true cost oftransportation, provides firewall protection for transportation funds, andensures an equitable distribution of costs and benefits.Promote national and state programs that include return-to-sourceguarantees, while maintaining flexibility to reward regions that continue tocommit substantial local resources.Leverage locally available funding with innovative financing tools (e.g., taxcredits and expansion of the Transportation Infrastructure Finance andInnovation Act) to attract private capital and accelerate project delivery.Promote local funding strategies that maximize the value of public assetswhile improving mobility, sustainability, and resilience.	Comment noted.
0001499.04	Utilizing these principles, the draft RTP/SCS identifies seven anticipated revenuesources and innovative funding strategies projected to generate \$139.4 billion(YOE\$) over the planning horizon. Two sources combined (mileage-based user feeand local road charge program) would account for nearly 86 percent of the identifiednew revenues sources. As noted in the draft RTP/SCS, several requisite actions areanticipated before full deployment of these new transportation user fees would berealized .	Comment noted.
0001499.05	OCTA recommends that SCAG staff provide regular updates to the SCAGTransportation Committee and Regional Council regarding the key implementationfactors of new transportation user fees, including but not limited to:• Technology and associated privacy issues,• Cost of implementation and administrative methods for fee collection/revenueallocation,Equity concerns and exemptions/credits, as applicable,Rate structures and associated impacts including evaluation of flat rates,differential pricing by type of vehicle including size and weight, time-of-day,and potentially emissions (including GHG emissions), andEconomic assessment.	Comment noted.
0001499.06	Further, OCTA recommends that SCAG staff also work with the CTCs and otherstakeholders to evaluate the impacts of the new transportation user fees on existinglocal transportation funding mechanisms including local option sales tax measures,express lanes and toll facilities, and consider how best to integrate the varioustransportation funding mechanisms. Additionally, any new user fees should includereturn-to-source criteria to ensure equitable distribution of funds.	Thank you for your comment. The Transportation Finance Technical Report specifies that return-to-source guarantees for federal and state programs is a guiding principle used to identify reasonably available revenues. SCAG will update the plan to clarify that this guiding principle applies to local funding programs as well. Further, SCAG continues to work with the CTCs and other stakeholders to further evaluate new transportation user fee initiatives.
0001499.07	Passenger Rail AssumptionsThe draft RTP/SCS assumes the Metrolink Southern California Optimized RailExpansion (SCORE) Program capital components are completed by 2035 at a costof \$10.5 billion (YOE\$). The SCORE Program would accommodate a significantincrease in Metrolink service with up to 15-minute peak-period service on much ofthe Metrolink system. The draft RTP/SCS also assumes SCORE Program operatingcosts between 2035 and 2045 of \$3.2 billion (YOE\$), funded by new revenuesources and innovative funding strategies.	Comment noted.



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001499 <a href="#">Related Documents</a> <a href="#">Link</a>
0001499.08	The draft RTP/SCS further includes phase one of the California High-SpeedRail (CHSR) Project at a regional cost of \$34.6 billion (YOE\$). The CHSR 2018Business Plan redefined the initial operating segment from between theCity of Merced (in the San Joaquin Valley) and the Burbank Bob Hope Airport stationto between the cities of Merced and Bakersfield, with revenue service starting in late2028. Phase one, which would span from the City of San Francisco to theCity of Anaheim, is anticipated to start revenue service in 2033.	Comment noted.
0001499.09	OCTA recommends that SCAG staff provide regular updates to the SCAGTransportation Committee and Regional Council regarding both the CHSR Projectand the Metrolink SCORE Program. OCTA recommends that SCAG staff coordinateefforts to develop an integrated capital and operating plan for the CHSR Project andthe Metrolink SCORE Program. Additionally, OCTA suggests that SCAG staff assistMetrolink and the CTCs in detailing implementation steps for the SCORE Programincluding securing new revenue sources to support operations at the levels assumedin the draft RTP/SCS.	Thank you for your comment. SCAG is actively working with its rail partners, including CHSRA, the LOSSAN Agency and the Southern California Regional Rail Authority in the planning, coordination and funding of these critical rail projects to increase mobility in our region. SCAG also regularly updates its Regional Council and Transportation Committee on passenger rail updates.
0001499.10	Regional Express Lane NetworkThe draft RTP/SCS generally carries over the proposed regional express lanenetwork included in the adopted 2016-2040 RTP/SCS. The draft RTP/SCS proposedregional express lane network segments would add the following Orange Countyexpress lane segments:Facility1-405SR-73SR-551-6051-405-Interstate 405SR-91 -State Route 91FromSR-55MacArthur Boulevard1-4051-405SR-55- State Route 551-605- Interstate 605ToLos Angeles County line1-405SR-91Los Angeles County lineSR-73- State Route 73	Comment noted.
0001499.11	The draft RTP/SCS proposed regional express lane network also identifies expresslane connectors in Orange County at the following interchanges: 1-405/1-605,1-405/SR-73, 1-405/SR-55, SR-55/1-5, and SR-55/SR-91.The draft RTP/SCS should recognize that the OCTA Board of Directors has notapproved conversion from high-occupancy vehicle to tolled express lanes for SR-55,SR-73, 1-605, or on 1-405 north of 1-605 as depicted in the proposed regional expresslanes network. Furthermore, the draft RTP/SCS should clearly recognize that theproposed regional express lane network is subject to further study to evaluateright-of-way impacts, community issues, and overall feasibility.	Thank you for your comment. SCAG, in partnership with the California Department of Transportation (Caltrans), the Federal Highway Administration (FHWA), the Los Angeles County Metropolitan Transportation Authority (Metro), the Orange County Transportation Authority (OCTA), the San Bernardino Associated Governments (SANBAG), and the Riverside County Transportation Commission (RCTC) collaborated on the development of a regional concept of operations for a regional express lane network. The Concept of Operations provides a blueprint for a regional express lane network that integrates express lane facilities into a regional system with consistent or compatible operating, design and policy rules. This development process also resulted in the recommended regional express lane network identified in Connect SoCal and in the previously adopted 2016 RTP/SCS. SCAG recognizes that the network identified from this prior effort will continue to evolve as our respective partner agencies further study projects.
0001499.12	Other Investments Beyond the 2018 LRTPThe draft RTP/SCS proposes several other investments in addition to those notedherein that affect Orange County and go beyond the LRTP. Examples include:• \$6 billion (YOE\$) to expand bus service in high-quality transit corridors,• \$2 billion (YOE\$) for a plug-in electric vehicle rebate program,• \$5 billion (YOE\$) for safety initiatives,\$2 billion (YOE\$) in a mobility equity fund,\$3 billion (YOE\$) for housing-supportive infrastructure, and\$2 billion (YOE\$) for pooled incentives.SCAG staff have stated that these investments are being funded with new revenuesources and innovative financing strategies.	Comment noted.



ID	Comment	Response
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001499 <a href="#">Related Documents</a> <a href="#">Link</a>
0001499.13	An additional emphasis is also placed on active transportation improvements with the draft RTP/SCS proposing to invest \$22.5 billion (YOE\$). About \$3.7 billion(YOE\$) of the total investment reflects active transportation projects submitted byCTCs. SCAG proposes investing another \$14 billion (YOE\$) from the draft RTP/SCSnew revenue sources and innovative financing strategies. SCAG then estimates thatthe remaining \$4.8 billion (YOE\$) would be invested in active transportationcomponents of roadway operations and maintenance efforts.	Thank you for your comment.
0001499.14	OCTA recognizes that it is within SCAG's purview to plan for regional strategies thatenhance transportation; however, it should be noted that OCTA is committed todelivering the projects within the LRTP. The draft RTP/SCS should clearly state thatthe regional strategies suggest improvements beyond the projects submitted byOCTA, and that the implementation of the strategies is subject to availability of newrevenue sources and the necessary project development and review processes bythe implementing agencies. OCTA will only consider additional investments after newrevenues are realized and identified to account for these additional improvements.	Comment noted.
0001499.15	Mapping of HQTAsAs noted in the draft RTP/SCS, HQTAs are defined as "generally a walkable transitvillage or corridor, consistent with the adopted RTP/SCS, and is within one half-mileof a well-served transit stop or a transit corridor with 15-minute or less servicefrequency during peak commute hours." The draft RTP/SCS further notes that SCAGbased the definition on language in SB 375 (Chapter 728, Statutes of 2008), whichdefines Major Transit Stops and HQTcs. OCTA recommends revising the mappingof HQTAs in the RTP/SCS to reflect the nuance with certain HQTcs that fail to meetthe "walkable corridor" characterization . Namely, freeway-running segments ofHQTcs are clearly not walkable and should be treated like a rail transit service,focusing only on stop locations when operating on a freeway. Additionally, OCTAnotes that subsequent use of HQTAs for other planning activities and/or policydecisions should recognize that transit agencies adjust existing service on a regularbasis and planned improvements are expected to be implemented by the RTP/SCShorizon year of 2045. For example, planned improvement could fall outside the SixthCycle Regional Housing Needs Assessment timeframe. Transit planning studiesmay also be completed by transit agencies on a more frequent basis than theRTP/SCS is updated by SCAG.	The definition of HQTAs will be updated to clarify that freeway transit corridors with no bus stops on the freeway alignment do not have a directly associated HQTa. Exhibits will be updated accordingly.
0001499.16	Additional technical comments will be submitted separately. OCTA appreciates SCAG's work on the RTP/SCS and PEIR and looks forward to the adoption of the final 2020-2045 RTP/SCS and PEIR in Apri.	Comment noted.
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001500 <a href="#">Related Documents</a> <a href="#">Link</a>
0001500.01	21 .Pg. 59; left column; Preserve & optimize our current system; last sentence It would be appropriate to include the investment in regionally significant local streets and roads and not just the State Highway System.	Comment noted. Suggested changes will be considered in the Final Connect SoCal.



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001500 <a href="#">Related Documents Link</a>
0001500.02	22. Pg. 59; right column; Planning for 2045; 1st paragraph Suggested edit: The Plan includes \$68 billion towards preservation, operation and resiliency needs of the state highway system, and \$47.5 billion towards preservation, operation and resiliency needs of the regionally significant local streets and roads.	Comment noted. Suggested changes will be incorporated into the Final Connect SoCal.
0001500.03	23. Pg. 64; left column; Transportation system management; 1st sentence Revise to reflect that TSM is broader than ITS.	Thank you for your comment. Chapter 3, page 64, will be revised per the comment.
0001500.04	24. Pg. 73; right column; Highway & arterial network; 2nd paragraph Suggest removing toll lanes as none are indicated in exhibit or table: ...EXHIBIT 3.2 and TABLE 3.2. Projects include interchange improvements, auxiliary lanes, general purpose lanes, carpool lanes, toll lanes and Express/HOT lanes. The complete list of projects can be found in the Project List Technical...	Comment noted. Suggested changes will be considered in the Final Connect SoCal.
0001500.05	25. Pg. 74; left column; Highway & arterial network; 1st paragraph; 5th line Requested edit: ...believes merits future consideration for potential inclusion in the financially constrained...	Comment noted.
0001500.06	26. Pg. 74, right column, Regional express lane network; 2nd paragraph Replace “1-105” with “I-105”	Comment noted. Suggested changes will be made in the Final Connect SoCal.
0001500.07	27. Pg. 75; Exhibit 3.2 The OCTA Board has not approved the HOV-to-HOT Direct Connector Conversions shown here.	Comment noted. Exhibit 3.2 is intended for illustrative purposes only.
0001500.08	28. Pg. 79; Exhibit 3.3 The OCTA Board has not taken an action on HOV-to-HOT Connector Conversions and the Planned Express Lane Network segments on SR-55 and SR-73 as illustrated in this exhibit. Note there is a Missing Planned Express Lane Direct Connector at SR-91 and SR-241 interchange.	Comment noted.
0001500.09	29. Pg. 81; right column; Table 3.3 Define the airport codes as many are not commonly known.	Comment noted. A footnote will be added under Table 3.3 that will read “Please refer to the Aviation and Airport Ground Access Technical Report Commercial Service Airports. The SCAG Region (FAA Code) section and Table 3: General Aviation and Reliever Airports in the SCAG Region will provide the airport names associated with FAA airport codes”.
0001500.10	30. Pg. 87 & 89; Exhibits 3.4 & 3.6 Verify the location of job centers on these figure as they do not appear to match. Revise Exhibit 3.4 HQTa mapping to remove HQTc segments that fail to meet the “walkable corridor” characterization.	Comment noted. Exhibits 3.4 and 3.6 have been updated.
0001500.11	31. Pg. 91; Exhibit 3.8 Revise HQTa mapping and narrative to remove HQTc segments that fail to meet the “walkable corridor” characterization.	Comment noted. Exhibit 3.8 has been updated.
0001500.12	32. Pg. 108; Table 4.5.1; Local option sales tax measures With passage of Measure M, Los Angeles County effectively levies a permanent 2.0 percent sales tax.	Comment noted.
0001500.13	33. Pg. 108; Table 4.5.1; Highway tolls Suggest deleting “(in core revenue forecast)” since a toll revenue source is not included in the reasonable available sources.	Comment noted.



ID	Comment	Response	
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001500	Related Documents <a href="#">Link</a>
0001500.14	34. Pg. 107; Table 4.4; Local road charge program Clarify if this revenue source would be indexed to maintain purchasing power.	Thank you for your comment. SCAG has updated the table to clarify that the local road charge program would be indexed to maintain purchasing power.	
0001500.15	35. Pg. 114; Table 4.6.2; Active Transportation Suggest moving the asterisk from “Active Transportation” to “Regionally Significant Local Streets and Roads”	Comment noted.	
0001500.16	36. Pg. 118; left column; Connect SoCal & performance-based planning; 3rd column; 4th line Suggested edit: ...that comprise the SCAG region. With the Plan, In this scenario, trips to work, schools and other...	Thank you for your comment. The language structure used in the indicated sentence in the Connect SoCal ‘Measuring Our Progress’ chapter will be reviewed for enhanced clarity.	
0001500.17	37. Pg. 120, left column; Connect SoCal performance outcomes; 2nd bullet Consider a closer linkage to the definition of Baseline in the Glossary. For instance, a project programmed in the 2019 FTIP should not automatically be considered as Baseline	Thank you for your comment. The definition of ‘Baseline’ provided in the Performance Measures Technical Report will be reviewed to ensure consistency with the Connect SoCal Glossary.	
0001500.18	38. Pg. 121; Connect SoCal performance profile Suggest replacing “Trend” with “Baseline”	Thank you for your comment. We will review the use of the labels ‘Trend’ and ‘Baseline’ in the context of the performance profile graphic featured in the Performance Measures Technical Report to ensure consistency with other similar graphics used in Connect SoCal.	
0001500.19	39. Pg. 122; Connect SoCal performance results The note is misleading here as it is different than what has been defined elsewhere—particularly in the Glossary.	Thank you for your comment. We will review the content of the note provided in support of the ‘Connect SoCal Performance Results’ graphic in the Performance Measures Technical Report to ensure consistency with the Glossary.	
0001500.20	40. Pg. 125; Table 5.1 Connect SoCal 2045 Performance Results for fatality rate and serious injury rate appear to be reversed.	Thank you for your comment in reference to Table 5.1 of the Draft Connect SoCal Performance Measures Technical Report. Your observation that the performance results for fatality rate and serious injury rate are reversed in the table is accurate. This error will be corrected in the final version of the report.	
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001501	Related Documents <a href="#">Link</a>
0001501.01	41. Pg. 125; Table 5.1 The Connect SoCal 2045 Performance Results for active transportation mode share for walk share (all trips) and bike share (all trips) appear to be inconsistent with the Performance Measures Technical Report and the Active Transportation Technical Report.	Thank you for your comment. Mode share data will be updated for consistency across all technical reports.	
0001501.02	42. Pg. 126; Table 5.1 Asterisked figures are associated with GHG emissions, which are not criteria air pollutants. Suggest moving asterisks to Baseline criteria pollutant emission values.	Thank you for your comment. The asterisks in reference to Table 5.1 will be updated accordingly.	
0001501.03	43. Pg. 131; left column; Figure 5.3 Title appears to be missing “, Thousands	Thank you for your comment. The title for Figure 5.3 will be updated accordingly.	
0001501.04	44. Pg. 132; left column; Mean commute time Verify listed values as they appear to be inconsistent with Public Health Technical Report.	Thank you for your comment. The performance results presented in the Connect SoCal ‘Measuring Our Progress’ chapter for mean commute time by mode will be reviewed to ensure consistency with other sections of Connect SoCal.	
0001501.05	45. Pg. 133; right column; Outcome 3: safety & public health; 2nd paragraph; 4th sentence  The indicated five percent improvement is inconsistent with values shown elsewhere, including the Public Health Technical Report.	Thank you for your comment. The public health performance results presented in the Connect SoCal ‘Measuring Our Progress’ chapter will be reviewed to ensure consistency with the Final Public Health Technical Report.	



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001501 <a href="#">Related Documents Link</a>
0001501.06	46. Pg. 134; left column; Outcome 5: economic opportunity; last sentence Reductions in health care expenditures are not in itself an economic opportunity—the potential economic activity associated with the expenditure of the health cost savings on other things should be considered here.	Thank you for your comment on the Draft Connect SoCal. The paragraph referenced in your comment will be reviewed in the context of your observation regarding the regional economic impact of the health care cost savings due to Connect SoCal investments.
0001501.07	47. Pg. 135; left column; Outcome 7: transportation system sustainability; 2nd paragraph  Replace “\$312 billion” with “\$316 billion” Suggest removing the reference to Transportation Safety and Security Technical Report.	Thank you for your comments in regard to the Connect SoCal Performance Measures Technical Report. The Connect SoCal total O&M investment value will be revised in the report to \$316 billion. The reference to the Transportation Safety & Security Technical Report will be replaced by a reference to the ‘Paying Our Way Forward’ chapter of Connect SoCal.
0001501.08	48. Pg. 136; Table 5.3; 1st row Suggest including a note: “Capital, operations and maintenance costs referenced here include costs beyond those for transportation (e.g., sewer and water operations and maintenance costs) as identified in Chapter 4.”	Thank you for your comment. Your suggestion for adding an explanatory note in reference to Table 5.3 will be incorporated into the final document.
0001501.09	49. Pg. 142; right column; Roadway noise impacts Verify centerline miles and lane miles as figure appears to be inconsistent with Highways and Arterials Technical Report, Environmental Justice Technical Report and Transportation Conformity Technical Report. Suggested edit: It also includes one of the country’s most extensive HOV systems and a growing network of HOT lanes.	Thank you for your comments on the Draft Connect SoCal. The values presented for centerline miles and lane miles in the 'Roadway Noise Impacts' paragraph will be reviewed to ensure consistency with other sections of Connect SoCal. Your suggested revision will be evaluated for inclusion in the final document.
0001501.10	50. Pg. 143; left column; Connect SoCal revenue sources & tax burdens; 2nd sentence  Suggested edit: Sales and gasoline taxes, which are currently the primary sources of funding for the region’s transportation system, were evaluated for the purposes of this analysis.	Comment noted.
0001501.11	51. Pg. 143; right column; Connect SoCal Investments; 1st sentence Suggested edit: The strategies that public agencies pursue to invest in transportation systems presents potential impacts on EJ.	Thank you for your comment. Your requested revision will be reviewed and incorporated into the final document as appropriate.
0001501.12	52. Pg. 143; right column; Mileage-based user fee impacts This should be updated to also account for the local road charge program.	Comment noted.
0001501.13	53. 147; Table 5.4; Mileage based user fee impacts This should be updated to also account for the local road charge program.	Thank you for your comment. This impact assessment more broadly applies to all mileage-based user fee programs, including the local road charge program.
0001501.14.1	55. Multiple locations Many terms and acronyms are included in the Glossary that do not appear elsewhere. Do they need to be included in the Glossary? Consider adding a definition of rapid bus, especially to differentiate between bus rapid transit.	Comment noted. Proposed revisions will be considered in the Final Connect SoCal.
0001501.14.2	Consider adding a definition of rapid bus, especially to differentiate between bus rapid transit.	Thank you for your comment. A definition of rapid bus will be added to the Glossary.
0001501.15	56. Data Index Pg. 177; Technical reports Change from "Economic & Job Forecast" to "Economic & Job Creation Analysis"	Comment noted. The edits have been made to text wherever applicable.
0001501.16	57. Pg. 22; left column; Regional Agency Engagement; 7th line Suggested edit: ...Plans, SBCTA’s Sidewalk Inventory project, OCTA’s OC Active, strategic first-last mile...	Thank you for your comment. Suggested text modification has been incorporated.



ID	Comment	Response
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001501 <b>Related Documents</b> <a href="#">Link</a>
0001501.17	58. Pg. 42; Figure 27 Suggest replicating figure from cited source as this graphic does not convey the message as effectively.	Thank you for your comment. Figure 27 will be adjusted for better legibility.
0001501.19	59. Pg. 44; right column; Current bikeway network; 1st sentence This is somewhat misleading as both Los Angeles and Riverside counties are substantially larger than Orange County. As a share of countywide lane miles, Ventura and Orange counties have a greater share of bikeways.	Thank you for your comment. Sentence has been rewritten to address concern.
0001501.20	60. Pg. 49; left column; Cities and counties; 2nd paragraph; 1st sentence This is not an accurate statement as the funding in Orange County is significantly below the its share of the region's population.	Thank you for your comment. Table 7 has been updated to reflect corrected funding totals.
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001503 <b>Related Documents</b> <a href="#">Link</a>
0001503.01	pg. 46; right column; Neighborhood change and displacement; 1st paragraph; last sentenceSuggest providing a clearer distinction between homeowners and renters. Are the impacts different?	Comment noted. Clarifications will be addressed in the Final Environmental Justice Report.
0001503.02	pg. 54; Exhibit 13Revise HQTa mapping and narrative to remove HQTc segments that fail to meet the “walkable corridor” characterization.	Suggested revision is addressed in the Final Environmental Justice Technical Report.
0001503.03	pg. 73; right column; Results; 2nd paragraph; 4th sentenceWhy the San Gabriel National Monument? The Santa Monica Mountains National Recreation Area is accessible by regular bus service.	The San Gabriel National Monument project was completed as part of a separate study in collaboration with the United States Forest Service (USFS). Due to its relevance to the topic, it was included in this section of the Environmental Justice Report as an example of some of the accessibility issues seen throughout our region. While there are some open space areas that are easily accessible by public transportation, there are many that are not. Future examples of parks and their accessibility to public transportation could be useful in future regional transportation plans.
0001503.04	pg. 74; right column; Accessibility to the San Gabriel National MonumentWhy the San Gabriel National Monument? The Santa Monica Mountains National Recreation Area is accessible by regular bus service. Every state park in Orange County is accessible by transit plus a three-mile walking threshold.	The San Gabriel National Monument project was completed as part of a separate study in collaboration with the United States Forest Service (USFS). Due to its relevance to the topic, it was included in this section of the Environmental Justice Report as an example of some of the accessibility issues seen throughout our region. While there are some open space areas that are easily accessible by public transportation, there are many that are not. Future examples of parks and their accessibility to public transportation could be useful in future regional transportation plans.
0001503.05	pg. 92-93; Exhibits 21 and 22An EJ area overlay would be useful.	Comment noted. Maps will be revised in the Final Environmental Justice Technical Report.
0001503.06	pg. 95; left column; Case study 1 – Advanced research on the built environment and collisionsSuggest enhancing the linkage to EJ.	Suggested revision is addressed in the final Plan.
0001503.07	pg. 99; Exhibit 24An EJ area overlay would be useful.	Comment noted. Maps will be revised in the Final Environmental Justice Technical Report.
0001503.08	pg. 101; Exhibit 25An EJ area overlay would be useful.	Comment noted. Maps will be revised in the Final Environmental Justice Technical Report.



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001503 <a href="#">Related Documents Link</a>
0001503.09	pg. 103; Exhibit 26An EJ area overlay would be useful.	Comment noted. Maps will be revised in the Final Environmental Justice Technical Report.
0001503.10	pg. 114; right column; Trends and dynamics of aviation noise in the SCAG region and beyond; 1st paragraphReplace “SCAG Aviation Technical Chapter” with “Aviation and Airport Ground Access Technical Report”	Corrections will be addressed in the Final Environmental Justice Technical Report.
0001503.11	pg. 116; left column; Roadway noise impacts; 1st paragraphVerify value for centerline miles as it appears to be inconsistent with the main book and Highways and Arterials Technical Report.Suggested edit:...extensive High-Occupancy Vehicle (HOV) lane systems and a growing network of toll lanes, as well as High Occupancy Toll (HOT) lanes. The region also has...	The SCAG region has an extensive roadway system, with nearly 23,000 centerline miles or 73,000 lane miles. It includes one of the country’s most extensive High-Occupancy Vehicle (HOV) lane systems and a growing network of High Occupancy Toll (HOT) lanes. The region also has a vast network of arterials and other minor roadways. Noise from these transportation facilities may cause significant environmental concerns.Noise impacts are also discussed in the Final Connect SoCal PEIR (See Section 3.13, Noise).
0001503.12	pg. 120; Exhibit 27Why are low volume, lower speed State Highways included here, such as SR-39 and SR-74?	Roadway noise analysis is inclusive of all links of SCAG transportation network, which contain freeways, highways, and major arterials. Exhibit 27 displays links indicating that the Community Noise Equivalent Level (CNEL) exceeds the noise level of 65db. CNEL exceeding 65db is generally considered unacceptable for residential areas.
0001503.13	pg. 126-129; Exhibits 28-31An EJ area overlay would be useful. Can resolution be improved?	Suggested revision is addressed in the Final Environmental Justice Technical (EJ) Report. Because of the size of the report, map resolutions may be reduced. However, SCAG staff can provide high resolution maps to stakeholders upon request.
0001503.14	pg. 134-135; Exhibits 32-33An EJ area overlay would be useful.	Comment noted. Maps will be revised in the Final Environmental Justice Technical Report.
0001503.15	pg. 162; left column; Results; 1st paragraphSuggest delete "general toll lanes," to match Table 57.	Suggested revision is addressed in the final Plan.
0001503.16	pg. 164; Exhibit 34An EJ area overlay would be useful.	Comment noted. Maps will be revised in the Final Environmental Justice Technical Report.
0001503.17	pg. 165; Impacts from funding through mileage-based user feesSuggest including local road charge program here—which, should be a similar impact—and not just mileage-based user fee.	Thank you for your comment. This impact assessment more broadly applies to all mileage-based user fee programs, including the local road charge program.
0001503.18	pg. 8; Exhibit 1Request adding SR-55 between I-405 and I-5 as a Major Freight Highway Corridor based on truck volumes.	Please note that the segment referenced is identified as a part of the primary highway freight system.
0001503.19	pg. 13; right column; Highway system; last paragraph; 1st sentenceWhat about I-710 and I-605?	I-710 and I-605 are considered major regional goods movement corridors. The list included here is meant to be an example of major regional goods movement corridors, and is not meant to be exhaustive.
0001503.20	pg. 28; right column; Figure 12Capitalize “SCAG”	Revision made.



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001504 <b>Related Documents</b> <a href="#">Link</a>
0001504.01	Pg. 57; right column; Table 8; 2045 Connect SoCal average commute time walking Verify figure as it appears to be inconsistent with the Public Health Technical Report.	Thank you for your comment. The Public Health Technical Report displays the average commute time of people walking and bicycling combined. The Active Transportation Technical Report shows the average commute time for the two modes separately.
0001504.02	Pg. 58; right column; Table 9 Verify figures for both Baseline and Plan as they appear to be inconsistent with the main book and Performance Measures Technical Report.	Thank you for your comment. Figures in Table 9 will be updated for consistency with the main book and Performance Measures Technical Report.
0001504.03	Pg. 63; left column; Technology and micro-mobility strategies; 1st bullet Is this an example or the “regional standard”?	Thank you for your comment. This is one example. While it is useful, the Mobility Data Standard (MDS) is not without its challenges, and would not be recommended as a regional standard until more vetting.
0001504.04	Pg. 65; Table 10; Total Check the math or include a note that it does not sum to the total due to rounding.	Thank you for your comment. Note will be added to table regarding rounding math.
0001504.05	Pg. 67; left column; Actions for technology and micromobility; 1st bullet Why only Caltrans?	Comment noted. Text will be revised to refer to county transportation commissions and local jurisdictions.
0001504.06	Pg. 68; left column; Strategic Plan; 1st paragraph Suggested edit: Connect SoCal contains approximately \$22.5 billion (in nominal dollars) in investments in active transportation between 2020 and 2045. However, this represents only a portion of the need, based upon reasonably available funding.	Thank you for your comment. The Connect SoCal cost assumptions include an assumed rate of inflation, so the total is not in nominal dollars. Text has been edited for clarity.
0001504.07	Pg. 68; left column; Strategic Plan; 3rd paragraph; 1st sentence Clarify if this is in addition to the \$22.5 billion included in the constrained plan.	Thank you for your comment. Clarification has been added to this sentence that the \$28 billion is a total cost, not in addition to the constrained Plan.
0001504.08	Pg. 68; right column; Table 11 walking and bicycling mode share Verify figures for both Baseline and Plan as they do not appear to be consistent with the main book, Public Health Technical Report, and Performance Measures Technical Report	Thank you for your comment. Numbers will be verified for Plan consistency.
0001504.09	Pg. 69; left column; Strategic Plan; 1st paragraph; last sentence Suggest revising this statement so that it is clear that the Plan is financially constrained.	Thank you for your comment. Statement has been revised for clarity.
0001504.10	Pg. 79; Table 12; last row Requested edits: OC Orange County Active Transportation Plan 2019 In Progress	Thank you for your comment. Technical Report has been edited to reflect recommended changes.
0001504.11	Pg. 86; Table 13; 1st row Requested edits: OC Orange County Active Transportation Plan 2019 In Progress	Thank you for your comment. Technical Report has been edited to reflect recommended changes.
0001504.12	Pg. 7; right column; Ontario International Airport (LAX) Replace “LAX” with “ONT”	Comment noted. "Ontario International Airport (LAX)" will be corrected to reflect "Ontario International Airport (ONT)" on page 7.
0001504.13	Pg. 8; left column; Ontario International Airport (LAX); 2nd paragraph; last sentence  Missing period after “7 MAP” and missing sentences after “As for air cargo, Ontario”...	Comment noted. A period will be placed after “7 MAP” on page 7, the last paragraph in the right column, and page 8, the first full paragraph on the left column. The sentence, “As for air cargo, Ontario...” will be completed to read “As for air cargo, Ontario Airport cargo activity has been steadily increasing since the housing crisis of 2008, reaching 654,000 tons in 2017.”
0001504.14	Pg. 10; Table 1 Update table with applicable destination information. Air Canada is listed twice.	Comment noted. Table 1 "Commercial Air Carriers (and Destinations) Operating in the SCAG Region Airports" will be updated to remove the redundant row/entry where Air Canada is listed twice.



ID	Comment	Response	
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001504	Related Documents <a href="#">Link</a>
0001504.15	Pg. 22-23 and 31 Replace “2020-2040 RTP/SCS” with “2020-2045 RTP/SCS”	Comment noted. “2020-2040 RTP/SCS” will be replaced with “2020-2045 RTP/SCS” on pages 22, 23, and 31.	
0001504.16	Pg. 6; left column; Roles and responsibilities of partner agencies; 1st paragraph Replace “SGAG” with “SCAG”	Thank you for your comment. Page 6 of the Congestion Management Technical Report will be edited per the comment.	
0001504.17	Pg. 11; Aggregate regional and county trends; last paragraph; 1st sentence Replace “EXHIBIT” with “FIGURE”	Thank you for your comment. Page 11 of the Congestion Management Technical Report will be edited per the comment.	
0001504.18	Pg. 22; left column; Regional and county congestion trends Add references to Exhibit 1 and Table 3	Thank you for your comment. Page 22 of the Congestion Management Technical Report will be edited per the comment.	
0001504.19	Pg. 22; right column; County congestion management program trends; 1st paragraph Requested edit: OCTA is the latest CTC to have completed a state Congestion Management Program network analysis in 2019. Orange County’s latest performance, using an average intersection capacity utilization (ICU) analysis rating, shows an improvement over their 1991 baseline. Between 1991 and 2019, the average AM peak-period ICU improved from 0.67 to 0.60, a ten percent improvement, and the average PM peak-period ICU improved from 0.72 to 0.63, a 12.5 percent improvement.	Thank you for your comment. Page 22 of the Congestion Management Technical Report will be edited per the comment.	
0001504.20	Pg. 23; Non-recurrent congestion The non-recurrent congestion discussion and Figure 4 (recurrent/non-recurrent percent share) is inconsistent with the highway non-recurrent delay discussion and Figure 11 on page 37 of the Performance Measures Technical Report.	Thank you for your comment. The non-recurrent/recurrent discussion and statistics between the Congestion Management and Performance Measures Technical Reports will be revised to be consistent.	
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001505	Related Documents <a href="#">Link</a>
0001505.01	Pg. 23; left column; Non-recurrent congestion; 2nd paragraph; 5th sentence Reconsider the statement, “This suggests that less built-out and developed areas experience more non-recurrent congestion since there is much less constant and general, predictable congestion.” Orange County is generally considered to be built-out but experiences much more non-recurrent congestion than recurrent congestion according to Figure 4.	Thank you for your comment. We will review the data depicted in Figure 4 and update Page 23 of the Congestion Management Technical Report as appropriate.	
0001505.02	Pg. 31; right column; SCAG’s role; 3rd paragraph; 1st sentence Replace “Los Angeles region” with “Los Angeles County”	Thank you for your comment. Page 31 of the Congestion Management Technical Report will be updated per the comment.	
0001505.03	Pg. 41; left column; Ridesharing Replace “ExpressLane” with “express lane” ExpressLane is a Metro branding of the generic express lane.	Thank you for your comment. Page 41 of the Congestion Management Technical Report will be edited per the comment.	
0001505.04	Pg. 41; right column; Carpooling and vanpooling Suggested edit: Carpooling is commonly defined as when two or more people share a ride...	Comment noted. Page 41 of the Congestion Management Technical Report will be edited per the comment.	
0001505.05	Pg.45; left column; 1st paragraph; last sentence Clarify years	Thank you for your comment. Page 45 of the Congestion Management Technical Report will be edited per the comment.	
0001505.06	Pg. 47; right column; New infrastructure Clarify what the \$285.3 billion figure refers to and verify the amount. Is this supposed to be the total capital projects and other programs? Replace “appendices” with “technical reports”	Thank you for your comment. Page 47 of the Congestion Management Technical Report will be updated per the comment.	



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001505 <a href="#">Related Documents</a> <a href="#">Link</a>
0001505.07	Pg. 2; left column; last paragraph; last sentences Replace “Economic Growth” with “Economic and Job Creation Analysis”	Change made.
0001505.08	Pg. 4; left column; Forecasting process overview; 2nd paragraph Suggested edit: After developing the draft 2020 RTP/SCS between July 2019 and October 2019, SCAG released the draft 2020 RTP/SCS in November October 2019.	Change made.
0001505.09	Pg. 7; Table 3 Verify values for 2000, 2010, and 2016 as they do not appear to be consistent with the Environmental Justice Technical Report. Verify 2016 median age as it does not appear to be consistent with the Environmental Justice Technical Report.	The Environmental Justice Technical Report uses 5-year American Community Survey (ACS) values aggregated from census tracts to facilitate side-by-side comparisons with various Environmental Justice (EJ) geographies, whereas the Demographics & Growth Forecast Technical Report uses forecast model output. A note clarifying the difference is being added to the Environmental Justice Technical Report.
0001505.10	Pg. 18; Special focus: workplace automation and the gig economy It may be appropriate to address the implications of AB 5 here.	Thank you for your comment. While adding a comprehensive review of Assembly Bill 5 and its implications may be beyond the scope of Connect SoCal revisions, we have added a couple sentences to provide context and to suggest that recent legislative changes may impact worker classification and potential benefits received.
0001505.11	Pg. 28; Figure 11 Verify that this is labeled correctly	Verified and corrected.
0001505.12	Pg. 29; Table 13; Population Verify values as they do not appear to be consistent with the Environmental Justice Technical Report.	The Environmental Justice Technical Report uses 5-year American Community Survey (ACS) values aggregated from census tracts to facilitate side-by-side comparisons with various Environmental Justice (EJ) geographies, whereas the Demographics & Growth Forecast Technical Report uses forecast model output. A note clarifying the difference is being added to the Environmental Justice Technical Report.
0001505.13	Pg. 42; Table 15 Priority growth areas are defined differently in the main book. Share of total growth for households and employment are not consistent with the main book. Constrained areas (absolute and variable) are not consistently defined and show different acreage.	Thank you for your comment. Priority growth area definitions have been verified and updated to ensure consistency with other sections of Connect SoCal.
0001505.14	Pg. 1; right column; last paragraph Suggested edit: Over the FY2020-21 through FY2044-45 2021–2045 period, our region is expected to invest more than \$603...	Revised as suggested.
0001505.15	Pg. 5; right column; Local (neighborhood) congestion and economic competitiveness; 1st paragraph; 2nd sentence Replace “Los Angeles region” with “SCAG region”	Revised as suggested.
0001505.16	Pg. 9; Table 1 Missing fiscal year notation	Change made.
0001505.17	Pg. 10; left column; Jobs resulting from investment spending on construction, operation and maintenance, plus multiplier effects; 1st line Replace “2021-2025” with “FY2020-21 through FY2024-25”	Change made.
0001505.18	Pg. 10; Table 2 Missing fiscal year notation	Change made.
0001505.19	Pg. 11; Table 3 Missing fiscal year notation	Change made.



ID	Comment	Response	
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001505	Related Documents <a href="#">Link</a>
0001505.20	Pg. 11; right column; Total jobs resulting from the investment spending and enhanced network efficiency; 1st paragraph Replace “2021-2045” with “FY2020-21 through FY2044-45”	Change made.	
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001507	Related Documents <a href="#">Link</a>
0001507.01	pg. 77; Table 9; A.36; Project description and Project CostRequested edits:SRSr-57 fromFrom Lambert toTo LA La County Line - Add 1 NBNb Truck Climbing Lane\$167,550 \$124,600	Revision made.	
0001507.02	pg. 77; Table 9; A.37; Project descriptionRequested edits:Add 1 HOV Hov Lane Each Direction (I-5 fromFrom SRSr -57 toTo SRSr -91)	Revision made.	
0001507.03	pg. 77; Table 9; A.38; Project descriptionRequested edits:I-405 fromFrom SRSr-73 toTo I-605 - Add 1 MF Mf Lane inIn Each Direction, andAnd Additional Capital Improvements (By 2022), Convert Existing HOV Hov toTo HOT Hot. Add 1 Additional HOT Hot Lane Each Direction. Combined With Ora045, Ora151, Ora100507 And Ora120310, And Ora030605a. Signage From Pm 7.6 To 24.2.	Revision made.	
0001507.04	pg. 77; Table 9; A.39; Project descriptionRequested edits:I-5 (I-405 toTo SR Sr-55) - In theThe Cities ofOf Irvine andAnd Tustin. Add 1 MF Mf Lane NBNb fromFrom Truck Bypass On Ramp toTo SR Sr-55, Add 1 MF Mf Lane SBSb fromFrom SR Sr -55 toTo Alton andAnd 1 Aux Lane fromFrom Alton toTo Truck Bypass. (Pa&Ed And Ps&E Phase) Project Will Utilize Toll Credit Match.	Revision made.	
0001507.05	pg. 78; Table 9; A.40; Project descriptionRequested edits:SR Sr-91: Add 1 MF Mf Lane EBEb fromFrom SR-55 toTo SR-57, And 1 MF Mf Lane WBWb fromFrom Kraemer toTo State College; Improve Interchanges; andAnd Merge fromFrom Lakeview toTo Raymond	Revision made.	
0001507.06	pg. 78; Table 9; A.41; Project descriptionRequested edits:SR Sr-91 Add 1 Lane Each Direction fromFrom SR Sr-241 toTo County Line, andAnd Other Operational Improvements. See Riverside County forFor Additional Details. (Linked withWith Riv071250b)	Revision made.	
0001507.07	pg. 78; Table 9; A.42; Project descriptionRequested edits:SR Sr -57 - Add 1 MF Mf Lane NBNb Between Orangewood andAnd Katella	Revision made.	
0001507.08	pg. 78; Table 9; A.43; Project descriptionRequested edits:Add 1 MF Mf Lane Each Direction fromFrom I-5 toTo SR Sr -55 andAnd Add SBSb Aux Lanes fromFrom SR-133 toTo Irv Ctr Dr	Revision made.	
0001507.09	pg. 78; Table 9; Missing ProjectRequest adding missing project:Orange   SR-55: Add 1 MF And 1 HOV Lane Each Direction From I-405 To I-5 And Fix Chokepoints From I-405 to I-5; Add 1 Aux Lane Each Direction Between Select On/Off Ramps and Non-Capacity Operational Improvements Through Project Limits   \$410,932   S” ” denotes column breaks starting with “County” column	Thank you for your comment. SCAG will consider your request for the addition.	



ID	Comment	Response	
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001507	Related Documents <a href="#">Link</a>
0001507.10	pg. 78; Table 9; Missing ProjectRequest adding missing project:Orange   SR-74 Ortega Highway – In San Juan Capistrano From Calle Entradero To City/County Line – Widen From 2 to 4 Lanes   \$77,120   M“ ” denotes column breaks starting with “County” column	Thank you for your comment. SCAG will consider your request for the addition.	
0001507.11	pg. 99; Exhibit 8Update map to reflect the addition of missing projects provided	Missing project labels and map will be updated.	
0001507.12	pg. 1; right column; Executive summaryVerify centerline and lane miles as it appears that values are inconsistent with Environmental Justice Technical Report and Transportation Conformity Technical Report.	Comment noted. Consistency issues will be addressed as part of the Final Connect SoCal.	
0001507.13	pg. 4; left column; Regional significanceVerify mileage as it appears that values are inconsistent with Environmental Justice Technical Report and Transportation Conformity Technical Report.	Comment noted. Consistency issues will be addressed as part of the Final Connect SoCal.	
0001507.14	pg. 6; Exhibit 1The OCTA Board has not taken an action on HOV-to-HOT Connector Conversions and the Planned Express Lane Network segments on SR 55 and SR 73 as illustrated in this exhibit.Note there is a Missing Planned Express Lane Direct Connector at SR 91 / SR 241 interchange.	Comment noted. Your comment will be addressed in the Final plan.	
0001507.15	pg. 20; Programmed commitmentsIt may be worth noting that Connect SoCal also includes expenditures for O&M as written on page 14.	Comment noted.	
0001507.16	pg. 21; Table 5Third row, replace “2023” with “2025”; replace “\$327,363” with “\$410,907”Fifth row, add the following to the Description “and southbound auxiliary lane from SR-133 to Irvine Center Drive”; replace “\$190,000” with “\$323,600”	Comment noted. Changes will be made in the Final Connect SoCal.	
0001507.17	pg. 23; Exhibit 4Missing Plan Segment on I-5 between Avenida Pico and San Diego County line.Baseline Segment between El Toro and Alicia appear to be too long as mapped.	Exhibit 4 is intended for illustrative purposes only. Please refer to the Project List Technical Report for a complete list of projects.	
0001507.18	pg. 24; Exhibit 5Planned HOV segment between El Toro and Alicia appears to be too long as mapped; Planned HOV segment between Avenida Pico and San Diego County line appears to be in wrong location.The OCTA Board has not taken an action on HOV-to-HOT Connector Conversions as illustrated in this exhibit.Missing Planned Mixed Flow Lanes on I-405 between I-5 and SR-55; and on I-5 between I-405 and SR-55; and on SR-57 between Orangewood and KatellaMissing Planned HOT Connector at SR-91 / SR-241 interchange.	Comment noted. Exhibit 5 is intended for illustrative purposes only. Please refer to the Final Project List Technical Report for a complete list of projects.	
0001507.19	pg. 2; right column; Introduction; last sentenceVerify population value as it appears to be inconsistent with the Demographics and Growth Forecast Technical Report.	Comment noted. The correct population value is 3.7. The referenced text has been updated to address this comment.	
0001507.20	pg. 7; right column; Performance and outcomes; last sentenceHow is "trend" defined for this Technical Report? Comparison to Baseline?	"Trend" refers to the "Trend/Baseline" scenario as described in the Sustainable Communities Strategy Technical Report. Appropriate edits have been made to address the comment, for clarity and consistency with the Sustainable Communities Strategy Technical Report.	
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001508	Related Documents <a href="#">Link</a>
0001508.01	Pg. 12; Table 4 Missing fiscal year notation	Change made.	



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001508 <b>Related Documents</b> <a href="#">Link</a>
0001508.02	Pg. 12; left column; Conclusion Replace “2021-2045” with “FY2020-21 through FY2044-45”	Revised.
0001508.03	Pg. 8; right column; Ridehailing/transportation network companies (TNCs) It may be appropriate to address the implications of AB 5 here.	Thank you for your comment. While AB 5 will certainly have implications on drivers and customers of ride-hailing companies, it would be difficult to do much more than theorize how it might affect public-private partnerships. However, we are committed to help guide our member agencies to make regulation and partnership decisions that are provably beneficial to both labor and the public at large, including people who choose not to use ride-hailing services.
0001508.04	Pg. 5; Table 1; Neighborhood change and displacement Consider rephrasing as this suggests that minority or EJ populations do not currently reside in suburban locations in the region.	Suggested revision is addressed in the Final Plan.
0001508.05	Pg. 7; Table 1; Rail-related impacts Asterisks but no corresponding note.	Corrections will be addressed in the Final Environmental Justice Technical Report.
0001508.06	Pg. 7; Table 1; Impacts from mileage-based user fee Suggest including local road charge program here—which, should be a similar impact—and not just mileage-based user fee.	Thank you for your comment. This impact assessment more broadly applies to all mileage-based user fee programs, including the local road charge program.
0001508.07	Pg. 14; left column; Where should impacts be assessed?; last bullet This should also include the local road charge program.	Thank you for your comment. This impact assessment more broadly applies to all mileage-based user fee programs, including the local road charge program.
0001508.08	Pg. 19; left column; How will impacts be analyzed?; 2nd paragraph; last sentence Clarify if this is different than the Baseline definition used elsewhere in the Plan.	Comment noted. The baseline definition is consistent with other technical reports in the Plan.
0001508.09	Pg. 20; Table 5 Verify values for 2000, 2010, and 2016 total population and 2016 median age as they appear to be inconsistent with the Demographics and Growth Forecast Technical Report.	In order to facilitate side-by-side comparison of the region and three separate tract-level Environmental Justice (EJ)-related overlays across a wide variety of socioeconomic variables, the EJ Technical Report uses tract-level Census and ACS estimates as the best available approximation of 2000, 2010, and 2016 conditions. Table 5 data is aggregated from tract-level information in order to facilitate comparison with EJ geographies found in subsequent tables and may not sum to regional totals. Additionally, county-level figures in the Demographics and Growth Forecast Technical Report may differ slightly as they are outputs from SCAG's county-level cohort component forecast model which, since it has a different purpose, relies on different input data and modeling assumptions which are detailed in that report.
0001508.10	Pg. 21; left column; Historical demographic trends; 2nd paragraph Verify value for 2016 median age as it appears to be inconsistent with the Demographics and Growth Forecast Technical Report. Define senior population.	In order to facilitate side-by-side comparison of the region and three separate Environmental (EJ)-related overlays across a wide variety of socioeconomic variables, the EJ Technical Report uses ACS 2013-2017 5-year estimates as the best available approximation of 2016 conditions. The county-level figures in the Demographics and Growth Forecast Technical Report may differ slightly as they are outputs from SCAG's county-level cohort component forecast model which, since it has a different purpose, relies on different input data and modeling assumptions which are detailed in that report.



ID	Comment	Response
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001508 <a href="#">Related Documents</a> <a href="#">Link</a>
0001508.11	<p>Pg. 21; right column; Historical demographic trends; 2nd paragraph; last sentence</p> <p>Explain why the travel demand model predicts a future that is inconsistent with the trend.</p>	<p>Thank you for your comment. SCAG's forecast of population, households, and employment at the small-area level generate secondary variables such as these which are required inputs for the travel demand model. These secondary variables are not independently derived and forecasted due to their limited purpose. Their inclusion in the Environmental Justice Technical Report is to provide an improved illustration of historical trajectories and their inherent limitations are noted.</p>
0001508.12	<p>Pg. 23; Table 7; Total population Verify values as they appear to be inconsistent with the Demographics and Growth Forecast Technical Report.</p>	<p>In order to facilitate side-by-side comparison of the region and three separate Environmental Justice (EJ)-related overlays across a wide variety of socioeconomic variables, the EJ Technical Report uses ACS 2013-2017 5-year estimates as the best available approximation of 2016 conditions. The county-level figures in the Demographics and Growth Forecast Technical Report may differ slightly as they are outputs from SCAG's county-level cohort component forecast model which, since it has a different purpose, relies on different input data and modeling assumptions which are detailed in that report.</p>
0001508.13	<p>Pg. 24; left column; Demographic trends in EJ areas in the SCAG region; 1st paragraph</p> <p>Verify 68.6 percent figure with Demographics and Growth Forecast values, which indicate that White, non-Hispanic accounted for 41.7 percent of the regional population in 2016.</p>	<p>In order to facilitate side-by-side comparison of the region and three separate Environmental Justice (EJ)-related overlays across a wide variety of socioeconomic variables, the EJ Technical Report uses ACS 2013-2017 5-year estimates as the best available approximation of 2016 conditions. The county-level figures in the Demographics and Growth Forecast Technical Report may differ slightly as they are outputs from SCAG's county-level cohort component forecast model which, since it has a different purpose, relies on different input data and modeling assumptions which are detailed in that report. Specifically, Table 5 of this report indicates a 68.6% share of population other than White, non-Hispanic in 2016 while the Demographics &amp; Growth Forecast Technical Report indicates a 68.5% share (Table 3).</p>
0001508.14	<p>Pg. 26; left column; Demographic trends in SB 535 Disadvantaged Communities in the SCAG region; last paragraph Verify values for median age and percent of the seniors as they appear to be inconsistent with the Demographics and Growth Forecast Technical Report.</p>	<p>In order to facilitate side-by-side comparison of the region and three separate Environmental Justice (EJ)-related overlays across a wide variety of socioeconomic variables, the EJ Technical Report uses ACS 2013-2017 5-year estimates as the best available approximation of 2016 conditions. The county-level figures in the Demographics and Growth Forecast Technical Report may differ slightly as they are outputs from SCAG's county-level cohort component forecast model which, since it has a different purpose, relies on different input data and modeling assumptions which are detailed in that report. Specifically, Table 5 of this report indicates a median age in 2016 of 35.6 from the ACS compared to 35.8 in the Demographics &amp; Growth Forecast Technical Report (Table 3).</p>
0001508.15	<p>Pg. 30; left column; Expected future trends in EJ geographies; 2nd paragraph; last sentence</p> <p>Explain why the travel demand model assumes a decrease in poverty.</p>	<p>Thank you for your comment. SCAG's forecast of population, households, and employment at the small-area level generate secondary variables such as these which are required inputs for the travel demand model. These secondary variables are not independently derived and forecasted due to their limited purpose. Their inclusion in the Environmental Justice Technical Report is to provide an improved illustration of historical trajectories and their inherent limitations are noted.</p>



ID	Comment	Response
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001508 <b>Related Documents</b> <a href="#">Link</a>
0001508.16	Pg. 30; left column; Expected future trends in EJ geographies; 3rd paragraph; 1st sentence  Explain why the travel demand model predicts a future that is inconsistent with the trend.	Thank you for your comment. SCAG's forecast of population, households, and employment at the small-area level generate secondary variables such as these which are required inputs for the travel demand model. These secondary variables are not independently derived and forecasted due to their limited purpose. Their inclusion in the Environmental Justice Technical Report is to provide an improved illustration of historical trajectories and their inherent limitations are noted.
0001508.17	Pg. 45; left column; Results; 2nd paragraph; 1st sentence Clarify end of sentence—"...future Technical Report."	Clarifications will be addressed in the Final Environmental Justice Technical Report.
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001510 <b>Related Documents</b> <a href="#">Link</a>
0001510.01	pg. 16; right column; Orange County Central-Coastal NCCP/HCPReplace "Transportation Corridor Agency" with "Transportation Corridor Agencies"	Comment noted. Appropriate edits have been made in the Plan to address the comment.
0001510.02	pg. 2; right column; Importance to the regional transportation system; 2nd paragraphVerify Metrolink's route miles as it appears to be inconsistent with latest (FY19-20) Metrolink adopted budget information.	Thank you for your comment. The referenced route mile figure in the Passenger Rail Technical Report is correct.
0001510.03	pg. 4; right column; Regional; 1st paragraphVerify Metrolink's route miles as it appears to be inconsistent with latest (FY19-20) Metrolink adopted budget information.	Thank you for your comment. The referenced route mile figure in the the Passenger Rail Technical Report is correct.
0001510.04	pg. 5; left column; Modeling approach and ridership forecasting; 1st paragraph; last sentenceClarify this statement, "In the horizon year, the full buildout of the Metrolink SCORE project is assumed." It appears that the Metrolink SCORE program was assumed to be fully implemented and in operation beginning in 2035 in other parts of Connect SoCal.	Thank you for your comment. Page 5 of the Passenger Rail Technical Report will be updated per the comment.
0001510.05	pg. 6; left column; Connectivity and gaps in service; 1st paragraphIt is worth noting that the Norwalk/Santa Fe Springs Metrolink Station is not served by Amtrak Pacific Surfliner.	Comment noted. There are several stations along the LOSSAN Corridor that are served by Metrolink but not the Amtrak Pacific Surfliner as the Surfliner is an inter-city rail service.
0001510.06	pg. 8; right column; The Southwest ChiefProvide applicable updates on replacement of rail service with charter bus service.	Thank you for your comment. The Passenger Rail Technical Report will be updated per your comment.
0001510.07	pg. 9; right column; Metrolink; 1st paragraphVerify Metrolink's route miles as it appears to be inconsistent with latest (FY19-20) Metrolink adopted budget information.	Thank you for your comment. The referenced route mile figure in the Passenger Rail Technical Report is correct.
0001510.08	pg. 11; Exhibit 2It appears that the future Placentia Metrolink Station is included here as an Existing Metrolink Station.	Thank you for your comment. Exhibit 2 will be edited to remove the future Placentia Metrolink station.
0001510.09	pg. 14; left column; Palmdale to Hollywood Burbank AirportDefine "SAA"	Thank you for your comment. Page 14 of the Passenger Rail Technical Report will be updated per the comment.
0001510.10	pg. 14; right columnProvide applicable updates on draft and final EIR/EIS documents. Text indicates that draft documents would be released in late 2019.	Thank you for your comment. This section will be updated with current EIR/EIS dates available from the California High-Speed Rail Authority.
0001510.11	pg. 25; Exhibit 5It appears that the future Placentia Metrolink Station is included here as an Existing Metrolink Station.	Thank you for your comment. Exhibit 5 will be edited to remove the future Placentia Metrolink station.



ID	Comment	Response	
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001510	Related Documents <a href="#">Link</a>
0001510.12	pg. 26; right column; Placentia Metrolink StationProvide applicable update on start of construction.	Thank you for your comment. Page 26 of the report will be updated if construction start dates are available.	
0001510.13	pg. 35; Exhibit 7It appears that the future Placentia Metrolink Station is included here as an Existing Metrolink Station.	Thank you for your comment. Exhibit 7 of the Passenger Rail Technical Report will be edited per the comment.	
0001510.14	pg. 36; Exhibit 8It appears that the future Placentia Metrolink Station is included here as an Existing Metrolink Station.	Thank you for your comment. Exhibit 8 of the Passenger Rail Technical Report will be edited per the comment.	
0001510.15	pg. 14; right column; Analytical approach; 2nd bulletSuggest revising language to reflect definition of Baseline from Glossary of the main book.	Thank you for taking the time to review and comment on the draft Connect SoCal. The definition of ‘Baseline’ provided in the Performance Measurers chapter will be reviewed to ensure consistency with the Connect SoCal Glossary.	
0001510.16	pg. 51; Table 16Suggest revising title to reflect criteria pollutant emission reductions	Thank you for your comment. The title of Table 16 in the Connect SoCal Performance Measures Technical Report will be revised from ‘Criteria Pollutant Emissions’ to ‘Criteria Pollutant Emissions Reduction.’	
0001510.17	pg. 57; Table 20Verify Connect SoCal results for walk share (all trips) and bike share (all trips) as it appears to be inconsistent with the main book and Active Transportation Technical Report.	Thank you for your comment. The values presented for active transportation mode share in Table 20 of the draft Connect SoCal Performance Measures Technical Report will be reviewed to ensure consistency with other sections of Connect SoCal.	
0001510.18	pg. 58; Table 20Replace “0.0%” with “N/A” for Trend for GHG emission reductions.Missing footnote for asterisks for Baseline GHG emissions.Missing asterisks on Baseline criteria pollutant emissions to match footnote on page 59.	Thank you for your comments. Your recommended edits for Table 20 will be reviewed and applied as appropriate.	
0001510.19	pg. 140; Table 2Request adding missing project:Transit   Anaheim Transportation Network (ATN)   RTP ID to be determined by SCAG   0   Fixed Route Bus       Replace 40 LNG buses that have exceeded their useful life with advanced battery-electric buses and increase service levels, including two new routes.   2021   \$34,146“ ” denotes column breaks	Comment noted. The requested revisions have been incorporated into the Connect SoCal Project List Technical Report.	
0001510.20	pg. 239-242; Table 2Request including asterisk to each of the regional initiatives with the following note, “Regional initiatives are assumed to be funded by reasonably available new revenue sources and innovative financing strategies included in Connect SoCal.”	Comment noted.	
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001512	Related Documents <a href="#">Link</a>
0001512.01	pg. 2; right column; Executive summary; 1st paragraphSuggest revising comparison of criteria pollutant emissions to Base Year per footnotes in Performance Measures Technical Report and the main book.	Comment noted. The Public Health Technical Report has been updated.	
0001512.02	pg. 2; right column; Executive summary; 1st paragraphSuggest reference to Baseline definition in Glossary of the main book	Comment noted. The Public Health Technical Report has been updated.	
0001512.03	pg. 2; right column; Executive summary; 2nd paragraphVerify time savings by mode, mode share changes between Baseline and Plan as it appears the values are not consistent with the Performance Measures Technical Report, Active Transportation Technical Report, and the main book.	Comment noted. The Public Health Technical Report has been updated.	



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001512 <a href="#">Related Documents Link</a>
0001512.04	pg. 45; Table 5Verify Baseline and Plan values for share of growth in HQTAs as it appears to be inconsistent with the main book.Verify Baseline and Plan values for criteria pollutants as it appears to be inconsistent with the main book. What unit are the criteria pollutant emissions shown?	Comment noted. The Public Health Technical Report has been updated.
0001512.05	pg. 46; Table 5Verify Baseline and Plan values for share of jobs in HQTAs as it appears to be inconsistent with the main book.	Comment noted. The Public Health Technical Report has been updated.
0001512.06	pg. 49; Table 8Verify Plan value for percentage of PM peak transit trips less than 45 minutes as it appears to be inconsistent with the main book.	Comment noted. The Public Health Technical Report has been updated.
0001512.07	pg. 52; right column; Table 10Verify Baseline and Plan values for criteria pollutants as it appears to be consistent with the main book. What unit are the criteria pollutant emissions shown?	Comment noted. The Public Health Technical Report has been updated.
0001512.08	pg. 56; left column; Table 12Verify Baseline and Plan values for share of jobs in HQTAs as it appears to be inconsistent with the main book.	Comment noted. The Public Health Technical Report has been updated.
0001512.09	pg. 3; Table 1Suggest combining information from applicable rows, such as “Facebook” (rows 1 and 8) where the same engagement tool is listed in multiple rows.	Comment noted. Suggested edits will be addressed in the Final Connect SoCal.
0001512.10	pg. 7; right column; Outdoor advertising; last sentenceReplace “seven-county” with “six-county”	Comment noted. Referenced edits will be addressed in the Final Connect SoCal.
0001512.11	pg. 9-10; Tables 6-9Suggest adding a column to each table to show the regional share of each participant group. This would help illustrate if the survey results are representative of the general population.	Comment noted. The regional share of the survey results of those individuals who answered is located on Table 6 on page 9 the Public Participation and Consultation Technical Report.
0001512.12	pg. 11; left column; Stakeholder working groups; 2nd paragraphReplace “Natural Land Conservation” with “Natural & Farm Lands Conservation”	Comment noted. The referenced edit will be addressed in the final Plan.
0001512.13	pg. 11; right column; Active transportation working group; 1st paragraphThe 2016 RTP/SCS included a capital project investment level of \$8.1 billion plus \$4.8 billion from operations and maintenance of regionally significant local streets and roads for combined total of \$12.9 billion for active transportation improvements.	Comment noted.
0001512.14	pg. 12; right column; Mobility innovationsIndicate the number of meetings and dates held to be consistent with other working groups.	Thank you for your comment. The Public Participation and Consultation Technical Report will be updated with the meeting dates.
0001512.15	pg. 13; right column; Sustainable communitiesIndicate the number of meetings and dates held to be consistent with other working groups.	Comment noted. The Sustainable Communities working group met four times on the following dates: 5/17/18, 8/9/18, 11/15/19, 2/21/19. The Plan will be updated to reflect this information.
0001512.16	pg. 5; right column; Recent growthVerify values listed as they appear to be inconsistent with the main book and the Demographics and Growth Forecast Technical Report.	Comment noted. The referenced text has been amended to reflect similar priority areas and corresponding growth statistics.
0001512.17	pg. 24-29; Exhibits 1-6Suggest changing coloring for Urban Rail. Coloring used for 2045 network works better.	Thank you for your comment. The 2016 Urban Rail coloring will be changed to match the 2045 color, in the referenced exhibits.



ID	Comment	Response
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001512 <b>Related Documents</b> <a href="#">Link</a>
0001512.18	pg. 76; left column; Planned HQTCS; 2nd paragraphReplace “V4” with “Exhibit 14”	Thank you for your comment. Page 76 of the Transit Technical Report will be updated per the comment.
0001512.19	pg. 84; Planned HQTCS and major transit stops; left column; last lineReplace “V4” with “Exhibit 14”	Thank you for your comment. Page 84 of the Transit Technical Report will be edited per the comment.
0001512.20	pg. 21; right column; Connect SoCal No BuildCorrect years of FTIP.	The referenced typos have been corrected in the final Plan.
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001514 <b>Related Documents</b> <a href="#">Link</a>
0001514.01	pg. 44; left column; 2007 Ozone SIP; last lineRevise reference for more information on TCMs and timely implementation of TCMs.	The reference is not necessary and thus is deleted in the final Plan.
0001514.02	pg. 86-91; Table 65ORA050, ORA051, and 10254 should reflect a completion delay to year 2022 and that obstacles are being overcome.	The final Plan will reflect that the completion year for the three projects will be extended to 2022 pending justifications for the delay, project status, and efforts to overcome the delay from the Orange County Transportation Authority (OCTA).
0001514.03	pg. 9; Table 2; Local road charge programIs the local road charge program indexed to maintain purchasing power?	The local road charge program is indexed to inflation to maintain purchasing power.
0001514.04	pg. 10; Table 3.1; Local option sales tax measureLos Angeles County effectively levies a permanent 2.0 percent sales tax with passage of Measure M.	Comment noted.
0001514.05	pg. 10; Table 3.1; Highway tollsSuggest deleting “(in core revenue forecast)” since a toll revenue source is not included in the reasonable available sources.	Comment noted.
0001514.06	pg. 25; Table 8Asterisk on “active transportation” should be moved to “regionally significant local streets and roads”	Thank you for your comment. We have incorporated your suggestion.
0001514.07	pg. 38; left column; Local road charge programIs the local road charge program indexed to maintain purchasing power?	The local road charge program is indexed to inflation maintain purchasing power.
0001514.08	pg. 29; left column; Reduce aggressive driving and speedingSuggested edit:Fatalities and serious injuries related to aggressive driving and speeding have increased as seen on FIGURE 9 the table. and below are some strategies SCAG recommends local jurisdictions to implement strategies that could reduce fatalities and serious injuries relate dot related to aggressive driving and speeding, which could include, but are not limited to: <ul style="list-style-type: none"> <li>Local jurisdictions should Conducting public outreach...</li> <li>Local jurisdictions should Identifying locations with...</li> <li>Local jurisdictions should Promoting best engineering...</li> <li>Local jurisdictions should Setting speed limits that are safe...</li> </ul>	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001514.09	pg. 29; right column; Improve safety for aging populationsSuggested edit:SCAG recommends the following strategies for local jurisdictions to improve safety for aging populations, which could include, but are not limited to: <ul style="list-style-type: none"> <li>Local jurisdictions should Supporting roadway, intersection...</li> <li>Local jurisdictions should Promoting implementation of...</li> <li>Local jurisdictions should Implementing design treatments...</li> <li>Local jurisdictions should Working with Transit network...</li> <li>Local jurisdictions should Establishing Safe Routes for ...”</li> </ul>	Comment noted. The Transportation Safety & Security Technical Report has been updated.



ID	Comment	Response
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001514 <a href="#">Related Documents Link</a>
0001514.10	pg. 30; left column; Improve bicyclist safetySuggested edit:SCAG recommends the following strategies for local jurisdictions to improve safety for bicyclists, which could include, but are not limited to:•Local jurisdictions should Supporting connecting bicycle...•Local jurisdictions should Developing and implement...•Local jurisdictions should Adopting Complete Streets...•Local jurisdictions should Implementing pedestrian and...•Local jurisdictions should Using intersection control...•Local jurisdictions should Conducting bicycle education...•Local jurisdictions should Supporting expanding Safe...•Local jurisdictions should Utilizing SCAG’s ...•Local jurisdictions should Implementing traffic calming...•Local jurisdictions Where applicable, should developing a...•Local jurisdictions should Participating in programs to...	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001514.11	pg. 31; left column; Improve commercial vehicles safetySuggested edit:SCAG recommends the following strategies for local jurisdictions to improve commercial vehicle safety, which could include, but are not limited to:•Local jurisdictions should Supporting the use of dedicated...•Local jurisdictions should Identifying intersections and...•Local jurisdictions should Identifying and promote the...•Local jurisdictions should Identifying rest stops along...	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001514.12	pg. 32; left column; Reduce distracted drivingSuggested edit:SCAG recommends the following strategies for local jurisdictions to reduce fatalities and injuries related to distracted driving, which could include, but are not limited to:•Local jurisdictions should Developing enforcement and...•Local jurisdictions should Improving data quality on...•Local jurisdictions should Conducting education on the...	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001514.13	pg. 32; right column; Ensure drivers are licensedSuggested edit:SCAG recommends the following strategies for local jurisdictions to ensure drivers are properly licensed, which could include, but are not limited to:•Local jurisdictions should Improving educational...•Local jurisdictions should Creating a public...•Local jurisdictions should Supporting the State...	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001514.14	pg. 32; right column; Improve emergency response servicesSuggested edit:SCAG recommends the following strategies for local jurisdictions to improve emergency response services, which could include, but are not limited to:•Local jurisdictions should Using Intelligent...•Local jurisdictions should Developing guidance...	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001514.15	pg. 34; left column; Improve research and data collectionSuggested edit:SCAG recommends the following strategies for local jurisdictions to improve research and data collection, which could include, but are not limited to:•Local jurisdictions should Improving data collection...•Local jurisdictions should Identifying high injury...•Local jurisdictions should Working with the State...•Local jurisdictions should Working with transit network...	Comment noted. The Transportation Safety & Security Technical Report has been updated.



ID	Comment	Response	
<i>Submitted by</i>	<b>Orange County Transportation Authority</b>	Submittal 0001514	Related Documents <a href="#">Link</a>
0001514.16	pg. 34; left column; Reduce impaired driving fatalitiesSuggested edit:SCAG recommends the following strategies for local jurisdictions to reduce impaired driving fatalities and injuries, which could include, but are not limited to: <ul style="list-style-type: none"> <li>•Local jurisdictions should Promoting and expand...</li> <li>•Local jurisdictions should Extending and promote...</li> <li>•Local jurisdictions should Developing a methodology...</li> <li>•Local jurisdictions should Developing and distribute...</li> <li>•Local jurisdictions should Designing and develop a...</li> <li>•Local governments should Improving enforcement...</li> <li>•Local jurisdictions should Increasing frequency,...</li> </ul>	Comment noted. The Transportation Safety & Security Technical Report has been updated.	
0001514.17	pg. 35; left column; Improve safety at intersectionsSuggested edit:SCAG recommends the following strategies for local jurisdictions to improve safety at intersections which could include, but are not limited to: <ul style="list-style-type: none"> <li>•Incorporating intersection safety into the planning grant strategy.</li> <li>•Local jurisdictions should Incorporating Intelligent...</li> <li>•Local jurisdictions should Implementing infrastructure...</li> <li>•Local jurisdictions should Implementing installation of...</li> <li>•Local jurisdictions should Planning for, and develop...</li> <li>•Local jurisdictions should Reducing modal conflicts at...</li> </ul>	Comment noted. The Transportation Safety & Security Technical Report has been updated.	
0001514.18	pg. 35; left column; Reduce the occurrence of lane departure fatalitiesSuggested edit:SCAG recommends the following strategies for local jurisdictions to reduce the occurrence of lane departure fatalities and injuries, which could include, but are not limited to: <ul style="list-style-type: none"> <li>•Local jurisdictions should Continuing the deployment...</li> <li>•Local jurisdictions should Addressing systemic risks...</li> <li>•Local jurisdictions should Improving the dissemination...</li> <li>•Local jurisdictions should Targeting highest risk...</li> <li>•Local jurisdictions should Implementing an effective...</li> <li>•Local jurisdictions should Promoting the use of...</li> </ul>	Comment noted. The Transportation Safety & Security Technical Report has been updated.	
0001514.19	pg. 36; right column; Improve motorcycle safetySuggested edit:SCAG recommends the following strategies for local jurisdictions to improve motorist safety, which could include, but are not limited to: <ul style="list-style-type: none"> <li>•Local jurisdictions should Working with the state...</li> <li>•Local jurisdictions should Working with local governments...</li> <li>•Local jurisdictions should Promoting the most significant...</li> </ul>	Comment noted. The Transportation Safety & Security Technical Report has been updated.	
0001514.20	pg. 37; left column; Improve occupant protection by increased use of seat belts and child safety seatsSuggested edit:SCAG recommends the following strategies for local jurisdictions to improve occupant protection, which could include, but are not limited to: <ul style="list-style-type: none"> <li>•Local jurisdictions should Increasing enforcement and...</li> <li>•Local jurisdictions should Implementing education...</li> <li>•Local jurisdictions should Promoting the establishment...</li> <li>•Local jurisdictions should Improving occupant protection...</li> </ul>	Comment noted. The Transportation Safety & Security Technical Report has been updated.	



ID	Comment	Response
<i>Submitted by</i> <b>Orange County Transportation Authority</b>		Submittal 0001516 <a href="#">Related Documents</a> <a href="#">Link</a>
0001516.01	pg. 37; right column; Improve pedestrian safety Suggested edit:SCAG recommends the following strategies for local jurisdictions to improve pedestrian safety, which could include, but are not limited to:•Continuing to work with local jurisdictions to provide a... •Local jurisdictions should Developing pedestrian safety... •Local jurisdictions should Ensuring all sidewalks and... •Local jurisdictions should Supporting improvements to... •Local jurisdictions should Considering pedestrian needs in... •Local jurisdictions should Facilitating the planning... •Local jurisdictions should Increasing pedestrian crossing... •Local jurisdictions should Incorporating pedestrian... •Local jurisdictions should Participating in programs... •Local jurisdictions should Improving pedestrian striping... •Local jurisdictions should Incorporating median... •Local jurisdictions should Considering installation of... •Local jurisdictions should Developing citywide Safe... •Local jurisdictions should Continuing to improve...	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001516.02	pg. 38; left column; Improve work zone safety Suggested edit:SCAG recommends the following strategies for local jurisdictions to improve work zone safety, which could include, but are not limited to:•Local jurisdictions should Improving safe driving... •Local jurisdictions should Applying advanced technology ...•Local jurisdictions should Improving work zone data...	Comment noted. The Transportation Safety & Security Technical Report has been updated.
0001516.03	pg. 38; right column; improve safety for young drivers Suggested edit:SCAG recommends the following strategies for local jurisdictions to improve safety for young drivers, which could include, but are not limited to:•Local jurisdictions should Establishing a task force to...•Local jurisdictions should Implementing the Driver... •Local jurisdictions should Supporting state authorities...•Local jurisdictions should Implementing and maintain...•Local jurisdictions should Establishing efforts to address...	Comment noted. The Transportation Safety & Security Technical Report has been updated.





## COMMITTEE TRANSMITTAL

**May 11, 2020**

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

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

**Subject:** 2020 State Transportation Improvement Program Update

Regional Planning and Highways Committee Meeting of May 4, 2020

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

**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 6-0 by the Members present.

Director Bartlett was not present to vote on this item.


### **Committee Recommendations**

- A. Authorize the use of up to \$3 million in Measure M2 funds for the Interstate 605 Katella Interchange Project.
- B. Authorize the use of up to \$5.5 million in federal Surface Transportation Block Grant funds for the Interstate 5 Managed Lanes Project from Avenida Pico to the Orange County/San Diego County line area.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above actions.





**May 4, 2020**

**To:** Regional Planning and Highways Committee  
**From:** Darrell E. Johnson, Chief Executive Officer   
**Subject:** 2020 State Transportation Improvement Program Update

### **Overview**

On March 26, 2020, the California Transportation Commission approved the final 2020 State Transportation Improvement Program, which will provide \$200 million to six high-priority projects throughout Orange County. An update on the programming actions and related changes is provided for review and approval.

### **Recommendations**

- A. Authorize the use of up to \$3 million in Measure M2 funds for the Interstate 605 Katella Interchange Project.
- B. Authorize the use of up to \$5.5 million in federal Surface Transportation Block Grant funds for the Interstate 5 Managed Lanes Project from Avenida Pico to the Orange County/San Diego County line area.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above actions.

### **Background**

The State Transportation Improvement Program (STIP) is a major source of funding for transportation improvements throughout the State of California. Every two years, state transportation revenues are forecasted and programmed for the subsequent five-year period. STIP revenues are derived from gasoline fuel sales.



The Orange County Transportation Authority (OCTA) is responsible for the development and programming of the five-year STIP for Orange County, which is submitted to the California Transportation Commission (CTC) for approval and adoption. CTC provided OCTA with an initial funding target of \$183.245 million for programming between fiscal year (FY) 2020-21 and FY 2024-25. Based on Board of Directors (Board) direction on September 23, 2019, staff submitted OCTA's STIP funding request over the initial target for a total of \$203.645 million in STIP funding to support seven Measure M2 (M2) projects, including OCTA planning activities. This request was approximately \$20.400 million over the initial STIP target which, when approved by CTC, advanced funding from future STIP cycles to fulfill OCTA's early project delivery goals.

Additionally, the Trade Corridor Enhancement Program (TCEP) is a statewide, competitive program that provides funding for infrastructure improvements along designated corridors that have a high volume of freight movement. The TCEP was created through the passage of SB 1 (Chapter 5, Statutes 2017) in 2017, and provides approximately \$300 million per year for goods movement projects. Revenues for the TCEP are derived from diesel fuel sales.

### ***Discussion***

The CTC adopted the 2020 STIP on March 25, 2020, which includes \$200.645 million of the \$203.645 million requested by OCTA and will support six of the seven projects as originally requested. While this is a slight reduction from OCTA's submittal request, the approved program exceeds the Orange County programming target of \$183.245 million, by \$17.400 million. It should be noted that OCTA was successful in advancing \$80 million for the State Route 55 (SR-55) Improvement Project from Interstate 405 (I-405) to Interstate 5 (I-5) as part of the adopted 2020 STIP. An advancement of this type was not allowed for many agencies; however, OCTA's strategy was recognized as supporting the CTC request for this cycle and was approved.

The approved projects, funding amounts, and funding year are provided in the table below:



OCTA Projects Approved by CTC for 2020 STIP		
Project	2020 STIP (\$ millions)	STIP Year
I-5 improvements from I-405 to Yale Avenue (Segment 1) (construction phase)	\$95.338	2024-25
SR-55 improvements from I-405 to I-5	\$80.000	2020-21
State Route 74 (SR-74) Ortega Highway improvements – Calle Entradero to City/County line	\$8.540	2024-25
I-5 improvements from State Route 73 to El Toro Road (replacement planting/landscaping)	\$6.000	2024-25
I-5 Managed Lanes Project from Avenida Pico to Orange County/San Diego County line	\$5.500	2023-24
Planning, programming, and monitoring	\$5.267	Varies
Total:	\$200.645	

The difference between OCTA's submittal and the adopted 2020 STIP is \$3 million, which was originally proposed for the Interstate 605 (I-605)/Katella Avenue Interchange Project in FY 2020-21. As part of the Next 10 Delivery Plan update that was approved by the Board in November 2019, the design phase for the I-605 Katella Avenue Project was advanced from FY 2024-25 to FY 2020-21. However, CTC indicated that as part of this 2020 STIP cycle, new projects could not be funded in the first three years of the STIP. Given CTC action, staff recommends alternative sources of funding for this project.

In order to maintain the current schedule for the I-605 Katella Avenue Project, staff is requesting Board authorization to use up to \$3 million of M2 funds for the project. Again, this project was identified in the Next 10 Delivery Plan early delivery and will improve freeway access, traffic operations, enhance safety, and improve pedestrian and bicycle facilities. This request will allow the project to remain on schedule.

CTC has approved \$5.5 million in FY 2023-24 for the project approval and environmental document (PA&ED) phase of the I-5 Managed Lanes Project from Avenida Pico to the Orange County/San Diego County line. However, consistent with discussions between OCTA, the Transportation Corridor Agencies, and the California Department of Transportation (Caltrans), related to phasing transportation improvements in south Orange County (South County Traffic Relief Effort [SCTRE]), this project will be advanced to FY 2020-21. The STIP funds will remain on the project in the 2020 STIP as a placeholder for now, but the funds will be recommended for the next project phase or a different project, if necessary, in the 2022 STIP cycle. Staff is therefore recommending that \$5.5 million in federal Surface Transportation Block Grant (STBG) funding be used in place of the STIP to accommodate the advancement of the project into



FY 2020-21. The use of STBG funding for this project is consistent with OCTA's Capital Programming Policies, which directs STBG funding to be used for projects that are consistent with the M2 Freeway Program and complementary projects. This project is an extension of Project C in the M2 Freeway Program, which extended the high-occupancy vehicle lane from San Juan Creek Road to Avenida Pico.

Related to the SCTRE, OCTA is working with Caltrans and other agencies to advance the final design for the widening of SR-74 between Calle Entradero to the city/county line. Caltrans is seeking to advance STIP funds from FY 2024-25 to FY 2020-21 to finalize project development efforts (e.g., 100 percent design/construction-ready plans). Updates on this activity will be provided in future state/federal programming updates.

Finally, when the Board approved the 2020 STIP submittal to CTC in September 2019, staff was directed to seek out funding options for the State Route 57 Truck Climbing Lane Phase II – Lambert Road to County Line Project, which had been programmed to utilize STIP funds in the 2018 STIP but was subsequently removed from the 2020 STIP. At the time this report is being drafted, OCTA and Caltrans are in discussions to submit this project to CTC for consideration of TCEP funding for the PA&ED phase. Following the TCEP awards announcement anticipated in late 2020 or early 2021, staff will return to the Board to request authorization to accept the award or seek approval for a recommendation to use alternative funding to advance the project.

The 2020 STIP funding and programming adjustments are detailed in Attachment A. The CTC project listing, including total funding by project, is provided in Attachment B. The initial OCTA 2020 STIP submittal is included in Attachment C. Project descriptions are provided in Attachment D. A Capital Funding Program detailing the funding changes to projects is provided as Attachment E.

#### **Novel Coronavirus (COVID-19) Pandemic Impacts**

On March 4, 2020, Governor Gavin Newsom declared a State of Emergency related to COVID-19 and later implemented a stay-at-home order to prevent the virus from spreading. Subsequently, this order has had a significant impact on fuel sales. Since the STIP is primarily funded through sales tax on fuels, OCTA anticipates the 2020 STIP fund estimate will need to be adjusted to accommodate for this loss of revenue. CTC has indicated that if the available funding is less than what was assumed in the 2020 STIP fund estimate, CTC may be forced to delay or restrict allocations through the use of allocation plans. Staff will provide the Board an update on this issue as information is available from the CTC.

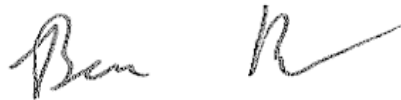


**Summary**


CTC adopted the 2020 STIP, which included changes to OCTA's 2020 STIP submittal. As a result, staff is recommending the use of M2 funds for the design phase of the I-605 Katella Avenue Interchange Project and federal STBG for the PA&ED phase of the I-5 Managed Lanes Project from Avenida Pico to the Orange County/San Diego County line. Future updates will include information related to COVID-19 impacts on STIP funding.

**Attachments**

- A. Individual Changes to Projects Submitted for the 2020 STIP
- B. Funding Plan for 2020 STIP - CTC Approved Projects
- C. Funding Plan for 2020 STIP - OCTA Submitted Projects
- D. 2020 State Transportation Improvement Program, Project Descriptions
- E. Capital Funding Program Report

**Prepared by:**

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**Approved by:**

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



**Individual Changes to Projects Submitted for the 2020 STIP**

<b>Approved 2020 STIP</b>	<b>STIP Requested (\$ million)</b>	<b>STIP Approved (\$ million)</b>	<b>Change</b>
I-5 Improvements from I-405 to Yale Avenue (Segment 1) (construction phase)	\$95.338	\$95.338	No change.
SR-55 Improvements from I-405 to I-5	\$80	\$80	No change.
SR-74 Ortega Highway Improvements – Calle Entradero to City/County Line	\$8.540	\$8.540	No change.
I-5 Improvements from SR-73 to El Toro Road (replacement planting/landscaping)	\$6	\$6	No change.
I-5 Managed Lanes Project from Avenida Pico to San Diego County line	\$5.500	\$5.500	Add \$5.500 million in STBG funding to advance the project to FY 2020-21. Reprogram STIP funds in the 2022 STIP cycle.
Planning, Programming, and Monitoring	\$5.267	\$5.267	Advance \$1 million from FY 2021-22 to FY 2020-21.
I-605/Katella Avenue Interchange	\$3	\$0	Remove funding and supplement M2 funds to keep the project on schedule.
<b>TOTAL</b>	<b>\$203.645</b>	<b>\$200.645</b>	



## **Individual Changes to Projects Submitted for the 2020 STIP**

### I-5 Managed Lane Project from Avenida Pico to San Diego County Line

CTC recommendations approved OCTA's request to add \$5.5 million for the design phase in FY 2023-24 of I-5 Improvements from Avenida Pico to the Orange County/ San Diego County line. However, this project is being advanced to FY 2020-21 consistent with discussions with the Transportation Corridor Agencies and the California Department of Transportation. The STIP funds will remain on the project for now as a placeholder and the funds will be reprogrammed to another project or another phase in the 2022 STIP cycle. Staff is therefore recommending the use of up to \$5.5 million in federal STBG funding to advance the project into FY 2020-21. This is adjacent and complementary to Project C in the Next 10 Delivery Plan.

### Planning, Programming, and Monitoring

In order to support planning studies that must start in FY 2020-21, staff requested an advancement of \$1 million in STIP funds for planning, programming, and monitoring activities from FY 2021-22 to FY 2020-21.

### I-605/Katella Avenue Interchange

Because the Board approved advancing the I-605/Katella Avenue Interchange Project into FY 2020-21 from FY 2024-25, CTC staff indicated that the STIP did not have sufficient capacity to fund it in the earlier year. Staff removed it from the OCTA submittal and is proposing that it be funded with M2.

### Acronyms

Board – Board of Directors

CTC – California Transportation Commission

FY – Fiscal year

I-405 – Interstate 405

I-5 – Interstate 5

I-605 – Interstate 605

OCTA – Orange County Transportation Authority

M2 – Measure M2

SR-55 – State Route 55

SR-73 – State Route 73

SR-74 – State Route 74

STBG – Surface Transportation Block Grant

STIP – State Transportation Improvement Program



Funding Plan for 2020 STIP - CTC Approved Projects													
STIP Funding								Other Funding					
2020 STIP (In Thousands)	Prior	2020-21	2021-22	2022-23	2023-24	2024-25	Total STIP	STBG/ CMAQ	STBG/CMAQ Pending Approval	M2	M2 Pending Approval	Other <sup>1</sup>	Total Project Cost
<b>Carry Over Projects</b>													
SR-55 Improvement Project from I-405 to I-5		80,000					80,000	103,805		48,607		116,800	349,212
I-5 Improvements from SR-73 to El Toro Road (replacement planting/landscaping)						6,000	6,000			6,365			12,365
Planning, Programming, and Monitoring		1,000	848	1,848	515	1,056	5,267						5,267
<b>New Additions</b>													
I-5 Improvements from I-405 to Yale Avenue - Segment 1 (Con)						95,338	95,338	55,884		27,417		44,791	223,430
SR-74 Ortega Highway Improvements - Calle Entradero to City/County Line (PS&E)						8,540	8,540			1,950		6,163	16,653
I-5 Managed Lane from Avenida Pico to San Diego County Line (ENV)					5,500		5,500	571	5,500				11,571
I-605 / Katella Avenue Interchange (PS&E)						-	-			1,824	3,000		4,824
<b>2020 STIP subtotal</b>	<b>-</b>	<b>81,000</b>	<b>848</b>	<b>1,848</b>	<b>6,015</b>	<b>110,934</b>	<b>200,645</b>	<b>160,260</b>	<b>5,500</b>	<b>86,163</b>	<b>3,000</b>	<b>167,754</b>	<b>623,322</b>

1. Other funds include \$44.791 million in pending SB 1 (Chapter 5, Statutes 2017) LPP formula, \$47.05 million in State Highway Operations and Protection Program, \$70 million in unfunded need, \$0.4 million in Developer Fees, \$5.513 million in interregional STIP, and \$9.388 million in approved LPP funds.

**Acronyms**  
STIP - State Transportation Improvement Program  
CTC - California Transportation Commission  
STBG - Surface Transportation Block Grant Program  
CMAQ - Congestion Mitigation and Air Quality  
M2 - Measure M2  
SR-55 - State Route 55  
I-405 - Interstate 405  
I-5 - Interstate 5  
SR-73 - State Route 73  
CON - Construction  
SR-74 - State Route 74  
PS&E - Plans, Specifications, and Engineering  
ENV - Environmental  
I-605 - Interstate 605  
LPP - Local Partnershio Program



Funding Plan for 2020 STIP - OCTA Submitted Projects											
STIP Funding								Other Funding			
2020 STIP (In Thousands)	Prior	2020-21	2021-22	2022-23	2023-24	2024-25	Total STIP	STBG/ CMAQ	M2	Other <sup>1</sup>	Total Project Cost
Carry Over Projects											
SR-55 Improvement Project from I-405 to I-5		80,000					80,000	103,805	48,607	116,800	349,212
I-5 Improvements from SR-73 to El Toro Road (replacement planting/landscaping)						6,000	6,000		6,365		12,365
Planning, Programming, and Monitoring			1,848	1,848	515	1,056	5,267				5,267
New Additions											
I-5 Improvements from I-405 to Yale Avenue - Segment 1 (Con)						95,338	95,338	55,884	27,417	44,791	223,430
SR-74 Ortega Highway Improvements - Calle Entradero to City/County Line (PS&E)						8,540	8,540		1,950	6,163	16,653
I-5 Managed Lane Project from Avenida Pico to San Diego County Line (ENV)			-		5,500		5,500	571			6,071
I-605 / Katella Avenue Interchange (PS&E)		3,000					3,000		1,824		4,824
2020 STIP subtotal	-	83,000	1,848	1,848	6,015	110,934	203,645	160,260	86,163	167,754	617,822

1. Other funds include \$44.791 million in pending SB 1 (Chapter 5, Statutes 2017) LPP formula, \$47.050 million in State Highway Operations and Protection Program, \$70.000 million in unfunded need, \$0.400 million in Developer Fees, \$5.513 million in interregional STIP, and \$9.388 million in approved LPP funds.

- Acronyms**
- CMAQ - Congestion Mitigation and Air Quality
  - CON - Construction
  - ENV - Environmental
  - I-405 - Interstate 405
  - I-5 - Interstate 5
  - I-605 - Interstate 605
  - LPP - Local Partnership Program
  - M2 - Measure M2
  - OCTA - Orange County Transportation Authority
  - PS&E - Plans, Specifications, and Engineering
  - SR-55 - State Route 55
  - SR-73 - State Route 73
  - SR-74 - State Route 74
  - STBG - Surface Transportation Block Grant Program
  - STIP - State Transportation Improvement Program



## **2020 State Transportation Improvement Program Project Descriptions**

### **Interstate 5 (I-5) Improvements from Interstate 405 (I-405) to Yale Avenue (Segment 1) (Construction)**

This project will add one general-purpose lane in both directions of the I-5 from the I-405 to State Route 55 (SR-55). Additional features of the project include improvements to various interchanges. Auxiliary lanes will be added in some segments and re-established in others within the project limits. The overall project length is approximately nine miles.

Currently, this segment of the I-5 corridor is experiencing congestion and long traffic delays due to demand exceeding capacity, primarily resulting from local, regional, and interregional traffic demand. In addition, forecasted local and regional traffic demand is expected to increase by over 10,000 vehicles per day by the year 2040. This is Project B in the Next 10 Delivery Plan.

### **SR-55 Improvements from I-405 to I-5**

This project will add new high-occupancy vehicle (HOV), general-purpose and auxiliary lanes on SR-55 between the I-405 and the I-5 connectors to increase freeway capacity and reduce congestion in central Orange County areas. The project is located in the cities of Irvine, Santa Ana, and Tustin.

Future traffic demand is anticipated to increase traffic volumes to levels that will increase traffic congestion and travel delays and reduce travel speeds. It is anticipated that without additional major capital improvements, the level of service for the majority of the study area in the northbound and southbound directions would be unacceptable during AM and PM peak periods.

### **State Route 74 (SR-74) Ortega Highway Improvements – Calle Entradero to City/County Line**

This project will widen SR-74/Ortega Highway from two to four lanes by adding one lane in each direction in the City of San Juan Capistrano from Calle Entradero to the city/county line.

### **I-5 Improvements from State Route 73 (SR-73) to El Toro Road (Replacement Planting/Landscaping)**

This is part of Project C in the Next 10 Delivery Plan and is the replacement planting/landscaping component of the three segments of the I-5 Improvement Project from SR-73 to El Toro Road.



## **2020 State Transportation Improvement Program Project Descriptions**

### **I-5 Managed Lane Project from Avenida Pico to San Diego County Line**

State Transportation Improvement Program (STIP) funds are proposed for the environmental phase of the I-5 Managed Lane Project from Avenida Pico to the San Diego County line, which proposes to add a general-purpose or a managed lane in each direction on the I-5, re-establish existing auxiliary lanes, widen existing undercrossings, and replace existing overcrossings.

### **Planning, Programming, and Monitoring**

Orange County is impacted by severe congestion on many regional and interregional facilities. Examination of the problem and potential solutions are necessary for the future construction of improvements. STIP funds will be used to develop project study reports and provide environmental clearance for projects, thus creating a shelf of projects for the future. The California Transportation Commission sets aside five percent of the STIP for regional agencies to carry out planning activities.

Funded with Measure M2

### **Interstate 605 (I-605) Katella Avenue Interchange**

The I-605 Katella Avenue Interchange Project will improve freeway access, traffic operations, enhance safety, and improve pedestrian and bicycle facilities. This is Project M in the Next 10 Delivery Plan.

Seek Future Funding

### **State Route 57 (SR-57) Truck Climbing Lane Phase II – Lambert Road to County Line**

This project will construct a truck climbing lane on the SR-57 from the Lambert Road undercrossing to just north of the Orange County/Los Angeles County line. A climbing lane would improve truck traffic travel speeds and would increase the throughput of the northbound SR-57. This project is Project G in the Next 10 Delivery Plan.





# Capital Funding Program Report

Pending Board Approval - May 11, 2020

State Highway Project											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 from SR-55 to SR-57, add one HOV lane each direction	A	\$41,500	\$36,191							\$5,309	
I-5 widening, I-405 to Yale Avenue (Segment 1)	B	\$215,430	\$47,884			\$95,338	\$44,791			\$27,417	
I-5 widening, Yale Avenue to SR-55 (Segment 2)	B	\$13,898	\$11,500							\$2,398	
I-5 widening, Alicia Parkway to El Toro Road (Segment 3)	C	\$181,327	\$49,897		\$4,728		\$9,388			\$117,314	
I-5 widening, Oso Parkway to Alicia Parkway (Segment 2)	C	\$205,695	\$47,676		\$7,921					\$150,098	
I-5 widening, SR-73 to Oso Parkway (Segment 1)	C	\$213,267	\$28,167		\$6,433	\$91,977		\$29,832		\$56,858	
I-5, SR-73 to El Toro Road landscaping/replacement planting	C	\$12,245				\$6,000				\$6,245	
I-5 at Los Alisos / El Toro: add ramps	D	\$4,400	\$4,400								
SR-55 (I-5 to SR-91)	F	\$13,921	\$5,000							\$8,921	
SR-55 OC Central Corridor improvements from I-405 to I-5 <sup>2</sup>	F	\$410,932	\$103,805		\$46,800	\$80,000	\$70,000			\$110,327	
SR-57 Orangewood Avenue to Katella Avenue	G	\$7,277	\$2,500							\$4,777	
SR-91, Acacia Avenue to La Palma Avenue (Segment 3)	I	\$10,691	\$1,770							\$30	\$8,891
SR-91, La Palma Avenue to SR-55 (Segment 2)	I	\$18,148	\$3,460							\$40	\$14,648
SR-91, SR-55 to Lakeview Avenue (Segment 1)	I	\$9,853	\$1,770							\$30	\$8,053
SR-91, SR-241 to I-15 <sup>3</sup>	J	\$41,800									\$41,800
I-405 improvements, SR-73 to I-605	K	\$1,900,000	\$35,000		\$10,648	\$82,000		\$7,771		\$1,135,651	\$628,930
I-405 (I-5 to SR-55)	L	\$8,000	\$8,000								
I-405 s/b aux lane - University to Sand Canyon and Sand Canyon to SR-133	L	\$2,328				\$2,328					
I-605/ Katella Avenue interchange <sup>1</sup>	M	\$4,824								\$4,824	
241/91 Express Lanes (HOT) connector		\$33,728									\$33,728
SR-74 widening, Calle Entradero-City/County line		\$16,653				\$14,303				\$1,950	\$400
SR-74 widening, City/County line to Antonio Parkway		\$40,905	\$5,285			\$10,000					\$25,620
<b>State Highway Project Totals</b>		<b>\$3,406,822</b>	<b>\$392,305</b>		<b>\$76,530</b>	<b>\$381,946</b>	<b>\$124,179</b>	<b>\$37,603</b>		<b>\$1,632,189</b>	<b>\$762,070</b>
<b>Federal Funding Total</b>		<b>\$468,835</b>									
<b>State Funding Total</b>		<b>\$543,728</b>									
<b>Local Funding Total</b>		<b>\$2,394,259</b>									
<b>Total Funding (000's)</b>		<b>\$3,406,822</b>									

State Highway Project Completed											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
I-5 HOV lane each direction s/o PCH to San Juan Creek Road	C	\$71,558	\$11,796					\$20,789		\$38,973	
I-5 HOV lanes from s/o Avenida Vista Hermosa to s/o PCH	C	\$71,100	\$13,472			\$46,779				\$10,849	
I-5 HOV lanes: s/o Avenida Pico to s/o Vista Hermosa	C	\$90,441	\$31,741		\$1,600	\$43,735				\$13,365	
I-5/SR-74 interchange improvements	D	\$80,300				\$48,683		\$24,109	\$2,500		\$5,008
I-5/SR-74 interchange landscaping/replacement planting	D	\$1,440			\$752	\$688					

ATTACHMENT E





# Capital Funding Program Report

Pending Board Approval - May 11, 2020

State Highway Project Completed											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
SR- 57 n/b widening, Katella Avenue to Lincoln Avenue - landscaping	G	\$2,172								\$2,172	
SR- 57 n/b widening, SR-91 to Yorba Linda Boulevard - landscaping	G	\$946								\$946	
SR-57 n/b widening, Yorba Linda to Lambert Road - landscaping	G	\$1,193								\$1,193	
SR-91 w/b connect existing aux lanes, I-5 to SR-57	H	\$62,977						\$27,227		\$35,750	
SR-91 w/b connecting existing aux lanes, I-5 to SR-57 - landscaping	H	\$2,290								\$2,290	
SR-91 w/b (SR-55 - Tustin interchange) improvements	I	\$43,753				\$15,753		\$14,000		\$14,000	
SR-91 e/b widening, SR-241 to SR-71	J	\$57,773			\$45,911					\$6,942	\$4,920
SR-91 w/b Routes 91/55 - e/o Weir replacement planting	J	\$2,898				\$2,898					
SR-91 widening, SR-55 to Gypsum Canyon (Weir/SR-241)	J	\$76,993				\$22,250		\$54,045		\$698	
SR-57 n/b widening, Katella Avenue to Lincoln Avenue	M1/G	\$35,827						\$24,127		\$11,700	
SR-57 n/b widening, SR-91 to Yorba Linda Boulevard	M1/G	\$51,354						\$39,475		\$11,879	
SR-57 n/b widening, Yorba Linda to Lambert Road	M1/G	\$52,871						\$41,250		\$11,621	
I-405/SR-22/I-605 HOV connector - landscaping		\$4,600	\$4,600								
HOV connectors from I-405 and I-605	M1	\$173,091	\$14,787					\$135,430	\$16,200		\$6,674
HOV connectors from SR-22 to I-405	M1	\$115,878	\$64,375		\$49,625				\$1,878		
<b>State Highway Project Completed Totals</b>		<b>\$999,455</b>	<b>\$140,771</b>		<b>\$97,888</b>	<b>\$180,786</b>		<b>\$380,452</b>	<b>\$20,578</b>	<b>\$162,378</b>	<b>\$16,602</b>

<b>Federal Funding Total</b>	<b>\$238,659</b>
<b>State Funding Total</b>	<b>\$561,238</b>
<b>Local Funding Total</b>	<b>\$199,558</b>
<b>Total Funding (000's)</b>	<b>\$999,455</b>

## Acronyms

Aux - Auxiliary  
 Board - Board of Directors  
 CMAQ - Congestion Mitigation and Air Quality  
 E/B - Eastbound  
 E/O - East of  
 FTA - Federal Transit Administration  
 HOT - High-Occupancy Toll  
 HOV - High-Occupancy Vehicle  
 I-15 - Interstate 15  
 I-405 - Interstate 405  
 I-5 - Interstate 5  
 I-605 - Interstate 605  
 M1 - Measure M1  
 M2 - Measure M2  
 N/B - Northbound

PCH - Pacific Coast Highway  
 S/B - Southbound  
 S/O - South of  
 SB 1 - Chapter 5, Statutes of 2017  
 SR-133 - State Route 133  
 SR-22 - State Route 22  
 SR-55 - State Route 55  
 SR-57 - State Route 57  
 SR-73 - State Route 73  
 SR-74 - State Route 74  
 SR-91 - State Route 91  
 STBG - Surface Transportation Block Grant  
 STIP - State Transportation Improvement Program  
 W/B - Westbound

## Board Actions:

1. Authorize the use of up to \$3 million in M2 funds for I-605 Katella Interchange Project.

## Project Notes:

2. Project has unfunded need of \$70 million. Staff will return to the Board with a funding plan at a later date.
3. This project includes Riverside County Transportation Commission funding.





## COMMITTEE TRANSMITTAL

**May 11, 2020**

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

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

**Subject:** Third Quarter Fiscal Year 2019-20 Capital Action Plan and Performance Metrics Report

### Executive Committee Meeting of May 4, 2020

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

**Absent:** None

### **Committee Vote**

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

### **Staff Recommendation**

Receive and file as an information item.





***May 4, 2020***

***To:*** Executive Committee

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

***Subject:*** Third Quarter Fiscal Year 2019-20 Capital Action Plan and Performance Metrics Report

***Overview***

Staff has prepared a quarterly progress report on capital project delivery for the period of January 2020 through March 2020, for the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

***Recommendation***

Receive and file as an information item.

***Background***

The Orange County Transportation Authority (OCTA) delivers highway, transit, rail, and facility projects from the beginning of the environmental approval phase through construction completion. Project delivery milestones are planned carefully with consideration of project scope, costs, schedule, and assessment of risks. The milestones reflected in the Capital Action Plan (CAP) are OCTA's planned and budgeted major project delivery commitments.

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

***Discussion***

OCTA's objective is to deliver projects on schedule and within the approved project budget. Key project cost and schedule commitments are captured in the CAP, which is regularly updated with project status and any new projects (Attachment A). The CAP is categorized into four key project groupings;



freeway projects, railroad grade separation projects, and rail and station projects. Schedule milestones are used as performance indicators of progress in project delivery. The CAP performance metrics report provides a FY snapshot of the milestones targeted for delivery in the budgeted FY and provide transparency and performance measurement of capital project delivery.

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

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

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



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



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

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

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

#### Freeway Projects

- The complete environmental milestone was achieved for the Interstate 5 (I-5) widening between I-405 and State Route 55 (SR-55).
- The complete environmental milestone was achieved for the SR-55 widening between I-5 and State Route 91 (SR-91).
- The begin design milestone was achieved for the SR-91 widening between SR-55 to Lakeview Avenue. This is the first of three segments of the SR-91 widening from SR-55 to State Route 57, and includes replacement of the Lakeview Avenue overcrossing and reconfiguration of the Lakeview Avenue westbound SR-91 on-ramp.

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

The begin environmental milestone for the Orange County Metrolink Maintenance Facility (OCMF) was not achieved. Negotiations with OCTA's consultant on the level of effort, cost, and schedule required to environmentally clear this complex project took longer than anticipated. However, the consultant



contract was executed in April 2020, and the environmental clearance work can now proceed.

The complete environmental milestone for the I-5 El Toro interchange project is delayed beyond the current FY. OCTA staff is working with the cities of Laguna Hills, Laguna Woods, and Lake Forest, as well as the California Department of Transportation (Caltrans) to procure a consultant to facilitate a review of scoping of the project alternatives with all stakeholders. A revised environmental completion schedule has not yet been established.

The complete design, construction ready, and advertise construction milestones for the Anaheim Canyon Metrolink Station expansion project have not been achieved. Planned construction access conditions have changed because adjacent private property on the east side of the station is under construction with high density housing. Alternative construction access options are being pursued and discussions with adjacent private property owners to obtain access continues. The complete design milestone should be met in the fourth quarter of FY 2019-20, and pending resolution of the ROW construction access issue, the construction ready and advertise construction milestones will move into the first quarter of FY 2020-21.

The construction ready milestone for the I-5 widening from Alicia Parkway to El Toro Road was not achieved in the third quarter. However, the milestone was achieved on April 2, 2020. The advertise construction milestone is planned in the fourth quarter of FY 2019-20, and the award contract milestone will move into the first quarter of FY 2020-21.

#### **CAP Updates and Recap of FY 2019-20 Performance Metrics**

The performance metrics snapshot provided at the beginning of FY 2019-20 reflects 19 planned major project delivery milestones to be accomplished, 13 of which were scheduled through the third quarter. The CAP and performance metrics have been updated to reflect both milestones achieved and missed through the third quarter of the FY (Attachment B).

Five of 13 (38.5 percent) planned milestones through the third quarter of the FY were achieved for the reporting period.

#### **FY 2019-20 Performance Metrics Look Ahead Risks**

Schedule-critical ROW acquisition is underway for the SR-55 widening from I-405 to I-5. A clear path to gaining possession of all needed ROW is required to move the project into the construction phase. COVID-19 has raised several ROW process risks, including court closures, legal filing and service delays, potential temporary construction easement timeline expirations, other litigation



challenges, relocation issues, land and business valuation challenges, and appraisal and site inspection issues. These risks may impact the ROW acquisition process and impact the planned construction schedule.

The Placentia Metrolink Station construction ready, advertise construction, and award contract milestones planned this FY are delayed. Final BNSF Railway (BNSF) approvals and authorizations to construct the station are dependent on the successful negotiation and approval of a new shared-use agreement (SUA) between Metrolink and BNSF. Progress on the SUA has been slow; however, a non-binding memorandum of understanding (MOU) between Metrolink and BNSF was executed in November 2019, defining general terms to advance the SUA. The MOU enables OCTA and BNSF to complete all tasks necessary to finalize the project for construction while the final SUA is prepared. Per the MOU, construction cannot begin until the SUA is executed by all Metrolink member agencies. Construction cost changes, along with any required programming or funding changes, will be brought to the OCTA Board when BNSF construction costs are finalized, and the SUA approval schedule becomes apparent.

To date, no substantial COVID-19 risks impacts in construction material supply chain and subcontractor labor availability have surfaced. However, some material and product suppliers and subcontractors have submitted advance notice of “potential” material and supply delays.

### ***Summary***

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



***Attachments***

- A. Capital Action Plan, Status Through March 2020
- B. Capital Programs Division, Fiscal Year 2019-20 Performance Metrics Through March 2020

**Prepared by:**

A handwritten signature in blue ink, appearing to read 'James G. Beil', is positioned above the printed name.















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



# Capital Action Plan

Status Through March 2020

Updated: April 21, 2020
















Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
<b>Freeway Projects:</b>									
I-5, Pico to San Diego County	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	Mar-21	Dec-23	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Dec-11	Jun-11	Oct-13	Feb-14	Oct-14	Dec-14	Aug-18
Project C	\$83.5	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>Oct-13</b>	<b>May-14</b>	<b>Sep-14</b>	<b>Dec-14</b>	<b>Aug-18</b>
 I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Dec-11	Jun-11	Feb-13	Jun-13	Oct-13	Dec-13	Mar-17
Project C	\$75.3	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>May-13</b>	<b>Aug-13</b>	<b>Feb-14</b>	<b>Jun-14</b>	<b>Jul-17</b>
 I-5, Pacific Coast Highway to San Juan Creek Road	\$70.7	Jun-09	Dec-11	Jun-11	Jan-13	May-13	Aug-13	Oct-13	Sep-16
Project C	\$74.3	<b>Jun-09</b>	<b>Oct-11</b>	<b>Jun-11</b>	<b>Jan-13</b>	<b>Apr-13</b>	<b>Aug-13</b>	<b>Dec-13</b>	<b>Jul-18</b>
 I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jun-09	Jan-09	Nov-11	Mar-12	Jun-12	Aug-12	Sep-15
Project D	\$79.8	<b>Sep-05</b>	<b>Jun-09</b>	<b>Jan-09</b>	<b>Dec-11</b>	<b>Apr-12</b>	<b>Jun-12</b>	<b>Aug-12</b>	<b>Jan-16</b>
 I-5, I-5/Ortega Interchange (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project D	N/A	N/A	N/A	<b>Jan-14</b>	<b>Oct-14</b>	<b>Feb-15</b>	<b>Aug-15</b>	<b>Sep-15</b>	<b>Sep-16</b>
 I-5, SR-73 to Oso Parkway	\$151.9	Sep-11	Jun-14	Mar-15	Jan-18	May-18	Aug-18	Dec-18	Apr-25
Project C & D	\$196.1	<b>Oct-11</b>	<b>May-14</b>	<b>Mar-15</b>	<b>Aug-18</b>	<b>May-19</b>	<b>Aug-19</b>	<b>Dec-19</b>	Apr-25
 I-5, Oso Parkway to Alicia Parkway	\$196.2	Sep-11	Jun-14	Nov-14	Jun-17	Dec-17	Feb-18	Jun-18	Nov-23
Project C & D	\$203.1	<b>Oct-11</b>	<b>May-14</b>	<b>Nov-14</b>	<b>Dec-17</b>	<b>Jun-18</b>	<b>Nov-18</b>	<b>Mar-19</b>	Nov-23
 I-5, Alicia Parkway to El Toro Road	\$133.6	Sep-11	Jun-14	Mar-15	Jun-18	Dec-18	Jan-19	May-19	Jun-23
Project C	\$184.1	<b>Oct-11</b>	<b>May-14</b>	<b>Mar-15</b>	<b>May-19</b>	Apr-20	May-20	Aug-20	Sep-24
 I-5, SR-73 to El Toro Road (Landscape)	TBD	N/A	N/A	TBD	TBD	TBD	TBD	TBD	TBD
Project C	\$12.4	N/A	N/A	Jul-22	Mar-24	Jul-24	Sep-24	Nov-24	Jun-26
 I-5, I-5/El Toro Road Interchange	TBD	Apr-17	Nov-19	TBD	TBD	TBD	TBD	TBD	TBD
Project D <b>Cost/Schedule Risk</b>	TBD	<b>Apr-17</b>	Oct-21	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, I-405 to Yale Avenue	\$230.5	May-14	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD
Project B	\$230.5	<b>May-14</b>	<b>Jan-20</b>	Sep-21	Jun-24	Dec-24	Apr-25	Jul-25	Jan-29
 I-5, Yale Avenue to SR-55	\$200.4	May-14	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD
Project B	\$200.4	<b>May-14</b>	<b>Jan-20</b>	Mar-21	Dec-23	Jun-24	Oct-24	Jan-25	Aug-28
 I-5, SR-55 to SR-57	\$38.1	Jul-11	Jun-13	Jun-15	Mar-17	Jul-17	Sep-17	Dec-17	Apr-21
Project A	\$41.5	<b>Jun-11</b>	<b>Apr-15</b>	<b>Jun-15</b>	<b>Jun-17</b>	<b>Dec-17</b>	<b>Mar-18</b>	<b>Nov-18</b>	Apr-21
 SR-55, I-405 to I-5	\$410.9	Feb-11	Nov-13	Sep-17	Apr-20	Dec-20	Apr-21	Jul-21	Aug-25
Project F <b>Cost/Schedule Risk</b>	\$410.9	<b>May-11</b>	<b>Aug-17</b>	<b>Sep-17</b>	Apr-20	Dec-20	Apr-21	Jul-21	Aug-25



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 SR-55, I-5 to SR-91 Project F	TBD TBD	Dec-16 <b>Dec-16</b>	Jan-20 <b>Mar-20</b>	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD
 SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue Project G	TBD TBD	Apr-16 <b>Apr-16</b>	Dec-18 <b>Mar-19</b>	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD
 SR-57 (NB), Katella Avenue to Lincoln Avenue Project G	\$78.7 \$38.0	Apr-08 <b>Apr-08</b>	Jul-09 <b>Nov-09</b>	Jul-08 <b>Aug-08</b>	Nov-10 <b>Dec-10</b>	Mar-11 <b>Apr-11</b>	May-11 <b>Jul-11</b>	Aug-11 <b>Oct-11</b>	Sep-14 <b>Apr-15</b>
 SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape) Project G	N/A N/A	N/A N/A	N/A N/A	N/A <b>May-09</b>	N/A <b>Jul-10</b>	N/A <b>Jun-17</b>	N/A <b>Jul-17</b>	N/A <b>Sep-17</b>	N/A <b>Jun-18</b>
 SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard Project G	\$80.2 \$52.3	Aug-05 <b>Aug-05</b>	Dec-07 <b>Dec-07</b>	Feb-08 <b>Feb-08</b>	Dec-09 <b>Jul-09</b>	Apr-10 <b>Dec-09</b>	Jun-10 <b>May-10</b>	Oct-10 <b>Oct-10</b>	May-14 <b>Nov-14</b>
 SR-57 (NB), Yorba Linda Boulevard to Lambert Road Project G	\$79.3 \$54.1	Aug-05 <b>Aug-05</b>	Dec-07 <b>Dec-07</b>	Feb-08 <b>Feb-08</b>	Dec-09 <b>Jul-09</b>	Apr-10 <b>Mar-10</b>	Jun-10 <b>May-10</b>	Oct-10 <b>Oct-10</b>	Sep-14 <b>May-14</b>
 SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape) Project G	N/A N/A	N/A N/A	N/A N/A	N/A <b>Oct-14</b>	N/A <b>Aug-17</b>	N/A <b>Dec-17</b>	N/A <b>Jan-18</b>	N/A <b>Feb-18</b>	N/A <b>Apr-19</b>
 SR-57 (NB), Lambert Road to Tonner Canyon Project G	TBD TBD	TBD Jul-23	TBD Mar-26	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD
 SR-91 Westbound (WB), I-5 to SR-57 Project H	\$78.1 \$59.2	Jul-07 <b>Jul-07</b>	Apr-10 <b>Jun-10</b>	Oct-09 <b>Mar-10</b>	Feb-12 <b>Apr-12</b>	Jul-12 <b>Aug-12</b>	Aug-12 <b>Oct-12</b>	Nov-12 <b>Jan-13</b>	Apr-16 <b>Jun-16</b>
 SR-91 Westbound (WB), I-5 to SR-57 (Landscape) Project H	N/A N/A	N/A N/A	N/A N/A	N/A <b>Nov-14</b>	N/A <b>Aug-16</b>	N/A <b>Dec-16</b>	N/A <b>Feb-17</b>	N/A <b>Mar-17</b>	N/A <b>Nov-17</b>
 SR-91, SR-55 to Lakeview Avenue (Segment 1) Project I	TBD \$102.5	Jan-15 <b>Jan-15</b>	Oct-18 <b>Jun-20</b>	Mar-20 <b>Mar-20</b>	TBD Jan-23	TBD Aug-23	TBD Oct-23	TBD Feb-24	TBD Sep-27
 SR-91, La Palma Avenue to SR-55 (Segment 2) Project I	TBD \$223.1	Jan-15 <b>Jan-15</b>	Oct-18 <b>Jun-20</b>	TBD Jul-20	TBD Apr-23	TBD Nov-23	TBD Dec-23	TBD Apr-24	TBD Dec-27
 SR-91, Acacia Street to La Palma Ave (Segment 3) Project I	TBD \$109.7	Jan-15 <b>Jan-15</b>	Oct-18 <b>Jun-20</b>	TBD Nov-20	TBD Sep-23	TBD Apr-24	TBD Jun-24	TBD Sep-24	TBD May-28
 SR-91 (WB), Tustin Interchange to SR-55 Project I	\$49.9 \$42.5	Jul-08 <b>Jul-08</b>	Jul-11 <b>May-11</b>	Jul-11 <b>Jun-11</b>	Mar-13 <b>Feb-13</b>	Jul-13 <b>Apr-13</b>	Aug-13 <b>Jun-13</b>	Oct-13 <b>Oct-13</b>	Jul-16 <b>Jul-16</b>
 SR-91, SR-55 to SR-241 Project J	\$128.4 \$79.7	Jul-07 <b>Jul-07</b>	Jul-09 <b>Apr-09</b>	Jun-09 <b>Apr-09</b>	Jan-11 <b>Aug-10</b>	Apr-11 <b>Dec-10</b>	Jun-11 <b>Feb-11</b>	Sep-11 <b>May-11</b>	Dec-12 <b>Mar-13</b>



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 SR-91, SR-55 to SR-241 (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project J	N/A	N/A	N/A	May-12	Feb-13	Apr-13	Jul-13	Oct-13	Feb-15
 SR-91 Eastbound, SR-241 to SR-71	\$104.5	Mar-05	Dec-07	Jul-07	Dec-08	Mar-09	May-09	Jul-09	Nov-10
Project J	\$57.8	Mar-05	Dec-07	Jul-07	Dec-08	May-09	Jun-09	Aug-09	Jan-11
91 Express Lanes to SR-241 Toll Connector	TBD	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	TBD	Nov-13	Jan-20	Dec-16	TBD	TBD	TBD	TBD	TBD
 I-405, I-5 to SR-55	TBD	Dec-14	Jul-18	TBD	TBD	TBD	TBD	TBD	TBD
Project L	TBD	Dec-14	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD
 I-405, SR-55 to I-605 (Design-Build)	\$1,900.0	Mar-09	Mar-13	Mar-14	Nov-15	Feb-16	Mar-16	Nov-16	May-23
Project K	\$1,900.0	Mar-09	May-15	Mar-14	Nov-15	Feb-16	Mar-16	Nov-16	May-23
I-405/SR-22 HOV Connector	\$195.9	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Aug-10	Aug-14
	\$120.8	N/A	N/A	Sep-07	Jun-09	Sep-09	Feb-10	Jun-10	Mar-15
I-405/I-605 HOV Connector	\$260.4	N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Oct-10	Jan-15
	\$172.6	N/A	N/A	Sep-07	Sep-09	Feb-10	May-10	Oct-10	Mar-15
I-405/SR-22/I-605 HOV Connector (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	N/A	N/A	N/A	Jun-08	May-09	Feb-16	May-16	Jul-16	Feb-18
 I-605, I-605/Katella Interchange	\$29.0	Aug-16	Nov-18	TBD	TBD	TBD	TBD	TBD	TBD
Project M	\$29.0	Aug-16	Oct-18	Nov-20	Sep-22	Jan-23	Mar-23	May-23	Feb-25
<b>Railroad Grade Separation Projects:</b>									
 Sand Canyon Avenue Railroad Grade Separation	\$55.6	N/A	Sep-03	Jan-04	Jul-10	Jul-10	Oct-10	Feb-11	May-14
Project R	\$61.9	N/A	Sep-03	Jan-04	Jul-10	Jul-10	Oct-10	Feb-11	Jan-16
 Raymond Avenue Railroad Grade Separation	\$77.2	Feb-09	Nov-09	Mar-10	Aug-12	Nov-12	Feb-13	May-13	Aug-18
Project O	\$125.6	Feb-09	Nov-09	Mar-10	Dec-12	Jul-13	Oct-13	Feb-14	May-18
 State College Boulevard Railroad Grade Separation (Fullerton)	\$73.6	Dec-08	Jan-11	Jul-06	Aug-12	Nov-12	Feb-13	May-13	May-18
Project O	\$100.3	Dec-08	Apr-11	Jul-06	Feb-13	May-13	Sep-13	Feb-14	Mar-18
 Placentia Avenue Railroad Grade Separation	\$78.2	Jan-01	May-01	Jan-09	Mar-10	May-10	Mar-11	Jun-11	Nov-14
Project O	\$64.5	Jan-01	May-01	Jan-09	Jun-10	Jan-11	Mar-11	Jul-11	Dec-14
 Kraemer Boulevard Railroad Grade Separation	\$70.4	Jan-01	Sep-09	Jan-09	Jul-10	Jul-10	Apr-11	Aug-11	Oct-14
Project O	\$63.8	Jan-01	Sep-09	Feb-09	Jul-10	Jan-11	Jun-11	Sep-11	Dec-14
 Orangethorpe Avenue Railroad Grade Separation	\$117.4	Jan-01	Sep-09	Feb-09	Dec-11	Dec-11	Feb-12	May-12	Sep-16
Project O	\$105.9	Jan-01	Sep-09	Feb-09	Oct-11	Apr-12	Sep-12	Jan-13	Oct-16



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 Tustin Avenue/Rose Drive Railroad Grade Separation	\$103.0	Jan-01	Sep-09	Feb-09	Dec-11	Mar-12	May-12	Aug-12	May-16
Project O	\$96.6	<b>Jan-01</b>	<b>Sep-09</b>	<b>Feb-09</b>	<b>Jul-11</b>	<b>Jun-12</b>	<b>Oct-12</b>	<b>Feb-13</b>	<b>Oct-16</b>
 Lakeview Avenue Railroad Grade Separation	\$70.2	Jan-01	Sep-09	Feb-09	Oct-11	Oct-12	Feb-13	May-13	Mar-17
Project O	\$110.7	<b>Jan-01</b>	<b>Sep-09</b>	<b>Feb-09</b>	<b>Jan-13</b>	<b>Apr-13</b>	<b>Sep-13</b>	<b>Nov-13</b>	<b>Jun-17</b>
 17th Street Railroad Grade Separation	TBD	Oct-14	Jun-16	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	<b>Oct-14</b>	<b>Nov-17</b>	TBD	TBD	TBD	TBD	TBD	TBD
<b>Rail and Station Projects:</b>									
 Rail-Highway Grade Crossing Safety Enhancement	\$94.4	Jan-08	Oct-08	Jan-08	Sep-08	Sep-08	Sep-08	Aug-09	Dec-11
Project R	\$90.4	<b>Jan-08</b>	<b>Oct-08</b>	<b>Jan-08</b>	<b>Sep-08</b>	<b>Sep-08</b>	<b>Sep-08</b>	<b>Aug-09</b>	<b>Dec-11</b>
 San Clemente Beach Trail Safety Enhancements	\$6.0	Sep-10	Jul-11	Feb-12	Apr-12	Apr-12	Jul-12	Oct-12	Jan-14
Project R	\$5.0	<b>Sep-10</b>	<b>Jul-11</b>	<b>Feb-12</b>	<b>Jun-12</b>	<b>Jun-12</b>	<b>Oct-12</b>	<b>May-13</b>	<b>Mar-14</b>
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Jan-13	Mar-15	May-16	May-16	Aug-16	Dec-16	Feb-21
	\$36.4	<b>Aug-11</b>	<b>Mar-14</b>	<b>Mar-15</b>	<b>Aug-18</b>	<b>Aug-18</b>	<b>Aug-18</b>	<b>Mar-19</b>	<b>Feb-21</b>
 OC Streetcar	\$424.4	Aug-09	Mar-12	Feb-16	Sep-17	Oct-17	Dec-17	Aug-18	Dec-21
Project S	\$424.4	<b>Aug-09</b>	<b>Mar-15</b>	<b>Feb-16</b>	<b>Nov-17</b>	<b>Dec-17</b>	<b>Dec-17</b>	<b>Sep-18</b>	<b>Apr-22</b>
 Placentia Metrolink Station and Parking Structure	\$34.8	Jan-03	May-07	Oct-08	Jan-11	TBD	TBD	TBD	TBD
Project R	\$40.1	<b>Jan-03</b>	<b>May-07</b>	<b>Oct-08</b>	<b>Feb-11</b>	Oct-20	Oct-20	Feb-21	Sep-22
 Orange County Maintenance Facility	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project R	TBD	Apr-20	Jun-22	TBD	TBD	TBD	TBD	TBD	TBD
Anaheim Canyon Metrolink Station	\$27.9	Jan-16	Dec-16	Mar-19	May-19	May-19	Jul-19	Nov-19	Mar-21
	\$29.9	<b>Jan-16</b>	<b>Jun-17</b>	<b>Mar-18</b>	<b>Apr-20</b>	<b>Aug-20</b>	<b>Aug-20</b>	<b>Nov-20</b>	<b>Mar-22</b>
Orange Metrolink Station Parking Expansion	\$33.2	Dec-09	Dec-12	Nov-10	Apr-13	Jul-16	Jul-16	Nov-16	Feb-19
	\$30.9	<b>Dec-09</b>	<b>May-16</b>	<b>Nov-10</b>	<b>Apr-16</b>	<b>Jul-16</b>	<b>Jul-16</b>	<b>Jun-17</b>	<b>Feb-19</b>
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	N/A	Jan-12	Dec-13	Dec-13	Jun-14	Sep-14	Mar-17
	\$4.2	N/A	N/A	<b>Jan-12</b>	<b>Dec-13</b>	<b>Dec-13</b>	<b>Aug-14</b>	<b>Apr-15</b>	<b>May-19</b>
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.5	Jul-13	Jan-14	Jul-13	Aug-14	Aug-14	Sep-14	Jan-15	Apr-17
	\$5.0	<b>Jul-13</b>	<b>Feb-14</b>	<b>Jul-13</b>	<b>Jul-15</b>	<b>Jul-15</b>	<b>Jul-15</b>	<b>Oct-15</b>	<b>Sep-17</b>
 Anaheim Regional Transportation Intermodal Center	\$227.4	Apr-09	Feb-11	Jun-09	Feb-12	Feb-12	May-12	Jul-12	Nov-14
Project R & T	\$232.2	<b>Apr-09</b>	<b>Feb-12</b>	<b>Jun-09</b>	<b>May-12</b>	<b>May-12</b>	<b>May-12</b>	<b>Sep-12</b>	<b>Dec-14</b>



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

Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

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

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

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

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

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

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

**Award Contract:** The date the construction contract is awarded.

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

### Acronyms

I-5 - Santa Ana Freeway (Interstate 5)

SR-73 - San Joaquin Freeway (State Route 73)

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

SR-57 - Orange Freeway (State Route 57)

SR-91 - Riverside Freeway (State Route 91)

SR-71 - Corona Expressway (State Route 71)

SR-22 - Garden Grove Freeway (State Route 22)

I-405 - San Diego Freeway (Interstate 405)

SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)

I-605 - San Gabriel River Freeway (Interstate 605)

ADA - Americans with Disabilities Act



**Capital Programs Division**  
**Fiscal Year 2019-20 Performance Metrics Through March 2020**

**ATTACHMENT B**

**Begin Environmental**

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

**Complete Environmental**

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

**Begin Design**

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

**Complete Design**

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

**Construction Ready**

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

**Advertise Construction**

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



# Capital Programs Division

## Fiscal Year 2019-20 Performance Metrics Through March 2020

### Award Contract

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

### Complete Construction

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

Totals	2	1	6	1	5	3	6	0	19
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**Begin Environmental:** The date work on the environmental clearance, project report, or preliminary engineering phase begins.

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

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

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

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

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

**Award Contract:** The date the construction contract is awarded.

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

#### Acronyms

I-5 - Santa Ana Freeway (Interstate 5)

SR-73 - San Joaquin Freeway (State Route 73)

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

SR-57 - Orange Freeway (State Route 57)

SR-91 - Riverside Freeway (State Route 91)

I-605 - San Gabriel River Freeway (Interstate 605)

I-405 - San Diego Freeway (Interstate 405)

X = milestone forecast in quarter

✔ = milestone accomplished in quarter





## COMMITTEE TRANSMITTAL

**May 11, 2020**

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

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

**Subject:** Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 - Utility Work at Almond Avenue

Regional Planning and Highways Committee Meeting of May 4, 2020

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

**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 6-0 by the Members present.

Director Bartlett was not present to vote on this item.

### **Committee Recommendation**


Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 72 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$1,843,329, to provide additional utility work to support Southern California Edison and Frontier Communications relocation efforts on Almond Avenue.





**May 4, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 – Utility Work at Almond Avenue

### **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 contract change order is needed to provide additional utility work to support Southern California Edison and Frontier Communications relocation efforts on Almond Avenue in the City of Seal Beach.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 72 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$1,843,329, to provide additional utility work to support Southern California Edison and Frontier Communications relocation efforts on Almond Avenue.

### **Discussion**

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation (Caltrans), 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.



**Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 – Utility Work at Almond Avenue** *Page 2*

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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 for the full design and construction of the Project was issued to OC405.

As part of the Project, the I-405 freeway will be widened in the area of the westbound State Route 22 connector to northbound I-405 along Almond Avenue, which in turn requires reconstruction of portions of the Almond Avenue soundwall and Almond Avenue. This reconstruction requires the installation of new curb and gutter, and the relocation of various utilities along Almond Avenue. For those utilities owned by Southern California Edison (SCE) and Frontier Communications (Frontier), electrical relocation work is included as part of each utility company's responsibilities in the executed utility agreements for the Project.

In an effort to facilitate the timely relocation of these utilities to avoid Project schedule delays, OCTA directed OC405 to implement the necessary civil infrastructure work in support of the electrical utility relocation efforts by SCE and Frontier. Such infrastructure work includes trenching, conduit installation, vault installation, and street restoration. The additional utility support was not anticipated in OC405's original contract scope of work, as this work would typically be done by SCE and Frontier. OCTA is responsible for the cost liability of the work regardless of the entity that performs the work.

A contract change order (CCO) is now needed, in the amount of \$1,843,329, for OC405 to comply with this directive. The executed utility agreements with SCE and Frontier will be renegotiated and amended to deduct each company's respective share of the cost of the civil infrastructure work.

***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.

Proposed CCO No. 72, in the amount of \$1,843,329, will provide compensation to OC405 for the additional utility work to support SCE and Frontier relocation efforts on Almond Avenue.



**Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 – Utility Work at Almond Avenue** *Page 3*

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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 of CCO No. 72 is funded from the Project contingency and is not anticipated to increase the total Project estimate of \$1.9 billion.

**Summary**

Staff recommends Board authorization for the Chief Executive Officer to negotiate and execute CCO No. 72 to Agreement No. C-5-3843 with OC405, a joint venture, in the amount of \$1,843,329, to provide additional utility work to support SCE and Frontier relocation efforts on Almond Avenue in the City of Seal Beach.

**Attachment**

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

**Prepared by:**



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Senior Program Manager  
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Virginia Abadessa  
Director, Contracts Administration and  
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**Approved by:**



James G. Beil, P.E.  
Executive Director, Capital Programs  
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**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>
1	Technical Provisions – Execution Version	Approved	6/14/2017	\$ -
2	Notice to Proceed No. 1 Payment Cap Increase and Substantial Completion Deadline Modifications	Approved	6/21/2017	\$ -
3	Extra Maintenance Work (Provisional Sum)	Approved	7/28/2017	\$ 200,000.00
3.1	Amendment to Change Order to Add Additional Funds for Extra Maintenance Work	Approved	10/2/2018	\$ 200,000.00
3.1.1	Provisional Sum for Extra Maintenance Work-Unilateral	Approved	10/10/2019	\$ 400,000.00
3.1.2	Supplemental Extra Maintenance Work	Approved	1/16/2020	\$ 350,000.00
4	Design-Builder Personnel Changes (Appendices 7 and 23)	Approved	12/20/2017	\$ -
5	Dispute Review Board (Provisional Sum)	Approved	9/13/2017	\$ 50,000.00
5.1	Increase in Provisional Sum per Contract Section 19.4 Disputes Board	Approved	7/1/2019	\$ 50,000.00
6	Partnering (Provisional Sum)	Approved	9/13/2017	\$ 50,000.00
6.1	Partnering per Contract Section 19.1	Approved	7/1/2019	\$ 50,000.00
7	Implementation of California Department of Transportation (Caltrans) Guidance on Six-Inch	Approved	3/15/2018	\$ -
8	Collection and Disposal of Unknown Hazardous Materials (Provisional Sum)	Approved	9/13/2018	\$ 100,000.00
8.1	Supplemental Unknown Hazardous Materials	Approved	9/11/2019	\$ 100,000.00
8.2	Supplemental Unknown Hazardous Materials	Approved	11/25/2019	\$ 250,000.00
8.2.1	Collection and Disposal of Unknown Hazardous Materials (Provisional Sum)	Approved	3/11/2020	\$ 150,000.00
8.3	Supplemental Unknown Hazardous Materials	Pending		\$ 1,900,000.00
9	Repair of Caltrans' Fiber Optic Line	Approved	5/16/2018	\$ 31,753.69
10	Five Project Funding Identification Signs (Provisional Sum)	Approved	7/2/2018	\$ 32,644.25
11	Revised Right-of-Way (ROW) Availability Date of Caltrans Parcel No. 102919 Used By Mike Thompson's RV Super Store	Approved	6/28/2018	\$ -



<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
12	Credit to OCTA for Elimination of the Street Widening Improvements Along Eastbound Edinger Avenue	Approved	9/13/2018	\$ (237,982.39)
13	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
13.1	Permanent Traffic Signal at the intersection of Warner Avenue and Greenleaf Street	Approved	12/5/2019	\$ 460,327.00
14	Thrust Blocks for the City of Fountain Valley Water Lines	Approved	10/29/2018	\$ 88,021.00
15	Slater Bridge Construction Shuttle Services	Approved	12/4/2018	\$ 175,000.00
16	Construction Zone Speed Reduction	Approved	12/3/2018	\$ 70,000.00
16.1	Additional Speed Reduction Signs	Approved	12/31/2019	\$ 4,512.00
17	Relocation of Water Lines for the City of Fountain Valley	Approved	3/8/2019	\$ 800,000.00
18	Enhanced Gawk Screen at Bolsa Chica Road	Approved	1/25/2019	\$ 56,395.00
19	Brookhurst Street Overhead Sign Location Redesign	Approved	1/25/2019	\$ 11,484.00
20	Differing Site Conditions - Pavement Thickness at Magnolia	Approved	1/29/2019	\$ 4,095.00
21	Polymer Fibers in All Concrete Bridge Decks	Approved	3/19/2019	\$ 1,463,020.00
22	Temporary Construction Easement Reduction at La Quinta	Approved	3/19/2019	\$ 85,573.00
23	Updated FasTrak Logos (Unilateral)	Approved	2/21/2019	\$ 20,532.00
24	Express Lanes Channelizers	Approved	3/12/2019	\$ 122,778.00
25	Stainless Steel Inserts at Fairview Road Overcrossing	Approved	3/12/2019	\$ (9,293.00)
26	OCTA PlanGrid Software Licenses	Approved	3/28/2019	\$ 35,994.00
26.1	Supplemental for OCTA PlanGrid Software Licenses	Approved	9/11/2019	\$ 8,570.00
27	Utility potholing on Milton Ave	Approved	9/12/2019	\$ 61,731.87



<b>Contract Change Order (CCO) No.</b>	<b>Title</b>	<b>Status</b>	<b>Date Executed</b>	<b>Cost</b>
27.1	Electrical Infrastructure Work at Milton Avenue	Approved	1/16/2020	\$ 278,282.28
28	Mesa Water District 12-inch Water Line (CN-1127)	Approved	5/7/2019	\$ 208,600.00
29	Magnolia Loop Ramp CMS Deletion	Approved	5/15/2019	\$ (74,319.00)
30	Motel 6 Sound Wall (SW-791) Elimination	Approved	5/15/2019	\$ (130,000.00)
31	Sound Wall 956 Reduction	Approved	5/22/2019	\$ (30,000.00)
33	Edinger Channel Pavement Rehabilitation	Approved	7/30/2019	\$ 176,465.00
34	Chevron and Crimson Utility Relocation at Goldenwest Crossing	Approved	8/2/2019	\$ 75,000.00
34.1	Chevron and Crimson Utility Relocation Support	Approved	12/31/2019	\$ 12,018.00
34.2	Chevron and Crimson Utility Relocation Assistance	Approved	2/18/2020	\$ 110,000.00
35	Incompatible Specifications - Adjacent to CRCP Pavement	Approved	6/26/2019	\$ 2,900,557.00
37	Sound Wall 375 Protect in Place	Approved	6/4/2019	\$ 200,000.00
40	HDPE in Lieu of RCP	Approved	7/9/2019	\$ (7,418.68)
41	Emergency Vehicle Preemption Devices at Fairview	Approved	7/9/2019	\$ 44,147.00
42	Executed Utility Agreements (Unilateral)	Approved	11/4/2019	\$ -
43	Early Partial Removal of Sound Wall 328	Approved	9/16/2019	\$ 14,414.18
44	Field survey for Frontier at Westminster	Approved	1/7/2020	\$ 12,908.42
45	Water Line Betterments (CN 1012 & 6044) at Warner Avenue	Approved	10/12/2019	\$ 256,244.00
46	Additional Water Lines at Brookhurst Street and Talbert Avenue in the City of Fountain Valley	Approved	12/5/2019	\$ 389,878.00
47	Additional Water Line Valves for the City of Fountain Valley	Approved	12/5/2019	\$ 266,828.00
48	Temporary Construction Easement Reduction at Sit n' Sleep (CPN 103026)	Approved	10/17/2019	\$ 129,243.00
49	Beach Blvd Lane Widths Reduction (Necessary Basic Configuration Change)	Approved	10/17/2019	\$ 160,000.00
50	Vibration Sensitive Receptors (McFadden OC Abutment 3)	Approved	10/17/2019	\$ 59,383.87
51	Exercising Water Valves for the City of Fountain Valley	Approved	1/16/2020	\$ 50,000.00
52	McFadden Avenue Interconnect Between Beach Boulevard and Sugar Drive	Approved	11/14/2019	\$ -



Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
53	Traffic Signal Modification at Beach and McFadden	Approved	11/14/2019	\$ (128,118.00)
54	DSC Pavement Against Median K-Rail	Approved	12/31/2019	\$ 11,133.00
55	LA Fitness at Retaining Wall 717	Approved	12/31/2019	\$ 8,428.29
56	Additional Speed Reduction Signs and Radar Packages	Approved	12/31/2019	\$ 148,397.00
57	Archaeological Monitoring	Pending		\$ 200,000.00
57.1	Archaeological Treatment Plan and Monitoring	Pending		\$ 1,300,000.00
59	Beach Boulevard and Edinger Avenue Pavement Limits	Approved	2/18/2020	\$ 33,573.00
60	Additional Design and Construction for Heil Avenue Pedestrian Overcrossing (Unilateral)	Approved	2/25/2020	\$ 1,044,927.00
61	Three-year Plant Establishment Period	Approved	2/25/2020	\$ 1,600,000.00
62	Senate Bill 1: Diesel Fuel Sales Tax Rate Increase	Approved	3/10/2020	\$ 1,764,164.64
63	Bracing for Southern California Edison Power Poles at CN 2012	Approved	3/5/2020	\$ 169,770.00
72	Utility Work at Almond Avenue in the City of Seal Beach	Pending		\$ 1,843,329.00

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 CCOs	\$ 23,550,217.42
Subtotal Pending CCOs	<u>\$ 5,243,329.00</u>
Total CCOs	\$ 28,793,546.42

Proposed Revised Contract Price	\$ 1,245,858,546.42
Remaining Contingency Fund	\$ 70,141,453.58





## COMMITTEE TRANSMITTAL

**May 11, 2020**

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

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

**Subject:** Cooperative Agreements with the California Department of Transportation for the 91 Express Lanes Toll Entrance Gantries Infrastructure Project

### Regional Planning and Highways Committee Meeting of May 4, 2020

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

**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 6-0 by the Members present.

Director Bartlett was not present to vote on this item.

### **Committee Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2275 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$115,000, to provide reimbursement for final plans, specifications, and estimate, construction bid documents, and advertisement and award of the construction contract for the 91 Express Lanes toll entrance gantries infrastructure project.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2276 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$1,950,000, to provide reimbursement for construction capital funding and construction management services for the 91 Express Lanes toll entrance gantries infrastructure project.





**May 4, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Cooperative Agreements with the California Department of Transportation for the 91 Express Lanes Toll Entrance Gantries Infrastructure Project

### **Overview**

The Orange County Transportation Authority proposes to enter into two cooperative agreements with the California Department of Transportation to define roles, responsibilities, and funding obligations for the design and construction phase of the 91 Express Lanes toll entrance gantries infrastructure project.

### **Recommendations**

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2275 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$115,000, to provide reimbursement for final plans, specifications, and estimate, construction bid documents, and advertisement and award of the construction contract for the 91 Express Lanes toll entrance gantries infrastructure project.
- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2276 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$1,950,000, to provide reimbursement for construction capital funding and construction management services for the 91 Express Lanes toll entrance gantries infrastructure project.

### **Discussion**

The 91 Express Lanes is a four-lane, 18-mile tolled facility in the median of State Route 91 (SR-91) between the State Route 55 (SR-55) and Interstate 15 (I-15) interchange. The Orange County Transportation



## **Cooperative Agreements with the California Department of Transportation for the 91 Express Lanes Toll Entrance Gantries Infrastructure Project**

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*Page 2*

Authority (OCTA) operates the portion of the 91 Express Lanes that extends from SR-55 to the Orange County/Riverside County line, and the Riverside County Transportation Commission (RCTC) operates the remaining portion into Riverside County.

In June 2018, OCTA entered into an agreement with Kapsch TrafficCom USA, Inc. (Kapsch), to replace the 91 Express Lanes electronic toll and traffic management (ETTM) system and to install additional toll reader equipment at the three entrances to the Orange County segment of the 91 Express Lanes (Project). The Project scope includes removal and replacement of the two existing gantry overhead structures for the eastbound (EB) express lane entrances in order to meet California Department of Transportation (Caltrans) standards. The original westbound (WB) express lane entrance gantry was removed as part of RCTC's SR-91 improvements. The Project will also construct a new WB express lane gantry structure near the Coal Canyon undercrossing to house new ETTM equipment that will be installed by Kapsch. The Project plans, specification, and estimate (PS&E) were completed by Parsons.

The proposed cooperative agreements with Caltrans for the design and construction phase specify the roles and responsibilities of the parties for the Project. Parsons will submit the PS&E to Caltrans for final review. Caltrans will finalize the contract packaging, advertise and award the construction contract, and provide construction administration and management for construction of the toll entrance gantries and oversight of the installation of the ETTM system toll entrance reader equipment at three locations:

- WB SR-91 west side of Coal Canyon undercrossing (Post Mile 17.9)
- EB SR-91 from northbound SR-55 (Post Mile 9.2)
- EB SR-91 from EB SR-91 (Post Mile 9.9)

### **Fiscal Impact**

Funding for these services will be proposed in OCTA's Fiscal Year 2020-21 Budget, 91 Express Lanes, accounts 0036-7610-B3250-TDV and 0036-7610-B3250-OBS, and will be funded with toll revenues.



**Cooperative Agreements with the California Department of Transportation for the 91 Express Lanes Toll Entrance Gantries Infrastructure Project** *Page 3*

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***Summary***

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute, with Caltrans, Cooperative Agreement No. C-0-2275, in the amount of \$115,000, to advertise and award the construction contract, and Cooperative Agreement No. C-0-2276, in the amount of \$1,950,000, for construction and construction management services for the 91 Express Lanes toll entrance gantries infrastructure project.

***Attachment***

None.

**Prepared by:**



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Senior Project Manager  
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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





## COMMITTEE TRANSMITTAL

**May 11, 2020**

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

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

**Subject:** Cooperative Agreement with the California Department of Transportation for the Interstate 605/Katella Avenue Interchange Improvement Project

### Regional Planning and Highways Committee Meeting of May 4, 2020

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

**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 6-0 by the Members present.

Director Bartlett was not present to vote on this item.

### **Committee Recommendation**


Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2199 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$300,000, to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the Interstate 605/Katella Avenue Interchange improvement project.





**May 4, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Cooperative Agreement with the California Department of Transportation for the Interstate 605/Katella Avenue Interchange Improvement Project

### **Overview**

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation to define roles, responsibilities, and funding obligations for the preparation of plans, specifications, and estimates, and advertisement and award of the construction contract for the Interstate 605/Katella Avenue Interchange improvement project.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2199 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$300,000, to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the Interstate 605/Katella Avenue Interchange improvement project.

### **Discussion**

The Interstate 605/Katella Avenue Interchange improvement project (Project) is Project M in the Measure M2 (M2) freeway program, and is included in the updated Next 10 Delivery Plan, adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in November 2019. The Project is scheduled to move into the design phase using M2 funding.

The Project will modify interchange ramps and provide operational improvements along Katella Avenue between Coyote Creek Channel and Civic Center Drive. The final environmental document was executed on October 3, 2018, and build alternative 2 was identified as the preferred alternative by the Project development team.



**Cooperative Agreement with the California Department of Transportation for the Interstate 605/Katella Avenue Interchange Improvement Project** **Page 2**

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OCTA proposes to enter into a cooperative agreement with the California Department of Transportation (Caltrans) to define the roles and responsibilities of both agencies. OCTA is the implementing agency for the plans, specifications, and estimates (PS&E), and Caltrans will provide oversight and independent quality assurance of the PS&E production to ensure the Project meets Federal Highway Administration and Caltrans standards. Caltrans' oversight of the PS&E will be at no cost to OCTA.

Caltrans will be responsible for the advertisement and award of the construction contract. As part of the PS&E phase, OCTA will reimburse Caltrans, in the amount of \$300,000, for the direct support costs associated with the final contract document packaging, advertisement, and award of the Project. The construction phase roles, responsibilities, and funding will be the subject of a separate future cooperative agreement.

The release of a request for proposals to procure a consultant for PS&E services was authorized by the Board on April 13, 2020.

**Fiscal Impact**

As part of this cooperative agreement, funding for Caltrans' services is proposed in OCTA's fiscal years 2020-21 and 2022-23 budgets, Capital Programs Division, Account 0017-7519-FM003-F17, and will be funded through M2.

***Summary***

Staff requests the Board of Directors authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2199 with the California Department of Transportation, in the amount of \$300,000, to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the Interstate 605/Katella Avenue Interchange improvement project.



***Attachment***

None.

**Prepared by:**



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**Approved by:**



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





## COMMITTEE TRANSMITTAL

**May 11, 2020**

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

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

**Subject:** Comprehensive Transportation Funding Programs - 2020 Call for Projects Programming Recommendations

Regional Planning and Highways Committee Meeting of May 4, 2020

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

**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 5-0 by the Members present.

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

### **Committee Recommendations**

- A. Approve the award of \$23.4 million in 2020 Measure M2 Regional Capacity Program (Project O) funds to eight local agency projects.
- B. Approve the award of \$12.1 million in 2020 Measure M2 Regional Traffic Signal Synchronization Program (Project P) funds to six local agency projects.





**May 4, 2020**

**To:** Regional Planning and Highways Committee

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

**Subject:** Comprehensive Transportation Funding Programs – 2020 Call for Projects Programming Recommendations

### **Overview**

The Orange County Transportation Authority issued the 2020 annual Measure M2 Comprehensive Transportation Funding Programs – Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects in August 2019. This call for projects made available up to \$40 million in Measure M2 competitive grant funding for regional roadway capacity and signal synchronization projects countywide. A list of projects recommended for funding is presented for review and approval.

### **Recommendations**

- A. Approve the award of \$23.4 million in 2020 Measure M2 Regional Capacity Program (Project O) funds to eight local agency projects.
- B. Approve the award of \$12.1 million in 2020 Measure M2 Regional Traffic Signal Synchronization Program (Project P) funds to six local agency projects.

### **Background**

The Regional Capacity Program (RCP) (Project O) is the Measure M2 (M2) competitive funding program through which the Orange County Transportation Authority (OCTA) supports streets and roads capital projects to relieve congestion. The Regional Traffic Signal Synchronization Program (RTSSP) (Project P) is the M2 competitive program, which provides funding for traffic signal synchronization projects. Both programs are included in the Comprehensive Transportation Funding Programs (CTFP). The CTFP allocates funds through an annual competitive call for projects (call) based on a common set of guidelines and scoring criteria that are developed in collaboration with the OCTA Technical Advisory Committee (TAC), which includes representatives of



all of Orange County's 35 local agencies and is ultimately approved by the OCTA Board of Directors (Board). The guidelines for the 2020 call were approved by the Board on August 12, 2019. At that meeting, the Board also authorized issuance of the current call, making available up to \$40 million in M2 competitive funds to support regional roadway capacity and traffic signal synchronization projects throughout Orange County.

### ***Discussion***

#### **RCP**

OCTA received eight applications requesting a total of \$26.6 million in RCP funding (Attachment A). All applications were reviewed for eligibility, consistency, adherence to the guidelines, and compliance with M2 Program objectives. Applications were evaluated and ranked based on the scoring criteria identified in the approved program guidelines. During the review process, staff worked with local agencies to address technical issues such as corrections to the applications, scope clarifications, and refinement of final project funding requests.

Based upon these reviews, Attachment B includes programming recommendations consistent with the 2020 CTFP Guidelines. This recommendation provides \$23.4 million (with inflationary adjustments as appropriate) in M2 funding commitments to support eight RCP project applications in the cities of Irvine, Mission Viejo, Newport Beach, San Juan Capistrano, Santa Ana, and Yorba Linda.

Of the eight recommended projects, six will provide arterial capacity improvement benefits (with construction and/or engineering phase allocations) and two projects will provide intersection capacity enhancements primarily with allocations to the engineering phase. Implementation of these projects in the aggregate is anticipated to produce notable congestion-reducing benefits in Orange County, while enhancing the arterial system overall.

#### **RTSSP**

With respect to the RTSSP, OCTA received seven applications requesting a total of \$15 million in funding (Attachment A). All RTSSP applications were reviewed for eligibility, consistency, and adherence to guidelines and overall program objectives. Staff worked with the local agencies to address technical issues primarily related to construction unit cost assumptions, as well as project scope clarifications. Attachment C includes programming recommendations per the 2020 CTFP Guidelines.



This recommendation provides \$12.1 million in programming to support six RTSSP project applications. Together, these projects will improve regional throughput on nine arterial roadways in the cities of Costa Mesa, Huntington Beach, Irvine, La Habra, Orange, and Seal Beach, as well as in several immediately adjacent cities.

Additionally, as Attachment C shows, one project was deemed ineligible for this call because the application did not include current average daily traffic count information. This applicant is encouraged to reapply in a future call once this information has been fully compiled.

Finally, the table below provides a summary of total proposed funding recommendations for the 2020 CTFP call.

2020 CTFP Call Summary (\$ in millions)			
	RCP	RTSSP	Total
Number of Recommended Applications	8	6	14
Amount Recommended for Approval (escalated)	\$23.4	\$12.1	\$35.5

These recommendations are consistent with the 2020 CTFP Guidelines approved by the Board, and staff is recommending the programming of \$35.5 million in M2 funds to support 14 projects under the RCP and RTSSP programs. The recommendations were presented to both the OCTA Technical Steering Committee and TAC during the month of April, and both committees recommended Board approval. It should be noted that the total funding recommendation of \$35.5 million is below the Board-authorized amount of \$40 million, and staff will be updating future calls amounts to address based on updated sales tax forecasts (reflecting the impacts of the novel coronavirus). OCTA typically issues the CTFP call in August of each year, and staff expects to return to the Board in summer 2020 with recommended next steps.

#### Next Steps

If the Board approves the programming recommendations, they will be deemed final, and staff will initiate execution of letter agreements between OCTA and the appropriate local agencies. Once these agreements are executed, awarded local agencies will be authorized to seek M2 reimbursement for their respective eligible project costs. As these projects advance, staff will monitor their status and project delivery through the semi-annual review process, which is reported to the Board on a biannual basis.



***Summary***

Proposed programming recommendations for the M2 2020 RCP and RTSSP call have been developed. Funding for 14 projects, totaling \$35.5 million in M2 funds, is proposed. Board approval of these recommendations is requested.

***Attachments***

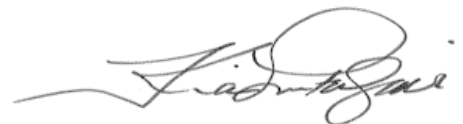
- A. 2020 Measure M2 Call for Projects, Applications Received
- B. 2020 Measure M2 Regional Capacity Program Call for Projects, Programming Recommendations
- C. 2020 Measure M2 Regional Traffic Signal Synchronization Program Call for Projects, Programming Recommendations

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**2020 Measure M2 Call for Projects  
Applications Received**

RCP (Project O) Applications							
Agency	Project	Fund	Phase	Match Rate	Match	Total M2 Request	Total Cost
Irvine	University Drive Widening from Ridgeline Drive to I-405	ACE	C	25%	\$ 843,438	\$ 2,530,313	\$ 3,373,750
Mission Viejo	Marguerite Parkway and Jeronimo Road Intersection Capacity Enhancement Project	ICE	ENG, C	25%	\$ 156,270	\$ 468,810	\$ 625,080
Newport Beach	West Coast Highway and Superior Avenue/Balboa Boulevard Intersection Improvements (Phase 2)	ICE	ENG	35%	\$ 420,000	\$ 780,000	\$ 1,200,000
San Juan Capistrano	Ortega Highway Widening Improvements Project (PS&E Phase)	ACE	ENG	25%	\$ 1,750,000	\$ 5,250,000	\$ 7,000,000
Santa Ana	Bristol Street Improvements Phase 3A - Civic Center Drive to Washington Avenue	ACE	C	25%	\$ 1,264,250	\$ 3,792,750	\$ 5,057,000
Santa Ana	Bristol Street Improvements Phase 4 - Warner Avenue to St. Andrew Place	ACE	C	25%	\$ 2,811,500	\$ 8,434,500	\$ 11,246,000
Yorba Linda	Bastanchury Road Improvements	ACE	C	25%	\$ 1,237,432	\$ 3,712,297	\$ 4,949,729
Yorba Linda	Yorba Linda Boulevard Widening	ACE	ENG	25%	\$ 545,500	\$ 1,636,500	\$ 2,182,000
<b>REQUESTED TOTALS</b>					<b>\$ 9,028,390</b>	<b>\$ 26,605,170</b>	<b>\$ 35,633,559</b>

RTSSP (Project P) Applications							
Agency	Project	Fund	Signals	Match Rate	Match	Total M2 Request	Total Cost
Costa Mesa	Baker Street/Victoria Street/19th Street RTSSP	RTSSP	41	20%	\$ 487,114	\$ 1,948,456	\$ 2,435,570
Dana Point	Pacific Coast Highway/Niguel Road/St. of the Golden Lantern Grid RTSSP	RTSSP	40	20%	\$ 535,709	\$ 2,142,838	\$ 2,678,547
Huntington Beach	Bolsa Chica Street RTSSP (Chapman Avenue to Warner Avenue)	RTSSP	22	20%	\$ 374,280	\$ 1,497,120	\$ 1,871,400
Irvine	Barranca Parkway RTSSP	RTSSP	65	20%	\$ 936,209	\$ 3,744,834	\$ 4,681,043
La Habra	Lambert Road Corridor	RTSSP	25	20%	\$ 466,993	\$ 1,867,974	\$ 2,334,967
Orange	Tustin Avenue - Rose Drive RTSSP	RTSSP	54	20%	\$ 787,168	\$ 3,148,670	\$ 3,935,838
Seal Beach	Seal Beach Boulevard Signal Synchronizations and Advanced Transportation Controller Upgrades	RTSSP	16	25%	\$ 228,300	\$ 673,200	\$ 901,500
<b>REQUESTED TOTALS</b>					<b>\$ 3,815,773</b>	<b>\$ 15,023,092</b>	<b>\$ 18,838,865</b>

Acronyms:

ACE - Arterial Capacity Enhancements

C - Construction

ENG - Engineering

I-405 - Interstate 405

ICE - Intersection Capacity Enhancements

M2 - Measure M2

PS&E - Plans, Specifications and Engineering

RCP - Regional Capacity Program

RTSSP - Regional Traffic Signal Synchronization Program



**2020 Measure M2 Regional Capacity Program Call for Projects  
Programming Recommendations**

Agency	Fiscal Year	Project	Fund	Phase	M2 Amount - Engineering	M2 Amount - Construction*	Total M2 Amount	Match	Totals	Match Rate
Irvine	20/21	University Drive Widening from Ridgeline Drive to I-405	ACE	C	\$ -	\$ 1,833,901	\$ 1,833,901	\$ 611,253	\$ 2,445,154	25%
Mission Viejo	20/21	Marguerite Parkway and Jeronimo Road	ICE	ENG	\$ 37,500	\$ -	\$ 37,500	\$ 12,500	\$ 50,000	25%
	21/22	Intersection Capacity Enhancement Project		C	\$ -	\$ 444,249	\$ 444,249	\$ 148,083	\$ 592,332	25%
Newport Beach	20/21	West Coast Highway and Superior Avenue/Balboa Boulevard Intersection Improvements (Phase 2)	ICE	ENG	\$ 780,000	\$ -	\$ 780,000	\$ 420,000	\$ 1,200,000	35%
San Juan Capistrano	20/21	Ortega Highway Widening Improvements Project (PS&E Phase)	ACE	ENG	\$ 5,250,000	\$ -	\$ 5,250,000	\$ 1,750,000	\$ 7,000,000	25%
Santa Ana	20/21	Bristol Street Improvements Phase 3A - Civic Center Drive to Washington Avenue	ACE	C	\$ -	\$ 3,273,573	\$ 3,273,573	\$ 1,091,191	\$ 4,364,764	25%
Santa Ana	20/21	Bristol Street Improvements Phase 4 - Warner Avenue to St. Andrew Place	ACE	C	\$ -	\$ 7,501,206	\$ 7,501,206	\$ 2,500,402	\$ 10,001,608	25%
Yorba Linda	22/23	Bastanchury Road Improvements	ACE	C	\$ -	\$ 2,651,605	\$ 2,651,605	\$ 2,651,605	\$ 5,303,210	50%
Yorba Linda	20/21	Yorba Linda Boulevard Widening	ACE	ENG	\$ 1,636,500	\$ -	\$ 1,636,500	\$ 545,500	\$ 2,182,000	25%
<b>TOTALS</b>					<b>\$ 7,704,000</b>	<b>\$ 15,704,534</b>	<b>\$ 23,408,534</b>	<b>\$ 9,730,534</b>	<b>\$ 33,139,068</b>	

Acronyms:

ACE - Arterial Capacity Enhancements

C - Construction

ENG - Engineering

I-405 - Interstate 405

ICE - Intersection Capacity Enhancements

M2- Measure M2

PS&E - Plans, Specifications and Engineering

\*Includes escalation amounts for applicable construction projects.



**2020 Measure M2 Regional Traffic Signal Synchronization Call for Projects  
Programming Recommendations**

Agency	Fiscal Year	Project	M2 Amount - Primary Implementation	M2 Amount - Operations & Maintenance	Total M2 Amount	Match	Total	Match Rate
Costa Mesa	21/22	Baker Street/Victoria Street/19th Street RTSSP	\$ 1,593,244	\$ 179,712	\$ 1,772,956	\$ 443,239	\$ 2,216,195	20%
Huntington Beach	20/21	Bolsa Chica Street RTSSP (Chapman Avenue to Warner Avenue)	\$ 1,446,240	\$ 42,240	\$ 1,488,480	\$ 372,120	\$ 1,860,600	20%
Irvine	20/21	Barranca Parkway RTSSP	\$ 3,513,548	\$ 126,720	\$ 3,640,268	\$ 935,068	\$ 4,575,336	20%
La Habra	20/21	Lambert Road Corridor	\$ 1,813,074	\$ 60,000	\$ 1,873,074	\$ 468,193	\$ 2,341,267	20%
Orange	20/21	Tustin Avenue - Rose Drive RTSSP	\$ 2,663,153	\$ 103,680	\$ 2,766,833	\$ 704,230	\$ 3,471,063	20%
Seal Beach	20/21	Seal Beach Boulevard Signal Synchronizations and Advanced Transportation Controller Upgrades	\$ 546,750	\$ -	\$ 546,750	\$ 230,250	\$ 777,000	30%
<b>TOTALS</b>			<b>\$ 11,576,009</b>	<b>\$ 512,352</b>	<b>\$ 12,088,361</b>	<b>\$ 3,153,100</b>	<b>\$ 15,241,461</b>	

Projects Not Eligible	Fiscal Year	Project	M2 Amount - Primary Implementation	M2 Amount - Operations & Maintenance	Total M2 Amount	Match	Total	Match Rate
Dana Point*	20/21	Pacific Coast Highway/Niguel Road/Street of the Golden Lantern Grid RTSSP	\$ 2,117,038	\$ 76,800	\$ 2,193,838	\$ 548,460	\$ 2,742,298	20%
<b>TOTALS</b>			<b>\$ 2,117,038</b>	<b>\$ 76,800</b>	<b>\$ 2,193,838</b>	<b>\$ 548,460</b>	<b>\$ 2,742,298</b>	

Acronyms:

CTFP - Comprehensive Transportation Funding Programs

M2 - Measure M2

RTSSP - Regional Traffic Signal Synchronization Program

*\*Application is not being recommended for programming at this time due to not complying with the CTFP Guidelines requirements, specifically with respect to having timely average daily traffic count information.*





**May 11, 2020**

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

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

**Subject:** Agreement for the Development and Implementation of a New Mobile Ticketing Application

### **Overview**

On February 10, 2020, the Board of Directors approved the release of a request for proposals for the development and implementation of a new mobile ticketing application. Proposals were received in accordance with the Orange County Transportation Authority's procurement procedures for professional and technical services. Board of Directors' approval is required to execute an agreement for a new mobile ticketing application.

### **Recommendations**

- A. Approve the selection of Bytemark, Inc., as the firm to develop, host, license, and maintain a mobile ticketing application.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2067 between the Orange County Transportation Authority and Bytemark, Inc., in the amount of \$1,117,423, for a five-year initial term, with two, two-year option terms for the development, hosting, license, and maintenance of a mobile ticketing application.
- C. Amend the Orange County Transportation Authority's Fiscal Year 2019-20 Budget, in the amount of \$1,117,423, to accommodate Agreement No. C-0-2067 for the development, hosting, license, and maintenance of a mobile ticketing application.

### **Discussion**

On January 28, 2020, Orange County Transportation Authority's (OCTA) current mobile ticketing provider, moovel, notified OCTA staff regarding its decision to shut down its company and no longer support OCTA's mobile ticketing application (app) beyond December 2021. Despite moovel's offer to support OCTA's app through December 2021, it is important for OCTA to immediately



find a long-term solution for its mobile ticketing app in order to ensure the continuity of a mobile payment solution for its customers.

The development and implementation of a new mobile ticketing app is necessary to continue providing a mobile app to customers. This app, at minimum, will provide similar payment options for mobile ticketing customers, as well as distribute mobile ticketing bus passes to various employers and university pass programs managed by OCTA. The immediate focus of the new app will be to support the current platform and functionality provided in the existing app, as well as integration with INIT validating equipment, in order to provide a seamless experience for OCTA's transit riders. Along with the existing functionality of the mobile app, additional features, such as expandable institutional program, ability to sell promotional fare products, validation using mobile validators, and expanding mobile ticketing options to future services such as OC Streetcar, are included in the scope of work to further enhance the user experience and will be implemented during the initial term of the new contract.

The new contract will result in OCTA transitioning to a new mobile app by December 2020. It is important to note that OCTA's current agreement with moovel expires on December 31, 2020.

### ***Procurement Approach***

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

On February 10, 2020, the Board authorized the release of Request for Proposals (RFP) 0-2067, which was issued electronically on CAMM NET. The project was advertised in a newspaper of general circulation on February 10 and 17, 2020. A pre-proposal conference was held on February 18, 2020, with ten attendees representing seven firms. Five addenda were issued to handle administrative issues related to the RFP, make available the pre-proposal conference registration sheet and presentation, as well as respond to written questions related to the RFP.

On March 17, 2020, nine proposals were received. An evaluation committee consisting of OCTA staff from Revenue and Grants Administration, Financial Planning and Analysis, Scheduling and Bus Operations Support,



Information Systems, and Marketing and Customer Engagement departments met to review all proposals received.

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

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

Several factors were considered in developing the evaluation criteria weightings. Qualifications of the firm was weighted the highest at 30 percent as the firm had to demonstrate experience implementing similar mobile ticketing apps for transit agencies that are similar in size to OCTA. Staffing and project organization was weighted at 25 percent as the firm had to indicate the level of expertise and involvement for the roles of the proposed project team. Work plan was also weighted at 25 percent as the firm had to demonstrate its ability to meet the functional and technical requirements established for the mobile ticketing app as specified in the scope of work. Cost and price was weighted at 20 percent to ensure that OCTA receives value of the services provided.

On April 1, 2020, the evaluation committee reviewed the proposals based on the evaluation criteria and short-listed the two most qualified firms listed below in alphabetical order:

**Firm and Location**

Bytemark, Inc. (Bytemark)  
New York, New York

Dallas Area Rapid Transit (DART)  
Dallas, Texas

On April 9, 2020, the evaluation committee conducted interviews with the two short-listed firms. The interview consisted of a presentation to demonstrate the firms' understanding of OCTA's requirements. The firms' project managers and key team members had an opportunity to present each team's qualifications and respond to the evaluation committee's questions. Questions were related to experience working with INIT, integrating with INIT validating equipment, functionality of reduced or free fare passes for prequalified riders, and features



of proposed solution. In addition, each team was asked specific clarification questions related to its proposal.

After considering the responses to the questions asked during the interviews, the evaluation committee reviewed the preliminary ranking and made adjustments to individual scores. However, Bytemark remained the highest-ranked firm with the highest overall score.

Based on the evaluation of the written proposals and the information obtained from the interviews, the evaluation committee recommends Bytemark for consideration of the award. The following is a brief summary of the proposal evaluation results.

#### **Qualifications of the Firm**

Bytemark was incorporated in 2011 and is headquartered in New York City with offices in the cities of Seattle and Toronto. The firm has 80 full-time employees worldwide. Bytemark is part of Siemens Mobility, LLC, which offers transportation services and solutions. This relationship provides Bytemark with many resources while working independently. The firm has developed mobile ticketing systems for public agencies similar in size to OCTA, such as Capital Metropolitan Transportation Authority (CMTA) in Austin, Texas, Sacramento Regional Transit District in Sacramento, California, and King County Metropolitan in Seattle, Washington. Bytemark has worked with INIT since 2013 on several projects, which includes developing custom validation software for INIT validators for CMTA. Bytemark also has experience transitioning public agencies from different mobile ticketing providers. The firm transitioned Metropolitan Transit Authority of Harris County and San Diego Metropolitan Transit System from moovel.

DART is a regional transportation agency in Dallas, Texas and was established in 1983. DART's Office of Innovation is dedicated to the development and management of its mobile app solution. The firm proposed Unwire, a mobile ticketing platform provider, as a subcontractor. Unwire was founded in 1999 and is located in Denmark. The subcontractor has 40 employees and has been providing mobile solutions since 2008. DART and Unwire jointly developed the GoPass Mobile Platform (GoPass) for DART in 2013 and have provided GoPass to multiple agencies, such as Trinity Metro and Denton County Transit Authority. With the exception of Metropolitan Tulsa Transit Authority, DART's clients are mainly based in the Dallas-Fort Worth region. In addition, these public agencies are smaller in size to OCTA. DART's past projects did not include experience working with INIT.



### Staffing and Project Organization

Bytemark proposed a project team that demonstrated relevant experience. The proposed project manager has 12 years of transit operations and project management experience. The team members' responsibilities include the features and functions of the Bytemark platform, system architecture and infrastructure, as well as software development and system support. In addition, the proposed team members were involved in other Bytemark projects described in proposal. During the interview, the project team members discussed their roles and experience, as well as their approach for developing and implementing the mobile ticketing app. The project team also responded to the evaluation committee's questions. The team discussed its experience transitioning clients from moovel to the Bytemark platform, working with INIT, proposed availability for this project, and commitment to the proposed project schedule.

DART proposed a project team comprised of individuals from DART's Office of Innovation, as well as staff from Unwire. These individuals will be responsible for project management, solutions architecture, training and customer support, as well as testing and implementation. A project manager is proposed from both DART and Unwire. The project manager proposed from DART has been involved in multiple DART initiatives for the past 14 years, which includes the launch of GoPass and implementation of a multimodal app for a mobility as a service migration. As a new section of DART, the Office of Innovation is currently expanding its staff size to support upcoming projects. The proposed project manager from Unwire has 21 years of experience building software solutions for mobile devices and platforms. During the interview, the project team discussed its roles and proposed solution, as well as responded to the evaluation committee's questions.

### Work Plan

Bytemark presented a comprehensive work plan that addressed all the elements of the scope of work. The firm detailed its approach to transitioning OCTA from its current mobile ticketing app to its proposed solution. The firm indicated that the new mobile app and back-office platform will closely mirror the features and functionality in OCTA's current mobile ticketing app. The firm discussed integrating with the INIT validators and developing a migration plan that would minimize interruptions to service. Bytemark described the features of its proposed solution, which include its open automated programming interfaces, product components, cloud architecture, back-office administration, and ticket validation and security. The firm also detailed the features of the back-office, such as the ability to create new fare products and customize ticket types for specific customer groups, generating various reports, and providing customer



support to riders. Additionally, Bytemark's proposed solution allows incorporation of OCTA's branding, which will assure customers that they are using an official OCTA mobile app. The firm discussed the functionality of the mobile app for customers, such as purchasing tickets, using promo codes, payment processing, profile management, and language support. Bytemark proposed working with OCTA to develop a marketing plan to communicate with riders about the new mobile app. Bytemark proposed an aggressive project schedule of 17 weeks and confirmed during the interview that it has the experience and resources to meet the proposed schedule.

DART discussed its approach for transitioning and implementing its proposed solution including project management and developing a master program schedule. The proposed project schedule indicates going live in December 2020. The back-office platform includes the ability to create special passes for certain customer groups, as well as generate various reports related to ridership and sales. While DART's proposed solution was developed as a GoPass branded app, it can be customized and personalized with OCTA's branding. The firm described the features and functionality of the mobile app for customers, such as the sign-in and authentication process, account management, multimodal trip planner, and purchasing tickets. DART also discussed providing marketing support to OCTA in launching and promoting the new mobile app. Although DART's proposed solution meets OCTA's requirements and is a transit-oriented app, the firm did not demonstrate experience working with INIT and did not elaborate on its approach to integrating with OCTA's validators when asked during the interview.

#### **Cost and Price**

Pricing scores were based on a formula, which assigned the highest score to the firm with the lowest total firm-fixed price, and score the other proposals' total firm-fixed price on their relation to the lowest total firm-fixed price. Although Bytemark did not propose the lowest total firm-fixed price, it was lower than the independent cost estimate.

#### **Procurement Summary**

Based on the evaluation of written proposals, the firm's qualifications, and the information obtained from the interviews, the evaluation committee recommends the selection of Bytemark as the top-ranked firm to develop, host, license, and maintain a mobile ticketing application. Bytemark delivered a thorough and comprehensive proposal and an interview that was responsive to all the requirements of the RFP.



**Fiscal Impact**

A budget amendment to the OCTA Fiscal Year (FY) 2019-20 Budget, Finance and Administration Division, Account 1261-7519-A5105-F30, and Operations Division, Account 0035-7519-OC100-NAZ, for a combined total amount of \$1,117,423 is necessary to accommodate Agreement No. C-0-2067 for the development, hosting, license, and maintenance of a mobile ticketing application. This amendment will align the project cost with the budget authority in the current FY. The project will be funded through the Local Transportation Fund and Measure M2 Program, Project S.

**Summary**

Staff is recommending the Board authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2067 between the Orange County Transportation Authority and Bytemark, Inc., in the amount of \$1,117,423, for a five-year initial term, with two, two-year option terms, for the development, hosting, license, and maintenance a mobile ticketing application.

**Attachments**

- A. Review of Proposals, RFP 0-2067 Mobile Ticketing Application
- B. Proposal Evaluation Criteria Matrix (Short-Listed Firms), RFP 0-2067 Mobile Ticketing Application
- C. Contract History for the Past Two Years, RFP 0-2067 Mobile Ticketing Application

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Review of Proposals  
RFP 0-2067 Mobile Ticketing Application  
Presented to Board of Directors - May 11, 2020  
9 firms proposed, 2 firms were interviewed, 1 firm is being recommended

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	Total Firm-Fixed Price for the Initial Term
1	87	Byemark, Inc. New York, New York	None	Highest-ranked firm overall. Experience developing and implementing mobile ticketing applications for public agencies similar in size to Orange County Transportation Authority (OCTA). Experience transitioning clients from moovel and working with INIT. Proposed project manager has 12 years of experience. Proposed project team has worked together on similar past projects. Detailed approach for implementing the new mobile ticketing application. Proposed solution will closely mirror OCTA's current mobile ticketing application. Discussed integrating with INIT validators. Detailed features of the proposed solution and back office. Presented approach and answered questions during the interview. Received positive responses from references. Proposed competitive total firm-fixed price.	\$1,117,423
2	75	Dallas Area Rapid Transit (DART) Dallas, Texas	Unwire	Developed GoPass for DART and has implemented GoPass for small public agencies. Proposed Unwire, a mobile ticketing platform provider, as a subcontractor. Experience described did not include working with INIT. Proposed project team comprised of staff from both DART and Unwire and a project manager is proposed from each firm. Proposed project manager from DART was involved in the launch of GoPass. Proposed project manager from Unwire has 21 years of experience developing mobile solutions. Discussed approach for implementing the new mobile ticketing application. Described features and functionality of proposed solution. Did not elaborate on integration with INIT validators. Presented approach and answered questions during the interview. Received positive responses from references. Proposed lower total firm-fixed price.	\$1,034,450

Evaluation Panel:

- Internal:
- Revenue and Grants Administration (1)
  - Finance Planning and Analysis (1)
  - Scheduling and Bus Operations Support (1)
  - Information Systems (1)
  - Marketing and Customer Engagement (1)

Proposal Criteria

- Qualifications of the Firm
- Staffing and Project Organization
- Work Plan
- Cost and Price

Weight Factors

- 30%
- 25%
- 25%
- 20%



**PROPOSAL EVALUATION CRITERIA MATRIX (Short-Listed Firms)  
RFP 0-2067 Mobile Ticketing Application**

<b>Bytemark, Inc.</b>						<b>Weights</b>	<b>Overall Score</b>
<b>Evaluator Number</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>		
Qualifications of Firm	4.5	4.0	4.0	4.5	4.5	6	25.8
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	5	20.0
Work Plan	4.5	4.5	4.5	4.5	4.5	5	22.5
Cost and Price	4.6	4.6	4.6	4.6	4.6	4	18.4
<b>Overall Score</b>	<b>87.9</b>	<b>84.9</b>	<b>84.9</b>	<b>87.9</b>	<b>87.9</b>		<b>87</b>

<b>Dallas Area Rapid Transit</b>						<b>Weights</b>	<b>Overall Score</b>
<b>Evaluator Number</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>		
Qualifications of Firm	3.0	3.0	3.0	3.0	3.0	6	18.0
Staffing/Project Organization	4.0	3.5	4.0	3.5	4.0	5	19.0
Work Plan	3.5	3.5	3.5	3.5	3.5	5	17.5
Cost and Price	5.0	5.0	5.0	5.0	5.0	4	20.0
<b>Overall Score</b>	<b>75.5</b>	<b>73.0</b>	<b>75.5</b>	<b>73.0</b>	<b>75.5</b>		<b>75</b>

Range of score for non-short-listed firms 29 to 66.



**CONTRACT HISTORY FOR THE PAST TWO YEARS**  
**RFP 0-2067 Mobile Ticketing Application**

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
<b>Byemark, Inc.</b>						
Contract Type: N/A	None	N/A	N/A	N/A	N/A	\$ -
Subconsultants: N/A						
					<b>Sub Total</b>	<b>\$ -</b>
<b>Dallas Area Rapid Transit</b>						
Contract Type: N/A	None	N/A	N/A	N/A	N/A	\$ -
Subconsultants: N/A						
					<b>Sub Total</b>	<b>\$ -</b>





## COMMITTEE TRANSMITTAL

**May 11, 2020**

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

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

**Subject:** Proposed Amendment to the Orange County Local Transportation Authority Measure M2 Ordinance No. 3

### Executive Committee Meeting of May 4, 2020

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

**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 6-0 by the Members present.

### **Committee Recommendations**


- A. Direct staff to initiate the process to amend the Orange County Local Transportation Authority Measure M2 Ordinance No. 3 to address the anticipated near-term negative growth in general fund revenues as it relates to the maintenance of effort requirement.
- B. Direct staff to set a date of June 22, 2020, for a public hearing and Board of Directors action to consider adoption of the amendment to the Orange County Local Transportation Authority Measure M2 Ordinance No. 3 as it relates to the maintenance of effort requirement.
- C. Approve updates to the Fiscal Year 2020-21 Measure M2 Eligibility Guidelines, including revised maintenance of effort forms addressing the changes needed to implement the proposed amendment.





**May 4, 2020**

**To:** Executive Committee

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

**Subject:** Proposed Amendment to the Orange County Local Transportation Authority Measure M2 Ordinance No. 3

### **Overview**

The voter-approved Measure M2 Ordinance No. 3 requires that local jurisdictions meet a maintenance of effort requirement to remain eligible to receive Measure M2 funding. Local jurisdictions are experiencing a significant decline in general fund revenues because of the novel coronavirus pandemic, which is expected to impact their ability to meet this maintenance of effort requirement. An amendment to the ordinance is recommended to assist the local jurisdictions through this unprecedented period of economic uncertainty. The proposed amendment is presented for Board of Directors' consideration, and approval is requested to set a public hearing date initiating the amendment process.

### **Recommendations**

- A. Direct staff to initiate the process to amend the Orange County Local Transportation Authority Measure M2 Ordinance No. 3 to address the anticipated near-term negative growth in general fund revenues as it relates to the maintenance of effort requirement.
- B. Direct staff to set a date of June 22, 2020, for a public hearing and Board of Directors action to consider adoption of the amendment to the Orange County Local Transportation Authority Measure M2 Ordinance No. 3 as it relates to the maintenance of effort requirement.
- C. Approve updates to the Fiscal Year 2020-21 Measure M2 Eligibility Guidelines, including revised maintenance of effort forms addressing the changes needed to implement the proposed amendment.



### ***Background***

In November 2006, Orange County voters approved the Renewed Measure M2 Ordinance No. 3, also called Measure M2 (M2). The Orange County Transportation Authority (OCTA) is committed to fulfilling the promises made in M2. This means delivering all projects and programs included in the M2 Expenditure Plan and complying with the specific requirements identified in the M2 Ordinance No. 3 (M2 Ordinance). Also included in the M2 Ordinance is an amendment process to address unforeseen circumstances.

Over the next few months, OCTA and local jurisdictions will have a clearer picture of the implications of the novel coronavirus (COVID-19) pandemic and its impact to sales tax revenues, fuel sales, and local agency general fund revenues (GFR). However, action is currently needed to ensure that OCTA can continue providing funds to eligible local jurisdictions.

Local jurisdictions are required to meet specific requirements in order to receive M2 revenues, one of which is related to maintenance of effort (MOE) spending levels. MOE is the amount the local jurisdiction's spend in discretionary non-transportation funds, or GFR, for streets and roads purposes. The intent is to ensure that M2 revenues do not supplant funding for streets and roads that a local jurisdiction was previously spending.

The original MOE level was established in 1991 with the first Measure M (M1) program using a five-year average of the funding amount local jurisdictions spent on streets and roads maintenance and construction between 1985 and 1990. The MOE amount remained unchanged during the 20-year life of M1; therefore, it did not keep pace with annual inflation. Recognizing the need for an adjustment, a process was included in the M2 Ordinance to update the MOE amount every three years. The adjustment is determined by looking back at the California Department of Transportation construction cost index growth during a three-year period and applying that growth rate to the MOE, with the exception that the increase cannot be greater than the jurisdiction's increase in GFR for the same period. The most recent adjustment approved by the Board of Directors (Board) on April 13, 2020, is only the third adjustment to the original MOE as established under M1.

### ***Discussion***

Because of the potential economic impacts related to the COVID-19 pandemic, a limited amendment to the MOE requirements is proposed to ensure local jurisdictions can continue receiving M2 revenues. The M2 Ordinance requires jurisdictions to annually submit two items to OCTA related to MOE:



- 1) MOE certification – before the start of the annual fiscal year budget, local jurisdictions must certify that sufficient expenditures have been budgeted to meet the MOE benchmark.
- 2) Expenditure report – annually, local jurisdictions must submit a detailed financial report. This report is used to validate eligible uses of M2 funds and to report actual MOE expenditures to meet the MOE benchmark requirement.

These requirements – outlined in Section 6 of the M2 Ordinance, and in Section III of Attachment B to the M2 Ordinance – must be met in order for local jurisdictions to continue to receive M2 revenues. Attachment A provides the existing MOE language as included in the M2 Ordinance.

The M2 Ordinance allows for amendments for unforeseen circumstances, which is noted and further discussed in Section 12 of the M2 Ordinance. A specific process for amendments was established by the OCTA Board during M1 and has continued in M2. Amendments to the M2 Ordinance, which do not affect the Transportation Investment Plan, require a two-thirds vote from the OCTA Board, as well as a public hearing and notification process.

As the state-designated Local Transportation Sales Tax Authority responsible for administering M2, OCTA is committed to upholding the intent of the M2 Ordinance. As such, amendments should only be proposed when absolutely necessary to keep the M2 promises to voters. Amendments to M2 are not a normal occurrence. Over the last 29 years, between both M1 and M2, there have only been four ordinance amendments. During this same period, there have been ten plan amendments. Ordinance amendments are corrective changes in nature versus plan amendments, which address funding needs and cost savings through reallocation of funds between projects and programs within the same mode. The change required for MOE will require an ordinance amendment. Attachment B provides information on the amendment process, the language on amendments from the M2 Ordinance, and a history of the prior amendments.

Given the financial impacts anticipated to occur as a result of COVID-19, it will be challenging for all local jurisdictions to satisfy MOE expenditure report requirements for fiscal year (FY) 2019-20 and MOE certification and expenditure report requirements for FY 2020-21. For reference, OCTA sales tax collections in FY 2018-2019 were \$331 million. Due to COVID-19, OCTA is anticipating a 33 percent decline in sales tax in the fourth quarter of FY 2019-20. As a result, OCTA anticipates finishing FY 2019-20 with \$303 million in sales tax receipts, which represents a \$28 million (8.5 percent) decrease in sales tax when compared to FY 2018-19. In addition, an early forecast by Muni Services, the firm that prepares OCTA's short-term forecasted growth rate, is anticipating an additional 4.5 percent reduction in sales tax for FY 2020-21 to \$290 million.



In total, OCTA anticipates collecting \$41 million (12.4 percent) less sales tax in FY 2020-21 than in FY 2018-19 due to COVID-19.

The economic impacts of COVID-19 may not permit local jurisdictions to meet the MOE benchmark requirement for the FY 2019-20 and FY 2020-21. Initial estimates, based upon an informal OCTA poll, indicate local jurisdictions expect, on average, an approximate seven percent reduction in FY 2019-20 revenues (with some estimates as high as 14 percent), and an approximate seven percent reduction in FY 2020-21 revenues (with some estimates as high as 15 percent). City of Costa Mesa Mayor Katrina Foley sent a letter to OCTA Chief Executive Officer Darrell E. Johnson on April 16, 2020 (Attachment C), expressing concern related to lost revenues and requesting a suspension of the MOE requirement for three years, the reduction of the MOE benchmark requirement, and potentially allowing agencies up to seven years to repay the required MOE if they are not able to meet the requirement after the proposed suspension period.

Staff reviewed and considered several options ranging from no changes to the MOE requirement, to suspending the MOE requirement – the latter of which is inconsistent with the legislative intent of the M2 Ordinance because M2 revenues would supplant and not supplement local revenues.

In consultation with OCTA legal counsel, staff has developed a solution intended to be fair and reasonable for all jurisdictions with the goal of balancing local funding issues with the intent of M2 Ordinance. If approved, this will provide local jurisdictions with a path forward before the approaching FY 2020-21 MOE certification requirement deadline of June 30, 2020. Therefore, staff is recommending an amendment to the Orange County Local Transportation Authority M2 Ordinance No. 3, Section 6, MOE Section to:

- Require submittal of the FY 2019-20 expenditure report and accept the actual expenditures reported as meeting the MOE requirement, even if the total expenditure amount is below the MOE benchmark requirement for FY 2019-20.
- Modify the MOE budget certification requirement for FY 2020-21 to require that local jurisdictions certify a budget that commits to continuing the same proportional share of streets and roads expenditures to GFR, based upon the proportion of the current MOE benchmark to GFR that were reported in their respective Comprehensive Annual Financial Report for FY 2018-19, at a minimum. This approach allows the MOE amount to float with fluctuations in local agency GFR levels in FY 2020-21 while upholding the intent of the M2 Ordinance to use M2 revenues as supplemental funding. Attachment D provides the revised temporary MOE benchmark for FY 2020-21, and Attachment E provides the revised MOE certification form.



- Require local jurisdictions to submit the FY 2020-21 expenditure reports to confirm that they have met the proportional share of total GFR or MOE dollar amount as defined in Attachment D.

The proposed amendment language is provided in Attachment F. The process and timing for amending the M2 Ordinance and MOE submittals is shown below:

Actions	Date
Governor declared a state of emergency related to COVID-19	March 4, 2020
Governor enacted the stay-at-home order	March 19, 2020
M2 Eligibility Guidelines, FY 2020-21 approved	April 13, 2020
OCTA Executive Committee considers M2 amendment	May 4, 2020
OCTA Board considers M2 amendment and sets a public hearing date for June 22, 2020	May 11, 2020
Proposed amendment sent to local jurisdictions for public review prior to public hearing (Attachment F)	May 12, 2020
Taxpayers Oversight Committee provided an update on ordinance amendment	May 12, 2020
Issue public hearing notice (at least 30 days prior to public hearing)	May 21, 2020
Public hearing on amendment and roll call vote by Board (requires two-thirds vote)	June 22, 2020
Adopted amendment transmitted to local jurisdiction	June 23, 2020
Local jurisdictions required to submit the MOE certification for FY 2020-21 (Attachment E)	June 30, 2020
Local Fair Share disbursement for fourth quarter, FY 2019-20 (estimated date)	July 15, 2020
Amendment effective 45 days following adoption	August 6, 2020
Local Fair Share disbursement (estimated date)	September 16, 2020

### **Summary**

An amendment to the M2 Ordinance to assist local agencies in managing the economic impacts of the COVID-19 pandemic is proposed. The amendment modifies the MOE requirements for FY 2019-20 and FY 2020-21 while upholding the legislative intent of the M2 Ordinance. Staff also requests the Board set a public hearing date for June 22, 2020, and approval of an updated MOE Certification Form is proposed.



***Attachments***

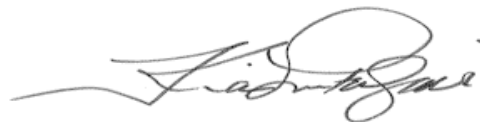
- A. Orange County Local Transportation Authority Ordinance No. 3, Maintenance of Effort Requirements Excerpt, Section 6, Page 3
- B. Procedures to Amend the Renewed Measure M Transportation Investment Plan and Ordinance No. 3, Language Excerpt and Amendment History
- C. Letter from Mayor Katrina Foley, City of Costa Mesa, to Darrell Johnson, Chief Executive Officer, Orange County Transportation Authority, dated April 16, 2020
- D. FY 2020-21 MOE Benchmark as a Percentage of FY 2018-19 GFR
- E. Appendix I, Maintenance of Effort (MOE) Certification Form
- F. Draft Ordinance Amendment Language, Section 6, Page 3

**Prepared by:**



Adriann Cardoso  
Department Manager,  
Capital Programming  
(714) 560-5915

**Approved by:**



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



**Orange County Local Transportation Authority Ordinance No. 3  
Maintenance of Effort Requirements Excerpt**

**Section 6, Page 3**

**SECTION 6. MAINTENANCE OF EFFORT REQUIREMENTS**

It is the intent of the Legislature and the Authority that the Net Revenues allocated to a jurisdiction pursuant to the Ordinance for street and road projects shall be used to supplement existing local discretionary funds being used for transportation improvements. Each jurisdiction is hereby required to annually maintain as a minimum no less than the maintenance of effort amount of local discretionary funds required to be expended by the jurisdiction for local street and road purposes pursuant to the current Ordinance No. 2 for Fiscal Year 2010-2011. The maintenance of effort level for each jurisdiction as determined through this process shall be adjusted effective July 1, 2014 and every three fiscal years thereafter in an amount equal to the percentage change for the Construction Cost Index compiled by Caltrans for the immediately preceding three calendar years, providing that any percentage increase in the maintenance of effort level based on this adjustment shall not exceed the percentage increase in the growth rate in the jurisdiction's general fund revenues over the same time period. The Authority shall not allocate any Net Revenues to any jurisdiction for any fiscal year until that jurisdiction has certified to the Authority that it has included in its budget for that fiscal year an amount of local discretionary funds for streets and roads purposes at least equal to the level of its maintenance of effort requirement. An annual independent audit may be conducted by the Authority to verify that the maintenance of effort requirements are being met by the jurisdiction. Any Net Revenues not allocated pursuant to the maintenance of effort requirement shall be allocated to the remaining eligible jurisdictions according to the formula described in the Ordinance.

**Attachment B, Section III – Requirements for Eligible Jurisdictions**

**Page B7-B10**

**III. REQUIREMENTS FOR ELIGIBLE JURISDICTIONS.**

A. In order to be eligible to receive Net Revenues, a jurisdiction shall satisfy and continue to satisfy the following requirements.

1. Congestion Management Program. Comply with the conditions and requirements of the Orange County Congestion Management Program (CMP) pursuant to the provisions of Government Code Section 65089.



2. Mitigation Fee Program. Assess traffic impacts of new development and require new development to pay a fair share of necessary transportation improvements attributable to the new development.

3. Circulation Element. Adopt and maintain a Circulation Element of the jurisdiction's General Plan consistent with the MPAH.

4. Capital Improvement Program. Adopt and update biennially a six-year Capital Improvement Program (CIP). The CIP shall include all capital transportation projects, including projects funded by Net Revenues, and shall include transportation projects required to demonstrate compliance with signal synchronization and pavement management requirements.

5. Traffic Forums.

Participate in Traffic Forums to facilitate the planning of traffic signal synchronization programs and projects. Eligible Jurisdictions and Caltrans, in participation with the County of Orange and the Orange County Division of League of Cities, will establish the boundaries for Traffic Forums. The following will be considered when establishing boundaries:

- a. Regional traffic routes and traffic patterns;
- b. Inter-jurisdictional coordination efforts; and
- c. Total number of Traffic Forums.

6. Local Traffic Signal Synchronization Plan. Adopt and maintain a Local Traffic Signal Synchronization Plan which shall identify traffic signal synchronization street routes and traffic signals; include a three-year plan showing costs, available funding and phasing of capital, operations and maintenance of the street routes and traffic signals; and include information on how the street routes and traffic signals may be synchronized with traffic signals on the street routes in adjoining jurisdictions. The Local Traffic Signal Synchronization Plan shall be consistent with the Traffic Signal Synchronization Master Plan.

7. Pavement Management Plan. Adopt and update biennially a Pavement Management Plan, and issue, using a common format approved by the Authority, a report every two years regarding the status of road pavement conditions and implementation of the Pavement Management Plan.

a. Authority, in consultation with the Eligible Jurisdictions, shall define a countywide management method to inventory, analyze and evaluate road pavement conditions, and a common method to measure improvement of road pavement conditions.

b. The Pavement Management Plan shall be based on: either the Authority's countywide pavement management method or a comparable management



method approved by the Authority, and the Authority's method to measure improvement of road pavement conditions.

c. The Pavement Management Plan shall include:

- (i) Current status of pavement on roads;
- (ii) A six-year plan for road maintenance and rehabilitation, including projects and funding;
- (iii) The projected road pavement conditions resulting from the maintenance and rehabilitation plan; and
- (iv) Alternative strategies and costs necessary to improve road pavement conditions.

8. Expenditure Report. Adopt an annual Expenditure Report to account for Net Revenues, developer/traffic impact fees, and funds expended by the Eligible Jurisdiction which satisfy the Maintenance of Effort requirements. The Expenditure Report shall be submitted by the end of six (6) months following the end of the jurisdiction's fiscal year and include the following:

- a. All Net Revenue fund balances and interest earned.
- b. Expenditures identified by type (i.e., capital, operations, administration, etc.), and program or project.

9. Project Final Report. Provide Authority with a Project Final Report within six months following completion of a project funded with Net Revenues.

10. Time Limits for Use of Net Revenues.

a. Agree that Net Revenues for Regional Capacity Program projects and Regional Traffic Signal Synchronization Program projects shall be expended or encumbered no later than the end of the fiscal year for which the Net Revenues are programmed. A request for extension of the encumbrance deadline for no more than twenty-four months may be submitted to the Authority no less than ninety days prior to the deadline. The Authority may approve one or more requests for extension of the encumbrance deadline.

b. Agree that Net Revenues allocated for any program or project, other than a Regional Capacity Program project or a Regional Traffic Signal Synchronization Program project, shall be expended or encumbered within three years of receipt. The Authority may grant an extension to the three-year limit, but extensions shall not be granted beyond a total of five years from the date of the initial funding allocation.

c. In the event the time limits for use of Net Revenues are not satisfied then any retained Net Revenues that were allocated to an Eligible Jurisdiction and interest earned thereon shall be returned to the Authority and these Net Revenues and



interest earned thereon shall be available for allocation to any project within the same source program.

11. Maintenance of Effort. Annual certification that the Maintenance of Effort requirements of Section 6 of the Ordinance have been satisfied.

12. No Supplanting of Funds. Agree that Net Revenues shall not be used to supplant developer funding which has been or will be committed for any transportation project.

13. Consider, as part of the Eligible Jurisdiction's General Plan, land use planning strategies that accommodate transit and non-motorized transportation.



**PROCEDURES TO AMEND THE  
RENEWED MEASURE M TRANSPORTATION INVESTMENT PLAN  
AND ORDINANCE NO. 3., LANGUAGE EXCERPT AND AMENDMENT HISTORY**

**PROCEDURES**

The Orange County Local Transportation Authority (OCLTA) Ordinance No. 3 approved by Orange County voters on includes a provision The following procedures are applicable to amend the Renewed Measure M Transportation Investment Plan (Plan) and the Orange County Local Transportation Authority (OCLTA) Ordinance No. 3, by the OCTLA Board of Directors (Board):

A proposed amendment which eliminates a program or project specified on page 31 of the Plan shall not be adopted unless the Board adopts a finding that the transportation purpose of the program or project to be eliminated will be satisfied by a different program or project.

A proposed amendment which changes funding categories, programs, or projects identified within the expenditure plan, page 31 of the Plan, shall be first approved by a two-thirds vote of the Taxpayers Oversight Committee.

Proposed amendments to the Plan and Ordinance No. 3 shall be presented to the Board. The Board shall set a date no sooner than 30 days thereafter for a public hearing to consider the proposed amendment(s), and the proposed amendment(s) shall be transmitted to the Board of Supervisors and the City Council of each Orange County city not less than 30 days prior to the public hearing.

Local agencies may offer comment in writing or in person at the public hearing and such comments shall be incorporated into the public record of the hearing.

The Board shall hold a public hearing prior to adoption of the amendment.

The amendment shall be passed by a roll call vote (at least a two-thirds majority) of Board members.

OCTA shall give written notice of the amendment to the County Board of Supervisors and all City Councils.

Amendment(s) to the Plan or Ordinance No. 3 shall become effective 45 days after adoption.

In addition, a proposed amendment which changes funding allocations among the four major categories of: freeway projects, streets and roads projects, transit projects, and environmental cleanup projects, as identified on page 31 of the Plan; or which changes funding allocations for Local Fair Share Program net revenues (Section IV, C, 3 of Attachment B) shall also be approved by a simple majority vote of the electors before going into effect.



## **Orange County Local Transportation Authority Ordinance No. 3 Amendment Excerpt**

### **Page 6-7**

#### **SECTION 12. AMENDMENTS**

The Authority may amend the Ordinance, including the Plan, to provide for the use of additional federal, state and local funds, to account for unexpected revenues, or to take into consideration unforeseen circumstances. The Authority shall notify the board of supervisors and the city council of each city in the county and provide them with a copy of the proposed amendments, and shall hold a public hearing on proposed amendments prior to adoption, which shall require approval by a vote of not less than two thirds of the Authority Board of Directors. Amendments shall become effective forty-five days after adoption. No amendment to the Plan which eliminates a program or project specified on Page 31 of the Plan shall be adopted unless the Authority Board of Directors adopts a finding that the transportation purpose of the program or project to be eliminated will be satisfied by a different program or project. No amendment to the Plan which changes the funding categories, programs or projects identified on page 31 of the Plan shall be adopted unless the amendment to the Plan is first approved by a vote of not less than two thirds of the Committee. In addition, any proposed change in allocations among the four major funding categories of freeway projects, street and road projects, transit projects and Environmental Cleanup projects identified on page 31 of the Plan, or any proposed change of the Net Revenues allocated pursuant to Section IV C 3 of Attachment B for the Local Fair Share Program portion of the Streets and Roads Projects funding category, shall be approved by a simple majority vote of the electors before going into effect.



## **Amendment History**

### **Measure M Amendments**

#### **Ordinance Amendment**

1. September 23, 1991: Procedures and Recommendation for Amendments to the Measure M Ordinance
2. September 26, 2011: Agencies which qualify as an “Eligible Jurisdiction” under Ordinance No. 3 (Measure M2) to also be an “Eligible Jurisdiction” under Ordinance No. 2. (Policy Resolution No. 3, Section II C1, subsection b)

#### **Expenditure Plan Amendments**

1. November 25, 1991: Reallocation of Funds Within Freeway Program
2. May 23, 1994: Reallocation of Freeway Program Funding Between I-5 and SR-91/SR-55
3. May 13, 1996: Cost Savings Transferred to CURE Accounts
4. June 9, 1997: Amendments to Local Streets and Road Component
5. December 10, 2001: Amend Freeway Program to Add SR-22 at \$203 Million
6. September 13, 2004: Amend Freeway Program to Advance SR-22 and Additional \$123.7 Million
7. September 24, 2007: Modify SR-57 Description Consistent with Project G in Measure M2 and Increase Funding by \$22 Million and Expand Limits of SR-22 to Include the West County Connection Improvements and Increase Funding by \$10 Million
8. March 8, 2010: Decrease SR-57 Funding by \$22 Million



## **Measure M2 Amendments**

### **Ordinance Amendment**

1. November 25, 2013: Strengthens the eligibility and selection process for TOC members to prevent any person with a financial conflict of interest from serving as a member. Also requires currently elected or appointed officers who are applying to serve on the TOC to complete an "Intent to Resign" form.
2. December 14, 2015 (corrected March 14, 2016): Accounts for additional funding from Project T allocated to the Fare Stabilization Program by changing Attachment B language to reflect a 1.47% delegation (rather than 1%) of Project U funding towards Fare Stabilization. Corrected amendment language was presented to the Board on March 14, 2016.

### **Transportation Investment Plan Amendments**

1. November 9, 2012: Reallocation of Funds within Freeway Program Between SR-91 and I-405
2. December 14, 2015 (corrected March 14, 2016): Closeout of Project T and Reallocation of Remaining Funds within Transit Program between Metrolink Service Expansion (Project R) and Fare Stabilization Program (Project U). Corrected amendment language was presented to the Board on March 14, 2016.





## CITY OF COSTA MESA

77 Fair Drive | P.O. Box 1200, Costa Mesa | California 92628-1200  
 Phone 714.754.5285 | Fax 714.754.5330 | [www.costamesaca.gov](http://www.costamesaca.gov) | [Katrina.Foley@costamesaca.gov](mailto:Katrina.Foley@costamesaca.gov)

*From the Office of the Mayor Katrina Foley*

April 16, 2020

Darrell Johnson  
 Chief Executive Officer  
 Orange County Transportation Authority  
 550 S. Main St.  
 Orange, CA 92868

Dear Mr. Johnson:

Thank you for your continued work to serve Orange County cities and residents during the COVID-19 pandemic. The statewide shelter in place order, health care concerns, and financial strains are forcing local governments to respond to our communities' needs in unprecedented ways – I appreciate your partnership in this effort.

In the spirit of continued cooperation and in light of the current COVID-19 health and economic crisis, I, Katrina Foley, Mayor of the City of Costa Mesa, am writing to respectfully request that Orange County Transportation Authority (OCTA) relax the existing Measure M maintenance of effort (MOE) requirements. The relaxation of these requirements will greatly aid all Orange County cities as we continue to meet the immediate needs of our residents with limited financial resources due to the COVID-19 outbreak.

As you know, cities throughout Orange County are projecting significant deficits for the current fiscal year (FY 2019-20) ending on June 30, 2020 while projecting multi-million dollar revenue losses in the upcoming fiscal year. The COVID-19 crisis has also created challenges for cities to complete capital improvement projects due to the statewide social distancing requirements. The current mandates, as well as decreased revenue and across-the-board budget shortfalls, have significantly impacted cities' ability to meet OCTA's MOE requirements.

<b>MAYOR</b> Katrina Foley <i>At Large</i>	<b>MAYOR PRO TEM</b> John B. Stephens <i>At Large</i>	<b>COUNCIL MEMBER</b> Andrea Marr <i>District 3</i>	<b>COUNCIL MEMBER</b> Manuel Chavez <i>District 4</i>	<b>COUNCIL MEMBER</b> Arlis Reynolds <i>District 5</i>	<b>COUNCIL MEMBER</b> Sandra L. Genis <i>At Large</i>	<b>COUNCIL MEMBER</b> Allan R. Mansoor <i>At Large</i>
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# CITY OF COSTA MESA

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Phone 714.754.5285 | Fax 714.754.5330 | [www.costamesaca.gov](http://www.costamesaca.gov) | [Katrina.Foley@costamesaca.gov](mailto:Katrina.Foley@costamesaca.gov)

*From the Office of the Mayor Katrina Foley*

Under ordinary circumstances, cities are required to provide financial documentation to OCTA in order to receive its fair share of Measure M funds and participate in competitive block grants. The required documentation assures OCTA that cities are maintaining a minimum level of city general funds for street and road expenditures from funding sources other than Measure M. These funding levels required by OCTA gradually increases each fiscal year. Failure to meet these requirements jeopardizes cities' Measure M annual funding and triggers an audit intended to bring cities back into compliance of the MOE.

Cities across the State rely on two primary sources of revenue streams to conduct business: property taxes and sales taxes. Due to the necessary closure of non-essential businesses to slow the spread of the virus, sales taxes throughout the County and State have hit record lows, resulting in massive and unforeseen reduced revenue to cities. Moreover, this reduced revenue comes at a time when cities are the first line of defense and response to its residents' public safety needs. To that end, we respectfully request that OCTA take the following actions to provide much needed relief for cities:

- Relax the MOE requirements for the current fiscal year and the next two fiscal years.
- Postpone increasing the MOE requirements. Increased MOE amounts should be reinstated when sales tax revenues reach the 2018-19 fiscal year levels.
- Any cities that do not meet the MOE requirements should be tracked and be allowed 7 years to make up the balance. This will ensure that the MOE commitments are still honored while providing cities with financial flexibility during the current crisis.

**MAYOR**  
Katrina Foley  
*At Large*

**MAYOR PRO TEM**  
John B. Stephens  
*At Large*

**COUNCIL MEMBER**  
Andrea Marr  
*District 3*

**COUNCIL MEMBER**  
Manuel Chavez  
*District 4*

**COUNCIL MEMBER**  
Arlis Reynolds  
*District 5*

**COUNCIL MEMBER**  
Sandra L. Genis  
*At Large*

**COUNCIL MEMBER**  
Allan R. Mansoor  
*At Large*





## CITY OF COSTA MESA

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*From the Office of the Mayor Katrina Foley*

Several cities have raised these issues during recent meetings with OCTA. We thank OCTA for agreeing to discuss a potential process for revising the MOE requirements moving forward. We ask that you take our requests into consideration as you determine a path forward and work with cities to find a solution that accommodates both OCTA and cities. We look forward to our continued partnership and collaborative efforts to continue serving the residents of Orange County.

Sincerely,

Katrina Foley  
Mayor, City of Costa Mesa

cc: OCTA Board of Directors

<b>MAYOR</b> Katrina Foley <i>At Large</i>	<b>MAYOR PRO TEM</b> John B. Stephens <i>At Large</i>	<b>COUNCIL MEMBER</b> Andrea Marr <i>District 3</i>	<b>COUNCIL MEMBER</b> Manuel Chavez <i>District 4</i>	<b>COUNCIL MEMBER</b> Arlis Reynolds <i>District 5</i>	<b>COUNCIL MEMBER</b> Sandra L. Genis <i>At Large</i>	<b>COUNCIL MEMBER</b> Allan R. Mansoor <i>At Large</i>
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**FY 2020-21 MOE Benchmark as a  
Percentage of FY 2018-19 GFR**

Local Agency	(A) FY 2020-21 MOE Benchmark <sup>1</sup>	(B) FY 2018-19 GFR <sup>2</sup>	(A/B) MOE Benchmark as a % of GFR
Aliso Viejo	538,604	20,264,249	2.66%
Anaheim	11,725,957	412,996,000	2.84%
Brea	838,243	65,445,918	1.28%
Buena Park	4,206,464	70,242,813	5.99%
Costa Mesa	8,607,340	143,753,298	5.99%
County of Orange	-	N/A	N/A
Cypress	3,607,878	36,691,594	9.83%
Dana Point	1,510,094	41,545,825	3.63%
Fountain Valley	1,564,638	61,380,673	2.55%
Fullerton	4,413,567	100,526,519	4.39%
Garden Grove	3,938,473	129,838,910	3.03%
Huntington Beach	5,921,206	236,631,000	2.50%
Irvine	8,001,915	221,961,000	3.61%
La Habra	1,737,300	48,583,838	3.58%
La Palma	201,688	12,057,831	1.67%
Laguna Beach	1,806,353	88,020,317	2.05%
Laguna Hills	331,579	22,047,533	1.50%
Laguna Niguel	908,566	43,809,474	2.07%
Laguna Woods	104,578	6,351,788	1.65%
Lake Forest	226,678	54,795,849	0.41%
Los Alamitos	182,250	14,165,860	1.29%
Mission Viejo	2,864,895	63,356,854	4.52%
Newport Beach	12,547,102	229,812,594	5.46%
Orange	3,392,885	124,241,260	2.73%
Placentia	770,006	35,796,833	2.15%
Rancho Santa Margarita	428,337	19,137,375	2.24%
San Clemente	1,316,842	65,789,926	2.00%
San Juan Capistrano	492,518	36,522,274	1.35%
Santa Ana	9,040,904	275,532,227	3.28%
Seal Beach	642,598	35,500,962	1.81%
Stanton	285,869	23,951,047	1.19%
Tustin	1,697,045	67,924,240	2.50%
Villa Park*	360,429	3,722,258	9.68%
Westminster	1,805,546	66,489,760	2.72%
Yorba Linda	2,608,191	38,335,027	6.80%
<b>Totals</b>	<b>98,626,539</b>	<b>2,917,222,926</b>	

\*Final CAFR has not been published. Draft CAFR provided by City of Villa Park on April 21, 2020 has been used.

<sup>1</sup>FY 2020-21 MOE Benchmarks were taken from the Board-approved staff report on April 13, 2020.

<sup>2</sup>GFRs are from FY 2018-19 CAFRs published online .

CAFR - Comprehensive Annual Financial Report

FY - Fiscal year

GFR - General fund revenue

MOE - Maintenance of effort

N/A - Not Applicable





## APPENDIX I

## Maintenance of Effort (MOE) Certification Form

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

**Type of GENERAL FUND Transportation Expenditures:**

Please complete and attach supporting budget documentation for each line item listed below, if the MOE certification is based on the MOE benchmark by dollar value. For FY 2020-21 only, the table does not need to be completed if the Agency is certifying to meet the percentage of general fund revenues.

MAINTENANCE	Total Expenditure
Subtotal Maintenance	\$

CONSTRUCTION	Total Expenditure
Subtotal Construction	\$

INDIRECT /OTHER	Total Expenditure
Subtotal Indirect /Other	\$

Total General Fund Transportation Expenditures \$

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

MOE Expenditures \$

MOE Benchmark Requirement<sup>2</sup> \$

(Shortfall)/Surplus \$

**Certification:**

I hereby certify that:

☐ The City/County of \_\_\_\_\_ is aware of the State Controller's "Guidelines Relating to Gas Tax Expenditures for Cities and Counties", which is a guide for determining MOE Expenditures for Measure M2 Eligibility purposes and;

☐ The City/County of \_\_\_\_\_'s MOE Reporting Form is in compliance with direction provided in the State Controller's "Guidelines Relating to Gas Tax Expenditures for Cities and Counties" and;

Choose one of the following:

☐ The City/County of \_\_\_\_\_ certifies that the budgeted MOE expenditures meet the fiscal year (FY) FY 20-21 MOE benchmark requirement based on dollar value.

or

☐ The City/County of \_\_\_\_\_ certifies that it will meet the MOE % of general fund revenues and has included in its budget for FY 2020-21 the use of local discretionary funds for streets and roads purposes that is equal to \_\_\_\_\_% (Use percentage in MOE Benchmark by Local Agency Table) of the City's budgeted general fund revenues.

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

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

<sup>2</sup>MOE benchmark requirement was modified in light of the coronavirus pandemic. To calculate the City's FY 2020-21 MOE benchmark requirement, please refer to the updated MOE benchmark table that was approved by the Board of Directors on May 11, 2020.



**DRAFT ORDINANCE AMENDMENT LANGUAGE**  
**Section 6, Page 3**

“In order to address the impacts of the novel coronavirus pandemic (commonly referred to as COVID-19), for fiscal year (FY) 2019-20, jurisdictions shall comply with all submittal requirements under the ordinance, including, but not limited to, those requirements under Attachment B (III) - Requirements for Eligible Jurisdictions, but will not be required to meet the required maintenance of effort (MOE) amount for that particular jurisdiction for the FY 2019-20. For FY 2020-21, jurisdictions shall be required to comply with all submittal requirements under the ordinance, including, but not limited to, those requirements under Attachment B (III) - Requirements for Eligible Jurisdictions, but shall only be required to meet the MOE amount for that particular jurisdiction for the FY at the same proportional share of streets and roads expenditures to general fund revenues based upon the proportion of the FY 2020-21 MOE benchmark to general fund revenues that were reported in their respective Comprehensive Annual Financial Report for FY 2018-19. Jurisdictions are encouraged to use their best efforts during FY 2019-20 and FY 2020-21 to meet original MOE levels.”





## COMMITTEE TRANSMITTAL

**May 11, 2020**

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

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

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

### Regional Planning and Highways Committee Meeting of May 4, 2020

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

**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 6-0 by the Members present.

Director Pulido was not present to vote on this item.

### **Committee Recommendation**

Direct staff to continue the implementation of the State Route 55 improvement project from Interstate 405 to Interstate 5 through construction as included in the Next 10 Delivery Plan.





**May 4, 2020**

**To:** Regional Planning and Highways Committee

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

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

### **Overview**

The Orange County Transportation Authority is currently underway with the implementation of the State Route 55 improvement project from Interstate 405 to Interstate 5. This report provides a project update.

### **Recommendation**

Direct staff to continue the implementation of the State Route 55 improvement project from Interstate 405 to Interstate 5 through construction as included in the Next 10 Delivery Plan.

### **Background**

The State Route 55 (SR-55) improvement project from Interstate 405 (I-405) to Interstate 5 (I-5) (Project) is part of Project F in the Measure M2 (M2) freeway program. The updated Next 10 Delivery Plan, adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in November 2019, identified the Project as one of the M2 freeway projects to be completed by 2026. The Project will add one general purpose lane and one high-occupancy vehicle lane in each direction between I-405 and I-5, and auxiliary lanes between interchanges. This segment of SR-55 is one of the most highly-congested corridors in Orange County. The condition will worsen as population and traffic growth are projected to increase.

The corridor cities of Irvine, Santa Ana, and Tustin have been very supportive of the Project. The cities have been actively involved from the planning phase through the current design phase to move the Project forward. To date, 33 Board actions have been taken to advance the Project through multiple phases, including providing direction to accelerate the Project. The Project design was initiated in June 2017, when the Board approved the design cooperative



agreement with the California Department of Transportation (Caltrans), and acquisition of right-of-way (ROW) and relocation of utilities were authorized by the Board in September 2017. Construction is anticipated to begin mid-2021.

### ***Discussion***

A number of activities are ongoing as the final design, ROW acquisition, utility relocation coordination, and public outreach activities continue to advance. The following provides a more detailed status of Project activities.

#### **Design**

The design is 100 percent complete and was submitted to Caltrans at the end of April 2020.

#### **ROW Acquisition**

The Project will impact 33 properties, including 24 commercial properties, three residential properties, and six publicly-owned properties. There are 31 properties identified as partial acquisitions and two properties identified as full acquisitions. The real property requirements include fee acquisitions, temporary construction easements (TCE), utility easements, and permanent maintenance easements. The full-fee acquisitions, partial-fee acquisitions, and permanent maintenance easements are required for access control rights needed for construction of the roadway, bridges, retaining walls, drainage systems, and electrical systems. Utility easements are required to relocate above-ground and underground electrical systems, sewer, and water facilities. TCEs are needed to provide a sufficient area for the contractor to perform the work.

Of the 33 total properties impacted, the following summarizes the status of the ROW acquisition:

- Appraisals were initiated in early 2019 and are targeted to be complete in the second quarter of 2020.
- First written offers commenced in December 2019 which included payments in accordance with the Board-approved Incentive Payment Program. To date, nine offers have been presented with three of the owners accepting. Negotiations will continue as the Project advances.

Currently, the clearing of all constraints to advertise the Project for construction, including ROW certification, is targeted for the fourth quarter of 2020. The Project team continues to work toward this goal, but there are potential external risks that may arise during acquisition and any necessary legal proceedings that could impact ROW delivery and meeting this schedule. Staff will continue to



monitor and manage these risks, including any impacts related to COVID-19, and will plan to provide an update next quarter.

#### Utility Relocations

Thirteen utility companies are impacted and require relocation as part of the Project. Since the coordination and relocation design for utilities can be a long process, staff initiated the coordination in early 2018 and have resolved all utility design issues. Staff has been successful in executing 14 of 27 utility agreements to date, with a goal to execute all agreements by summer 2020.

#### Project Cost

The overall Project cost remains \$411 million, with construction estimated at \$205 million. With current rising costs in property values, construction materials, and labor, staff will continue to assess the Project cost and update the Board if an increase is projected.

#### Public Outreach

OCTA has a comprehensive community outreach program. Leading into the anticipated mid-2021 construction start, staff will be laying a solid foundation to raise awareness about the Project. Briefings will be conducted with key stakeholders, including city councils, school districts, and emergency services. Presentations will be made to homeowner associations, Chambers of Commerce, and other community organizations. Starting in mid-2020, staff will mail postcards to all addresses in the corridor cities of Irvine, Santa Ana, and Tustin. This initial effort will inform the public about the Project and encourage the community to sign up for Project alerts. OCTA's goal is to reach as many people as possible before the start of construction, and these efforts will continue throughout construction.

#### Next Steps

Staff will continue to work closely with Caltrans and the corridor cities as the design and ROW acquisition advance. Work continues to complete the final design, finalize appraisals, present all offers, and execute remaining utility agreements. The target is to clear all constraints to advertise the Project for construction, including ROW certification, in the fourth quarter of 2020. Advertisement for construction bids is planned for early 2021, with a construction start to follow in mid-2021.



***Summary***

Staff requests Board of Directors' direction to continue the implementation of the State Route 55 improvement project from Interstate 405 to Interstate 5 through construction as included in the Next 10 Delivery Plan.

***Attachment***

None.

**Prepared by:**

A handwritten signature in blue ink, appearing to read "Ross Lew".

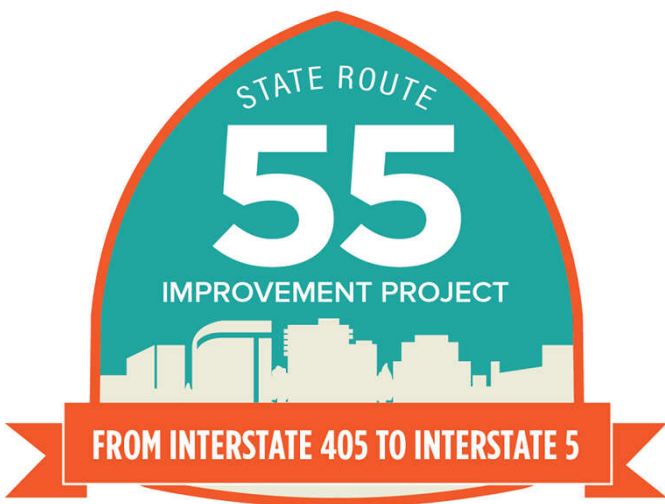
Ross Lew, P.E.  
Program Manager  
(714) 560-5775

**Approved by:**

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

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





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



# Project Limits



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



# Background

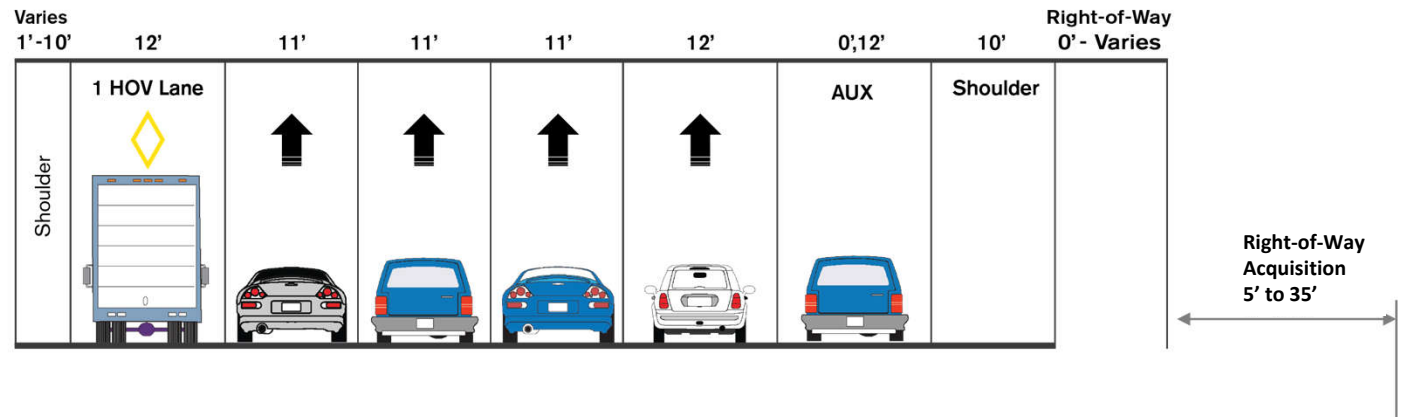


- Corridor cities including Irvine, Santa Ana, and Tustin support the project
- Project was included in past M2 Early Action Plan and M2020 updates
- Orange County Transportation Authority Board of Directors (Board) directed staff to accelerate delivery of the project
- In June 2017, the Board approved the design cooperative agreement with Caltrans to initiate the project design
- In September 2017, the Board authorized right-of-way (ROW) acquisition
- Project is included in the Next 10 Delivery Plan for implementation through construction



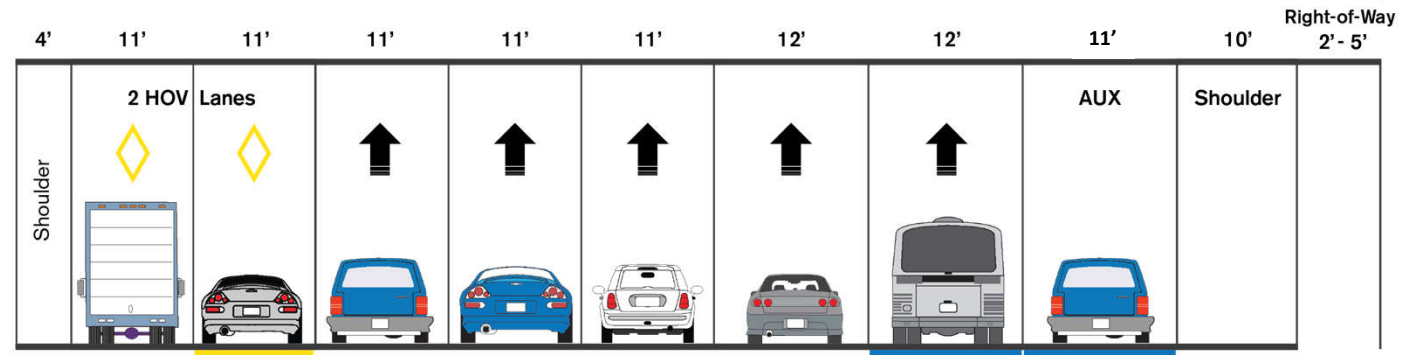
# Project Improvements

## Existing



## Project Improvements

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





## Design

- Design anticipated to be fully complete by end of April 2020

## ROW

- 33 properties impacted (24 commercial, three residential, six public agencies)
- Appraisals were initiated in early 2019
- Nine offers provided to date with incentive program
- Three offers accepted to date
- Resolutions of necessity are anticipated

## Utility

- 13 utility companies impacted
- Utility relocation coordination was initiated in early 2018
- 14 of 27 utility agreements executed to date



# Project Schedule



	2017	2018	2019	2020	2021	2022	2023	2024
Complete Environmental Phase	✓	September 2017						
Initiate 35 percent Design, ROW Need and Utility Conflicts	✓	September 2017						
Complete 35 percent Design		✓ April 2018						
Initiate ROW Appraisal Maps		✓ June 2018						
Complete 65 percent Plans, Specifications, and Estimates (PS&E)			✓ January 2019					
Initiate ROW Appraisals			✓ February 2019					
Complete 95 percent PS&E			✓ July 2019					
Initiate First Offers to Property Owners				✓ December 2019				
Complete 100 percent PS&E				✓ April 2020				
ROW Certification				★ October 2020				
Ready To List				★ November 2020				
Construction			Mid-2021 to end-2024					



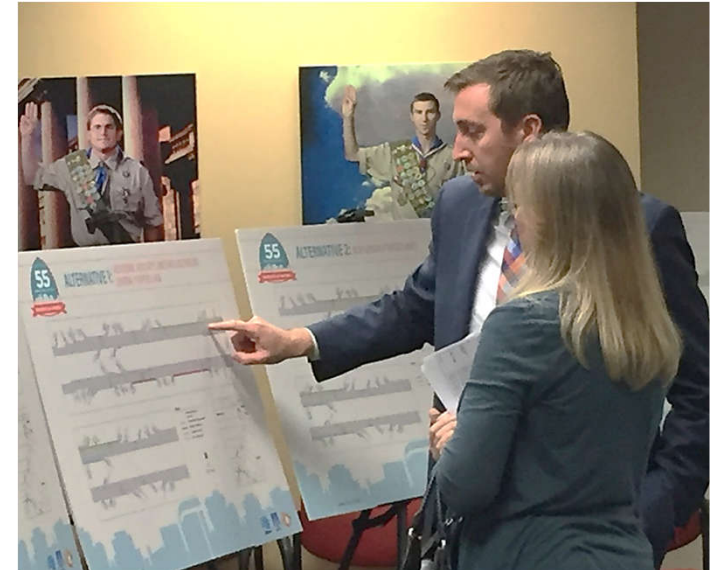
# Next Steps

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



# Public Outreach

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







**May 11, 2020**

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

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

**Subject:** Orange County Transportation Authority Fiscal Year 2020-21 Budget Workshop

### **Overview**

The Orange County Transportation Authority is developing the fiscal year 2020-21 budget, which identifies available revenues and costs associated with providing transportation services and programs for Orange County. The proposed budget will be reviewed in detail in an informal workshop following the May 11, 2020, Orange County Transportation Authority Board of Directors' meeting.

### **Recommendation**

Receive and file as an information item.

### **Discussion**

The preparation of the Orange County Transportation Authority's (OCTA) annual budget began in December 2019 with the development of initial revenue projections, a service plan, and program goals and objectives for the upcoming fiscal year (FY). These projections were updated in March 2020 based on the impacts of novel coronavirus (COVID-19) pandemic. The Coronavirus Aid, Relief, and Economic Security Act (CARES Act) provided funding that helped OCTA balance the budget based on the service plan, program goals, and objectives that are in accordance with those of the Board of Directors (Board) and Chief Executive Officer (CEO).

Each division developed and submitted its budget requests in January, which were subject to successive internal reviews. The proposed budget was reviewed by a CEO-appointed internal budget review committee, consisting of the Deputy CEO, Chief Financial Officer, and Executive Director of Human Resources and Organizational Development, to ensure a balanced and fiscally-responsible budget is delivered consistent with the Board's goals, CEO's goals, OCTA Strategic Plan, Comprehensive Business Plan, and the Next10 Plan.



The development of the FY 2020-21 proposed budget was based on a series of programmatic assumptions that were presented to the Finance and Administration (F&A) Committee on February 28, 2020, and the OCTA Board on March 11, 2020. However, due to the COVID-19 pandemic, revised budget assumptions were presented to the F&A Committee on April 8, 2020, and the OCTA Board on April 13, 2020. The presentation covered the changed economic landscape based on the COVID-19 pandemic and revised revenue and expense assumptions used to develop the budget for OCTA's major programs including: Measure M2 (M2), Transit, Commuter Rail, Motorist Services, and 91 Express Lanes.

Due to the recent COVID-19 pandemic, sales tax in FY 2020-21 for the M2 Program and 1/4 cent Local Transportation Fund sales tax revenues are forecasted to decline by 4.3 percent on a year-over-year basis. This is based on the sales tax forecasting methodology provided by Muni Services Inc. OCTA is also assuming that sales tax will decline by approximately 33 percent in the last quarter of FY 2019-20.

The FY 2020-21 proposed budget represents a balanced plan of sources and uses of funds. Sources of funds include new revenues received within the year, as well as planned uses of prior year designations. Planned uses of prior year designations are funds set aside (designated) in prior FYs to be utilized in the current FY. The uses of these funds are planned and do not represent a utilization of funds as a result of deficit spending. Expenditures include current year expenditures, as well as funds designated in the current FY to be used in a future FY.

The combination of estimated revenues and planned use of reserves produces available funding of \$1,439.5 million, while proposed expenditures and designations yield a total use of funds of \$1,439.5 million. On a year-over-year comparison to the approved FY 2019-20 budget, the FY 2020-21 proposed budget is \$85.7 million less than the FY 2019-20 budget. This is primarily due to bus purchases that are included in the FY 2019-20 budget and are not included in the FY 2020-21 budget.

Under the M2 Program, while the COVID-19 pandemic is expected to impact sales tax revenues, there is financial capacity within the program to continue to improve freeways, streets and roads throughout Orange County, as well as fund multiple transit programs through FY 2020-21. Staff will continue to model the impact of COVID-19 to the M2 Program as the revenue impacts become more defined in the coming months. Included in the proposed budget is \$417.7 million to help fund freeway improvement projects on Interstate 405, Interstate 5, State Route 55, State Route 57, and State Route 91. Approximately \$147 million



is budgeted to improve streets and roads, including \$55.6 million for the Regional Capacity Program, \$49.7 million to fund the Local Fair Share Program, and \$35.8 million for Regional Traffic Signal Synchronization. In addition, the budget also includes \$62.3 million for M2 Transit, including \$31.6 million for ongoing construction of the OC Streetcar.

With the help of the CARES Act, the FY 2020-21 budget will include the same level of fixed-route bus service, as was included in the FY 2019-20 budget. A total of 1.63 million revenue hours will be budgeted with 62 percent of the hours directly operated by OCTA and 38 percent of the hours provided by OCTA's contractor. While the budget will assume pre-COVID-19 pandemic levels of bus service, actual restoration of service will occur throughout the year based on ridership demand and public health considerations. Paratransit service trips are anticipated to decrease by 2 percent to 1.7 million. In addition, OC Flex service will be budgeted at 23.6 thousand revenue hours, which is consistent with the FY 2019-20 budget.

The Metrolink budget assumes a three-month extension of the current agreement with OCTA. At the end of three months Metrolink will submit a budget proposal for the balance of FY 2020-21. The CARES Act stimulus will also provide OCTA with the ability to take a demand-based approach to restore OCTA's Metrolink subsidy to accommodate for up-to pre-COVID-19 pandemic trips. That is a total of 54 weekday trips and 16 weekend trips for Metrolink service within Orange County.

The COVID-19 pandemic has not only caused the economy to slow but has resulted in severe traffic declines well in excess of peak losses during the Great Recession in 2008 for the 91 Express Lanes Program. The 91 Express Lanes are currently experiencing traffic declines of approximately 70 percent when compared to the same period last year. The 91 Express Lanes excess revenue reserve has approximately \$82 million available to fund future operating and debt service payments. As a result, revenues and expenses are balanced for the 91 Express Lanes Program for FY 2020-21.

Staff will be presenting the FY 2020-21 budget in detail in an informal workshop setting on May 11, 2020. The presentation will include a discussion of program goals and objectives, proposed staffing plan, and the sources and uses of funds planned to meet specified program goals. The presentation will be solely informational for the Board and the Board will not be asked to vote on the budget at the meeting. A public hearing for the budget is scheduled to occur at the June 8, 2020, Board meeting, after which staff anticipates seeking Board approval of the budget.



***Summary***

Staff will conduct a budget workshop for the OCTA Board at the May 11, 2020, Board meeting. The presentation will be solely informational for the Board. No public hearing will be held at the meeting, nor will the Board be asked to vote on the budget at the meeting. A public hearing for the budget is scheduled to occur at the June 8, 2020, Board meeting, after which staff anticipates seeking Board approval of the budget.

***Attachment***

A. Fiscal Year 2020-21 Budget Workshop

**Prepared by:**



Victor Velasquez  
Department Manager,  
Financial Planning and Analysis  
(714) 560-5592

**Approved by:**



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



# Fiscal Year 2020-21 Budget Workshop





# Budget Themes

- Conservative budget planning due to novel coronavirus (COVID-19) economic uncertainty
- CARES\* Act funds available for transit operations programs
- Demand-based approach to restore up to 1.6 million hours of OC Bus service
- Continuation of Measure M2 Next 10 Plan
- Three-month extension of current funding levels for Metrolink Service
- 91 Express Lanes anticipate a reduction in trips to 10.9 million
- No added positions or new initiatives added to budget

\*Coronavirus Aid, Relief, and Economic Security Act



# COVID-19 Impacts

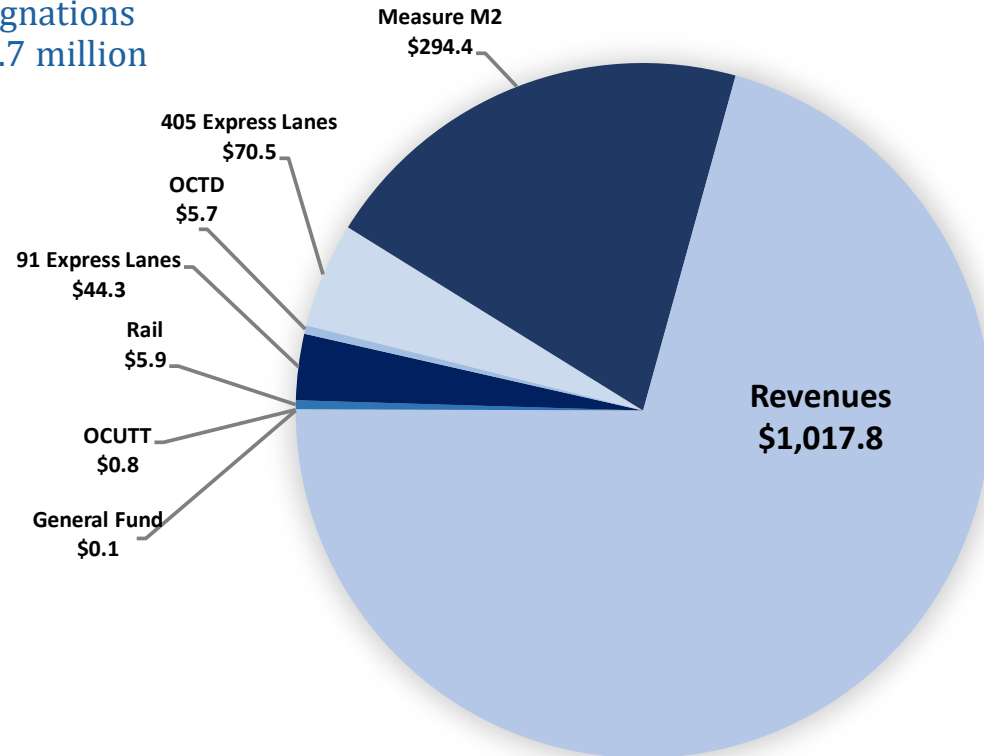
- Response and planning for short-term and long-term impacts
- Well-positioned to weather uncertainty through long-standing conservative fiscal policies and reserves
- Significant declines expected in top sales-tax generators, recovery time unknown
- Additional economic recovery packages possible: federal and state
- Closely monitor financial markets for potential impacts
- Continuous analysis and flexibility key, with amendments possible



# Budget Overview – COVID-19 - *Impact: Moderate*

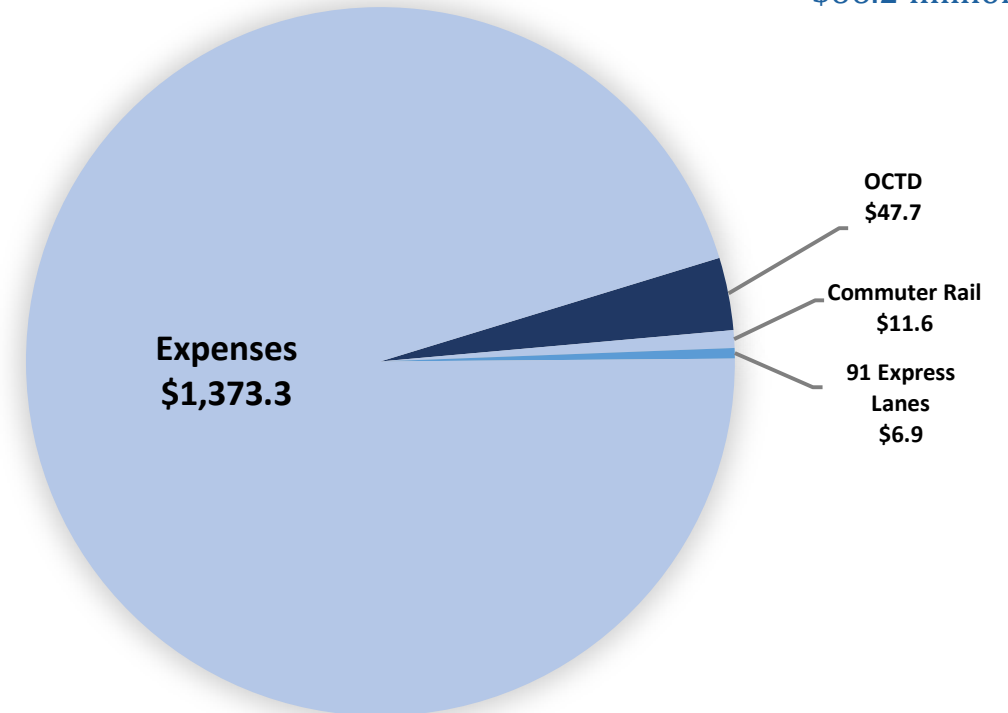
Source of Funds  
\$1,439.5 million

Use of Prior Year  
Designations  
\$421.7 million



Use of Funds  
\$1,439.5 million

Designations  
\$66.2 million





# Planned Use of Prior Year Designations – *Impact: Low*

In Millions Fund	Program	FY 2019-20 Approved Budget	FY 2020-21 Proposed Budget
Local Transportation Authority Measure M2	<i>Freeways, Streets &amp; Roads, and M2 Transit</i>	\$ 144.7	\$ 294.4
405 Express Lanes	<i>Freeways</i>	63.5	70.5
91 Express Lanes	<i>Freeways</i>	50.1	44.3
Commuter Rail	<i>Rail Capital</i>	29.6	5.9
Orange County Transit District	<i>Bus Capital</i>	76.4	5.7
Orange County Unified Transportation Trust	<i>Studies</i>	-	0.8
General Fund	<i>Measure M1</i>	0.5	0.1
Orange County Taxi Administration Program	<i>Motorist Services</i>	-	0.0
Service Authority for Freeway Emergencies	<i>Motorist Services</i>	0.6	-
<b>Total Use of Prior Year Designations</b>		<b>\$ 365.4</b>	<b>\$ 421.7</b>



# Budget Sources & Uses – *Impact: Moderate*

In Millions	FY 2019-20	FY 2020-21	Change	Change
Sources	Approved Budget	Proposed Budget	\$	%
Revenues	\$ 1,159.8	\$ 1,017.8	\$ (142.0)	-12.2%
Use of Prior Year Designations	365.4	421.7	56.3	15.4%
<b>Total Revenue / Use of Designations</b>	<b>\$ 1,525.2</b>	<b>\$ 1,439.5</b>	<b>\$ (85.7)</b>	<b>-5.6%</b>
Uses				
Salaries and Benefits	\$ 169.7	\$ 174.3	\$ 4.6	2.7%
LOSSAN Salaries and Benefits	2.7	2.9	0.2	7.4%
Services and Supplies	373.6	406.5	32.9	8.8%
Contributions to Other Agencies	169.7	173.6	3.9	2.3%
Interest/Debt Service	59.0	66.1	7.1	12.0%
Capital	667.8	549.9	(117.9)	-17.7%
Designations	82.7	66.2	(16.5)	-20.0%
<b>Total Expenditures / Designations</b>	<b>\$ 1,525.2</b>	<b>\$ 1,439.5</b>	<b>\$ (85.7)</b>	<b>-5.6%</b>



# Revenues – *Impact: High*

In Millions Sources	FY 2019-20 Approved Budget	FY 2020-21 Proposed Budget	Change \$	Change %
Federal Grants	\$328.4	\$315.6	(\$12.8)	-3.9%
M2 Local Transportation Authority 1/2 Cent Sales Tax	340.9	290.2	(50.7)	-14.9%
Local Transportation Fund 1/4 Cent Sales Tax	176.7	153.6	(23.1)	-13.1%
CARES Stimulus	-	47.4	47.4	100.0%
State Grants	58.2	40.2	(18.0)	-30.9%
91 Express Lanes (Toll and Non-Toll)	60.5	35.0	(25.5)	-42.1%
Passenger Fares	47.9	28.4	(19.5)	-40.7%
Interest	49.9	24.2	(25.7)	-51.5%
Road Repair and Accountability Act (State Transit)	24.3	21.9	(2.4)	-9.9%
State Transit Assistance	22.5	17.9	(4.6)	-20.4%
Other	15.8	17.2	1.4	8.9%
Property Tax	16.6	17.0	0.4	2.4%
Road Repair and Accountability Act (Competitive)	14.1	6.2	(7.9)	-56.0%
Advertising	4.0	3.0	(1.0)	-25.0%
<b>Subtotal Sources</b>	<b>\$ 1,159.8</b>	<b>\$ 1,017.8</b>	<b>\$ (142.0)</b>	<b>-12.2%</b>
Use of Prior Year Designations	365.4	421.7	56.3	15.4%
<b>Total Revenues / Use of Designations</b>	<b>\$ 1,525.2</b>	<b>\$ 1,439.5</b>	<b>\$ (85.7)</b>	<b>-5.6%</b>



# Sales Tax Revenue – *Impact: High*

## Net Sales Tax

Net Sales Tax	LTA		TDA	
Final FY 2018-19 Collections		\$330.8		\$175.7
Estimated FY 2019-20 Decrease		-\$27.6		-\$15.2
Estimated FY 2019-20 Collections	\$	303.2	\$	160.5
MuniServices FY 2020-21 Growth Rate		-4.3%		-4.3%
FY 2020-21 Budget	\$	290.2	\$	153.6



# Expenditures – *Impact: Moderate*

In Millions Uses	FY 2019-20 Approved Budget	FY 2020-21 Proposed Budget	Change \$	Change %
<b>Salaries and Benefits</b>	<b>\$ 172.4</b>	<b>\$ 177.2</b>	<b>\$ 4.8</b>	<b>2.8%</b>
OCTA Salaries and Benefits	169.7	174.3	4.6	2.7%
LOSSAN Salaries and Benefits	2.7	2.9	0.2	7.4%
<b>Services and Supplies</b>	<b>\$ 373.6</b>	<b>\$ 406.5</b>	<b>\$ 32.9</b>	<b>8.8%</b>
Professional and Outside Services	223.2	250.7	27.5	12.3%
Contract Transportation Services	104.1	112.1	8.0	7.7%
Maintenance Parts & Fuel	21.5	17.8	(3.7)	-17.2%
General & Administration	16.1	14.3	(1.8)	-11.2%
Insurance Claims/Premiums	8.7	11.6	2.9	33.3%
<b>Contributions to Other Agencies</b>	<b>\$ 169.7</b>	<b>\$ 173.6</b>	<b>\$ 3.9</b>	<b>2.3%</b>
Contributions to Other Agencies	55.0	69.1	14.1	25.6%
Measure M2 Regional Capacity	57.0	55.0	(2.0)	-3.5%
Measure M2 Local Fair Share	57.7	49.5	(8.2)	-14.2%
<b>Interest / Debt Service</b>	<b>\$ 59.0</b>	<b>\$ 66.1</b>	<b>\$ 7.1</b>	<b>12.0%</b>
Long-Term Debt Principal Payments	8.5	14.5	6.0	70.6%
Interest Expense	50.5	51.6	1.1	2.2%
<b>Capital</b>	<b>\$ 667.8</b>	<b>\$ 549.9</b>	<b>\$ (117.9)</b>	<b>-17.7%</b>
<b>Subtotal Uses</b>	<b>\$ 1,442.5</b>	<b>\$ 1,373.3</b>	<b>\$ (69.2)</b>	<b>-4.8%</b>
Designations	82.7	66.2	(16.5)	-20.0%
<b>Total Expenditures / Designations</b>	<b>\$ 1,525.2</b>	<b>\$ 1,439.5</b>	<b>\$ (85.7)</b>	<b>-5.6%</b>



# Key Expenditures by Fund – *Impact: Moderate*

Measure M2	I-405, SR-73 to I-605 (Project K)	\$ 128,962,769	Right-of-way capital and utilities, project management consultant services, and support
	I-5, Santa Ana Freeway (Project C)	\$ 100,723,645	Construction capital, right-of-way capital, and construction management services
	SR-55, Costa Mesa Freeway (Project F)	\$ 99,141,057	Right-of-way capital, utilities, and support
	Regional Capacity Program (Project O)	\$ 55,558,300	Competitive funding for local agency streets and roads projects
	Local Fair Share (Project Q)	\$ 49,720,369	18 percent of M2 net revenues to local agencies for streets and roads
	Regional Traffic Signal Synchronization (Project P)	\$ 35,797,240	Signal synchronization projects to be implemented along OC Corridors
	I-5, I-405 to SR-55 (Project B)	\$ 35,655,987	Environmental services
	SR-91, SR-55 to SR-57 (Project I)	\$ 30,000,000	Consultant design and environmental services
	Community-Based Transit Circulator (Project V)	\$ 13,034,109	M2 Project V payments and community transit circulators
	SR-91, SR-241 to SR-71 (Project J)	\$ 12,100,000	OCTA contribution to Riverside County Transportation Commission (RCTC) for design and construction
	Clean-up Highway/Street Runoff (Project X)	\$ 5,841,400	Payments for M2 environmental cleanup program projects
	Senior Mobility and Non-Emergency Medical Programs (Project U)	\$ 5,688,193	Senior Non-Emergency Medical Transportation and Senior Mobility Program for local agencies
	Freeway Environmental Mitigation	\$ 5,665,863	M2 mitigation program endowment, property acquisition, and restoration projects
	California Department of Tax and Fee Administration (CDTFA)	\$ 3,157,200	Local Transportation Authority (LTA) CDTFA fees for the collection and distribution of the local sales tax (1.1 percent)
	Safe Transit Stops (Project W)	\$ 2,900,000	Enhancements for lighting, information systems, and easier access to transit stops
	I-605, San Gabriel Freeway Improvements (Project M)	\$ 2,500,000	Project approval and environmental services
	I-5, SR-55 to SR-57 (Project A)	\$ 1,700,000	Construction management and design services
405 Express Lanes	405 Express Lanes	\$ 67,042,099	Back-office system implementation, right-of-way capital and utilities, and TIFIA loan interest
OC Streetcar	OC Streetcar	\$ 43,938,702	Right-of-way utilities, construction, and construction management services
91 Express Lanes	91 Express Lanes	\$ 30,263,699	Annual operating, debt repayment, and customer service center improvements
Measure M2 Debt	Tax-Exempt Bonds	\$ 43,839,650	Interest and principal payment for Measure M2 bonds
Commuter Rail	Anaheim Canyon Metrolink Station	\$ 17,275,000	Construction, construction management, and right-of-way support
	Irvine Station Improvements	\$ 13,677,000	Design and environmental support services
	SCRRA Budget	\$ 7,274,000	Metrolink operating subsidy (three months)
	Laguna Niguel to San Juan Capistrano Passing Siding	\$ 5,232,000	Construction, construction management, and SCRRA cooperative agreement for construction support
	Orange County Maintenance Facility	\$ 4,290,800	Preliminary design and environmental support
	Rail Transit Police Services	\$ 2,722,092	Orange County Sheriff's contract for railroad transit police services
	OCTA Rail Support Services	\$ 2,706,405	Rail right-of-way maintenance services and outreach
	Miscellaneous Metrolink Rail Station Improvements	\$ 2,385,000	Rail station construction and station improvements
	Rail Project Support (Project R)	\$ 1,829,100	M2 rail programs project management support
	San Juan Creek Bridge Replacement	\$ 1,782,000	Right-of-way acquisition, utility, and legal support services

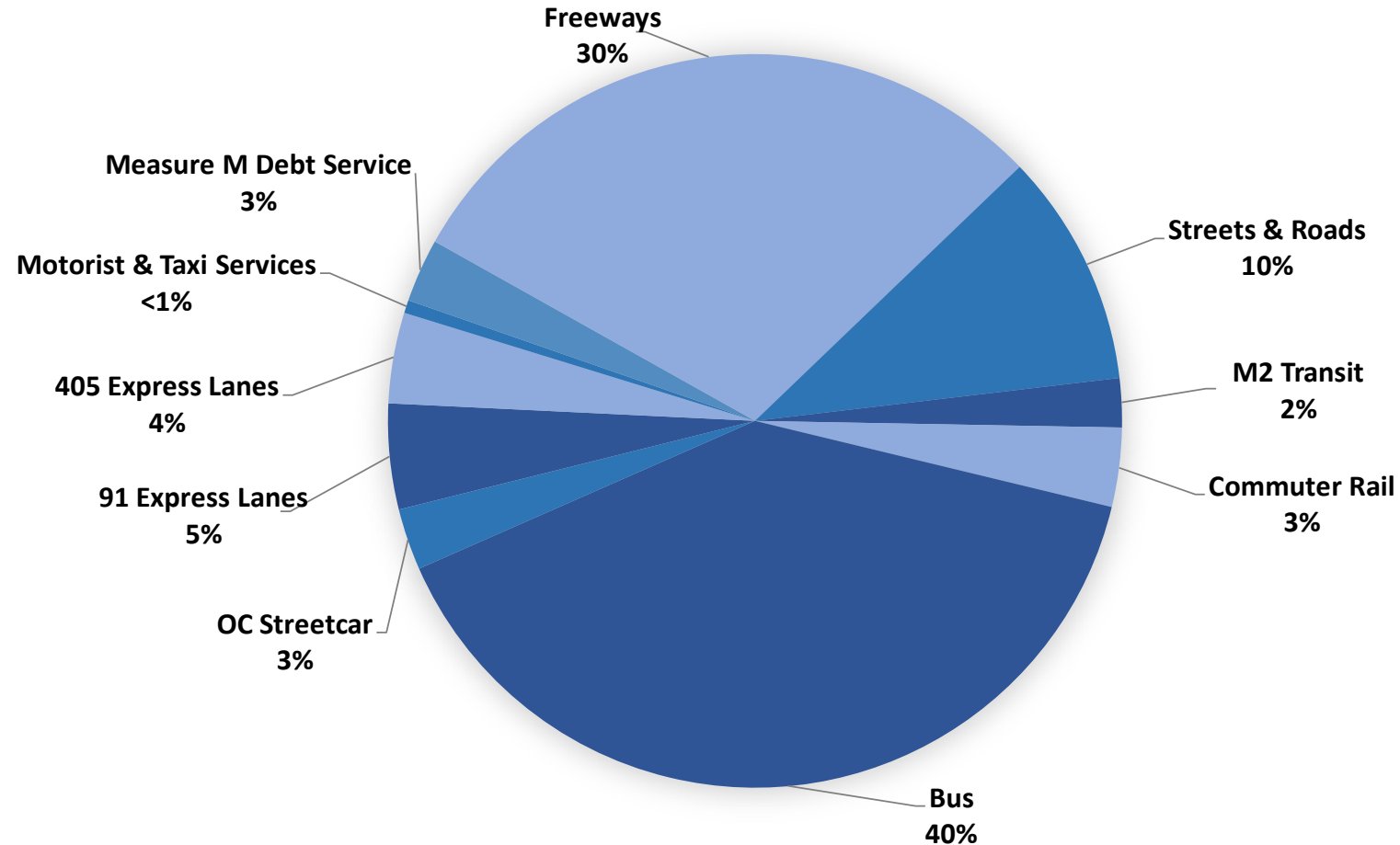


# Key Expenditures by Fund (Continued) – *Impact: Moderate*

Internal Service Funds	Workers' Compensation	\$ 10,057,990	Claims expense and liability insurance related to workers' compensation
	Personal Liability and Property Damage Legal, Insurance and Claims	\$ 5,119,083	Legal fees, liability & property insurance, and broker services
OCTD	Bus Procurement	\$ 121,271,130	Battery electric bus and 40' compressed natural gas (CNG) bus procurement
	Paratransit Services	\$ 50,916,032	Americans with Disabilities Act (ADA) ACCESS service and ADA supplemental taxi services
	Contracted Fixed-Route Services	\$ 44,279,138	Contracted fixed-route fixed and variable costs
	Fuels	\$ 10,386,916	CNG, gasoline, and hydrogen fuel costs
	Transit Security Sheriff Services	\$ 7,721,466	Orange County Sheriff's transit police services
	Bus Base and Transit Center Projects	\$ 6,174,319	Building updates at bus bases and transit centers
	Maintenance Parts	\$ 5,093,684	Maintenance parts for buses
	Contracted Special Agency Services	\$ 4,058,772	OCTA subsidy of transportation services provided by agencies for senior and disabled passengers
	Transit Technology and Communications	\$ 2,926,150	Administration of the on-board video surveillance system and Integrated transportation management system services
	Vanpool Program	\$ 2,552,417	OCTA Vanpool Program subsidy and outreach for vanpools
	Bus Operations Support Vehicles	\$ 2,516,010	OCTA non-revenue vehicles to support bus operations
	Utilities	\$ 2,200,376	Gas, electric, water, and waste management for all locations
	CNG Equipment Operations & Maintenance	\$ 2,125,277	Operations and maintenance of CNG equipment at all bases
	California Department of Tax and Fee Administration (CDTFA)	\$ 1,970,913	Local Transportation Fund (LTF) CDTFA fees for the collection and distribution of the local sales tax (1.3 percent)
	Tires	\$ 1,721,351	Tire replacement and leasing for OCTA owned fleet
	OCTA Vocational Visions Transportation Program	\$ 1,339,247	Program to provide persons with disabilities access to employment programs
	iShuttle Operations (Project R)	\$ 1,333,188	Contribution to the Irvine iShuttle service as part of funding exchange
	OC Flex Service	\$ 1,311,784	Operating costs for contract transportation on-demand bus services
	Janitorial Services	\$ 1,222,060	Janitorial services for all operated facilities
	Customer Information Center	\$ 1,156,880	Operating costs for call center to provide information on OCTA's bus program
	LTF Article 3 - Southern California Association of Governments	\$ 1,137,066	LTF allocation for Southern California Association of Governments
	LTF Article 4 - Laguna Beach Transit	\$ 1,011,602	LTF allocation for Laguna Beach Transit
General Fund	Technical Infrastructure and Business Systems Support	\$ 16,216,782	Software and hardware acquisition, maintenance, and licensing
	I-5, Pico to San Diego County Line	\$ 5,500,000	Project approval and environmental document services - externally funded
	Office Space Leases	\$ 3,945,420	Lease agreement with PMRG for the Orange building locations
	Bicycle and Pedestrian Facilities	\$ 1,239,921	OCTA awards to local agencies - externally funded
	Transportation Planning and Studies	\$ 1,170,000	Regional mobility studies and freeway chokepoint analysis
Motorist Services	Motorist Services	\$ 8,695,562	Freeway service patrol tow service, California Highway Patrol, 511 Program, call box maintenance, and OCTAP
ARBA	Additional Retiree Benefit Account (ARBA) Payments	\$ 1,351,018	ARBA benefit payment
		\$ 1,160,125,233	These items represent 84 percent of the proposed budget expenditures



# Total Budget by Program – *Impact: Moderate*





# Freeways Summary – *Impact: Low*

In Millions	FY 2020-21 Proposed Budget
<b>Freeways</b>	
I-405, SR-73 to I-605 (Project K)	\$ 129.0
I-5, Santa Ana Freeway (Project C)	100.7
SR-55, Costa Mesa Freeway (Project F)	99.1
I-405 Express Lanes	70.5
I-5, I-405 to SR-55 (Project B)	35.7
SR-91, SR-55 to SR-57 (Project I)	30.0
SR-91, SR-241 to SR-71 (Project J)	12.1
Freeway Environmental Mitigation	5.7
I-5, Pico to San Diego County Line	5.5
I-605, San Gabriel Freeway Improvements (Project M)	2.5
I-5, SR-55 to SR-57 (Project A)	1.7
SR-91, I-5 to SR-57 (Project H)	0.6
I-5, Santa Ana Freeway Interchange Improvements (Project D)	0.5
SR-57, Orange Freeway (Project G)	0.2
<b>Total</b>	<b>\$ 493.8</b>



# Streets & Roads Summary – *Impact: High*

In Millions	FY 2020-21 Proposed Budget
<b>Streets &amp; Roads</b>	
Regional Capacity Program (Project O)	\$ 55.6
Local Fair Share (Project Q)	49.7
Regional Traffic Signal Synchronization (Project P)	35.8
<b>Total</b>	<b>\$ 141.1</b>

In Millions	FY 2020-21 Proposed Budget
<b>Measure M2 - Project X</b>	
Clean-up Highway/Street Runoff (Project X)	\$ 5.8
<b>Total</b>	<b>\$ 5.8</b>



# 91 Express Lanes Sources & Uses – *Impact: High*

In Millions					
<b>Sources</b>	<b>FY 2019-20 Approved Budget</b>	<b>FY 2020-21 Proposed Budget</b>	<b>Change \$</b>	<b>Change %</b>	
Toll Revenue	\$ 54.4	\$ 32.6	\$ (21.8)	-40.0%	
Non-Toll Revenue	6.1	2.3	(3.8)	-61.8%	
Interest Income	3.8	1.5	(2.3)	-61.3%	
Reimbursement from Other Agencies	1.8	1.3	(0.5)	-25.5%	
Use of Prior Year Designations	50.1	44.3	(5.8)	-11.6%	
<b>Total Revenue / Use of Designations</b>	<b>\$ 116.2</b>	<b>\$ 82.0</b>	<b>\$ (34.2)</b>	<b>-29.4%</b>	

<b>Uses</b>					
Transfers Out	\$ 50.7	\$ 41.7	\$ (9.0)	-17.7%	
Debt & Interest Expense	4.7	10.8	6.1	129.5%	
Rehabilitation and Other Technical Support	10.6	9.9	(0.7)	-6.8%	
Tollroad Management Contract	7.7	7.2	(0.5)	-5.9%	
Overhead Allocation	2.8	3.1	0.3	10.6%	
Capital	9.9	0.8	(9.1)	-92.0%	
Insurance Claims/Premiums	0.8	0.8	(0.0)	-3.3%	
Leases & Other Office Expenses	0.8	0.8	(0.0)	-0.2%	
Designations	28.2	6.9	(21.3)	-75.6%	
<b>Total Expenditures / Designations</b>	<b>\$ 116.2</b>	<b>\$ 82.0</b>	<b>\$ (34.2)</b>	<b>-29.4%</b>	



# Transit Assumptions – *Impact: High*

- Bus Program
  - Fixed-route ridership at 20.8 million for FY 2020-21
  - Paratransit trips to decrease by 2 percent to 1.7 million driven by demand
  - Budget for purchase of ten battery-electric buses and up to 165 compressed natural gas 40-foot buses
    - Request for proposal issued in FY 2019-20, action to purchase will return for Board discussion and approval
- Rail Program
  - Three-month extension of the current contract and restoration of up to 58 weekday and 16 weekend Metrolink trips
  - Advances OC Streetcar construction, vehicle delivery, and operations and maintenance contract



# Operations Service Assumptions – *Impact: High*

- Fixed-route service
  - Demand-based restoration of up to 1.6 million hours, consistent with current year budget
- Paratransit service
  - Total trips forecasted to decrease by 2 percent to 1.7 million, driven by demand
  - Trips comprised of ACCESS primary and supplemental service, same-day taxi service, and special agency service
- Microtransit service
  - Continuation of OC Flex service with revenue hours of 23,640



# Cost Summary – *Impact: High*

## FY 2020-21 Proposed Budget

	Performance Indicators	Directly Operated Fixed-Route	Contracted Fixed-Route	ACCESS	ADA Taxi Service	Same Day Taxi Service	Special Agency Services	Flex	System Total
Service Provided	Vehicle Hours (VH)	1,107,577	689,238	615,083					2,411,898
	Vehicle Miles (VM)	13,771,789	9,405,810	8,903,909					32,081,508
	Revenue Hours (RVH)	1,009,816	617,303	518,844				23,640	2,169,603
	Revenue Miles (RVM)	11,583,989	7,540,278	7,334,571					26,458,838
Passenger Usage	Boardings	14,360,310	6,464,266	934,651	408,762	147,006	246,306	42,552	22,603,852
	Boardings per VH	12.97	9.38	1.52					9.37
	Boardings per VM	1.04	0.69	0.10					0.70
	Boardings per RVH	14.22	10.47	1.80					10.42
	Boardings per RVM	1.24	0.86	0.13					0.85
Operating Costs	Costs	\$152,853,261	\$79,707,549	\$56,023,604	\$20,957,688	\$2,683,032	\$6,382,792	\$2,119,458	\$320,727,384
	Cost per VH	\$138.01	\$115.65	\$91.08					\$132.98
	Cost per VM	\$11.10	\$8.47	\$6.29					\$10.00
	Cost per RVH	\$151.37	\$129.12	\$107.98					\$147.83
	Cost per RVM	\$13.20	\$10.57	\$7.64					\$12.12
	Cost per Boarding	\$10.64	\$12.33	\$59.94	\$51.27	\$18.25	\$25.91	\$49.81	\$14.19
Fare Revenues	Revenue	\$14,234,253	\$6,476,248	\$6,060,936	\$1,585,480			\$83,997	\$28,440,914
	Revenue per VH	\$12.85	\$9.40	\$11.54					\$11.79
	Revenue per VM	\$1.03	\$0.69	\$0.80					\$0.89
	Revenue per RVH	\$14.10	\$10.49	\$13.68					\$13.11
	Revenue per RVM	\$1.23	\$0.86	\$0.97					\$1.07
	Revenue per Boarding	\$0.99	\$1.00	\$6.48					\$1.26
Subsidy	Subsidy per Boarding	\$9.65	\$11.33	\$53.46					\$11.28
Farebox Recovery Ratio		9.31%	8.13%	10.82%					8.87%
Farebox Recovery Ratio (Per Senate Bill 508: Revisions to the Transportation Development Act)									15.11%

\* All paratransit boardings are reported in terms of trips.



# OCTD Sources & Uses – *Impact: High*

In Millions	FY 2019-20	FY 2020-21	Change	Change
Sources	Approved Budget	Proposed Budget	\$	%
Local Transportation Fund Sales Tax	\$ 167.9	\$ 145.9	\$ (22.0)	-13.1%
Federal Capital Assistance Grants	149.9	116.1	(33.8)	-22.6%
Federal Operating Assistance Grants	64.5	72.0	7.5	11.6%
CARES Stimulus	-	47.4	47.4	100.0%
Passenger Fares	47.9	28.4	(19.5)	-40.7%
Road Repair and Accountability Act	29.4	26.3	(3.1)	-10.5%
State Transit Assistance	22.5	17.9	(4.4)	-19.6%
Property Taxes	16.6	17.0	0.4	2.4%
Other OCTD Revenue	8.4	9.6	1.2	14.2%
State Grant Assistance	4.5	7.0	2.5	55.2%
Commuter Rail	1.3	5.7	4.4	344.9%
Interest Income	8.5	4.1	(4.4)	-51.6%
Vanpool Revenue	2.5	2.5	-	0.0%
Measure M2	2.7	0.6	(2.1)	-78.4%
Reimbursements from Other Agencies	2.2	0.3	(1.9)	-87.9%
Use of Prior Year Designations	76.4	5.7	(70.7)	-92.5%
<b>Total Revenue / Use of Designations</b>	<b>\$ 605.2</b>	<b>\$ 506.5</b>	<b>\$ (98.7)</b>	<b>-16.3%</b>
<b>Uses</b>				
Operating Services & Supplies	\$ 150.4	\$ 153.9	\$ 3.5	2.3%
Bus Capital Projects	236.7	130.7	(106.0)	-44.8%
Salary and Benefits	114.0	121.2	7.2	6.3%
Overhead Allocation	43.0	46.0	3.0	6.9%
Special Programs	5.5	4.8	(0.7)	-12.4%
Rail, M2 Transit Extensions and Streets & Roads Programs	2.0	2.2	0.2	8.7%
Designations	53.6	47.7	(5.9)	-10.9%
<b>Total Expenditures / Designations</b>	<b>\$ 605.2</b>	<b>\$ 506.5</b>	<b>\$ (98.7)</b>	<b>-16.3%</b>



# Metrolink Assumptions – *Impact: High*

- Metrolink Operating Expenditures
  - Assumes a three-month extension of the current contract with restoration of up to 58 weekday and 16 weekend Metrolink trips
  - Operating subsidy for first quarter of expenses at \$7.3 million
- Metrolink Capital Expenditures
  - Anaheim Canyon Metrolink Station
  - Irvine Station



# Metrolink Sources & Uses – *Impact: High*

In Millions	FY 2019-20	FY 2020-21	Change	Change
Sources	Approved Budget	Proposed Budget	\$	%
Transfers In	\$ 30.1	\$ 31.0	\$ 0.9	3.1%
Federal Assistance	19.2	21.0	1.8	9.3%
Reimbursement from Other Agencies	5.0	17.7	12.7	255.3%
Proceeds Sale of Capital Asset	3.5	3.5	-	0.0%
Interest Income	4.0	1.5	(2.5)	-61.6%
Other Commuter Rail Revenue	1.0	0.0	(1.0)	-99.2%
Use of Prior Year Designations	29.6	5.9	(23.7)	-80.0%
<b>Total Revenue / Use of Designations</b>	<b>\$ 92.4</b>	<b>\$ 80.6</b>	<b>\$ (11.8)</b>	<b>-12.8%</b>

## Uses

Rail Capital Projects	\$ 57.6	\$ 45.3	\$ (12.3)	-21.4%
SCRRA Operating Subsidy	22.2	7.3	(14.9)	-67.0%
Rail Operating Expenses	8.2	7.2	(1.0)	-12.2%
Transfers Out	1.3	5.7	4.4	344.9%
Overhead Allocation	3.1	3.4	0.3	9.8%
Designations	-	11.7	11.7	0.0%
<b>Total Expenditures / Designations</b>	<b>\$ 92.4</b>	<b>\$ 80.6</b>	<b>\$ (11.8)</b>	<b>-12.8%</b>



# Metrolink Capital Summary – *Impact: Low*

In Millions

## Metrolink Capital

**FY 2020-21  
Proposed  
Budget**

Anaheim Canyon Metrolink Station	\$	17.3
Irvine Station Improvements		13.7
Laguna Niguel to San Juan Capistrano Passing Siding		5.2
Orange County Maintenance Facility		4.3
Miscellaneous Metrolink Rail Station Improvements		2.3
San Juan Creek Bridge Replacement		1.8
Slope Stabilization		0.4
Double Track Improvements		0.2
Placentia Metrolink Rail Station		0.1
<b>Total</b>	<b>\$</b>	<b>45.3</b>



# Motorist Services Assumptions – *Impact: Low*

- Service Authority for Freeway Emergencies Revenue

- Includes revenue from Department of Motor Vehicles fees, State Highway Account, Road Repair and Accountability Act (SB1) and M2 Program
- Program revenue anticipated to be \$7.6 million
- Contributions from M2 anticipated at 2.4 million

## Expenditures

- Includes Freeway Service Patrol, Call Box, and 511 Programs
- Program expenditures anticipated to be \$10 million

- Orange County Tax Administration Program (OCTAP) Revenue

## Revenue

- Two-year agreement with cities set to expire December 2020
- External contributions from cities estimated to be \$311.2 thousand
- Company fees, vehicle fees, and driver fees estimated at \$115.3 thousand

## Expenditures

- Program expenditures anticipated to be \$441.6 thousand



# Orange County Taxi Administration Sources & Uses – *Impact: Low*

In Thousands

## Sources

	FY 2019-20 Approved Budget	FY 2020-21 Proposed Budget	Change \$	Change %
City Contributions	\$ 237.0	\$ 311.2	\$ 74.2	31.3%
License Fees	201.9	115.3	(86.6)	-42.9%
Interest Income	3.9	1.8	(2.1)	-54.5%
Other OCTAP Revenue	-	0.1	0.1	0.0%
Use of Prior Year Designations	-	13.2	13.2	0.0%
<b>Total Revenue / Use of Designations</b>	<b>\$ 442.8</b>	<b>\$ 441.6</b>	<b>\$ (1.2)</b>	<b>-0.3%</b>

## Uses

Overhead Allocation	\$ 241.1	\$ 265.8	\$ 24.7	10.2%
Salaries and Benefits	131.8	135.9	4.1	3.1%
OCTAP Program Services & Support	29.0	39.9	10.9	37.6%
Designations	40.9	-	(40.9)	-100.0%
<b>Total Expenditures / Designations</b>	<b>\$ 442.8</b>	<b>\$ 441.6</b>	<b>\$ (1.2)</b>	<b>-0.3%</b>



# Staffing Levels – Impact: Moderate

	FY 2019-20 Full-time Equivalent	FY 2020-21 Full-time Equivalent
<b>OCTA Staffing</b>		
<b>Administrative</b>	<b>498.5</b>	<b>498.5</b>
<b>Union</b>	<b>834.0</b>	<b>834.0</b>
Coach Operators	634.0	634.0
Maintenance	163.0	163.0
Facility Technicians and Parts Clerks	37.0	37.0
<b>OCTA Positions</b>	<b>1,332.5</b>	<b>1,332.5</b>
<b>LOSSAN</b>	<b>14.0</b>	<b>14.0</b>
<b>Total Authority Positions</b>	<b>1,346.5</b>	<b>1,346.5</b>



# Employee Compensation Assumptions – Impact: Moderate

- Employees Subject to Collective Bargaining Agreement
  - Coach Operators (634 employees)
    - Collective bargaining agreement effective through April 30, 2020 (Negotiation in progress)
  - Maintenance (163 employees)
    - Collective bargaining agreement effective through September 30, 2022
  - Facilities technicians and parts clerks (37 employees)
    - Collective bargaining agreement effective through March 31, 2020 (Negotiation in progress)
- Administrative Employees (498.5 + 14 LOSSAN employees)
  - Employees are not represented
  - Compensation governed by the Personnel and Salary Resolution, which is approved annually as part of the budget
  - Salary grade ranges are developed based upon scope, level of work performed, and external market data
    - Recommend 2 percent adjustment to grade ranges



# Personnel and Salary Resolutions – *Impact: Moderate*

- Pertaining to Administrative employees
  - Employees are at-will
  - No cost-of-living adjustments, no step increases, no automatic increases of any type
- Merit Pool of 3 percent
  - Base-building adjustment to annual salary
  - Salary increases are based on a pay-for-performance program
  - Every employee has a performance plan and receives an annual performance review
  - Raises will range from 0 percent to 6 percent based on annual performance review – average will not exceed 3 percent
- Bonus Pool of 3 percent
  - Non-base building – does not increase annual salary
  - Bonuses are given throughout the year for specific, exceptional performance in a defined goal area
  - Part of rewards and recognition program



# Summary

- Unprecedented economic uncertainty requiring organizational flexibility
- Prior Board policies and practices allow for decision-making based on demand and public health
  - Well-positioned for service and capital project delivery
- M2 Projects to continue
- Unknowns related to sales-tax recovery and long-term impacts require continued financial monitoring



# Next Steps

- Committee meetings and one-on-one meetings with Board Members May 11-June 7
- Public Hearing Preview – Finance and Administration Committee May 27
- Public Hearing – Board (public hearing and approval) June 8
- Back-up Public Hearing – Board (public hearing and approval) June 22