

Orange County Transportation Authority Board Meeting
Orange County Transportation Authority Headquarters
Board Room - Conference Room 07-08
550 South Main Street
Orange, California
Monday, June 8, 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 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).



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

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.

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

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.



#### Call to Order

Roll Call

Invocation

Director Wagner

Pledge of Allegiance

Chairman Jones

#### **Special Calendar**

### Orange County Transportation Authority Special Calendar Matters

1. Public Hearing on Orange County Transportation Authority's Fiscal Year 2020-21 Budget and Personnel and Salary Resolution Victor Velasquez/Andrew Oftelie

#### Overview

The Orange County Transportation Authority Fiscal Year 2020-21 Budget presents a balanced plan of sources and uses of funds while providing for the current and future transportation needs of Orange County. The Board of Directors may approve the fiscal year 2020-21 budget following the public hearing to be held at the Board of Directors' meeting on June 8, 2020, at the following Board of Directors' meeting on June 22, 2020, or in a special meeting convened at their discretion, on or before June 30, 2020. The Board of Directors are also asked to approve changes to the Personnel and Salary Resolution as part of the budget approval process.

#### Recommendations

- A. Approve by Resolution the Orange County Transportation Authority's Fiscal Year 2020-21 Budget.
- B. Approve the Personnel and Salary Resolution for Fiscal Year 2020-21.
- C. Authorize the Chief Executive Officer to negotiate and execute the software and hardware licensing, maintenance, and emergency support purchase orders and/or agreements.
- D. Approval of fiscal year 2020-21 Orange County Transportation Authority member agency contribution to the Southern California Regional Rail Authority, first quarter operating subsidy, in an amount up to \$7,274,000.



#### 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.

### **Consent Calendar (Items 3 through 17)**

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 May 22, 2020.

### 4. 91 Express Lanes Update for the Period Ending - March 31, 2020 Kirk Avila/Darrell E. Johnson

#### Overview

On a quarterly basis, a 91 Express Lanes informational report is provided to the Orange County Transportation Authority Board of Directors. The report focuses on traffic and revenue performance, toll adjustments, account and transponder changes, outstanding debt, and recent events. This report provides a summary for the operational and financial activities for the period ending March 31, 2020, and includes the initial impacts of the novel coronavirus pandemic.



#### 4. (Continued)

#### Recommendation

Receive and file as an information item.

# 5. Amendment to Agreement for Service and Maintenance of Security Systems

Katrina L. Faulkner/Jennifer L. Bergener

#### Overview

In July 2017, the Orange County Transportation Authority entered into an agreement with Convergint Technologies LLC, to provide service and maintenance to the security systems, which includes the video management system, access control system, and duress alarm system, for a three-year term at the administration building and all operating bases. An amendment is required to increase the maximum cumulative payment obligation in order to accommodate additional project support.

#### Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-7-1676 between the Orange County Transportation Authority and Convergint Technologies LLC, in the amount of \$65,000, for additional project support services. This will increase the maximum obligation of the agreement to a total contract value of \$341,000.

# **6.** Agreement for Occurrence Tracking System Replacement Lloyd Sullivan/Andrew Oftelie

#### Overview

The Orange County Transportation Authority utilizes an in-house, custom developed browser-based software application for the Operations, Safety and Environmental Compliance, and Risk Management departments to gather and analyze information about any activities which may be related to litigation used by claims management and safety. The current Occurrence Tracking System used by the Orange County Transportation Authority was developed over 25 years ago and a replacement is now needed. Board of Directors' approval is requested to execute an agreement for a replacement system.



#### 6. (Continued)

#### Recommendations

- A. Approve the selection of Origami Risk LLC, as the firm to provide cloud-based claims management software as a service in support of the Orange County Transportation Authority's Occurrence Tracking System for Risk Management and Safety departments.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2023 between the Orange County Transportation Authority and Origami Risk LLC, in the amount of \$495,170, to provide cloud-based claims management software as a service to replace Orange County Transportation Authority's Occurrence Tracking System for a three-year term.

### 7. Agreement for Deferred Compensation Services

Bea Maselli/Maggie McJilton

#### **Overview**

The Orange County Transportation Authority provides all employees the opportunity to participate in a defined contribution program through a third-party deferred compensation service provider. Voluntary employee contributions are allocated to the 457(b) Deferred Compensation Plan. Additionally, employer contributions are allocated to the 401(a) Plan as employees become eligible. A 3121 Plan is also available for the Board of Directors, extra help employees, coach operator trainees, and interns who are not eligible to participate in the Orange County Employees Retirement System through the Orange County Transportation Authority. The 3121 Plan is also available to newly-hired employees over the age of 60 that waive membership into the Orange County Employees Retirement System. Approval is needed to execute a new agreement for these services.

#### Recommendations

A. Approve the selection of Nationwide Retirement Solutions as the firm to provide deferred compensation services.



#### 7. (Continued)

B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2014 between the Orange County Transportation Authority and Nationwide Retirement Solutions, to perform a broad range of defined contribution services related to the administration of the 457(b), 401(a), and 3121 plans, for an initial term of five years with two, five-year option terms.

#### 8. Active Transportation Update

Peter Sotherland/Kia Mortazavi

#### Overview

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

#### Recommendation

Receive and file as an information item.

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

9. Medical Exams, Internal Audit Report No. 20-508
Janet Sutter

#### Overview

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of controls in place related to the Federal Motor Carrier Safety Administration regulations. California Department of Motor Vehicle requirements, and policies and procedures for employees required to hold a commercial driver license and a current medical certificate. Based on the audit, controls are adequate to ensure employees obtain required medical exams and certificates, and procedures to ensure compliance with requirements to reimburse costs and time to employees that obtain medical recertification are adequate. Finally, invoice review controls for the contract with the provider, ProCare, are generally adequate.



#### 9. (Continued)

#### Recommendation

Receive and file Medical Exams, Internal Audit Report No. 20-508, as an information item.

# 10. Approval to Release Request for Proposals for an Enterprise Asset Management System

Marie Latino/Jennifer L. Bergener

#### Overview

The Orange County Transportation Authority requires the services of a firm for the development, licenses, implementation, maintenance, and support of an enterprise asset management system. Staff has developed a draft request for proposals to initiate the competitive procurement process to select a firm to provide an enterprise asset management system. Staff is seeking Board of Directors' approval to release the request for proposals.

#### Recommendations

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2272 to select a firm to provide an enterprise asset management system.
- B. Approve the release of Request for Proposals 0-2272 to select a firm to provide an enterprise asset management system for a seven-year initial term with two, two-year option terms.



# Orange County Local Transportation Authority Consent Calendar Matters

11. Cooperative Agreement with the California Department of Transportation for the Interstate 5 Widening Project Between Interstate 405 and State Route 55

Niall Barrett/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 5 widening project between Interstate 405 and State Route 55.

#### Recommendation

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2317 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$1,200,000, to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the Interstate 5 widening project between Interstate 405 and State Route 55, Segments 1 and 2.

12. Consultant Selection for On-Call Right-of-Way Support Services for Capital Improvement Projects

Joe Gallardo/James G. Beil

#### Overview

On December 9, 2019, the Orange County Transportation Authority Board of Directors authorized the issuance of a request for proposals to procure a consultant to provide on-call right-of-way support services for capital improvement projects. Board of Directors' approval is requested for the selection of a firm to perform the required work.



#### 12. (Continued)

#### Recommendations

- A. Approve the selection of Epic Land Solutions, Inc., as the firm to provide on-call right-of-way support services for capital improvement projects.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1613 between the Orange County Transportation Authority and Epic Land Solutions, Inc., in the amount of \$3,500,000, for an initial term of three years, with two, one-year option terms to provide on-call right-of-way support services for capital improvement projects.
- 13. Cooperative Agreement with the California Department of Transportation for the Interstate 5 Improvement Project Between Avenida Pico and San Diego County Line 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 provide independent quality assurance and approvals for preparation of the project report and environmental document for the Interstate 5 improvement project between Avenida Pico and the San Diego County Line.

#### Recommendation

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2334 between the Orange County Transportation Authority and the California Department of Transportation, at no cost, for preparation of the project report and environmental document for the Interstate 5 improvement project between Avenida Pico and the San Diego County Line.



### 14. Membership Appointments for the Measure M2 Environmental Cleanup Allocation Committee

Marissa Espino/Maggie McJilton

#### Overview

As part of the Measure M2 Environmental Cleanup Program, the Measure M2 Ordinance requires a 14-member Environmental Cleanup Allocation Committee to make recommendations to the Orange County Transportation Authority Board of Directors on the allocation of revenues for transportation-related water quality programs (The current three-year terms for all members will expire on June 30, 2020). Twelve of the existing committee members have expressed their desire to continue to serve, and replacements are recommended for two open seats.

#### Recommendations

- A. Approve the reappointment of current committee members serving on the Measure M2 Environmental Cleanup Program Environmental Cleanup Allocation Committee for an additional three-year term.
- B. Appoint two committee members to replace outgoing members on the Measure M2 Environmental Cleanup Program Environmental Cleanup Allocation Committee.

# 15. Environmental Mitigation Program Endowment Fund Investment Report for March 31, 2020

Robert Davis/Andrew Oftelie

#### Overview

The Orange County Transportation Authority has developed a Natural Community Conservation Plan/Habitat Conservation Plan, acquired conservation properties, and funded habitat restoration projects to mitigate the impacts of Measure M2 freeway programs. The California Community Foundation manages the non-wasting endowment required to fund the long-term management of the conservation properties. Each quarter, the California Community Foundation publishes a comprehensive report detailing the composition of the pool and its performance.

#### Recommendation

Receive and file as an information item.



## 16. Measure M2 Eligibility Review Recommendations for Fiscal Year 2018-19 Expenditure Reports

Kelsey Imler/Kia Mortazavi

#### Overview

The Measure M2 Ordinance requires that all Orange County local agencies annually satisfy eligibility requirements in order to receive net Measure M2 revenues. As part of this requirement, fiscal year 2018-19 expenditure reports and resolutions were submitted by all local agencies. In May 2020, the Orange County Transportation Authority Taxpayer Oversight Committee affirmed that all expenditure reports were received and reviewed consistent with Measure M2 requirements. Board of Directors' approval is requested to find Orange County local agencies eligible to continue to receive net Measure M2 revenues.

#### Recommendations

- A. Find all 35 Orange County local agencies eligible to receive net Measure M2 revenues.
- B. Direct staff to solicit from the City of Anaheim a restated fiscal year 2018-19 expenditure report to address miscategorized maintenance of effort expenditures identified in M2 Agreed Procedures Reports, Fiscal Year Ended 2019.

# 17. Measure M2 Quarterly Progress Report for the Period of January 2020 Through March 2020

Tamara Warren/Kia Mortazavi

#### Overview

Staff has prepared the Measure M2 quarterly progress report for the period of January 2020 through March 2020, for consideration by the Orange County Transportation Authority Board of Directors. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

#### Recommendation

Receive and file as an information item.





### **Regular Calendar**

# Orange County Local Transportation Authority Regular Calendar Matters

18. Amendment to Agreement for Additional Program Management Consultant Services for the Highway Program
Rose Casey/James G. Beil

#### Overview

On April 11, 2016, the Orange County Transportation Authority Board of Directors approved an agreement with Mott MacDonald, LLC (formerly known as Hatch Mott MacDonald, LLC) to provide program management consultant services for the Highway Programs Department, for a term of five years, with one, two-year option term. An amendment to the existing agreement is requested for additional program management consultant services.

#### Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 10 to Agreement No. C-5-3767 between the Orange County Transportation Authority and Mott MacDonald, LLC, in the amount of \$5,329,618, to provide additional program management consultant services for the Highway Programs Department. This will increase the maximum obligation of the agreement to a total contract value of \$24,780,661.

#### **Discussion Items**

- 19. Public Comments
- 20. Chief Executive Officer's Report
- 21. Directors' Reports



#### 22. Closed Session

A Closed Session will be held as follows:

- A. 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 representative.
- B. Pursuant to Government Code 54957.6 to discuss collective bargaining agreement negotiations with the Transportation Communications International Union regarding the parts/stock room clerks and facilities maintenance employee unit. The lead negotiator for the Orange County Transportation Authority is Maggie McJilton, Executive Director of Human Resources and Organizational Development, and Transportation Communications International Union representative.

### 23. Adjournment

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



#### June 8, 2020

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

From: Darrell E. Johnson, Chief Executive Officer

Subject: Public Hearing on Orange County Transportation Authority's

Fiscal Year 2020-21 Budget and Personnel and Salary Resolution

#### Overview

The Orange County Transportation Authority Fiscal Year 2020-21 Budget presents a balanced plan of sources and uses of funds while providing for the current and future transportation needs of Orange County. The Board of Directors may approve the fiscal year 2020-21 budget following the public hearing to be held at the Board of Directors' meeting on June 8, 2020, at the following Board of Directors' meeting on June 22, 2020, or in a special meeting convened at their discretion, on or before June 30, 2020. The Board of Directors are also asked to approve changes to the Personnel and Salary Resolution as part of the budget approval process.

#### Recommendations

- A. Approve by Resolution the Orange County Transportation Authority's Fiscal Year 2020-21 Budget.
- B. Approve the Personnel and Salary Resolution for Fiscal Year 2020-21.
- C. Authorize the Chief Executive Officer to negotiate and execute the software and hardware licensing, maintenance, and emergency support purchase orders and/or agreements.
- D. Approval of fiscal year 2020-21 Orange County Transportation Authority member agency contribution to the Southern California Regional Rail Authority, first quarter operating subsidy, in an amount up to \$7,274,000.

#### Background

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 the novel coronavirus (COVID-19) pandemic. The Coronavirus Aid,

Relief, and Economic Security (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 Next 10 Delivery 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.

Staff presented the FY 2020-21 budget in detail in an informal workshop setting on May 11, 2020. The presentation included 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 was solely informational for the Board. No public hearing was held at the meeting, nor was the Board 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.

#### Discussion

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.

OCTA received revised revenue forecasts from MuniServices for the M2 Program half-cent Local Transportation Authority sales tax revenue measure and the bus program quarter-cent Local Transportation Fund sales tax revenue measure. In addition, OCTA also reviewed the State of California May 2020 revised estimate for the State Transit Assistance and Road Repair and Accountability Act revenues. As a result, the FY 2020-21 proposed budget was revised from when it was presented on May 11, 2020, to the Board at the budget workshop. OCTA was able to balance the impact of reduction in revenues through a combination of adjustments to salaries and benefits, travel and training, various M2 projects, and both use of prior year designations, as well as designations to be used in future years.

The combination of estimated revenues and planned use of reserves produces available funding of \$1,427.6 million, while proposed expenditures and designations yield a total use of funds of \$1,427.6 million. On a year-over-year comparison to the approved FY 2019-20 budget, the FY 2020-21 proposed budget is \$97.6 million less than the FY 2019-20 budget. This is primarily due to bus purchases that are included 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, and 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 \$145.8 million is budgeted to improve streets and roads, including \$55.6 million for the Regional Capacity Program, \$48.6 million to fund the Local Fair Share Program, and \$35.8 million for Regional Traffic Signal Synchronization. In addition, the budget also includes \$59.9 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 assumes 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 proposed OCTA budget assumes a three-month extension of the current agreement with Metrolink at their request. It is anticipated Metrolink will submit a budget proposal for the balance of FY 2020-21, and OCTA staff will request a budget amendment during FY 2020-21 to include the remaining three quarters of operating subsidy, which will include authorization of Federal Transit Administration funds to be drawn directly by Southern California Regional Rail Authority (SCRRA). The amendment will also include the approval of the capital and rehabilitation expenditure budget contingent upon all member agencies' approval of their respective capital and rehabilitation expenditure budgets. The CARES Act provides funds that enable OCTA to support up to pre-COVID-19 service levels through FY 2020-21 if needed based on demand. 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 for the 91 Express Lanes Program. The 91 Express Lanes are currently experiencing traffic declines of approximately 60 percent when compared to the same period last year. Due to strong reserves, the 91 Express Lanes are able to meet all operating, capital, and debt-related expenditures. As a result, revenues and expenses are balanced for the 91 Express Lanes Program for FY 2020-21.

Staff was available to present, review, or answer questions about the budget at the following committees, as well as to individual Board Members upon request.

Committee	Date
Finance and Administration	May 13
Transit Committee	May 14
Legislative and Communications	May 21
Finance and Administration (Preview of Public Hearing)	May 27
Executive Committee	June 1
Regional Planning and Highways	June 1

#### Personnel and Salary Resolution

The FY 2020-21 Personnel and Salary Resolution (PSR) (Attachment C) governs administrative employees and is approved annually as part of the budget. Changes have been made to the PSR to include minor clarifications, where necessary.

The PSR includes no increases for merit or bonus pools and no changes to salary structures.

Information Systems Licensing and Maintenance Agreements

Each year, in conjunction with approving the budget, the Board approves OCTA's software and hardware licensing and maintenance agreements. OCTA follows industry practice to ensure proper maintenance and to receive critical product upgrades of its licensed software and purchased hardware. The annual licensing and maintenance agreements are executed with each hardware and software developer on a sole source basis, for an amount not to exceed the contracted value for each vendor. The sole source list includes licensing and maintenance agreements, as well as emergency support after hours, weekends, and holidays.

Two specific firms that appear on the sole source list are Coastline Consulting Services and Compucom. These firms provide emergency malware support in the event of a cyber attack or related incident. Although other vendors could provide these services, OCTA included them on the sole source list based on the criticality of their services and prior knowledge and experience with OCTA, as well as their standing in the industry in regard to cyber security remediation. On a cumulative basis, the software and hardware licensing, maintenance, and emergency support agreements will not exceed \$7.5 million. A list of the agreements is included as Attachment D.

#### **SCRRA Budget**

Under the joint powers agreement that governs the SCRRA, each member agency must approve its financial contribution to the SCRRA budget. The FY 2020-21 SCRRA budget estimates the OCTA operating funding allocation for the first quarter to be \$7,274,000.

In addition to the operating funding allocation, OCTA is also responsible for a portion of the costs for capital and rehabilitation projects. These projects are typically led by the SCRRA, and the grant funds to pay for them are drawn down

directly by the SCRRA. As a result, these projects are not typically included in OCTA's budget. It is anticipated staff will request a budget amendment during FY 2020-21 to include the remaining three quarters of operating subsidy, which will include authorization of Federal Transit Administration funds to be drawn directly by SCRRA. The amendment will also include the approval of the capital and rehabilitation expenditure budget contingent upon all member agencies approval of their respective capital and rehabilitation expenditure budgets.

#### Summary

The Orange County Transportation Authority Fiscal Year 2020-21 Budget was reviewed by the Board of Directors in a workshop setting on May 11, 2020. The Board of Directors may approve the fiscal year 2020-21 budget following the public hearing on June 8, 2020, at the regularly scheduled meeting on June 22, 2020, or in a special meeting convened at their discretion.

#### **Attachments**

- A. Resolution of the Board of Directors for the Orange County Transportation Authority Approving an Operating and Capital Budget Fiscal Year 2020-21, OCTA Resolution No. 2020-021
- B. Orange County Transportation Authority Budget Summary Fiscal Year 2020-21
- C. Proposed Changes for the Personnel and Salary Resolution Fiscal Year 2020-21
- D. Orange County Transportation Authority Licensing and Maintenance Agreements Sole Source List Fiscal Year 2020-21

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

#### RESOLUTION OF THE BOARD OF DIRECTORS FOR THE ORANGE COUNTY TRANSPORTATION AUTHORITY APPROVING AN OPERATING AND CAPITAL BUDGET FISCAL YEAR 2020-21

**WHEREAS**, the Chief Executive Officer and staff have prepared and presented to the Board of Directors a proposed operating and capital budget in the amount of \$1,427.6 million for Fiscal Year 2020-21:

**WHEREAS**, said Chief Executive Officer and staff did conduct a public workshop before the Board of Directors on May 11, 2020, in the Board Chambers, at which time the proposed budget was considered:

**WHEREAS,** a public hearing was conducted on June 8, 2020, at which the public was invited to express its views and objections to said budget; and;

**WHEREAS**, the original of said proposed budget will be revised to reflect each and all of the amendments, changes, and modifications which the Board of Directors, up to the time of the approval of this resolution, believes should be made in said proposed budget as so submitted and to correct any non-substantive errors or omissions.

**NOW, THEREFORE BE IT RESOLVED,** by the Board of Directors of the Orange County Transportation Authority as follows:

- 1. The operating and capital budget of the Orange County Transportation Authority and all affiliated agencies for the Fiscal Year July 1, 2020 through June 30, 2021, is hereby approved, a copy of which is on file with the Clerk of the Board.
- 2. The Clerk of the Board shall certify to the passage and approval of this resolution, and it shall thereupon be in full force and effect.

ADOPTED, SIGNED, AND APPROVED this 8th day of June 2020.

AYES:

NOES:

ABSTAIN:

ABSENT:

ATTEST:

Laurena Weinert
Clerk of the Board

Steve Jones, Chairman
Orange County Transportation Authority

OCTA Resolution No. 2020-021



# Orange County Transportation Authority Budget Summary Fiscal Year 2020-21

#### \$ in millions

Estimated Revenues Use of Prior Year Designations		\$ 1,004.2 423.4
	<b>Total Sources of Funds</b>	\$ 1,427.6
Appropriate Funds to:		
Salaries & Benefits		\$ 172.6
Services & Supplies		405.3
Contributions to Other Agencies Debt Service		172.3 66.1
Capital / Fixed Assets		 549.9
	Total Expenses	\$ 1,366.2
	Designation of Funds	\$ 61.4
	Total Uses of Funds	\$ 1,427.6

### **ATTACHMENT C**

### Proposed Changes for the Personnel and Salary Resolution Fiscal Year 2020-21

Subject	Page	Section	Proposed Change	Reason
Various formatting and language changes				Throughout document; substituted "termination" for more neutral term "separation".
Layoff Benefits	p.16	2.8A	Add Language	Provide clarification, consistent with existing policy, on when benefits are to be reinstated if employment is recalled within six months.
Compensation	p.22	4.1F	Add Section	Section was added due to an audit recommendation and for consistency with policy revised in November 2019.
Life Insurance	23	4.3B	Add Language	Provide clarification, consistent with existing policy, on maximum benefit amount.
Holidays and Personal Paid Holidays	p.30 -31	4.8D	Add Language	Include language that notes the listing of the holidays observed for the year, and Personal Paid Holiday accrual, will be posted on the OCTA Intranet.
Merit Adjustments	p.37	5.6	Change Language	For Fiscal year 2020-2021, a merit pool may be established based upon the availability of financial resources, as approved by the Board of Directors.
Special Performance Awards	p.37	5.7	Change Language	For Fiscal year 2020-2021, a special performance award pool may be established based upon the availability of financial resources, as approved by the Board of Directors.

### PERSONNEL AND SALARY RESOLUTION

FISCAL YEAR 202019-20210

Effective: June 223, 202019

This document provides information on general policies regarding employment practices, employee benefits, compensation and salary structure for administrative employees at the Orange County Transportation Authority and was approved by the Orange County Transportation Authority Board of Directors on June <u>810</u>, 20<u>2019</u>.

#### Prepared by:

**Human Resources and Organizational Development Division** 



### **TABLE OF CONTENTS**

### **SECTION 1: PURPOSE AND PROCEDURES** 6

<u>SECT</u>	ION 1	14
<u>1.1</u>	PURPOSE OF PERSONNEL AND SALARY RESOLUTION	14
1.2	HUMAN RESOURCES POLICIES AND PROCEDURES	14
<u>SECT</u>	ION 2	15
2.1	AT-WILL EMPLOYMENT	15
2.2	APPROVAL AUTHORITY FOR EMPLOYEE ACTIONS	15
2.3	COMPENSATION	15
2.4	INTERNSHIPS	15
2.5	OUTSIDE EMPLOYMENT ACTIVITIES	15
2.6	PERFORMANCE PLANNING AND REVIEW PROGRAM	16
2.7	RELOCATION EXPENSES	16
2.8	ELIMINATION OF POSITIONS AND WORKFORCE REDUCTIONS	16
	2.8A LAYOFF BENEFITS	16
	2.8B LAYOFF SEVERANCE PAY	17
<u>SECT</u>	ION 3	18
3.1	EXEMPT EMPLOYEES	18
3.2	NON-EXEMPT EMPLOYEES	18

3.3	WORK	KWEEK	18
3.4	ALTER	NATIVE WORK SCHEDULES	19
3.5	OVER.	TIME	19
3.6	MAKE	-UP TIME	20
SECT	ION 4		21
4.1	BOAR	D MEMBER BENEFITS	21
	<u>4.1A</u>	BENEFITS ELIGIBILITY	21
	4.1B	DEFERRED COMPENSATION	21
	4.1C	RETIREMENT PLAN	21
	4.1D	LIFE INSURANCE AND SUPPLEMENTAL LIFE INSURANCE	21
	4.1E	REIMBURSEMENT OF EXPENSES	22
	4.1F	COMPENSATION	22
4.2	GRAN	DFATHERED BENEFITS	22
	4.2A	GRANDFATHERED LEAVE	22
	<u>4.2B</u>	GRANDFATHERED RETIREMENT	22
4.3	HEAL1	TH, LIFE, AND DISABILITY INSURANCE BENEFITS	23
	4.3A	HEALTH INSURANCE	23
	4.3B	LIFE INSURANCE AND SUPPLEMENTAL LIFE INSURANCE	23
	4.3C	DISABILITY INSURANCE	23
	<u>4.3D</u>	SURVIVOR BENEFIT	23
	4.3E	COBRA AND CONTINUED COVERAGE	2
	4.3F	CONTINUATION OF HEALTH BENEFITS FOR RETIREES	24

<u>4.4</u>	MISCE	LLANEOUS BENEFITS	24
	4.4A	EMPLOYEE RECREATION ASSOCIATION	24
	<u>4.4B</u>	EMPLOYEE USE OF TRANSPORTATION SYSTEM	24
	<u>4.4C</u>	MILEAGE REIMBURSEMENT	24
	4.4D	OUT-OF-POCKET EXPENSES	25
	4.4E	PROFESSIONAL LICENSES AND CERTIFICATES	25
	<u>4.4F</u>	RECOGNITION AND AWARD PROGRAMS	25
4.5	LEAVE	S OF ABSENCE	25
	4.5A	PERSONAL LEAVE	25
4.6	REIME	BURSEMENTS AND ALLOWANCES	26
	4.6A	AUTOMOBILE ALLOWANCE AND ASSIGNMENT OF AUTOMOBILES	26
	4.6B	EDUCATIONAL REIMBURSEMENT PROGRAM	27
	4.6C	TABLET PURCHASE REIMBURSEMENT PROGRAM	27
	4.6D	UNIFORMS	27
	4.6E	SAFETY SHOES	27
4.7	RETIR	EMENT AND DEFERRED COMPENSATION	27
	4.7A	DEFERRED COMPENSATION	28
	<u>4.7B</u>	RETIREMENT	28
	4.7C	ADDITIONAL RETIREE BENEFIT ACCOUNT PLAN	28
4.8	TIME	OFF BENEFITS	29
	<u>4.8A</u>	TIME OFF ACCRUALS	29
	4.8B	BEREAVEMENT LEAVE	29

	4.8C CATASTROPHIC LEAVE DONATIONS	30
	4.8D HOLIDAYS AND PERSONAL PAID HOLIDAYS	30
	4.8E JURY DUTY	31
	4.8F SICK LEAVE – FULL-TIME AND PART-TIME EMPLOYEES	31
	4.8G SICK LEAVE SELLBACK	33
	4.8H VACATION	33
	4.8I VACATION SELLBACK	34
<u>SECT</u>	ION 5	35
<u>5.1</u>	COMPENSATION PHILOSOPHY	35
	5.1A SALARY RESOLUTION	35
	5.1B SALARY STRUCTURE	35
<u>5.2</u>	ADMINISTRATION OF COMPENSATION	35
<u>5.3</u>	NEWLY HIRED/PROMOTED EMPLOYEES	36
5.4	RECLASSIFICATIONS	36
5.6	MERIT ADJUSTMENTS	37
<u>5.7</u>	SPECIAL PERFORMANCE AWARDS	37
5.8	TEMPORARY ASSIGNMENTS	38
<u>5.9</u>	EQUITY ADJUSTMENTS	38
SECT	ION 1	
<del>1.1</del>	PURPOSE OF PERSONNEL AND SALARY RESOLUTION	

1.2	HUMAN RESOURCES POLICIES AND PROCEDURES	6
SECT	TION 2	7
2.1	AT-WILL EMPLOYMENT	7
2.2	APPROVAL AUTHORITY FOR EMPLOYEE ACTIONS	7
<del>2.3</del>	COMPENSATION	7
2.4	INTERNELIER	-
<del>2.4</del>	INTERNSHIPS	7
<del>2.5</del>	OUTSIDE EMPLOYMENT ACTIVITIES	7
	0010101 EMIL 2011MENT /1011M1120	•
<del>2.6</del>	PERFORMANCE PLANNING AND REVIEW PROGRAM	8
2.7	RELOCATION EXPENSES	8
2.8	ELIMINATION OF POSITIONS AND WORKFORCE REDUCTIONS	8
	2.8A LAYOFF BENEFITS	8
	Z.OA EATOTT BENEFITS	
	2.8B LAYOFF SEVERANCE PAY	9
<u>SECT</u>	ION 3	10
2.4	EVENADT ENADLOYEES	10
<del>5.1</del>	EXEMPT EMPLOYEES	10
<del>3.2</del>	NON-EXEMPT EMPLOYEES	10
<u> </u>	1000 272.00 1 200 200 200 200 200 200 200 200 200	10
3.3	WORKWEEK	<u>10</u>
<del>3.4</del>	ALTERNATIVE WORK SCHEDULES	11
<del>3.5</del>	OVERTIME	11
<del>3.6</del>	MAKE-UP TIME	12
<b>SECT</b>	ION 4	<u>13</u>

4.1	BOAR	D MEMBER BENEFITS	<u>13</u>
	<u>4.1A</u>	BENEFITS ELIGIBILITY	13
	4.1B	DEFERRED COMPENSATION	13
	4.1C	RETIREMENT PLAN	13
	4.1D	LIFE INSURANCE AND SUPPLEMENTAL LIFE INSURANCE	13
	4.1E	REIMBURSEMENT OF EXPENSES	14
<u>4.2</u>	GRAN	DFATHERED BENEFITS	14
	4.2A	GRANDFATHERED LEAVE	14
	4.2B	GRANDFATHERED RETIREMENT	14
4.3	HEALT	TH, LIFE, AND DISABILITY INSURANCE BENEFITS	15
	4.3A	HEALTH INSURANCE	<del>15</del>
	4.3B	LIFE INSURANCE AND SUPPLEMENTAL LIFE INSURANCE	<u>15</u>
	4.3C	DISABILITY INSURANCE	15
	4.3D	SURVIVOR BENEFIT	15
	4.3E	COBRA AND CONTINUED COVERAGE	<del>16</del>
	4.3F	CONTINUATION OF HEALTH BENEFITS FOR RETIREES	<del>16</del>
4.4	MISCE	ELLANEOUS BENEFITS	<u>16</u>
	<u>4.4A</u>	EMPLOYEE RECREATION ASSOCIATION	16
	4.4B	EMPLOYEE USE OF TRANSPORTATION SYSTEM	<del>16</del>
	4.4C	MILEAGE REIMBURSEMENT	<del>16</del>
	4.4D	OUT-OF-POCKET EXPENSES	<u>1</u> 7
	4.4E	PROFESSIONAL LICENSES AND CERTIFICATES	17
	4.4F	RECOGNITION AND AWARD PROGRAMS	<del>17</del>

4.5	<b>LEAVE</b>	S OF ABSENCE	<del>17</del>
	4.5A	PERSONAL LEAVE	<u>1</u> 7
	1.5/1	TENSOWIE ELIVE	±1
4.6	REIMB	URSEMENTS AND ALLOWANCES	18
	4.6A	ALITOMOBILE ALLOWANCE AND ASSIGNMENT OF ALITOMOBILES	18
	4.071	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	
	4.6B	EDUCATIONAL REIMBURSEMENT PROGRAM	<u>18</u>
	4.6C	TABLET PURCHASE REIMBURSEMENT PROGRAM	19
	4.6D	UNIFORMS	19
	4.6E	SAFETY SHOES	19
4.7	DETIDE	MENT AND DEFERRED COMPENSATION	<u>19</u>
-117	ME I I I I	WENT AND DETERMED COMITENSATION	13
	4.7A	DEFERRED COMPENSATION	<del>19</del>
	4.7B	RETIREMENT	20
	4.7C	ADDITIONAL RETIREE BENEFIT ACCOUNT PLAN	20
4.8	TIME (	OFF BENEFITS	<u>21</u>
	4.8A	TIME OFF ACCRUALS	21
	4.8B	BEREAVEMENT LEAVE	21
	4.8C	CATASTROPHIC LEAVE DONATIONS	22
	4.8D	HOLIDAYS AND PERSONAL PAID HOLIDAYS	22
	4.8E	JURY DUTY	22
	4.8F	SICK LEAVE - FULL-TIME AND PART-TIME EMPLOYEES	23
	4.8G	SICK LEAVE SELLBACK	<del>25</del>
	4.8H	VACATION	<u>25</u>
	<u>4.81</u>	VACATION SELLBACK	<del>26</del>

<u>SECT</u>	ION 5	<u>27</u>
<del>5.1</del>	COMPENSATION PHILOSOPHY	<del>27</del>
	5.1A SALARY RESOLUTION	27
	5.1B SALARY STRUCTURE	27
<del>5.2</del>	ADMINISTRATION OF COMPENSATION	27
<del>5.3</del>	NEWLY HIRED/PROMOTED EMPLOYEES	28
<u>5.4</u>	RECLASSIFICATIONS	28
<del>5.6</del>	MERIT ADJUSTMENTS	29
<u>5.7</u>	SPECIAL PERFORMANCE AWARDS	29
<del>5.8</del>	TEMPORARY ASSIGNMENTS	29
<del>5.9</del>	EQUITY ADJUSTMENTS	30

1.1_	PURPOSE OF PERSONNEL AND SALARY RESOLUTION	<del>6</del>
1.2	HUMAN RESOURCES POLICIES AND PROCEDURES	6
SECT	ION 2: EMPLOYMENT	7
2.1	AT-WILL EMPLOYMENT	<del>7</del>
2.2	APPROVAL AUTHORITY FOR EMPLOYEE ACTIONS	<del>7</del>
2.3_	COMPENSATION	<del>7</del>

2.4	INTERNSHIPS	7
<del>2.5</del>	OUTSIDE EMPLOYMENT ACTIVITIES	7
<del>2.6</del> _	PERFORMANCE PLANNING AND REVIEW PROGRAM	8
2.7_	RELOCATION EXPENSES	8
2.8	ELIMINATION OF POSITIONS AND WORKFORCE REDUCTIONS	8
	2.8A LAYOFF BENEFITS	8
	2.8B LAYOFF SEVERANCE PAY	9
	FION 3: EXEMPT AND NON-EXEMPT EMPLOYEE, WORKWEEK, SCHEDULES, O	
MAK	<u>CE-UP TIME</u>	<del>10</del>
3.1	EXEMPT EMPLOYEES	10
3.2	NON-EXEMPT EMPLOYEES	10
<del>3.3</del> _	WORKWEEK	10
3.4	ALTERNATIVE WORK SCHEDULES	11
3.5	OVERTIME	11
3.6	MAKE-UP TIME	12
SECT	FION 4: EMPLOYEE BENEFITS	13
4.1	BOARD MEMBER BENEFITS	13
	4.1A BENEFITS ELIGIBILITY	13
	4.1B DEFERRED COMPENSATION	13
	4.1C RETIREMENT PLAN	13
	4.1D LIFE INSURANCE AND SUPPLEMENTAL LIFE INSURANCE	13

	4.1E	REIMBURSEMENT OF EXPENSES	1/
4.2	GRAN	DFATHERED BENEFITS	1/
	4.2A	GRANDFATHERED LEAVE	1/
	4.2B	GRANDFATHERED RETIREMENT	1/
4.3	HEAL1	H, LIFE, AND DISABILITY INSURANCE BENEFITS	1/
	4.3A	HEALTH INSURANCE	1/
	4.3B	LIFE INSURANCE AND SUPPLEMENTAL LIFE INSURANCE	15
	4.3C	DISABILITY INSURANCE	15
	4.3D	SURVIVOR BENEFIT	15
	4.3E	COBRA AND CONTINUED COVERAGE	15
	4.3F	CONTINUATION OF HEALTH BENEFITS FOR RETIREES	16
4.4	MISCELLANEOUS BENEFITS		16
	4.4A	EMPLOYEE RECREATION ASSOCIATION	16
	4.4B	EMPLOYEE USE OF TRANSPORTATION SYSTEM	16
	4.4C	MILEAGE REIMBURSEMENT	16
	4.4D	OUT OF POCKET EXPENSES	17
	4.4E	PROFESSIONAL LICENSES AND CERTIFICATES	17
	4.4F	RECOGNITION AND AWARD PROGRAMS	17
4.5_	LEAVE	S OF ABSENCE	17
	4.5A	PERSONAL LEAVE	17
4.6_	REIME	BURSEMENTS AND ALLOWANCES	18
	4.64	AUTOMORIJE ALLOWANCE AND ASSIGNMENT OF AUTOMORIJES	19

	4.6B	EDUCATIONAL REIMBURSEMENT PROGRAM	18
	4 <del>.6C</del>	TABLET PURCHASE REIMBURSEMENT PROGRAM	19
	4.6D	UNIFORMS	19
	4.6E	SAFETY SHOES	19
4.7_	RETIR	EMENT AND DEFERRED COMPENSATION	19
	4.7A	DEFERRED COMPENSATION	19
	4.7B	RETIREMENT	20
	4 <del>.7C</del>	ADDITIONAL RETIREE BENEFIT ACCOUNT PLAN	20
4.8	TIME (	OFF BENEFITS	<u>21</u>
	4.8A	TIME OFF ACCRUALS	21
	4.8B	BEREAVEMENT LEAVE	21
	4.8C	CATASTROPHIC LEAVE DONATIONS	22
	4.8D	HOLIDAYS AND PERSONAL PAID HOLIDAYS	22
	4.8E	JURY DUTY	22
	4.8F	SICK LEAVE – FULL-TIME AND PART-TIME EMPLOYEES	23
	<del>4.8G</del>	SICK LEAVE SELLBACK	24
	4.8H	VACATION	25
	4.81	VACATION SELLBACK	<del>2</del> €
SECT	<del>'ION 5: C</del>	OMPENSATION_	27
<del>5.1</del> —	COMP	PENSATION PHILOSOPHY	27
	5.1A	SALARY RESOLUTION	27
	5.1R	SALARY STRUCTURE	27

<del>5.2</del> —	ADMINISTRATION OF COMPENSATION	<u> </u>
<del>5.3</del> —	NEWLY HIRED/PROMOTED EMPLOYEES	28
<del>5.4</del> _	RECLASSIFICATIONS	28
<del>5.5</del> -	CLASSIFICATION TITLES	29
<del>5.6</del> —	MERIT ADJUSTMENTS	29
<del>5.7</del> _	SPECIAL PERFORMANCE AWARDS	29
<del>5.8</del>	TEMPORARY ASSIGNMENTS	29
<del>5.9</del> _	EQUITY ADJUSTMENTS	30
	SALARY GRADE STRUCTURE	31
	GLOSSARY OF TERMS	41
	ALPHARETICAL INDEX	44

# SECTION 1 PURPOSE AND PROCEDURES

#### 1.1 PURPOSE OF PERSONNEL AND SALARY RESOLUTION

In an effort to establish an equitable and consistent plan for managing Human Resources matters, to attract, develop and retain top talent, and to ensure consistent selection, promotion, and compensation practices based on merit, ability, and performance, the following Human Resources policies for administrative employees are hereby adopted.

The Orange County Transportation Authority (OCTA) reserves and maintains the right to eliminate, modify or otherwise change, at any time, for any reason, any provision(s) of this Personnel and Salary Resolution (PSR), as established and approved by the Board of Directors, including, but not limited to, any employee benefit or right provided in this PSR.

#### 1.2 HUMAN RESOURCES POLICIES AND PROCEDURES

The Chief Executive Officer (CEO), acting as the Appointing Authority (AA), may elect to delegate certain responsibilities. The CEO is charged with ensuring OCTA Human Resources policies and procedures provide for an effective and efficient organization, staffed with qualified employees receiving fair and equitable treatment. The Executive Director of Human Resources and Organizational Development (HROD) is responsible for managing the Human Resources functions and is responsible for developing and administering Human Resources policies and procedures that are in the best interest of OCTA and its employees.

The CEO makes the final determination on the interpretation of OCTA Human Resources policies and is authorized to establish and maintain Human Resources procedures that are consistent with those policies.

Exceptions to the PSR may be authorized in writing by the CEO. This exception authority may not be delegated.

Please refer to specific policies and procedures for additional information.

PSR FY <del>2019</del>2020-<del>20</del>21 14 | P a g e

# SECTION 2 EMPLOYMENT

#### 2.1 AT-WILL EMPLOYMENT

OCTA employees whose employment is governed by the provisions of this PSR are at-will. The AA has the right to reassign, dismiss, reduce pay, or suspend without pay any employee, at any time, for any reason. Similarly, OCTA employees may separate their employment at any time without prior notice.

#### 2.2 APPROVAL AUTHORITY FOR EMPLOYEE ACTIONS

The CEO is the AA for the selection and separation of all employees in all positions except those reporting directly to the Board. The CEO is authorized to approve revisions in classification titles and grades, provided that any such changes are in accordance with established OCTA Policies and Procedures and the Board-adopted fiscal year budget.

#### 2.3 COMPENSATION

OCTA will maintain a compensation philosophy and salary structure for full-time and part-time employees as stated in the PSR.

Salary ranges, rates, and employee benefits are reviewed and considered for adjustment not less often than annually. This permits OCTA an opportunity to periodically assess the competitiveness of the compensation plan, including the salary structure, and make necessary adjustments to reflect changes in internal equity and labor market conditions.

#### 2.4 INTERNSHIPS

A person employed in a College Intern position will be compensated at an hourly rate to be determined by the AA. A College Intern is not eligible for employee benefits paid by OCTA, except as required by law.

#### 2.5 OUTSIDE EMPLOYMENT ACTIVITIES

An administrative employee may not engage in outside employment or other outside activities incompatible with the full and proper discharge of the duties and responsibilities of his/her OCTA employment. Before accepting or engaging in any outside employment, an employee must obtain written permission from the AA.

PSR FY <del>2019</del>2020-<del>20</del>21 15 | P a g e

#### 2.6 PERFORMANCE PLANNING AND REVIEW PROGRAM

The AA is responsible for developing and administering a formal performance planning and review program for all full-time and part-time administrative employees.

#### 2.7 RELOCATION EXPENSES

OCTA may provide relocation assistance as defined in the "Reimbursement of Relocation Expenses Policy."

#### 2.8 ELIMINATION OF POSITIONS AND WORKFORCE REDUCTIONS

Whenever it becomes necessary, the CEO may eliminate any position. The CEO has the authority to reduce the workforce and to layoff full-time or part-time employees because of the elimination of a position, lack of funds, lack of work, or for operational efficiencies. An employee who is laid-off because of the elimination of a position or reduction in the workforce may be placed in another position for which the employee is qualified at the same level or below, provided an opening exists. Workforce reductions may allow for the position to remain vacant until the AA finds it necessary to fill the position.

#### 2.8A LAYOFF BENEFITS

An employee recalled within six months may be reinstated to the same position if the position is available. For purposes of this section, benefits based on length of service will be reinstated to the level prior to layoff if an employee is reinstated to the same or a different position within six months following the date of layoff.

An employee placed on layoff may be granted paid health insurance in accordance with the following schedule:

Years of Service	Length of Coverage
Less than 3	1 month
3 but less than 5	2 months
5 but less than 10	3 months
10 or more	4 months

Upon separation from OCTA due to layoff, all unused or unpaid vacation, personal paid holidays, and sick leave will be paid to the affected employee.

If- employment is recalled within six months, health insurance coverage will take effect on the first day of the following month from the -rehire date. However, if the granted paid health insurance is still in effect, then coverage will be effective the first day of the month from the return to work date-.

PSR FY <del>2019</del>2020-<del>20</del>21 16 | P a g e

### 2.8B LAYOFF SEVERANCE PAY

The CEO may authorize the payment of severance pay to full-time and part-time employees in accordance with the following schedule:

Years of Service	Weeks of Severance Pay
Less than 3	2 weeks
3 but less than 5	3 weeks
5 but less than 10	4 weeks
10 or more	5 weeks

Severance pay for part-time employees is prorated in accordance with their regularly scheduled pay.

PSR FY <del>2019</del>2020-<del>20</del>21 17 | P a g e

### **SECTION 3**

# EXEMPT AND NON-EXEMPT EMPLOYEE, WORKWEEK, SCHEDULES, OVERTIME AND MAKE-UP TIME

#### 3.1 EXEMPT EMPLOYEES

Exempt employees are those in positions that are not covered under the provisions of the Fair Labor Standards Act (FLSA) regarding minimum wage, overtime, maximum hours and recordkeeping.

An exempt employee, either part-time or full-time, is not eligible for overtime payment, compensatory time or any additional compensation for time worked in excess of eight hours per day or 40 hours per workweek, or time worked in excess of his/her regular schedule.

Sick leave and vacation accruals, as well as retirement service credits, accrue on paid hours excluding overtime.

#### 3.2 NON-EXEMPT EMPLOYEES

Non-exempt employees are those in positions that are covered under the provisions of the FLSA regarding minimum wage, overtime, maximum hours and recordkeeping. All hours worked, holidays, and benefit time taken must be accurately recorded on a timesheet and approved by the supervisor. Sick leave and vacation accruals, as well as retirement service credits, accrue on paid hours excluding overtime.

Non-exempt employees are strictly prohibited from volunteering or donating their time to OCTA by performing any work or function that is the same or similar to their regularly scheduled duties while in an unpaid status.

#### 3.3 WORKWEEK

The FLSA defines workweek as a period of 168 hours consisting of seven consecutive 24-hour periods. The employer can determine the day and hour that the workweek begins. Each workweek is considered on its own to determine minimum wage and overtime payments: there is no averaging of two or more workweeks. The Department of Labor uses workweek to determine compliance with federal regulations such as requirements for wage payments and overtime. Workweek and overtime will be administered consistent with any applicable state and federal laws.

PSR FY <del>2019</del>2020-<del>20</del>21 18 | P a g e

The regular workweek for a full-time OCTA employee is 40 hours per week, Sunday through Saturday, unless otherwise established with an alternative work schedule. The workweek does not need to coincide with the calendar week.

#### 3.4 ALTERNATIVE WORK SCHEDULES

The AA has the authority to designate flexible starting, ending, and core times for the performance of work during the standard workday consistent with OCTA's "Workweek and Overtime Policy."

The AA also has the authority to designate alternative workweek schedules, such as 4/10 or 9/80, provided the administration of such schedules is consistent with OCTA policy and any applicable state and federal laws.

The AA may establish necessary guidelines to administer alternative workweek schedules at the department and section level.

#### 3.5 OVERTIME

Overtime must be authorized prior to performance of such work. Authorized work performed in excess of eight hours per day or in excess of 40 hours per workweek by a full-time or part-time non-exempt employee is considered overtime. This does not apply to a non-exempt employee who regularly works a 9/80 work schedule or who regularly works any other work schedule totaling 40 hours per workweek. All paid hours except sick time will be considered hours worked.

Excluding employees on an alternative work schedule, non-exempt employees will be paid 1-1/2 times their regular rate for all time worked in excess of eight (hours in a workday or 40 hours in a workweek). Non-exempt employees on alternative work schedules will be eligible for daily overtime for hours worked in excess of their regular schedule or 40 hours in a workweek.

For purposes of calculating overtime compensation, paid holidays not worked and pre-approved vacation not worked are treated as authorized work performed. If a designated holiday occurs on a regularly scheduled day off, these hours are not considered hours worked. Hours away from work due to illness, even when compensated, are not included in overtime calculations.

A non-exempt employee who is required to work on a designated holiday will be paid 1-1/2 times his/her regular rate for authorized work performed, in addition to regular holiday pay. Added pay for holiday hours worked will not be considered when calculating overtime on more than 40 hours in a workweek.

PSR FY <del>2019</del>2020-<del>20</del>21 19 | P a g e

OCTA does not permit the accrual of compensatory time in lieu of payment of overtime.

In no case may a non-exempt employee's workweek be changed when the purpose of the change is to avoid compensating the employee at 1-1/2 times his/her regular rate for work performed in excess of his/her regular work schedule.

If, in the judgment of the employee's supervisor, work beyond the normal workday, workweek, or work period is required, such work may be authorized.

#### 3.6 MAKE-UP TIME

Consistent with OCTA policy, when a non-exempt employee requests to leave or miss certain hours of a day and then to make it up by working longer hours on another day, it is called make-up time. Make-up time is permitted when requested by the employee due to the employee's personal obligation. The employee must request to use make-up time in writing before taking the time off or working the make-up hours, and the supervisor must approve it. The time must be made up within the same workweek as the time that was taken off. The made-up time cannot cause the employee to work more than 11 hours in a day or more than 40 hours in a workweek, as this will require overtime to be paid. Managers and/or Supervisors are prohibited from encouraging or soliciting an employee to request make-up time.

PSR FY <del>2019</del>2020-<del>20</del>21 20 | P a g e

# SECTION 4 EMPLOYEE BENEFITS

#### 4.1 BOARD MEMBER BENEFITS

The AA may establish and be responsible for health (medical, dental, and vision), and life (life and accidental death and dismemberment) insurance benefits for Board Members at a cost not to exceed the amount established by the Board in the annual budget.

#### 4.1A BENEFITS ELIGIBILITY

For Public Board Members and for Board Members who do not receive health benefits from the public entity they are elected to serve: The Board Members will have the same premium cost and the same health benefits as full-time employees paid by OCTA, which may change to reflect the current programs offered.

For Board Members who receive health benefits and/or a cash waiver from the public entity they are elected to serve: The Board Members may choose to receive the same health benefits as full-time employees, provided the Board Member pays 100 percent of the OCTA premium, which may change to reflect the current programs offered.

#### 4.1B DEFERRED COMPENSATION

Board Members may participate in OCTA's Deferred Compensation Program.

#### 4.1C RETIREMENT PLAN

Board Members are required to participate in the 3121 Federal Insurance Contributions Act (FICA) Alternative plan, because they are not eligible to participate in the Orange County Employee Retirement System. Board Members contribute 7.50 percent of OCTA pay. The 3121 FICA Alternative plan is required under the Omnibus Budget Reconciliation Act (OBRA) and is administered by a <a href="third-partythird-party">third-party</a> administrator.

#### 4.1D LIFE INSURANCE AND SUPPLEMENTAL LIFE INSURANCE

Life Insurance will be provided by OCTA in the amount of \$50,000 coverage for each Board Member.

Voluntary Board Member-paid supplemental life insurance may be offered by OCTA for Board Members and/or their dependents.

PSR FY <del>2019</del>2020-<del>20</del>21 21 | P a g e

#### 4.1E REIMBURSEMENT OF EXPENSES

OCTA will reimburse Board Members and former Board Members who are serving on regional boards at the direction and request of the Board of Directors for actual and necessary expenses incurred in the performance of their duties, as provided in the "Policy for Compensation, Benefits, Reimbursement of Expenses and Mandatory Training for Members of the Board of Directors."

#### 4.1F COMPENSATION

A Board Members and former Board Members, who are serving on regional boards at the direction and request of the Board of Directors, are-is authorized to receive compensation in the amount of one hundred dollars (\$100) per day, not to exceed five hundred dollars (\$500) in any calendar month, for attending any of the activities outlined in section III of the Policy for Compensation, Benefits, Reimbursement of Expenses and Mandatory Training for Members of the Board of Directors.

#### 4.2 GRANDFATHERED BENEFITS

The following exceptions to policy as otherwise outlined in this PSR result from the consolidation of the Orange County Transit District and the Orange County Transportation Commission.

The following benefits apply only to those employees who were employees of the Orange County Transportation Commission, as of June 19, 1991.

#### 4.2A GRANDFATHERED LEAVE

Each non-exempt employee covered under this section will be entitled to 16 hours of paid Administrative Leave per fiscal year. Each exempt employee covered under this section will be entitled to 32 hours of paid Administrative Leave per fiscal year.

Approval will be by the AA. Any unused Administrative Leave for the current fiscal year will be paid to the employee in the event of separation or retirement. The maximum accrual amount for non-exempt employees will be 24 hours. The maximum accrual amount for exempt employees will be 48 hours.

#### 4.2B GRANDFATHERED RETIREMENT

An employee covered under this section may continue to participate in the California Public Employees' Retirement System and shall be governed by its rules and regulations.

PSR FY <del>2019</del>2020-<del>20</del>21 22 | P a g e

Commencing January 1, 2017, employees shall pay 100 percent of the employee contribution.

### 4.3 HEALTH, LIFE, AND DISABILITY INSURANCE BENEFITS

#### 4.3A HEALTH INSURANCE

The AA will offer health (medical, dental, and vision), life (life and accidental death and dismemberment), and disability insurance programs for all full-time and part-time employees as determined by the Board.

Employees who are scheduled to work a minimum of 20 hours per week or more and meet the criteria under the Affordable Care Act, are eligible to participate in the health, life and disability insurance programs on the first day of the month following 30 days of employment. Employees may be required to pay a portion of the premiums. Part-time employees will pay the same portion of the premiums as full-time employees.

Administrative and Transportation Communications International Union (TCU) employees who elect to waive an OCTA medical, dental and vision plan are eligible to receive an employer contribution of \$92.31 per pay period into a 401(a) deferred compensation plan, not to exceed the annual IRS maximum contribution. The employee must provide verification annually from the employer or the insurance carrier which verifies proof of other medical plan coverage in order to receive a contribution into the 401(a) plan. An employee who is a spouse, child or any other dependent of an OCTA Administrative/TCU employee is not eligible if he/she is covered under an OCTA medical, dental or vision plan.

#### 4.3B LIFE INSURANCE AND SUPPLEMENTAL LIFE INSURANCE

Life insurance will be provided by OCTA to full-time and part-time employees in the amount of two times the annual salary, for a maximum benefit of \$500,000. Voluntary employee-paid supplemental life insurance may be offered by OCTA for employees and/or eligible dependents (IRS).

#### 4.3C DISABILITY INSURANCE

Employer-paid short-term disability and long-term disability insurance programs will be provided to full-time and part-time employees. Coordination of state provided disability payments may be required.

#### 4.3D SURVIVOR BENEFIT

When OCTA is notified of the death of an employee, his/her dependents who were previously enrolled dependents, may be eligible for coverage in accordance with the provisions of the Consolidated Omnibus Budget Reconciliation Act (COBRA). If eligible for

PSR FY <del>2019</del>2020-<del>20</del>21 23 | P a g e

COBRA, OCTA will reimburse the cost of the OCTA-sponsored health benefit plan premium to the dependent(s) for a maximum of three months.

#### 4.3E COBRA AND CONTINUED COVERAGE

All full-time or part-time employees separating employment may elect continuing health (medical, dental, and vision) insurance pursuant to the governing provisions of the program in which they are enrolled. The employee will be required to pay the premium for the coverage selected in accordance with the provisions of COBRA, except as provided in the "Layoff and Workforce Reduction Policy". Health coverage ends the last day of the month in which the employee separates employment.

#### 4.3F CONTINUATION OF HEALTH BENEFITS FOR RETIREES

An employee who retires from OCTA is eligible to continue medical, dental, and/or vision coverage, provided the retiree continues to pay 100 percent of the full monthly premium. Current group health benefits may continue up to age 65.

An employee who defers retirement is not eligible for this benefit.

For additional information regarding retiree health benefits that may apply under the Additional Retiree Benefit Account Plan (ARBA) please refer to section 4.7C.

#### 4.4 MISCELLANEOUS BENEFITS

#### 4.4A EMPLOYEE RECREATION ASSOCIATION

The AA will be responsible for monitoring the Employee Recreation Association (ERA), which is administered by the Human Resources Department. The ERA is a council of 11 members who meet to discuss various employee recognition activities and events and how best to fund them.

#### 4.4B EMPLOYEE USE OF TRANSPORTATION SYSTEM

The AA has established policies and procedures regarding employees and eligible dependents' free transportation on OCTA's transportation services. See the "Employee Identification Cards and Dependent Transportation Passes Policy".

#### 4.4C MILEAGE REIMBURSEMENT

PSR FY <del>2019</del>2020-<del>20</del>21 24 | P a g e

An employee will be reimbursed for use of his/her private automobile for official business of OCTA at the rate established by the Internal Revenue Service (IRS).

The AA will determine what constitutes official OCTA business, which would require use of an employee's private automobile. Local travel for mileage reimbursement purposes will include travel in Los Angeles, Orange, San Bernardino, Riverside, and San Diego counties. Executive employees are referenced in section 4.6A.

#### 4.4D OUT-OF-POCKET EXPENSES

OCTA will reimburse its employees for out-of-pocket expenses incurred while conducting official business for OCTA as provided in the policies regarding travel and conference expenses.

#### 4.4E PROFESSIONAL LICENSES AND CERTIFICATES

OCTA will pay for any work-related professional licenses, certificates, or renewal fees as approved by the AA.

#### 4.4F RECOGNITION AND AWARD PROGRAMS

The AA may establish and maintain an employee service award program and employee appreciation programs to provide recognition to employees for performance, continuous service, safety, and commitment to public transportation.

#### 4.5 LEAVES OF ABSENCE

Leaves of absence may be granted by the AA to employees with or without pay. This policy will be interpreted and applied in accordance with all applicable state and federal laws. For a detailed description of the various leaves of absence, please refer to the "Leave of Absence Policy" and the "Military Leave Policy."

#### 4.5A PERSONAL LEAVE

When requested, the AA may grant a personal leave of absence without pay for an initial period of 30 calendar days and extensions may be granted to a maximum of six months from the beginning date of the personal leave.

PSR FY <del>2019</del>2020-<del>20</del>21 25 | P a g e

A personal leave of absence may be granted once all accrued/benefit hours have been exhausted, including vacation hours, sick hours, and Personal Paid Holiday (PPH) hours.

If the personal leave of absence extends for 30 calendar days or less, an employee will be returned to his/her original classification. If the personal leave of absence extends for more than 30 calendar days, OCTA will not guarantee the employee's classification or employment with OCTA, but OCTA but will attempt to reinstate the employee to a like or similar classification.

During the initial 30 calendar days following the date on which the personal leave of absence begins, OCTA will continue to offer life insurance, medical, dental and vision benefits at the same employee coverage cost and the same contribution for dependent premiums at the current applicable rate. To continue health coverage, employees on an unpaid status are responsible for submitting health insurance contributions, at the same rate and frequency as active employees. Failure to pay the employee's contribution may result in a lapse of coverage.

After the initial 30-day period, the employee will be required to remit in advance each month, 100 percent of the monthly cost of the group insurance premiums incurred during the remainder of the leave of absence in order to continue group insurance. Non-receipt of premium reimbursements will result in the termination of the employee's insurance.

If an employee returns to work from a personal leave of absence, the employee will be responsible for 100 percent of the monthly cost of the group insurance premiums for the month in which the employee returns to work.

#### 4.6 REIMBURSEMENTS AND ALLOWANCES

#### 4.6A AUTOMOBILE ALLOWANCE AND ASSIGNMENT OF AUTOMOBILES

OCTA may elect to provide both an assigned automobile and all related expenses, or to provide a monthly automobile allowance to Executive employees. The monthly allowance will be in lieu of the IRS standard mileage reimbursement rate that would otherwise apply in the use of his/her personal automobile in the performance of his/her duties. An Executive employee may not receive the automobile allowance for any month during which the employee's driver license has expired, been revoked, or suspended for a moving violation while operating an automobile.

The automobile allowance will be in the same amount as is provided to the County of Orange managers at the department head or agency head level as determined by the Orange County Board of Supervisors.

OCTA may assign vehicles on a 24-hour basis to designated positions, in accordance with the "Non-Revenue Vehicle Fleet Policy". Each OCTA operating base and administrative facility will be assigned a pool of non-revenue vehicles for authorized OCTA business.

PSR FY <del>2019</del>2020-<del>20</del>21 26 | P a g e

Special purpose vehicles will be assigned to a division based on business need as referenced in the "Non-Revenue Vehicle Fleet Policy".

#### 4.6B EDUCATIONAL REIMBURSEMENT PROGRAM

OCTA may provide an Educational Reimbursement Program to reimburse a full-time employee for reasonable educational expenses for work-related courses. The AA will be responsible for developing, administering, and maintaining the program.

As authorized by the "Educational Reimbursement Plan Policy", a full-time employee who satisfactorily completed approved, work-related educational courses as defined in the Educational Reimbursement Program Policy, will be reimbursed in full for eligible expenses up to a maximum of \$3,675 per calendar year. Increases to the tuition reimbursement amount will be indexed to California State University system tuition rates not to exceed the IRS tax-free amount (currently \$5250). If an employee separates employment or gives notice of separation prior to completion of the course, no reimbursement will be made. Newly hired employees may be eligible for educational reimbursement after six months of employment.

#### 4.6C TABLET PURCHASE REIMBURSEMENT PROGRAM

OCTA may reimburse an employee for up to \$400 or 50 percent, whichever is less, of actual expenditures for the cost of a personal tablet as authorized by the "Business Equipment Use Policy".

An employee may not receive more than \$400 during any 24-month period. Newly hired employees may be eligible for tablet reimbursement after six months of employment.

#### 4.6D UNIFORMS

An Administrative employee who is required to wear a uniform on the job will be granted an allowance up to \$500 per year for the purchase of uniforms at OCTA's authorized uniform supplier. Uniform purchases must comply with the guidelines established by the appropriate division.

#### 4.6E SAFETY SHOES

Executive Directors are authorized to approve the cost of a pair of work-required safety shoes approved by the employee's manager.

#### 4.7 RETIREMENT AND DEFERRED COMPENSATION

PSR FY <del>2019</del>2020-<del>20</del>21 27 | P a g e

#### 4.7A DEFERRED COMPENSATION

OCTA may provide all full-time, part-time, and extra-help employees, including those covered by a collective bargaining agreement, with a deferred compensation program. The Deferred Compensation program is a benefit available to eligible employees to help them to save for retirement. The AA will be responsible for the establishment and administration of this program, utilizing the services of an outside administrator. This service will be provided at no cost to OCTA.

The Deferred Compensation Program is overseen by the Deferred Compensation Plan Committee. The Charter of the Deferred Compensation Plan Committee for the OCTA Retirement Plan Program constitutes the articles governing the operation of the committee. The Authority has delegated to the CEO the responsibility of determining the committee members which comprise the Deferred Compensation Plan Committee, as well as the duties and responsibilities of the committee members.

Enrollment in this program will be offered to employees on a voluntary basis, unless mandated by state or federal law. Employee contributions to the program will be made by a payroll deduction. The CEO may authorize OCTA to pay all or part of the employee contribution for designated classes of employees.

Administrative employees will receive OCTA-paid matching contributions to 401 (a) plans based on years of service as set forth below, provided employees are making contributions of at least that amount to the OCTA 457 (b) plan:

Years of Service	Percent of Base Pay
New Hire but less than 5	1%
5 but less than 10	2%
10 or more	3%

In addition to the above scale, employees in Salary Grade V and above will receive an employer-paid matching contribution of up to two percent of base salary to the 401 (a) plan upon hire or promotion, provided employees are making contributions of at least that amount to the OCTA 457(b) plan.

#### 4.7B RETIREMENT

All full-time and part-time employees of OCTA will participate in the Orange County Employees Retirement System (OCERS) and will be governed by its rules and regulations. All employees shall pay 100 percent of the OCERS employee contribution rate each pay period.

#### 4.7C ADDITIONAL RETIREE BENEFIT ACCOUNT PLAN

PSR FY <del>2019</del>2020-<del>20</del>21 28 | P a g e

An employee who retires from OCTA after January 1, 1995 who is in good standing with OCTA may be eligible for a benefit under the Additional Retiree Benefit Account Plan (ARBA). The retiring employee is eligible if the following conditions are met:

- at least ten years of service and at least 50 years of age at retirement, and
- receives a retirement benefit under OCERS within 30 days from the date of separation.

The benefit amount represents \$10.00 per month, per year of service, not to exceed a monthly benefit of \$150.00

OCTA reserves the right to modify or terminate this plan at any time by action of the Board. Administration of the ARBA Plan will be in accordance with the plan document.

Exceptions to the above policy resulting from the consolidation of the Orange County Transit District and the Orange County Transportation Commission are addressed in Grandfathered Benefits referenced in section 4.2.

#### 4.8 TIME OFF BENEFITS

#### 4.8A TIME OFF ACCRUALS

All paid time-off benefits will accrue during a leave of absence for only the period during which the employee is paid. An employee on unpaid leave of absence does not earn service credit for purposes of retirement benefits. An employee who returns to work from a leave of absence retains all accumulated service credit. Service credit for retirement benefits will be based on the specifications of the retirement system.

#### 4.8B BEREAVEMENT LEAVE

In accordance with the "Bereavement Leave Policy", a full-time or part-time employee will be granted paid bereavement leave for time actually lost, up to three regularly scheduled workdays, upon the death of an immediate family member.

Immediate family member includes: spouse, parent, child, brother, sister, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepchild, stepparent, stepbrother, stepsister, grandparent, grandchild, legal guardian/ward, or registered domestic partner. Bereavement leave may be granted for each occurrence.

An eligible employee who travels outside the state of California or outside a 350-mile radius from the OCTA Headquarters following the death of an immediate family member, will be granted up to five days paid bereavement leave.

PSR FY <del>2019</del>2020-<del>20</del>21 29 | P a g e

The paid bereavement leave will not be chargeable to sick leave or vacation. The AA will authorize such absence from work.

Additional leave, if required, to make arrangements and/or attend the funeral, cremation, or memorial service of an immediate family member may be approved by the AA and will be charged against accrued sick or vacation leave.

#### 4.8C CATASTROPHIC LEAVE DONATIONS

Employees may elect to donate accrued sick and/or vacation leave for use by an employee who has met the eligibility requirements under the Catastrophic Leave policy. For a detailed description, please refer to the "Catastrophic Leave Donation Policy."

#### 4.8D HOLIDAYS AND PERSONAL PAID HOLIDAYS

OCTA will observe 12 paid holidays consisting of designated holidays and Personal Paid Holidays (PPH) as determined by the CEO. Annually, the listing of holidays observed for the year will be posted on the OCTA Intranet.

A full-time, non-exempt employee will receive the equivalent of 12 days of holiday pay at his/her regular rate during the calendar year. A full-time non-exempt employee who works an alternative work schedule will receive holiday pay for each of the above holidays based on his/her normally scheduled workday.

When a holiday falls on a Saturday, the previous day will be observed as the holiday, and when a holiday falls on a Sunday, the next day will be observed as the holiday, unless otherwise designated by the CEO. When a holiday falls on an employee's scheduled day off, either the previous working day or the next scheduled working day will be observed by the employee as the holiday.

A full-time or part-time non-exempt employee who is required to work on a holiday will be paid at 1-1/2 times his/her regular hourly rate for all hours worked in addition to pay for his/her regularly-scheduled workday. An exempt employee will receive no premium pay for work on a scheduled OCTA holiday.

A full-time, exempt employee will receive holiday pay for each of the above holidays observed and will be paid based on his/her normally scheduled workday.

All part-time employees will receive holiday pay for each holiday at his/her regular rate on a pro-rated basis.

PPHs are taken at an employee's discretion following supervisory approval. An employee will be paid for any unused PPHs for the current calendar year in the event of separation or retirement. The maximum number of PPHs that an employee may accrue will be two days over the current calendar year's entitlement. For new hires, the PPH accrualural

PSR FY <del>2019</del>2020-<del>20</del>21 30 | P a g e

schedule for their first year will be posted on the OCTA Intranet- and given to them during orientation.

#### 4.8E JURY DUTY

A full-time or part-time employee who is called for jury duty or for examination for jury duty will receive compensation at his/her regular rate of pay for those days that coincide with the employee's regularly-scheduled workdays.

Full-time and part-time employees are not eligible to receive additional compensation from the court system.

#### 4.8F SICK LEAVE – FULL-TIME AND PART-TIME EMPLOYEES

OCTA provides a plan for full-time and part-time employees to accrue sick leave.

Sick leave may be used for an absence from employment for any of the following reasons:

- the employee is physically or mentally unable to perform his/her duties due to illness, injury, or medical condition of the employee;
- the absence is for the purpose of obtaining professional diagnosis or treatment for a medical condition of the employee;
- the employee is a victim of domestic abuse, sexual assault and/or stalking; and
- the absence is to care for a qualified family member. A qualified family member is defined as a spouse, registered domestic partner, parent, child, grandparent, grandchild, or sibling.

An employee will accrue sick leave with pay for each paid hour in a regularly scheduled workweek at the rates as provided in the following table:

Years of Service	Accrual Rates	Approximate Accrual
Less than 3 years	.0347 Hours	9 days per year
3 years or more	.0462 Hours	12 days per year

Sick leave will be paid consistent with an employee's regularly scheduled workday. Accrued sick leave will be added to the employee's sick leave accumulation account upon the completion of the pay period, with no credit to be applied during the progress of the pay period or for a fraction of the pay period during which an employee separates service.

An employee who separates from OCTA with ten years or more of continuous service and who is in good standing with OCTA will receive payment of any earned but unused sick leave up to a maximum of 160 hours.

PSR FY <del>2019</del>2020-<del>20</del>21 31 | P a g e

Upon the death of an employee, the employee's estate will be paid 100 percent of the employee's unused or unpaid sick leave.

Upon retirement from OCTA, provided the employee has ten years or more of continuous service and is in good standing with OCTA, the employee will be paid a maximum of 240 hours of his/her unused sick leave. An employee is considered retired if he/she begins receiving a retirement benefit from OCERS at the time of his/her separation. This benefit does not apply to deferred retirement.

Upon separation from OCTA due to layoff, all unused or unpaid sick leave will be paid to the affected employee.

An employee, who is injured on the job, resulting in loss of time, will be paid for the balance of the assignment on the day of injury at the regular rate of pay. The employee will also be paid for the time lost during the waiting period (first three days following date of injury, for which no Workers' Compensation benefits are provided). This payment will be at benefit rates provided under the Workers' Compensation Act. Payments under this section will not be charged against the employee's accumulated sick leave. Vacation and sick leave accruals will continue during the three-day period and the employee will be credited as if he/she had worked his/her regularly scheduled hours each day.

For group insurance purposes only, time lost due to an on-the-job injury will not be considered an unpaid leave of absence. OCTA will continue to maintain and pay for the employee's group health coverage at the same level as active employees. To continue health coverage, an employee will be responsible for submitting health insurance contributions at the same rate and frequency as active employees. Failure to pay the employee's contribution may result in a lapse of coverage.

#### Extra-Help Employees and Interns

OCTA provides a plan for extra-help employees and interns to accrue sick leave. The employee will be eligible to use their sick leave on the 90<sup>th</sup> day of employment.

Sick leave may be used for an absence from employment for any of the following reasons:

- the employee is physically or mentally unable to perform his/her duties due to illness, injury or medical condition of the employee;
- the employee is a victim of domestic violence, sexual assault, and/or stalking;
- the absence is to care for a qualified family member. A qualified family member is defined as a spouse, registered domestic partner, parent, child, grandparent, grandchild, or sibling.

An employee will accrue sick leave with pay for each paid hour in a regularly scheduled workweek at the rate as provided in the following table:

PSR FY <del>2019</del>2020-<del>20</del>21 32 | P a g e

Accrual Rate	Approximate Accrual
.0334 Hours	3 days per year

#### 4.8G SICK LEAVE SELLBACK

An employee who has accumulated sick leave in excess of 120 hours, as of the close of the first pay period ending in November, may choose to retain all unused accumulated sick leave and continue to accrue sick leave or to receive a single payment at his/her current rate of pay for any amount in excess of 120 hours. If the employee elects to receive payment, it will be paid no later than the pay date of the final payroll of that year.

#### 4.8H VACATION

OCTA provides vacation leave with pay for full-time and part-time employees. Vacation leave is differentiated from other types of leave because it is intended for the rest, relaxation, and renewal of employees.

Accrued vacation leave will be applied to the employee's vacation accumulation account only upon completion of each pay period, except when an employee separates employment.

Upon separation, all unused vacation leave accrued through the employee's separation date will be paid.

Upon hire, an employee with less than two years of service will earn .0577 hours of vacation leave for each straight time hour of pay in a regularly scheduled workweek, unless otherwise approved by the AA and authorized by the Department Manager, Human Resources.

Accrual rates change beginning with the pay period following the pay period that begins the next year of service.

The maximum allowable accrued vacation leave at any time for full-time or part-time employees is listed below.

At the Beginning of Year:	The Employee Shall Earn:	To a Maximum Per Year of:	Maximum Accrued Vacation Leave
0 through year 2	.0577 hours	120 hours	240 hours
3 through year 4	.0577 hours	120 hours	300 hours
5 through year 9	.0770 hours	160 hours	300 hours
10 through year 14	.0962 hours	200 hours	390 hours

PSR FY <del>2019</del>2020-<del>20</del>21 33 | P a g e

15 through year 18	.1039 hours	216 hours	390 hours
19 or more	.1154 hours	240 hours	440 hours

An employee will not accrue vacation leave in excess of the maximum amount unless authorized by the CEO. The CEO is exempt from a maximum accrual. Vacations will be scheduled consistent with efficient OCTA operations.

#### 4.8I VACATION SELLBACK

An employee has the option of selling back up to 200 hours of vacation pay each calendar year for accrued but unused vacation. An employee must use at least 40 hours of vacation during the previous 12 months before exercising the sellback option.

The sellback option may be exercised twice in any given calendar year and may not exceed 200 hours.

Under unusual circumstances involving verifiable emergencies, the AA may authorize a cash value payment to an employee for an amount up to the total amount of accrued vacation.

An employee separating from OCTA will be paid, in a lump sum payment, for all unused vacation leave accrued through his/her <u>separation</u> termination date at his/her current rate of pay.

PSR FY <del>2019</del>2020-<del>20</del>21 34 | P a g e

# SECTION 5 COMPENSATION

#### 5.1 COMPENSATION PHILOSOPHY

OCTA's objective is to provide competitive wages based on the market value for comparable work. Human Resources strives to administer the compensation program in a flexible but consistent manner. The purpose of the compensation program is to attract, retain, and motivate employees.

Employees are recognized for their contributions through performance-based merit increases.

#### 5.1A SALARY RESOLUTION

The purpose of the Salary Resolution is to:

- attract and retain a workforce dedicated to excellence, thereby ensuring OCTA's ability to meet the present and future business objectives of the organization;
- maintain a salary program that will give maximum incentive to real accomplishments and compensate individuals on the basis of merit without discrimination, while providing necessary administrative control of salary costs; and
- provide salary structures that are internally equitable and externally competitive.

#### 5.1B SALARY STRUCTURE

The Salary Structure is designed to provide:

- salary grade ranges for classifications based upon the scope and level of responsibility of work performed in comparison to other work performed within OCTA, and in comparison to the external market; and
- salaries paid to employees that reflect the level of responsibilities of the classification and the performance of the individual.

#### 5.2 ADMINISTRATION OF COMPENSATION

The AA is responsible for the establishment of definitive guidelines for adjusting individual salaries and salary ranges. The development and administration of these guidelines may be delegated to appropriate staff.

PSR FY <del>2019</del>2020-<del>20</del>21 35 | P a g e

Within guidelines established by the AA, compensation adjustments may be given:

- as an increase to base pay; and
- in a lump sum payment.

The AA is authorized to adjust an incumbent's salary. The salary of each Executive employee will be determined by the CEO.

### 5.3 NEWLY HIRED/PROMOTED EMPLOYEES

An employee may be hired or promoted into a position at any salary within the range for the classification; such salary is to be determined based on individual qualifications. Approval by the Division Executive Director is required for starting salaries at or above the midpoint of the salary grade for external hires. Approval by the CEO is required for starting salaries at or above the midpoint of the salary grade for external hires in salary grade V or for employee salary increases over ten percent. All promotions and salary increases must have an effective date that is the first day of a pay period.

For new hires, after six months of employment, the employee's performance will be evaluated.

The performance of promoted employees may be evaluated after six months, as determined by the hiring manager prior to the job offer. The six-month review date is calculated from the beginning of the pay period in which they were promoted.

Subsequent performance reviews will be conducted annually on a common review date and merit increases may be authorized at that time.

#### 5.4 RECLASSIFICATIONS

When a position is changed to a different classification in a higher salary grade, a lower salary grade, or in the same salary grade, it will be considered a reclassification. This action is based on substantial changes in the kind, difficulty, and/or responsibility level of the duties performed. (Refer to the See Reclassification Policy).

Any employee in a position that is reclassified to a higher salary grade will be paid at least the minimum of the new salary grade. An employee in a position that is reclassified to a lower salary grade may have his/her salary reduced to the maximum of the new salary grade or with approval of the AA, may retain his/her salary paid prior to the reclassification.

PSR FY <del>2019</del>2020-<del>20</del>21 36 | P a g e

#### 5.5 CLASSIFICATION TITLES

All filled positions must have classification titles that are included in the PSR. The CEO or the Board may authorize the addition of new classification titles to the PSR and assign or authorize changes to classification salary grade assignments at any time during the year.

#### 5.6 MERIT ADJUSTMENTS

For fiscal year 2020-212019-20, a pool for merit-based salary increases may be established the total dollar amount of all merit increases granted pursuant to the provisions above shall not exceed four percent of the total budgeted salaries for administrative positions, based on the availability of financial resources, as approved authorized by the Board of Directors.

An employee may receive a merit increase based on his/her performance evaluation rating at the time of the common review unless the overall rating is "Does Not Meet Expectations."

Individual merit increases may vary in amount depending on performance.

An employee's performance may be reviewed at any time during the year as appropriate, but his/her salary may not be adjusted other than as provided in this PSR.

#### 5.7 SPECIAL PERFORMANCE AWARDS

The AA may authorize special performance awards for full time and part time employees based on individual employee performance. Each award will be a single lump sum payment and will not increase an employee's base salary. Employees who have not completed six months of employment are not eligible to receive a Special Performance Award. An employee may not receive over six percent of their total salary in Special Performance Awards per fiscal year.

For fiscal year 2020-212019-20, a special performance award pool may be established for administrative positions based on the availability of financial resources, as approved by the Board of Directors. the total dollar amount for all special performance awards granted pursuant to the provisions above shall not exceed four percent of the total budgeted salaries for positions authorized by the Board.

Should a special performance award pool be established, the AA may authorize special performance awards for full-time and part-time employees based on individual employee performance. Each award will be a single lump sum payment and will not increase an employee's base salary. Employees who have not completed six months of employment are not eligible to receive a Special Performance Award.

PSR FY <del>2019</del>2020-<del>20</del>21 37 | P a g e

#### 5.8 TEMPORARY ASSIGNMENTS

When an employee is temporarily assigned duties of a different position with the same or higher salary grade, the employee's salary may be increased by an amount not to exceed five percent per salary grade for the difference between the employee's current classification and the temporary assignment. Such increases may be made only in those instances where the assignment will last at least 30 days and will not, in any event, be paid for a period in excess of 180 days, without written authorization by the CEO. Temporary increases must be effective the first day of a pay period.

### **5.9 EQUITY ADJUSTMENTS**

The AA is authorized to adjust an incumbent's base salary to resolve a significant salary disparity manifested by internal salary compression, external market pressure(s), or both, whereby the individual is no longer appropriately compensated and a base salary adjustment is appropriate.

Equity adjustments should be used sparingly and should not be done in lieu of or in combination with, a promotion, reclassification, transfer, or merit adjustment. The types of situations in which an equity adjustment is appropriate include, but are not limited to:

- a. retention of critical staff;
- b. salary compression issues;
- c. impact of new hires whose hiring rate exceeds those of current staff;
- d. offer from another employer;
- e. assignment of more complex duties that do not meet the criteria for reclassification; and
- f. equity with peers in the same classification with similar education and experience levels.

Equity adjustments may not increase an incumbent's salary outside the specified salary range. Additionally, equity adjustments do not affect any established merit pool approved by the Board.

Equity adjustments may only be approved by the CEO.

PSR FY <del>2019</del>2020-<del>20</del>21 38 | P a g e

PSR FY <del>2019</del> <u>2020</u> - <u>2021</u> 39 | P a g e

## **SALARY GRADE STRUCTURE**

Grade	Period	Minimum	Midpoint	Maximum
С	Hourly	15.00	16.00	18.00
	Intern			

Grade	Period	Minimum	Midpoint	Maximum
F	Hourly	17.97	21.59	25.20
	Monthly	3,114.80	3,741.40	4,368.00
	Annual	37,377.60	44,896.80	52,416.00
	General Services Office Specialist	s Specialist, Assistant . Assistant		
	On-Board Evalu			

Grade	Period	Minimum	Midpoint	Maximum
G	Hourly Monthly Annual Customer Relations F	19.00 3,293.34 39,520.00 Representative	22.92 3,972.81 47,673.60	26.84 4,652.27 55,827.20

Grade	Period	Minimum	Midpoint	Maximum
Н	Hourly Monthly Annual	20.22 3,504.80 42,057.60	24.46 4,238.87 50,866.40	28.69 4,972.94 59,675.20
	Accounting Spe General Service Office Specialist Schedule Check	t ·		

PSR FY <del>2019</del>2020-<del>20</del>21 40 | P a g e

Grade	Period	Minimum	Midpoint	Maximum		
J	Hourly	21.43	26.03	30.63		
	Monthly	3,714.54	4,511.87	5,309.20		
	Annual	44,574.40	54,142.40	63,710.40		
	Customer Relations Representative, Senior					
	Digital/Reprographic Specialist					
	General Services Specialist, Senior					
	Marketing Specialist, Assistant					
	Office Specialist, Senior					
	Schedule Checker, Senior					
	Warranty Coordinator, Associate					
	•					

K Hourly 22.84 27.85 32.86  Monthly 3,958.94 4,827.34 5,695.74  Annual 47,507.20 57,928.00 68,348.80  Accounting Specialist Asset Management Administrator Buyer, Associate Digital/Reprographic Specialist, Senior Grants Technician Help Desk Technician, Associate HR Assistant	Grade	Period	Minimum	Midpoint	Maximum
IIIIIIIIIIIIII	K	Monthly Annual  Accounting Spectors Asset Managemore Buyer, Associate Digital/Reprogr Grants Technicia	3,958.94 47,507.20 cialist ent Administrator e aphic Specialist, Senior	4,827.34	5,695.74

PSR FY <del>2019</del>2020-<del>2021</del> 41 | P a g e

Grade	Period	Minimum	Midpoint	Maximum		
L	Hourly	24.70	30.28	35.85		
	Monthly	4,281.34	5,247.67	6,214.00		
	Annual	51,376.00	62,972.00	74,568.00		
	Accounting Specialist	, Senior				
	Administrative Specia	alist				
	Benefits Analyst, Asso	ociate				
	<b>Board Specialist</b>					
	Business Unit Analys	t, Associate				
	Claims Representativ	e, Associate				
	Code Administrator					
	Communications Spe					
	Community Relations					
	Contract Administrat					
	Creative Services Spe					
	Customer Relations S	pecialist, Associate				
	Executive Assistant I					
	External Affairs Adm					
	Fleet Analyst, Associa					
	-	pliance Specialist, Asso	ciate			
	Help Desk Technician					
		presentative, Associate	!			
	Intranet/Multimedia					
	LOSSAN Marketing S <sub>l</sub>					
	Marketing Specialist,					
	Pass Sales Coordinate					
	Records Administrate					
	Schedule Analyst, Ass					
	Service Planning Ana					
	Stops and Zones Analyst, Associate					
	Stops and Zones Planner, Associate					
	Section Supervisor I					
	Talent Acquisition Specialist, Associate					
	Transportation Fund	<u> </u>				
	Warranty Coordinato					
	Web Data Analyst, As	sociate				

PSR FY <del>2019</del> <u>2020</u> - <del>20</del> <u>20</u> 21 42 | P a g e

Grade	Period	Minimum	Midpoint	Maximum
М	Hourly Monthly Annual	27.13 4,702.54 56,430.40	33.26 5,764.21 69,170.40	39.38 6,825.87 81,910.40
	LOSSAN Accounting A LOSSAN Marketing Sp Marketing Specialist Payroll Administrator Program Managemen Programmer Analyst, Rail Maintenance-of- Records Administrator Section Supervisor II	e alyst, Associate t e Senior cialist s Specialist st, Associate cialist pecialist hnician, Associate specialist sociate specialist sociate specialist spe	ssociate	

PSR FY <del>2019</del> <u>2020</u> - <del>20</del> <u>20</u> 21 43 | P a g e

Grade	Period	Minimum	Midpoint	Maximum			
N	Hourly	29.85	36.60	43.34			
	Monthly	5,174.00	6,343.14	7,512.27			
	Annual	62,088.00	76,117.60	90,147.20			
	Accountant						
	Benefits Analyst						
	Bus Operations Super						
	Business Relations A						
	Business Unit Analys Clerk of the Board As						
	Compensation Analys						
	Contract Administrat						
	Creative Services Spe						
	Desktop Support Tec						
	Employee Relations I	Representative, Associa	te				
	Executive Assistant III						
	Field Administrator						
	Fleet Analyst						
	GIS Analyst, Associate Government Relations Representative, Associate						
	HR Business Partner,		ciate				
	Human Resources Re						
	Internal Auditor	F					
	Intranet/Multimedia	Specialist, Senior					
	IS Security Analyst, A	ssociate					
	Learning and Develop						
	LOSSAN Accounting A						
	LOSSAN Executive Administrative Assistant						
	Network Analyst, Ass Programmer Analyst						
	Project Controls Anal						
		Way Administrator, Ser	nior				
	Real Property Agent,						
	Schedule Analyst						
	Section Supervisor II	I					
	Security Access Admi						
	Service Planning Ana	-					
	Stops and Zones Anal						
	Stops and Zones Plan						
	Talent Acquisition Sp Transportation Analy						
		ing Analyst, Associate					
	-	eling Analyst, Associate					
	Web Data Analyst, Se						

PSR FY <del>2019</del> <u>2020</u> - <del>20</del> <u>20</u> 21 44 | P a g e

Grade	Period	Minimum	Midpoint	Maximum			
P	Hourly	33.09	40.42	47.74			
	Monthly	5,735.60	7,005.27	8,274.94			
	Annual	68,827.20	84,063.20	99,299.20			
	Business Computing Solutions Specialist, Associate						
	Business Intelligence						
	Business Systems Ana						
	Business Unit Analys	t, Principal					
	Buyer, Senior						
	Civil Engineer Claims Representativ	a Caniar					
	Communications Spe						
	Community Relations						
	Community Transpor	-					
	Creative Services Spe						
	Customer Relations S	_					
	Data Warehouse Arch						
	Desktop Support Tec	hnician, Senior					
	Employee Programs A	Administrator					
	Employee Relations F	-					
	Executive Assistant IV						
	Field Administrator, Senior						
	Financial Analyst						
	GIS Analyst	- D					
	Government Relation	s Representative ronmental Compliance	Chagialist				
	Human Resources Bu		Specialist				
	Human Resources Re						
			ior				
	Learning & Development Administrator, Senior LOSSAN Marketing Specialist, Senior						
	Maintenance Field Administrator						
	Maintenance Resource Analyst						
	Maintenance Instructor						
	Marketing Specialist, Senior						
	Program Managemen	t Analyst					
	Real Property Agent						
	Schedule Analyst, Ser						
	Section Supervisor IV Security Systems Adn						
	Stops and Zones Anal						
	Systems Software An						
	Talent Acquisition Sp						
	Telecommunications						
	Telecommunications Technician						
	Transportation Analyst						
	Transportation Fund						
	Transportation Mode						
	Web Developer						
	Wellness Coordinator						
	Worker's Compensati	ion Program Specialist					

PSR FY <del>2019</del>2020-<del>20</del>21 45 | P a g e

Grade	Period	Minimum	Midpoint	Maximum								
Grade	Perioa	Minimum	Miapoint	Maximum								
R	Hourly	36.68	45.00	53.32								
	Monthly	6,357.87	7,800.01	9,242.14								
	Annual	76,294.40	93,600.00	110,905.60								
	Accountant, Senior											
	Benefits Analyst, Ser											
	Business Computing											
	Business Intelligence	-										
	Business Systems Ar											
	Communications Spe											
		s Specialist, Principal										
		rtation Coordinator, S	enior									
	Compensation Analy											
	Contract Administra Database Administra											
		Representative, Senio	•									
	Executive Assistant	•										
	Facilities Maintenan											
	Financial Analyst, Se	-										
	Fleet Analyst, Senior											
	GIS Analyst, Senior											
		ns Representative, Sen	ior									
		ironmental Complianc										
Human Resources Business Partner, Senior												
	Inventory Analyst											
	IS Project Manager I											
	IS Security Analyst											
	LOSSAN Accounting	Analyst, Senior										
	LOSSAN Marketing S	Specialist, Principal										
	LOSSAN Transportat											
	-	tion Funding Analyst, S	<u>Senior</u>									
	Maintenance Field Administrator, Senior											
Maintenance Instructor, Senior Maintenance Planner Maintenance Resource Analyst, Senior												
							Maintenance Supervisor					
							Marketing Specialist					
	Materials Manageme	ent Planner										
	Network Analyst OCTAP Administrato	\r										
	Operations Analyst,											
	Program Manageme	-										
	Project Controls Ana											
	Project Manager I	nyst, semoi										
	Revenue Administra	tor										
	Section Manager I											
	J	ministrator. Senior										
	Security Systems Administrator, Senior Service Planning Analyst, Senior											
	Talent Acquisition S											
Transit Project Manager I												
	Transportation Anal											
	Transportation Fund											
	Transportation Mod											
	Web Developer, Seni											

PSR FY <del>2019</del>2020-<del>2021</del> 46 | P a g e

Grade	Period	Minimum	Midpoint	Maximum					
S	Hourly	41.20	50.53	59.85					
	Monthly Annual	7,141.34 85,696.00	8,757.67 105,092.00	10,374.00 124,488.00					
	Alliluai	65,696.00	105,092.00	124,400.00					
	A	. 1							
		Accountant Principal Assistant Base Manager							
	Benefits Analys								
		uting Solutions Specialis	t. Senior						
		gence Analyst, Senior	9, 5011101						
		ns Analyst, Principal							
	Civil Engineer, S								
	Claims Manager								
		nsportation Coordinator	r, Principal						
		Analyst, Principal							
		fety Specialist, Principal							
	Data Warehouse Architect								
	Database Administrator, Senior								
	Emergency Management Specialist Employee Relations Representative, Principal								
	Financial Analy	•	nerpui						
		lations Representative, l	Principal						
	GIS Analyst, Pri	ncipal	•						
		Environmental Complia	ance Specialist, Principa	al					
	Internal Audito								
	IS Project Mana		D : 1						
	_	elopment Administrator	-						
		ting and Communication Fortation Analyst, Princip	<u> </u>						
		eld Administrator, Princi							
	Network Analys		ipai						
		gement Analyst, Principa	l						
	Programmer Ar								
		s Analyst, Principal							
	Project Manage								
	Real Property A								
	Section Manager II								
	SharePoint Syst								
	Systems Software Analyst Transit Project Manager II								
		Manager II Analyst, Principal							
	•	Funding Analyst, Princip	nal						
	_	Modeling Analyst, Princ							
	Web Developer								

PSR FY <del>2019</del>2020-<del>20</del>21 47 | P a g e

Grade	Period	Minimum	Midpoint	Maximum		
Т	Hourly	46.29	56.66	67.02		
	Monthly	8,023.60	9,820.20	11,616.80		
	Annual	96,283.20	117,842.40	139,401.60		
	Analysis Project Manager					
	Base Manager					
		Solutions Specialist, Le	ead			
	Civil Engineer, Princ	•				
	Construction Safety Section Manager					
	Contract Administrator, Principal					
	Data Warehouse Architect, Senior					
	Database Administrator, Principal					
	Deputy Treasurer					
	Internal Auditor, Pri	ncipal				
	IS Business Strategis	st				
	IS Enterprise Archite	ect				
	IS Project Manager I	II				
	IS Security Analyst,	Senior				
	LOSSAN Equipment	and Mechanical Manage	er			
	Operations Project N	Manager				
	Project Manager III					
	Rail Systems Safety					
	Real Property Agent	, Principal				
	Section Manager III					
	Service Planning Analyst, Principal					
	SMS Program Manager					
	Streetcar Program Manager					
	Systems Software A	•				
	Transit Project Mana	ager III				

Grade	Period	Minimum	Midpoint	Maximum		
U	Hourly Monthly	53.09 9,202.27	65.30 11,318.67	77.51 13,435.07		
	Annual 110,427.20 135,824.00 161,220.80					
	Data Warehouse Architect, Principal					
	Internal Audit, Senior Manager					
	IS Project Manager, Senior					
	LOSSAN Planning and Analysis Manager					
	LOSSAN Project Manager, Senior					
	Project Manager, Senior					
	Section Manager, Senior					
	Strategic Plan Administrator					

PSR FY <u>2019</u>2020-2021 48 | P a g e

Grade	Period	Minimum	Midpoint	Maximum		
V	Hourly	61.59	74.79	87.99		
	Monthly	10,675.60	12,963.60	15,251.60		
	Annual	128,107.20	155,563.20	183,019.20		
	Communications Manager					
	Department Manager					
	LOSSAN Deputy Managing Director					
	LOSSAN Finance and Administration Manager					
	LOSSAN Operations Compliance and Safety Manager					
	LOSSAN Program Manager					
	LOSSAN Strategic Planning and Customer Experience Programming & Grants Manager					
	Program Manag	ger				

Grade	Period	Minimum	Midpoint	Maximum
W	Hourly Monthly Annual Department Manager Program Manager, Se		83.35 14,446.47 173,357.60	99.86 17,309.07 207,708.80

PSR FY <del>2019</del>2020-<del>2021</del> 49 | P a g e

### **GLOSSARY OF TERMS**

ADMINISTRATIVE EMPLOYEE	Any employee of OCTA not covered by a collective bargaining agreement.
APPOINTING AUTHORITY	The CEO; he/she may delegate this responsibility.
AT-WILL EMPLOYMENT	An employee's employment status may be changed, including, but not limited to, termination separation of employment, by OCTA or the employee, at any time for any reason.
BOARD	The Board of Directors of OCTA.
CATASTROPHIC LEAVE	An extended leave due to an employee's own serious illness or medical condition, or that of an immediate family member where the employee is the primary caregiver, that incapacitates the employee and where the employee is expected to use up his/her entire accrued leave.
CLASSIFICATION OR CLASSIFICATION TITLE	The title that identifies the type of work being performed by one or more incumbents in a position.
DOMESTIC PARTNER	A domestic partnership is established in California when both persons file a Declaration of Domestic Partnership with the Secretary of State. A domestic partner is further defined by California's Family Code, Section 297-297.5.
ELIGIBLE DEPENDENT	Spouse, registered domestic partner, and dependent children up to the age 26.
EQUITY INCREASE	An adjustment to an employee's base salary to resolve a significant salary disparity manifested by internal salary compression, external market pressure(s), or both, whereby the individual is no longer appropriately compensated and a base salary adjustment is appropriate.

PSR FY <del>2019</del>2020-<del>20</del>21 50 | P a g e

EXECUTIVE EMPLOYEE	An employee classified as CEO, Deputy CEO, COO, CFO, Executive Director, Director, and General Manager.
EXEMPT EMPLOYEE	An employee in a position that is not covered under the provisions of the FLSA regarding minimum wage, overtime, maximum hours, and recordkeeping.
EXTRA-HELP EMPLOYEE	An employee hired to serve as part-time augmentation of staff in which the duty or task defined generally requires less than 20 hours of work per week and no more than 1,000 work hours within a continuous 12-month period. An extra-help employee is not eligible for employee benefits.
FULL-TIME EMPLOYEE	An administrative employee in a position with a normal workweek that totals at least 40 hours.
INTERN	An employee enrolled as a full-time student at a two- or four-year college or university pursuing a course of study that will lead to an undergraduate or graduate degree, or a recent graduate, in a field of study applicable to the hiring department's specialty. The intern provides assistance to departments by performing a variety of duties related to the intern's career field. Guidelines for extra-help employees also apply to interns.
NON-EXEMPT EMPLOYEE	An employee in a position that is covered under the provisions of the FLSA regarding minimum wage, overtime, maximum hours, and record keeping.
PART-TIME EMPLOYEE	An administrative employee in a position with a normal workweek that totals at least 20 hours but not more than 39 hours, and not more than 1040 hours annually.
POSITION	Full-time and part-time positions in the Board-approved fiscal year budget.
PROMOTION	Movement of an employee from one position to a different position in a higher salary grade through the recruitment process.
PROMOTION – "IN-FAMILY"	Movement of an employee through recruitment to a similar position within the same specialty or "family" series. The duties performed are similar in nature and they continue to be reviewed during the Annual Performance Review Cycle.

PSR FY <del>2019</del> <u>2020</u> - <u>2021</u> 51 | P a g e

RECLASSIFICATION	When a position is changed to a different classification in a higher, lower, or the same salary grade, as a result of an evaluation process.
REHIRE	To employ someone who previously separated his/her employment with OCTA (normally following a voluntary resignation) without restoring prior service.
REINSTATE	To return, within six months, an employee, previously separated due to layoff, to active employment with OCTA and to restore prior service and benefit eligibility, with no formal break in service. Vacation, sick, and holiday hours for which the employee was paid at the time of separation are not restored. (This action is unrelated to retirement service credit).
SALARY RANGE	The minimum and maximum of the salary grade for a position. It is based upon the scope and responsibility of work performed in comparison with other work performed within OCTA and in comparison with the competitive labor market.
TEMPORARY HELP	A person acquired through a temporary help agency to perform work on a limited term basis, not an OCTA employee.
TRANSFER	When an employee retains the same job title and work responsibilities but is moved from one location or section/department to a different location or section/department.

PSR FY <del>2019</del> <u>2020</u> - <u>2021</u> 52 | P a g e

### **ALPHABETICAL INDEX**

PARAGRAPH	HEADING	PAGE
4.7C	ADDITIONAL RETIREE BENEFIT ACCOUNT (ARBA) PLAN	20
5.2	ADMINISTRATION OF COMPENSATION	27
3.4	ALTERNATIVE WORK SCHEDULES	11
2.2	APPROVAL AUTHORITY FOR EMPLOYEE ACTIONS	7
2.1	AT-WILL EMPLOYMENT	7
4.6A	AUTOMOBILE ALLOWANCE AND ASSIGNMENT OF AUTOMOBILES	18
4.8B	BEREAVEMENT LEAVE	21
4.1	BOARD MEMBER BENEFITS	13
4.1A	BOARD MEMBER BENEFITS ELIGIBILITY	13
4.1B	BOARD MEMBER DEFERRED COMPENSATION	13
	BOARD MEMBER LIFE INSURANCE AND SUPPLEMENTAL LIFE	
4.1D	INSURANCE	13
4.1E	BOARD MEMBER REIMBURSEMENT OF EXPENSES	14
4.1C	BOARD MEMBER RETIREMENT PLAN	13
4.8C	CATASTROPHIC LEAVE DONATIONS	21
5.5	CLASSIFICATION TITLES	29
4.3E	COBRA AND CONTINUED COVERAGE	15
2.3	COMPENSATION	7
5	COMPENSATION	27
5.1	COMPENSATION PHILOSOPHY	27
4.3F	CONTINUATION OF HEALTH BENEFITS FOR RETIREES	16
4.7A	DEFERRED COMPENSATION	19
4.3C	DISABILITY INSURANCE	15
4.6B	EDUCATIONAL REIMBURSEMENT PROGRAM	18
2.8	ELIMINATION OF POSITIONS AND WORKFORCE REDUCTIONS	8
4	EMPLOYEE BENEFITS	13
4.4A	EMPLOYEE RECREATION ASSOCIATION	16
4.4B	EMPLOYEE USE OF TRANSPORTATION SYSTEM	16
2	EMPLOYMENT	7
5.9	EQUITY ADJUSTMENTS	30
3	EXEMPT AND NON-EXEMPT EMPLOYEE, WORKWEEK, SCHEDULES, OVERTIME AND MAKE-UP TIME	10
3.1	EXEMPT EMPLOYEES	10
	GLOSSARY OF TERMS	41
4.2	GRANDFATHERED BENEFITS	14
4.2A	GRANDFATHERED LEAVE	14
4.2B	GRANDFATHERED RETIREMENT	14
4.3A	HEALTH INSURANCE	14
4.3	HEALTH, LIFE, AND DISABILITY INSURANCE BENEFITS	14
4.8D	HOLIDAYS AND PERSONAL PAID HOLIDAYS	22

PSR FY <del>2019</del> <u>2020</u> - <del>20</del> 21 53 | P a g e

### **ALPHABETICAL INDEX**

PARAGRAPH	HEADING	PAGE
4.81	VACATION SELLBACK	25
1.2	HUMAN RESOURCES POLICIES AND PROCEDURES	6
2.4	INTERNSHIPS	7
4.8E	JURY DUTY	22
2.8A	LAYOFF BENEFITS	8
2.8B	LAYOFF SEVERANCE PAY	9
4.5	LEAVES OF ABSENCE	17
4.3B	LIFE INSURANCE AND SUPPLEMENTAL LIFE INSURANCE	15
3.6	MAKE-UP TIME	12
5.6	MERIT ADJUSTMENTS	29
4.4C	MILEAGE REIMBURSEMENT	16
4.4	MISCELLANEOUS BENEFITS	16
5.3	NEWLY HIRED/PROMOTED EMPLOYEES	28
3.2	NON-EXEMPT EMPLOYEES	10
4.4D	OUT-OF-POCKET EXPENSES	16
2.5	OUTSIDE EMPLOYMENT ACTIVITIES	7
3.5	OVERTIME	11
2.6	PERFORMANCE PLANNING AND REVIEW PROGRAM	8
4.5A	PERSONAL LEAVE	17
4.4E	PROFESSIONAL LICENSES AND CERTIFICATES	17
1	PURPOSE AND PROCEDURES	6
1.1	PURPOSE OF PERSONNEL AND SALARY RESOLUTION	6
5.4	RECLASSIFICATIONS	28
4.4F	RECOGNITION AND AWARD PROGRAMS	17
4.6	REIMBURSEMENTS AND ALLOWANCES	18
2.7	RELOCATION EXPENSES	8
4.7B	RETIREMENT	20
4.7	RETIREMENT AND DEFERRED COMPENSATION	19
4.6E	SAFETY SHOES	19
	SALARY GRADE STRUCTURE	31
5.1A	SALARY RESOLUTION	27
5.1B	SALARY STRUCTURE	27
4.8F	SICK LEAVE	23
4.8G	SICK LEAVE SELLBACK	24
5.7	SPECIAL PERFORMANCE AWARDS	29
4.3D	SURVIVOR BENEFIT	15
4.6C	TABLET PURCHASE REIMBURSEMENT PROGRAM	19
5.8	TEMPORARY ASSIGNMENTS	29
4.8	TIME OFF	21
4.8A	TIME OFF ACCRUALS	21
4.6D	UNIFORMS	19

PSR FY <del>2019</del>2020-<del>20</del>21 54 | P a g e

### **ALPHABETICAL INDEX**

PARAGRAPH	HEADING	PAGE
4.8H	VACATION	25
4.81	VACATION SELLBACK	25
3.3	WORKWEEK	10

PSR FY <del>2019</del>2020-<del>20</del>21 55 | P a g e

### ORANGE COUNTY TRANSPORTATION AUTHORITY LICENSING AND MAINTENANCE AGREEMENTS **SOLE SOURCE LIST - FISCAL YEAR 2020-21**

### **The Standard Contracts**

Vendor Name	Software / Hardware Product	Sole Source Budgeted FY Amount 20/21		•		Owner
1st Run Computer Services	ECM Scanner Maintenance	\$	30,000	\$	28,000	Lloyd Sullivan
Agile Access Control	Fleet Commander-Cloud based motor pool management system	\$	40,000	\$	40,000	Lloyd Sullivan
Anderson Howard	AV Maintenance and Support	\$	36,000	\$	12,000	Ron Wolf
Carahsoft	Security Information and Event Management Services (SIEM)	\$	225,000	\$	240,000	Michael Cardoza
Citrix	XenDesktop, XenApp, Access Gateway, Citrix Repeater Plug-in, Premier Support	\$	60,000	\$	57,252	Michael Beerer
Clever Devices	Ridecheck Plus, Replaced PCR	\$	60,000	\$	56,000	Tom Young
Computer SOS	Point of Sale Web Site Hosting	\$	35,000	\$	31,000	Tom Young
Dun & Bradstreet, Inc.	Business Credit Reporting	\$	68,000	\$	66 000	Laura Foster
Ecointeractive	OCfundTrAcker Subscription Service	\$	180,000	\$		Ben Ku
ESRI	ARC INFO / Arcview	\$	30,000	\$	23,000	Michael Beerer
Giro	Map / HASTUS / Vehicle/ Crew/ Crew Opt/ Roster/ Minbus/ ATP/ Interface Program/ Geo Hastus Map/ Hastinfo/ Hastinfo - Web/DailyVehicle/DailyCrew/Bid/BidWeb/ SelfService/EPM/Bing/ plus annual hosting fees.	\$	400,000	\$	260,000	Tom Young
Granicus	Hosting Services for Granicus Board and Committee meeting webcasts for OCTA and LOSSAN	\$	50,000	\$	46,000	Tom Young
GovQA/WebQA	Hosting and Maintenance for Public Records Request and Subpoena apps	\$	85,000	\$	75,000	Tom Young
Halogen	Performance Management Application	\$	125,000	\$	125,000	Karen DeCrescenzo
Harris Insite Telecom	ITMS Fixed Radio Components	\$	60,000	\$	60,000	Michael Beerer
Informatica	PowerCenter SE (4-7) & Partitioning Option (4-7)	\$	120,000	\$	120,000	Lloyd Sullivan
ICIMS	Applicant Tracking Application	\$	125,000	\$	125,000	Karen DeCrescenzo
Intellitime	Electronic Timesheet, Annual Hosting, Maintenance ans Support	\$	65,000	\$	50,000	Tom Young
Kronos	Workforce Connect Software & Hardware; Annual Hosting, V8 On-Prem upgrade, Migration to Saas, Training Maintenance and Support.	\$	125,000	\$	83,300	Tom Young
March Networks	OBVSS Maintenance and Administration Contract	\$	1,300,000	\$	1,100,000	Michael Beerer
McLean	Employee engagement, pulse, and exit surveys	\$	30,000	\$	30,000	Karen DeCrescenzo
MHC Software, Inc. AKA Safeguard	Check Printing Software, W2 and1099 Printing, ACA Reporting.	\$	50,000	\$	30,000	Cherie Finona and Karen DeCresenzo
Moovel	Transit Mobile Ticketing Application	\$	160,000	\$	150,000	Isaac Herrera
Oracle	Oracle Annual Software Support and Maintenance & Training	\$	300,000	\$	300,000	Michael Beerer
Payscale	HR contracted salary research service	\$	30,000	\$	30,000	Lynn Huson
Salesforce AKA ExactTarget	Proprietary Platform for Email and Text Messaging Services and Customer Relations Case Management				<del></del>	Ryan Armstrong

4/21/2020 3:49 PM

### **The Standard Contracts**

Vendor Name	Software / Hardware Product	Source nount	Bu	dgeted FY 20/21	Owner
Santa Catalina Conservancy	Catalina radio frequency site, and service	\$ 50,000	\$	50,000	Barry Reynolds
SAP America, Inc. (Previously Business Objects)	Annual Maint & Support for Crystal and BO WEBI	\$ 60,000	\$		Lloyd Sullivan
Sprinklr	Social media management system for advertising, tracking and reporting marketing programs	\$ 53,000	\$	53,000	Ryan Armstrong
SPX Corp.	Annual support services for GFI Genfare.	\$ 74,000	\$	70,000	Tom Young
Swiftly	Predictive Data analytics for improved real time Bus arrival information and Text 4 Next.	\$ 250,000	\$	225,000	Lloyd Sullivan
Talentwise	Hosted Onboarding Solution	\$ 35,000	\$	35,000	Karen DeCrescenzo
Trackit	Training assignment and evaluator software	\$ 30,000	\$	25,000	Tom Young
Trapeze Software Group	Trapeze EZ Wallet, Drivermate, Trapeze Pass 4, IVR Confirm/Cancel & Real-time & Call back & Trip booking & Gateway & Viewpoint & Map Maker & Eligibility Suite(Pass-Cert) & Srv Infractions(Pass-SUS) & 2 MDT-MON/MDC Software & Hardware with Map Maker and VoiceGenie, PASS-MON-SPV up to 12 Paratransit vehicles, Trapeze 14 ODB & DCC 14 Units, ViewPoint for PASS, SUS -Trip Broker Trip Licensing; PASS- MON Vehicle (MDT); PASS Trapeze User Licenses - Work Stations; Maps & Service Area Polygons; Trapeze Web - Online Booking; Trapeze Viewpoint - Dashboard.	\$ 600,000	\$	575,000	Tom Young
Trinet	CAMMNET Support	\$ 80,000	\$	80,000	Neal Johnson
TripSpark	Vanpool: RidePro, RidePro Mobile App	\$ 30,000	\$	24,000	Tom Young
Virtual Consulting	Crystal, Business Objects, and Java support for DataWarehouse and OTS systems. Annual maintenance and support for Qlikview licenses.	\$ 120,000	\$	120,000	Lloyd Sullivan
Conduent (aka Xerox Corporation)	Annual Maint & Support for ITMS	\$ 560,000	\$	548,000	Michael Beerer
XenaTech Software Integration Service LLC	Motorist Services Hosting and maintenance for Freeway Service Patrol's LATATrax / InteliTraxx system	\$ 38,000	\$		Patrick Sampson
Xerox Corporation	Xerox maintenance, printing equipment, software, parts and supplies	\$ 375,000	\$	300,000	Sara Belovsky

Subtotal \$ 6,569,000 \$ 5,935,552

2 4/21/2020 3:49 PM

#### **The Standard Contracts**

### Vendor Name Software / Hardware Product Am With Emergency Support

Sole Source Budgeted FY Amount 20/21

Owner

(The vendors listed below have been detailed to reflect the cost of the emergency support that is required for these vendors. This support is not covered in the basic contract. It will be used for emergency support during after hours, weekends & holidays.)

Central Square/ Finance Enterprise  3.1  Annual maintenance and support for IFAS aaplication Emergency support on an as-needed basisi with no guaranteed usage  Ellipse Interface Support  \$25,000 \$20,000						
Lawson HR/Payroll software & Lawson Business Intelligence \$ 180,000 \$ 134,000 Educational Services - Lawson Learning Suite subscription (CloudSuite) \$ 5,000 \$ 4,400 Ellipse Software Hosting Maintenance \$ 275,000 \$ 250,000 Tom Young Ellipse Emergency Support \$ 25,000 \$ 25,000 Tom Young Ellipse Emergency Support \$ 25,000 \$ 25,000 Tom Young Ellipse Emergency Support \$ 25,000 \$ 25,000 Tom Young Ellipse Emergency Support \$ 25,000 \$ 25,000 Tom Young Ellipse Emergency Support \$ 25,000 \$ 25,000 Tom Young Ellipse Emergency Support Sayare Finance Enterprise Annual Maintenance Fee TEST: IFAS - MKS Connectivity Suite Maintenance MicroFocus Server Express Runtime Annual Maintenance Fee MicroFocus Server Express Runtime COBOL NetExpress 3.1 Annual maintenance and support for IFAS aaplication Emergency support on an as-needed basisi with no guaranteed usage \$ 140,000 \$ 135,000 Emergency Support Malware. \$ 50,000 \$ 20,000 Ellipse Interface Support \$ 50,000 \$ 50,000 Michael Beerer Emergency Support \$ 20,000 \$ 20,000 Emergency Support \$ 20,000 \$ 20,000 Emergency Support \$ 20,000 \$ 20,000 Emergency Support \$ 85,000 \$ 85,000 Emergency Support \$ 85,000 Emergency Support \$ 85,000 Emerg			\$ 55,000	\$	50,000	
Lawson HR/Payroll software & Lawson Business Intelligence   Educational Services - Lawson Learning Suite subscription (CloudSuite)   \$ 180,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 134,000   \$ 1	Infor (US). Ciber	Certified on-call support	\$ 5,000	\$	4,000	Tom Young
Lawson Learning Suite subscription (CloudSuite) \$ 5,000 \$ 4,400    Bellipse Software Hosting \$ 400,000 \$ 261,000 \$ 250,000    Maintenance \$ 275,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,000 \$ 250,00	(0 = ), 0		\$ 180,000	\$	134,000	J
ABB/Ventyx  Maintenance Ellipse Emergency Support  ONESolution Enterprise Core SQL-SQL-IFAS Maintenance MKS SQL Annual Maintenance Fee TEST: IFAS - MKS Connectivity Suite Maintenance MicroFocus Server Express Runtime Annual Maintenance Fee OS and TEST: QS - MicroFocus Runtime COBOL NetExpress 3.1 Annual maintenance and support for IFAS aaplication Emergency support on an as-needed basisi with no guaranteed usage  Ellipse Interface Support  Emergency Support. Malware.  Hewlett Packard Enterprise  Konica Minolta  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  \$ 275,000 \$ 25,000  Tom Young  Tom Youn			\$ 5,000	\$	4,400	
ABB/Ventyx  Maintenance Ellipse Emergency Support  ONESolution Enterprise Core SQL-SQL-IFAS Maintenance MKS SQL Annual Maintenance Fee TEST: IFAS - MKS Connectivity Suite Maintenance MicroFocus Server Express Runtime Annual Maintenance Fee OS and TEST: QS - MicroFocus Runtime COBOL NetExpress 3.1 Annual maintenance and support for IFAS aaplication Emergency support on an as-needed basisi with no guaranteed usage  Ellipse Interface Support  Emergency Support. Malware.  Hewlett Packard Enterprise  Konica Minolta  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  \$ 275,000 \$ 25,000  Tom Young  Tom Youn		Ellipse Software Hosting	\$ 400,000	\$	261,000	
ONESolution Enterprise Core SQL-SQL-IFAS Maintenance MKS SQL Annual Maintenance Fee TEST: IFAS - MKS Connectivity Suite Maintenance MicroFocus Server Express Runtime Annual Maintenance Fee OS and TEST: QS - MicroFocus Runtime COBOL NetExpress 3.1 Annual maintenance and support for IFAS aaplication Emergency support on an as-needed basisi with no guaranteed usage    Solution   Solution	ABB/Ventyx	, ,	275,000			Tom Young
MKS SQL Annual Maintenance Fee TEST: IFAS - MKS Connectivity Suite Maintenance MicroFocus Server Express Runtime Annual Maintenance Fee OS and TEST: QS - MicroFocus Runtime COBOL NetExpress 3.1 Annual maintenance and support for IFAS aaplication Emergency support on an as-needed basisi with no guaranteed usage  \$ 140,000 \$ 135,000 Ellipse Interface Support  Coastline Consulting Services AKA CISOShare  Hewlett Packard Enterprise Hewlett-Packard Computers Maintenance Emergency Support  Konica Minolta  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenance Emergency Support  Nintex, Collabware, Kofax, Valo & Esign maintenanc	•	Ellipse Emergency Support	\$ 25,000	\$	25,000	
AKA CISOShare Emergency Support. Malware. \$ 50,000 \$ 50,000 \$ 50,000 \$ Howelt Packard Enterprise Emergency Support \$ 180,000 \$ 97,400 \$ Michael Beerer \$ 20,000 \$ 20,000 \$ Emergency Support \$ 100,000 \$ 85,000 \$ Lloyd Sullivan \$ 100,000 \$ 185,000 \$ Lloyd Sullivan \$ 100,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 185,000 \$ 18	·	MKS SQL Annual Maintenance Fee TEST: IFAS - MKS Connectivity Suite Maintenance MicroFocus Server Express Runtime Annual Maintenance Fee OS and TEST: QS - MicroFocus Runtime COBOL NetExpress 3.1 Annual maintenance and support for IFAS aaplication Emergency support on an as-needed basisi with no guaranteed usage	,	-	,	Tom Young
Emergency Support	Coastline Consulting Services AKA CISOShare	Emergency Support. Malware.	\$ 50,000	\$	50,000	Lloyd Sullivan
Konica Minolta Nintex, Collabware, Kofax, Valo & Esign maintenance \$ 100,000 \$ 85,000 Lloyd Sullivan \$ 185,000	Hewlett Packard Enterprise		,		,	Michael Beerer
Emergency Support \$ 185,000 \$ 185,000 Lloyd Sullivan			 ,		,	
	Konica Minolta	, , , ,				Lloyd Sullivan
	Microsoft AKA CompuCom					Lloyd Sullivan

**Subtotal** \$ 1,795,000 \$ 1,470,800

Grand Total of Contracts \$ 8,364,000 \$ 7,406,352

3 4/21/2020 3:49 PM

# Public Hearing on Orange County Transportation Authority's Fiscal Year 2020-21 Budget and Personnel and Salary Resolution



## **Budget Themes**

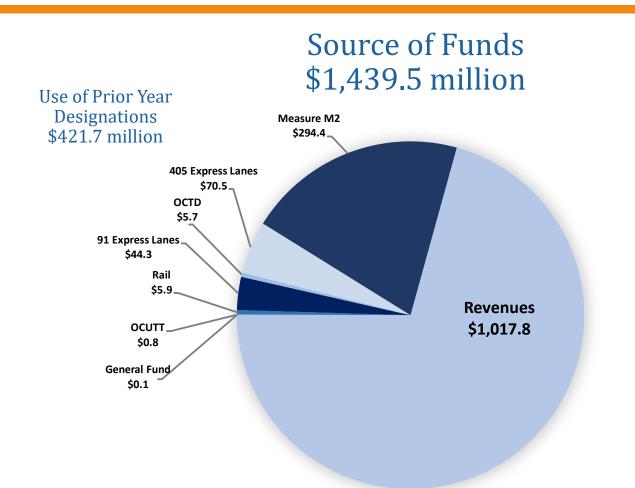
- Conservative budget planning due to novel coronavirus (COVID-19) economic uncertainty
- CARES\* Act funds available for transit operations programs
- Demand-based approach to restore up to 1.6 million hours of OC Bus Service
- Continuation of Measure M2 Next 10 Plan
- Three-month extension for Metrolink Service
- 91 Express Lanes anticipate a reduction in trips to 10.9 million
- No new positions or new initiatives added to budget

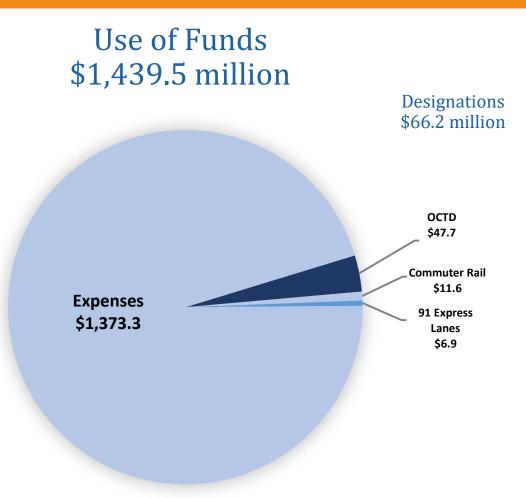
<sup>\*</sup>Coronavirus Aid, Relief, and Economic Security Act

## COVID-19 Impacts

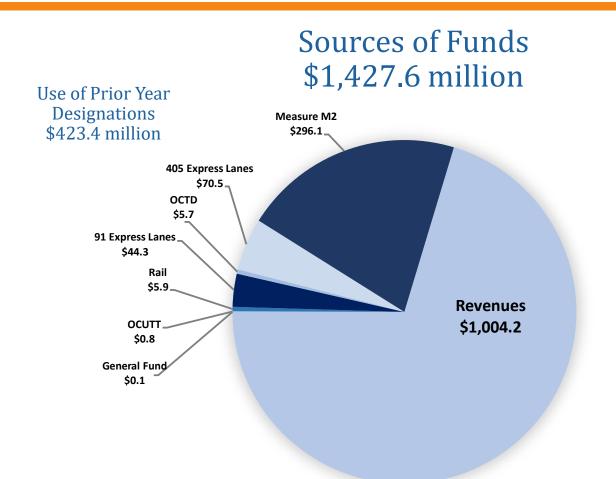
- Response and planning for short-term and long-term impacts
- Long-standing conservative fiscal policies and reserves beneficial to weather volatility
- Severe declines expected in top sales-tax generators, recovery time unknown
- Additional economic recovery packages possible: federal and state
- Closely monitor financial markets for potential impacts
- Continuous analysis and flexibility key, with amendments likely

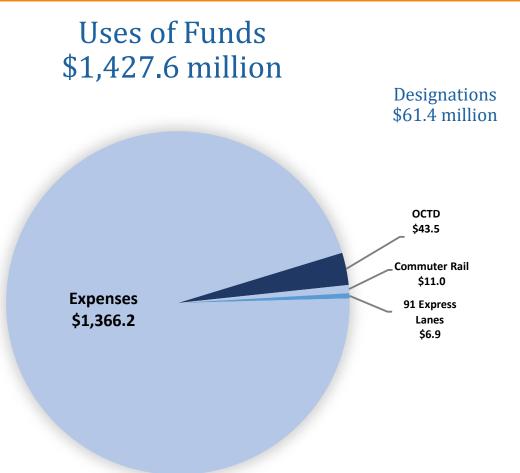
## Budget Overview - Budget Workshop Proposed





## Budget Overview – Current Proposed





## Budget Adjustments – Sources and Uses

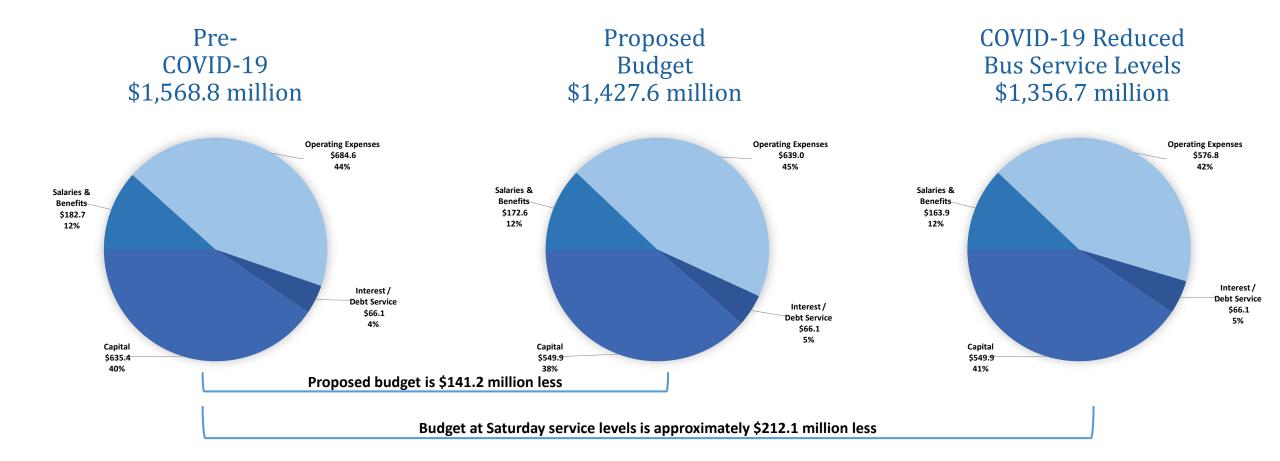
In	N	۱i	Пі	in	ne
	ıv			v	из

Sources	Adjι	ıstment
Revenue		
Local Transportation Fund (LTF) Sales Tax	\$	(7.8)
Local Transportation Authority (LTA) Sales Tax		(7.3)
State Transit Assistance Fund (STAF)		(5.6)
Road Repair and Accountability Act Operating		(4.8)
Road Repair and Accountability Act Capital		0.7
Use of Prior Year Designations		1.6
Coronavirus Aid, Relief, and Economic Security (CARES) Act		11.3
Total Revenues	\$	(11.9)

#### In Millions

Uses	<b>Adj</b> u	ıstment
Expenses		
Designations	\$	(4.8)
Salaries and Benefits		(4.6)
Local Fair Share		(1.2)
Local Transportation Fund (LTF) Administration Fees and Contributions		(0.5)
Travel and Training		(0.4)
Local Transportation Authority (LTA) Administration Fees		(0.3)
Senior Mobility Program and Senior Non-Emergency Medical Transportation		(0.1)
Total Expenses	\$	(11.9)

## COVID-19 Budget Reductions



# Budget Sources & Uses

	FY	2019-20	FY 2	020-21			
In Millions	Ap	proved	Prop	osed	Ch	ange	Change
Sources	Bu	dget	Budg	get	\$		%
Revenues	\$	1,159.8	\$ 1	,004.2	\$	(155.6)	-13.4%
Use of Prior Year Designations		365.4		423.4		58.0	15.9%
<b>Total Revenue / Use of Designations</b>	\$	1,525.2	\$ 1	,427.6	\$	(97.6)	-6.4%
Uses							
Salaries and Benefits	\$	169.7	\$	169.9	\$	0.2	0.1%
LOSSAN Salaries and Benefits		2.7		2.7		-	0.0%
Services and Supplies		373.6		405.3		31.7	8.5%
Contributions to Other Agencies		169.7		172.3		2.6	1.5%
Interest/Debt Service		59.0		66.1		7.1	12.0%
Capital		667.8		549.9		(117.9)	-17.7%
Designations		82.7		61.4		(21.3)	-25.8%
<b>Total Expenditures / Designations</b>	\$	1,525.2	\$ 1	,427.6	\$	(97.6)	-6.4%

# Staffing Levels

	FY 2019-20	FY 2020-21
	Full-time	Full-time
OCTA Staffing	Equivalent	Equivalent
Administrative	498.5	498.5
Union	834.0	834.0
Coach Operators	634.0	634.0
Maintenance	163.0	163.0
Facility Technicians and Parts Clerks	37.0	37.0
OCTA Positions	1,332.5	1,332.5
LOSSAN	14.0	14.0
Total Authority Positions	1,346.5	1,346.5

## Recommendations

- Approve by Resolution the Orange County Transportation Authority's Fiscal Year 2020-21 budget
- Approve the Personnel and Salary Resolution for Fiscal Year 2020-21
- Authorize the Chief Executive Officer to negotiate and execute the software and hardware licensing, maintenance, and emergency support purchase orders and/or agreements
- Approval of fiscal year 2020-21 Orange County Transportation Authority member agency contribution to the Southern California Regional Rail Authority, first quarter operating subsidy, in an amount up to \$7,274,000

# Next Steps

• Back-up Public Hearing – Board of Directors (public hearing and approval)

June 22

### 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 May 22, 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.

#### Roll Call

The Clerk of the Board conducted an attendance Roll Call and announced there was quorum of the Board of Directors (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

Ryan Chamberlain, District Director

California Department of Transportation District 12

Director Absent: None

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 Chaffee 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.

A lengthy discussion ensued regarding requiring bus passengers to wear a face cover, and several Board Members provided their concerns and suggestions. Mr. Johnson highlighted the State's and Federal Transit Administration's face cover requirements along with OCTA's efforts to help prevent the spread of COVID-19 by promoting wearing a face cover on the bus.

No action was taken on this information item.

### **Consent Calendar (Items 2 through 21)**

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

### 2. Approval of Minutes

A motion was made by Vice Chairman Do, seconded by Director Pulido, and following a roll call vote, declared passed 17-0, to approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of May 11, 2020.

## 3. Amendment to the 91 Express Lanes Riverside County Transportation Commission/Orange County Transportation Authority Facility Agreement

A motion was made by Vice Chairman Do, seconded by Director Pulido, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Agreement No. C-5-3828 between the Orange County Transportation Authority and Riverside County Transportation Commission, in the amount of \$1,130,500, for the reimbursement of shared operational expenses through June 30, 2021.

### 4. Agreement for Average Vehicle Ridership Services

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

- A. Approve the selection of Innovative TDM Solutions as the firm to provide consulting services for the Orange County Transportation Authority's Average Vehicle Ridership (AVR) Program.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2167 between the Orange County Transportation Authority and Innovative TDM Solutions, in the amount of \$380,000, for the initial two-year term, with two, one-year option terms.

### 5. Fiscal Year 2019-20 Third Quarter Grant Reimbursement Status Report

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

### 6. State Legislative Status Report

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

#### 7. Federal Legislative Status Report

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

#### 8. Sole Source Agreement for Health Insurance Brokerage Services

A motion was made by Vice Chairman Do, seconded by Director Pulido, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute sole source Agreement No. C-0-2078 between the Orange County Transportation Authority and Alliant Insurance Services, Inc., in the amount of \$342,000, for a three-year initial term, effective June 1, 2020 through May 31, 2023, with one, two-year option term, to provide health insurance brokerage services.

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

### 9. Agreement for Bus Hoist Replacement at the Garden Grove and Irvine Construction Circle Bus Bases

A motion was made by Vice Chairman Do, seconded by Director Pulido, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1814 between the Orange County Transportation Authority and Southwest Lift & Equipment, Inc., the lowest responsive, responsible bidder, in the amount of \$314,810, for bus hoist replacement at the Garden Grove and Irvine Construction Circle bus bases.

### 10. Agreement for Power Generator Replacement at the Anaheim and Irvine Construction Circle Bus Bases

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

- A. Find RT Contractor Corp., the apparent low bidder, as non-responsive for failure to sign and submit the Disclosure of Lobbying Activities form as required by the bid instructions, and for failure to submit Iran Contracting Act exemption documentation.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2074 between the Orange County Transportation Authority and Global Power Group, Inc., the lowest responsive, responsible bidder, in the amount of \$1,374,200, for power generator replacement at the Anaheim and Irvine Construction Circle bus bases.
- C. Authorize the use of \$574,200, in additional Senate Bill 1, Chapter 5, Statutes of 2017, State of Good Repair funds for a total of \$1,374,200, to support the above recommendations.
- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above actions.

### 11. Agreement for Electric Vehicle Charging Stations at the Garden Grove and Santa Ana Bus Bases

A motion was made by Vice Chairman Do, seconded by Director Pulido, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2071 between the Orange County Transportation Authority and Caliba, Inc., the lowest responsive, responsible bidder, in the amount of \$1,348,000, for electric vehicle charging stations at the Garden Grove and Santa Ana bus bases.

### 12. Agreement for Replacement of Heating and Ventilation Units at the Anaheim Bus Base Maintenance Building

A motion was made by Vice Chairman Do, seconded by Director Pulido, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2083 between the Orange County Transportation Authority and F.M. Thomas Air Conditioning, Inc., the lowest responsive, responsible bidder, in the amount of \$482,033, for replacement of heating and ventilation units at the Anaheim Bus Base maintenance building.

### 13. Amendment to Cooperative Agreement with the City of Laguna Beach for Public Transit Services

Director Bartlett pulled this item and on behalf of the City of Laguna Beach, that is part of the Fifth Supervisorial District she serves, thanked OCTA for the pass-through of the Coronavirus Aid, Relief, and Economic Security Act funds for the continuing of the public transit services.

A motion was made by Director Bartlett, seconded by Director Pulido, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-8-1679 between the Orange County Transportation Authority and the City of Laguna Beach, in the amount of \$599,381, for the pass through of Coronavirus Aid, Relief, and Economic Security Act funding. This will increase the maximum obligation of the cooperative agreement to a total contract value of \$3,199,381.

### 14. Agreement for Technical Consulting Services for a Next Generation Fare Collection System and OC Streetcar Ticket Vending Machines

A motion was made by Vice Chairman Do, seconded by Director Pulido, and following a roll call vote, declared passed 15-1, to:

- A. Approve the selection of Jacobs Engineering Group, Inc., as the firm to provide technical consulting services for the next generation fare collection system.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2047 between the Orange County Transportation Authority and Jacobs Engineering Group, Inc., in the amount of \$870,000, for a three-year initial term with two, one-year option terms, to provide technical consulting services for the next generation fare collection system.

Due to the Levine Act, Director Wagner did not vote on this item.

Director Steel voted in opposition.

### 15. Approval to Release Request for Proposals for Armored Vehicle Transportation and Fare Collection Counting Services

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

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2256 for selection of a contractor to provide armored vehicle transportation and fare collection counting services.
- B. Approve the release of Request for Proposals 0-2256 to select a contractor to provide armored vehicle transportation and fare collection counting services for a term of seven years.

### 16. Amendment to Agreement for Mobility Management Services

A motion was made by Vice Chairman Do, seconded by Director Pulido, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-9-1244 between the Orange County Transportation Authority and Mobility Management Partners, Inc., in the amount of \$735,084, to exercise the option term of the agreement and include additional travel training services, from August 1, 2020 to July 31, 2022. This will increase the maximum obligation of the agreement to a total contract value of \$983,995.

### 17. Sole Source Agreements for the Purchase of Trapeze Software Group, Inc., Software Modules

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

- A. Authorize the Chief Executive Officer to negotiate and execute sole source Agreement No. C-0-2125 between the Orange County Transportation Authority and Trapeze Software Group, Inc., in the amount of \$104,356, for the sole source purchase and installation of the Trapeze DriverMate software module.
- B. Authorize the Chief Executive Officer to negotiate and execute sole source Agreement No. C-0-2126 between the Orange County Transportation Authority and Trapeze Software Group, Inc., in the amount of \$93,388, for the sole source purchase and installation of the Trapeze Eligibility Management and the Trapeze Service Infractions software modules.

### 18. Amendment to Cooperative Agreement with the Regional Center of Orange County

Director Bartlett pulled this item and inquired about the Regional Center of Orange County (Regional Center) paratransit ridership status.

Jack Garate, Department Manager of Paratransit Services, stated that ridership is significantly down, and per the Regional Center, the California Department of Development Services issued a guidance that absentee participation to the Regional Center will be paid through June 2020.

A discussion ensued that for the Regional Center paratransit riders, regardless of the ridership numbers, service will be funded, the fee is on a per trip basis and payment is based on ridership count, and if ridership is low, they would pay less than as ridership increases.

A motion was made by Director Bartlett, seconded by Director Steel, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-8-1735 between the Orange County Transportation Authority and the Regional Center of Orange County to exercise the first option term to share in the cost of paratransit services provided to Regional Center of Orange County consumers through June 30, 2022.

### 19. Sole Source Agreement for the Purchase of HASTUS Operations Scheduling Software Upgrade Version 2020

A motion was made by Vice Chairman Do, seconded by Director Pulido, and following a roll call vote, declared passed 17-0, to authorize the Chief Executive Officer to negotiate and execute sole source Agreement No. C-0-2001 between the Orange County Transportation Authority and GIRO, Inc., in the amount of \$1,360,799, for the upgrade of the HASTUS operations scheduling software from version 2013 to version 2020.

### 20. Amendment to Cooperative Agreements with Special Agencies for the Provision of Special Transportation Services

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

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-8-1917 between the Orange County Transportation Authority and Acacia Adult Day Services, for continued services in the amount of \$626,620, and to adjust the per trip rate to \$16.49, effective July 1, 2020 through June 30, 2021. This will increase the maximum obligation of the agreement to a total contract value of \$1,302,621.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No.1 to Cooperative Agreement No. C-8-1918 between the Orange County Transportation Authority and Alzheimer's Family Service Center, for continued services in the amount of \$610,130, and to adjust the per trip rate to \$16.49, effective from July 1, 2020 through June 30, 2021. This will increase the maximum obligation of the agreement to a total contract value of \$1,343,599.
- C. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-8-1919 between the Orange County Transportation Authority and Alzheimer's Orange County, for continued services in the amount of \$206,125, and to adjust the per trip rate to \$16.49 effective from July 1, 2020 through June 30, 2021. This will increase the maximum obligation of the agreement to a total contract value of \$566,323.
- D. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-8-1920 between the Orange County Transportation Authority and Community SeniorServ, for continued services in the amount of \$593,640, and to adjust the per trip rate to \$16.49 effective from July 1, 2020 through June 30, 2021. This will increase the maximum obligation of the agreement to a total contract value of \$1,362,793.

### 20. (Continued)

E. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Cooperative Agreement No. C-8-1921 between the Orange County Transportation Authority and My Day Counts, for continued services in the amount of \$1,406,007, and to adjust the per trip rate to \$16.07, and the Regional Center of Orange County pass-through per trip rate to \$6.14 effective from July 1, 2020 through June 30, 2021. This will increase the maximum obligation of the agreement to a total contract value of \$3,111,668.

### 21. Amendment to Cooperative Agreements with Non-Profit Agencies to Provide Senior Mobility Program Services

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

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 7 to Cooperative Agreement No. C-1-2490 between the Orange County Transportation Authority and Abrazar, Inc., in the amount of \$91,989, to provide funding through June 30, 2021.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 8 to Cooperative Agreement No. C-1-2491 between the Orange County Transportation Authority and Korean American Senior Association, in the amount of \$113,092, to provide funding through June 30, 2021.
- C. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Cooperative Agreement No. C-1-2492 between the Orange County Transportation Authority and Southland Integrated Services, Inc., in the amount of \$99,441, to provide funding through June 30, 2021.

### Regular Calendar

### Orange County Transportation Authority Regular Calendar Matters

### 22. Agreement for Operations and Maintenance Services for the OC Streetcar Project

Jennifer L. Bergener, Deputy CEO, presented a PowerPoint as follows:

- Background;
- Board Approved: Evaluation Criteria and Weights;
- Scoring Summary;
- Overview of Cost: and
- Recommendation.

The COB stated that two public comments were received by the COB Department. On May 21, a comment was received from Scott Perry, President of Herzog Transit Services (Herzog) and emailed to the Board of Directors (Board) on May 21. The other public comment was received in the late evening on May 21 from Eric Jimenez, Secretary Treasurer of Teamsters Local 952 (Teamsters), and the Board was emailed the comment on May 22 at approximately 7:30 a.m.

The COB also stated that both comments will be retained as part of the record for today's Board meeting.

Director Bartlett asked that all the streetcar vehicles include hand sanitizer (dispensers) and refill on a regular basis.

Director Bartlett reported that she contacted Herzog's advocate about the Teamsters comment. Mr. Perry stated that Herzog would honor whatever union the employees choose, and many Herzog's projects are unionized.

A motion was made by Director Pulido, seconded by Director Bartlett, and following a roll call vote, declared passed 14-2, to:

- A. Approve the selection of Herzog Transit Services, Inc. as the firm to provide operations and maintenance services for the OC Streetcar Project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-8-2039 between the Orange County Transportation Authority and Herzog Transit Services, Inc., in the amount of \$45,065,590, for operations and maintenance services for the OC Streetcar Project for an initial start-up and pre-revenue period, and a five-year revenue term, with two, two-year option terms.

Due to the Levine Act, Vice Chairman Do did not participate or vote on this item.

Directors Steel and Wagner voted in opposition.

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

### 23. June 2020 Bus Service Change

Gary Hewitt, Transit Planning Manager, provided an overview on the June 2020 bus service change and communication efforts, as well as referenced Attachment A of the staff report.

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

### Orange County Local Transportation Authority Regular Calendar Matters

### 24. Measure M2 Senior Mobility Program Temporary Guideline Requirement Suspension

Tami Warren, Manager of the Measure M Program, highlighted the reasons for the Measure M2 Senior Mobility Program temporary guideline requirement suspension.

Director Bartlett provided concerns about the seniors not having a transit program for traveling to doctor's appointments, etcetera and what is OCTA doing to fill the gap.

Darrell E. Johnson, CEO, stated that the recommendation is to modify the guidelines to allow the cities to react quickly through an expedited process in order to have no service gaps.

A motion was made by Vice Chairman Do, seconded by Director Hernandez, and following a roll call vote, declared passed 17-0, to approve a temporary suspension effective June 1, 2020 to May 31, 2021 of the Senior Mobility Program guideline requirement related to procuring third-party contracted transportation service using a competitive bidding process. OCTA expects that best efforts are applied to ensure that contracts entered into are the most cost effective available.

### 25. Interstate 405 Improvement Project Update

Jeff Mills, Senior Program Manager, Capital Programs, and Chris Boucly, Section Manager II, External Affairs, co-presented a PowerPoint presentation as follows:

- Project Location and Key Features;
- Background;
- Project Update:
- Construction Update:
  - Concrete Pavement Construction
  - Drainage and Other Roadway Construction
  - Wall Construction
  - Magnolia Street Bridge Demolition
  - McFadden Avenue Bridge Construction
  - Westminster Boulevard Bridge Construction
- Look Ahead for Bridge Construction;
- Bridge Construction Map;
- Project Challenges;
- Schedule Mitigations Implemented;
- Community Engagement; and
- Upcoming Outreach.

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

#### **Discussion Items**

### 26. 2020 Board of Directors and Chief Executive Officer Initiatives and Action Plan - First Quarter Progress Report and Revised Action Plan

Darrell E. Johnson, CEO, highlighted OCTA's adjustments due to COVID-19, as well as referenced Attachment B of the staff report.

No action was taken on this information item.

#### 27. Public Comments

The Clerk of the Board stated that two public comments were received by the COB Department. One comment that included an attachment was received on May 18 from Michelle Schumacher and emailed to the Board on May 19. The second comment was received on May 19 from Maria and emailed to the Board on May 21.

The COB stated that both public comments will be retained as part of the record for today's Board meeting.

### 28. Chief Executive Officer's Report

Darrell E. Johnson, CEO, reported the following:

- Recognized and congratulated the May employees of the month as follows:
  - Jose Bedolla Lopez is the Operations Employee of the Month and a coach operator at the Santa Ana Base who joined OCTA in March 2016.
  - Scott Lake is the Maintenance Employee of the Month and a Rebuild Mechanic at the Santa Ana Base who joined OCTA in May 1990.
  - Jeannie Lee is the Administrative Employee of the Month and a project manager who joined OCTA in November 2012. She has overseen the delivery of several Measure M capital projects.
- Everyone was wished an enjoyable holiday weekend as we think about and honor those who served the military who are no longer with us.

### 29. Directors' Reports

Director Shaw requested the meeting be adjourned in memory of Norissa Cuyno Ennis a City of La Habra (La Habra) employee that recently passed away who helped promote the former La Habra express bus service.

### 30. Closed Session

There were no Closed Session items scheduled.

### 31. Adjournment

The meeting adjourned at 10:16 a.m. in memory of Norissa Cuyno Ennis, City of La Habra employee that worked on La Habra's former La Habra express bus service.

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, June 8, 2020**, at the OCTA Headquarters, 550 South Main Street, Board Room – Conference Room 07-08, Orange, California.

	Laurena Weinert
	Clerk of the Board
Steve Jones	
Chairman	





### June 8, 2020

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

From: Laurena Weinert, Clerk of the Board

**Subject:** 91 Express Lanes Update for the Period Ending - March 31, 2020

### Finance and Administration Committee Meeting of May 27, 2020

Present: Directors Do, Hennessey, Hernandez, Jones, Muller, R. Murphy,

and Steel

Absent: None

#### **Committee Vote**

Following the roll call vote, this item was declared passed 7-0 by the Members present.

#### **Committee Recommendation**

Receive and file as an information item.



### May 27, 2020

**To:** Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

**Subject:** 91 Express Lanes Update for the Period Ending

March 31, 2020

#### Overview

On a quarterly basis, a 91 Express Lanes informational report is provided to the Orange County Transportation Authority Board of Directors. The report focuses on traffic and revenue performance, toll adjustments, account and transponder changes, outstanding debt, and recent events. This report provides a summary for the operational and financial activities for the period ending March 31, 2020, and includes the initial impacts of the novel coronavirus pandemic.

#### Recommendation

Receive and file as an information item.

### Background

Since January 2003, the Orange County Transportation Authority (OCTA) has owned the 91 Express Lanes (91 EL), which is a two-lane managed-lane facility in each direction in the median of the State Route 91 (SR-91) freeway. Over the past 17 years, OCTA has experienced the growth and downswings of the economy and the resulting impacts to the 91 EL. During OCTA ownership, toll rates have been adjusted up and down, additional capacity has been added to the general-purpose lanes in the SR-91 corridor through various improvement projects, the outstanding debt has been restructured, and an extension of the facility was completed by the Riverside County **Transportation** Commission (RCTC). In addition to these events, most recently the 91 EL has experienced the impacts of the novel coronavirus (COVID-19) pandemic and California Governor Gavin Newsom's stay-at-home order.

State and local governments across the United States issued orders for residents to self-quarantine and refrain from non-essential travel in an effort to slow the spread of the virus. These efforts caused the economy to slow and

have resulted in severe decreases in traffic volumes well in excess of peak losses during the global financial crisis in 2008. Managed-lane facilities throughout the country experienced year-over-year commuter traffic declines of about 70 to 80 percent. The 91 EL also experienced traffic declines of approximately 70 percent during the month of March 2020.

#### Discussion

Up until mid-March, the 91 EL continued to perform well. Traffic volumes and revenues were at historic highs, and the national and local economies were continuing to show signs of growth and expansion. Then in mid-March, stay-at-home measures were enacted to slow the spread of COVID-19, and traffic volumes dropped significantly on the 91 EL. The statistics below reflect these lower volumes.

#### Traffic Volumes

Total traffic volume on the OCTA 91 EL for the month of March 2020 was 905,400. This represents a daily average of 29,206. This is a 41.2 percent decrease in total traffic volume from the same period last year when traffic levels totaled 1,539,257. Carpool percentage for the period ending March was 22.7 percent. In looking at the quarter-ending period of March 2020, traffic volumes registered 3.8 million, which was a decrease of 10 percent over the same period the prior year. For the 12-month period ending March 2020, traffic volumes reached 17.3 million and decreased by 0.7 percent over the same period the prior year. The decrease in traffic volumes during the last month, quarter, and 12 months, were a result of the stay-at-home measures.

### Gross Potential Toll Revenue (GPTR)

GPTR for the month of March 2020 was \$2,916,062, which represents a decrease of 35.8 percent from the prior year's total of \$4,542,427. GPTR is equal to the toll rate times the number vehicles traveling on the 91 EL (the amount does not consider violations or discounts). In looking at the previous 12 months, GPTR totaled \$52.1 million and increased by 1 percent over the same period the prior year.

#### **Toll Adjustments**

The Board of Directors (Board)-adopted Toll Policy requires staff to review traffic volumes on the Orange County segment of the 91 EL for potential toll adjustments on a quarterly basis. The most recent toll adjustment occurred on January 1, 2020, whereby three peak-period hours declined and two hours

increased. The toll rates declined by \$0.50 for the hours that were reduced, and rates were increased by \$0.75 for the hours that were increased. As of the end of March 2020, toll rates ranged from a minimum of \$1.70 to a maximum of \$8.65. The next scheduled toll adjustment will occur on April 1, 2020.

#### Number of Accounts and Transponders

The number of active accounts totaled 149,843, and 295,675 transponders were assigned to those accounts as of March 31, 2020. Over the past 12 months, the number of accounts has increased by 3,692, and the number of transponders in circulation has increased by 73,192.

#### **Outstanding Debt**

As of March 31, 2020, the outstanding amount of the 91 EL tax-exempt 2013 Senior Lien Toll Road Revenue Refunding Bonds (Bonds) totaled \$91.7 million. The Bonds are rated "AA-" by Standard and Poor's, "A1" by Moody's, and "A+" by Fitch Ratings. The next scheduled debt service payment is on August 17, 2020. There are currently no plans to issue additional debt secured by 91 EL toll revenues.

#### Reserve Funds

The bond indenture for the 2013 Bonds requires three reserve funds: a major maintenance fund, an operating fund, and a debt service reserve fund. All three reserves are fully funded with a total balance of \$25.2 million as of March 31, 2020.

In addition to the bond indenture required reserve funds, OCTA's Board elected to establish two additional reserve funds. An internal capital projects fund has a balance of \$24.8 million and is used for large capital projects for the 91 EL. In the past, these funds were used for pavement and lane system expenses. The other reserve fund was established in 2017 for two future Measure M2 projects in the SR-91 corridor. The balance in that reserve fund is \$57.3 million. Lastly, OCTA has approximately \$97.9 million set aside in excess toll revenues for other SR-91 corridor projects and economic uncertainty.

#### Recent Activities

Letters continued to be sent to customers notifying them of the transition to 6C transponders, as well as changes to the account plans, user agreement, and privacy policy. Distribution of the new welcome kit and 6C sticker transponders

continued throughout the period. It is envisioned the distribution of transponders to all customers will take place over several months.

Upcoming Events

Over the next few months, several events will be transpiring related to the 91 EL. OCTA will be contracting with the California Department of Transportation to provide construction and construction management services for the 91 EL Toll Entrance Gantries Infrastructure Project. This project entails constructing new toll gantries infrastructures at the three entrances of the OCTA 91 EL. Construction of the gantries is scheduled to begin fall 2020 and is expected to be completed in early 2021. The new toll gantries will house new electronic toll and traffic management system equipment. Once the toll gantries have been constructed, Kapsch TrafficCom USA (Kapsch) will commence installation of the new equipment. Kapsch will also begin replacement of the closed-circuit television cameras along the SR-91 corridor.

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

#### COVID-19 Related Events and Post March 2020 Activities

Amid concerns about the spread of COVID-19 and following the Governor's guidance to help reduce its spread, the 91 EL Customer Walk-In Center in the City of Corona was closed in March and will remain so until further notice. Operational activities in the Anaheim and Corona locations continued to function with a combination of remote workers and core staff located at the facilities. Core essential functions include aiding stranded motorists, providing incident management services, and dispatching emergency vehicles through the traffic operations center. The call center remains open to respond to customer service and violation calls.

Some violation and collection efforts have been temporarily halted by both OCTA and RCTC. These include pausing outbound collection calls, not sending collection notices, and stopping the transmission of violation files to the collection agency. These violations remain outstanding until the temporary mandates have been lifted. Representatives at Cofiroute USA (operator for the 91 EL) and the collection agency will still be servicing calls for those individuals that are paying for the violations. This temporary pause for these measures was implemented with the understanding that many individuals may find it difficult to pay for violations at this time.

In April 2020, the OCTA and RCTC Boards approved the temporary waiving of monthly account maintenance fees. The OCTA Board also approved the temporary modification of the 91 EL Toll Policy to allow the ability to suspend automatic toll rate increases. Toll increases for Easter Sunday and Mother's Day were not implemented, as well as a scheduled April 1, 2020, toll rate increase. In addition, there is a cost-of-living adjustment (COLA) scheduled for July 1, 2020. The COLA may not be implemented if the current economic conditions persist through the end of the fiscal year. The Chief Executive Officer will notify the Board if the COLA is not implemented ten days prior to July 1.

Traffic volumes reached the lowest levels since OCTA ownership of the 91 EL in early April. Volumes declined approximately 75 percent during the week of April 6<sup>th</sup>. Since then, traffic volumes have increased each week. During the week of May 4<sup>th</sup>, traffic volumes were approximately 50 percent of the levels from last year. With less traffic on the 91 EL, calls into the customer service center have decreased by about 60 percent.

# Summary

An operational report for the 91 Express Lanes for the period ending March 31, 2020, is provided for Board of Directors review. The report provides a summary of key operational and financial activities.

#### Attachment

A. 91 Express Lanes Status Report, March 2020

Prepared by:

Kirk Avila

General Manager

**Express Lanes Programs** 

(714) 560-5674



# Orange County Transportation Authority Riverside County Transportation Commission





Status Report March 2020

As of March 31, 2020

# **Table of Contents**

Operations Overview OCTA	3
Traffic and Revenue Statistics for OCTA	3
OCTA Traffic and Revenue Summary	5
OCTA Eastbound Peak-Hour Volumes	6
OCTA Westbound Peak-Hour Volumes	7
OCTA Operational Highlights	8
Financial Highlights OCTA	9
Operations Overview RCTC	10
Traffic and Revenue Statistics for RCTC	10
RCTC Traffic and Revenue Summary	12
RCTC Peak-Hour Volumes	13
RCTC Eastbound Peak-Hour Volumes	13
RCTC Westbound Peak-Hour Volumes	14
RCTC Operational Highlights	17
Financial Highlights RCTC	18
Joint Agency Trip and Revenue Statistics	19
Joint Agency Traffic Statistics	19
Joint Agency Performance Measures	20
Joint Agency Transponder Distribution	20
ncoming Email Activity	21



# **OPERATIONS OVERVIEW OCTA**

#### TRAFFIC AND REVENUE STATISTICS FOR OCTA

Total traffic volume on the 91 Express Lanes for March 2020 was 905,400. This represents a daily average of 29,206 vehicles. This is a 41.2% decrease in total traffic volume from the same period last year, which totaled 1,539,257. Potential toll revenue for March was \$2,916,062, which represents a decrease of 35.8% from the prior year's total of \$4,542,427. Carpool percentage for March was 22.68% as compared to the previous year's rate of 26.10%. The decreases were attributed to the COVID-19 pandemic and California Governor Gavin Newsom's orders for residents to self-quarantine and refrain from non-essential travel.

Month-to-date traffic and revenue data is summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the OCTA 91 Express Lanes and associated potential revenue for the month of March 2020.

#### Current Month-to-Date (MTD) as of March 31, 2020

	Mar-20	Stantec			Mar-19	Yr-to-Yr
	MTD	MTD	#	%	MTD	%
Trips	Actual	Projected	Variance	Variance	Actual	Variance
Full Toll Lanes	700,041	1,156,307	(456,266)	(39.5%)	1,137,488	(38.5%)
3+ Lanes	205,359	330,008	(124,649)	(37.8%)	401,769	(48.9%)
Total Gross Trips	905,400	1,486,315	(580,915)	(39.1%)	1,539,257	(41.2%)
Revenue						
Full Toll Lanes	\$2,871,629	\$4,861,024	(1,989,396)	(40.9%)	\$4,464,988	(35.7%)
3+ Lanes	\$44,433	\$88,658	(44,225)	(49.9%)	\$77,440	(42.6%)
Total Gross Revenue	\$2,916,062	\$4,949,682	(2,033,620)	(41.1%)	\$4,542,427	(35.8%)
Average Revenue per Trip						
Average Full Toll Lanes	\$4.10	\$4.20	(\$0.10)	(2.4%)	\$3.93	4.3%
Average 3+ Lanes	\$0.22	\$0.27	(\$0.05)	(18.5%)	\$0.19	15.8%
Average Gross Revenue	\$3.22	\$3.33	(\$0.11)	(3.3%)	\$2.95	9.2%



The 2020 fiscal year-to-date traffic volume decreased by 2% and potential toll revenue increased by 0.7%, when compared with the same period last year. Year-to-date average revenue per-trip is \$3.05.

Fiscal year-to-date traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the OCTA 91 Express Lanes and associated potential revenue for the months of July 2019 through March 2020.

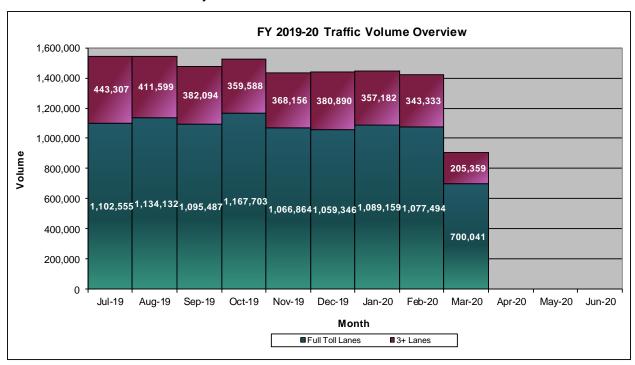
FY 2019-20 Year to Date as of March 31, 2020

	FY 2019-20	Stantec			FY 2018-19	Yr-to-Yr
	YTD	YTD	#	%	YTD	%
Trips	Actual	Projected	Variance	Variance	Actual	Variance
Full Toll Lanes	9,492,781	9,842,460	(349,679)	(3.6%)	9,576,949	(0.9%)
3+ Lanes	3,251,508	2,953,688	297,820	10.1%	3,425,122	(5.1%)
Total Gross Trips	12,744,289	12,796,147	(51,858)	(0.4%)	13,002,071	(2.0%)
Revenue						
Full Toll Lanes	\$38,317,770	\$41,222,562	(2,904,793)	(7.0%)	\$37,964,136	0.9%
3+ Lanes	\$592,798	\$751,706	(158,908)	(21.1%)	\$677,913	(12.6%)
Total Gross Revenue	\$38,910,567	\$41,974,268	(3,063,701)	(7.3%)	\$38,642,049	0.7%
Average Revenue per Trip						
Average Full Toll Lanes	\$4.04	\$4.19	(\$0.15)	(3.6%)	\$3.96	2.0%
Average 3+ Lanes	\$0.18	\$0.25	(\$0.07)	(28.0%)	\$0.20	(10.0%)
Average Gross Revenue	\$3.05	\$3.28	(\$0.23)	(7.0%)	\$2.97	2.7%

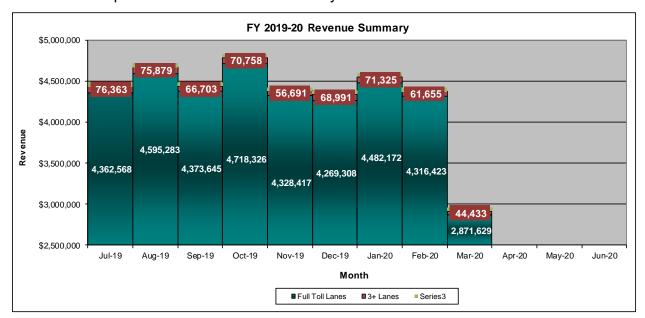


## **OCTA Traffic and Revenue Summary**

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



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





# **OCTA EASTBOUND PEAK-HOUR VOLUMES**

Peak traffic hour in the eastbound direction reached or exceeded 90% or more of defined capacity 8 times during the month of March 2020. As demonstrated on the next chart, westbound peak hour traffic volumes top out at 80% of defined capacity.

	Mon	day	03/02/20		Tues	day	03/03/20		Wedne	esday	03/04/20		Thursd	lay	03/05/20		Frida	у	03/06/20	)
PM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Сар.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	383	2,666	78%	\$5.15	387	2,720	80%	\$5.15	443	3,008	88%	\$7.45	466	2,873	85%	\$7.85	525	3,227	95%
1500 - 1600	\$5.50	556	2,782	82%	\$5.75	617	2,783	82%	\$7.75	599	2,848	84%	\$6.75	621	3,470	102%	\$8.65	634	2,608	77%
1600 - 1700	\$5.35	436	3,055	90%	\$5.50	423	2,894	85%	\$7.50	412	2,459	72%	\$7.80	496	3,092	91%	\$8.45	447	2,605	77%
1700 - 1800	\$5.30	507	3,153	93%	\$5.40	474	2,807	83%	\$6.40	510	3,001	88%	\$8.20	470	2,710	80%	\$7.05	535	2,954	87%
1800 - 1900	\$5.50	648	2,730	80%	\$3.95	702	3,022	89%	\$3.95	673	3,042	89%	\$4.85	659	2,920	86%	\$6.55	657	2,727	80%
1900 - 2000	\$3.85	457	1,816	53%	\$3.85	490	1,976	58%	\$3.85	588	2,307	68%	\$5.60	637	2,410	71%	\$6.05	609	2,058	61%

	Mon	day	03/09/20		Tues	day	03/10/20		Wedne	esday	03/11/20		Thursd	ay	03/12/20		Frida	y	03/13/20	
PM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Сар.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	377	2,555	75%	\$5.15	336	2,606	77%	\$5.15	379	2,743	81%	\$7.45	380	1,837	54%	\$7.85	420	2,854	84%
1500 - 1600	\$5.50	575	3,130	92%	\$5.75	451	2,478	73%	\$7.75	584	3,134	92%	\$6.75	551	2,623	77%	\$8.65	580	2,540	75%
1600 - 1700	\$5.35	461	3,010	89%	\$5.50	134	1,241	37%	\$7.50	394	2,796	82%	\$7.80	481	2,786	82%	\$8.45	363	2,485	73%
1700 - 1800	\$5.30	479	3,089	91%	\$5.40	239	1,339	39%	\$6.40	458	2,293	67%	\$8.20	419	2,483	73%	\$7.05	391	2,259	66%
1800 - 1900	\$5.50	589	2,534	75%	\$3.95	422	1,886	55%	\$3.95	488	2,427	71%	\$4.85	530	2,820	83%	\$6.55	485	1,950	57%
1900 - 2000	\$3.85	422	1,532	45%	\$3.85	318	1,184	35%	\$3.85	426	1,688	50%	\$5.60	444	1,686	50%	\$6.05	421	1,332	39%

	Mon	day	03/16/20		Tues	day	03/17/20		Wedne	esday	03/18/20		Thursd	lay	03/19/20		Frida	у	03/20/20	1
PM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Сар.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	350	2,168	64%	\$5.15	338	2,138	63%	\$5.15	296	1,737	51%	\$7.45	306	1,705	50%	\$7.85	283	1,619	48%
1500 - 1600	\$5.50	482	2,680	79%	\$5.75	456	2,391	70%	\$7.75	448	2,142	63%	\$6.75	341	2,214	65%	\$8.65	299	1,412	42%
1600 - 1700	\$5.35	362	2,376	70%	\$5.50	309	2,294	67%	\$7.50	293	1,992	59%	\$7.80	271	1,659	49%	\$8.45	190	1,260	37%
1700 - 1800	\$5.30	349	2,310	68%	\$5.40	317	2,017	59%	\$6.40	278	1,641	48%	\$8.20	184	1,245	37%	\$7.05	194	1,070	31%
1800 - 1900	\$5.50	381	1,551	46%	\$3.95	315	1,352	40%	\$3.95	225	1,073	32%	\$4.85	176	885	26%	\$6.55	171	729	21%
1900 - 2000	\$3.85	224	840	25%	\$3.85	190	753	22%	\$3.85	159	582	17%	\$5.60	147	555	16%	\$6.05	137	432	13%

	Mone	day	03/23/20		Tues	day	03/24/20		Wedne	esday	03/25/20		Thursd	lay	03/26/20		Frida	у	03/27/20	)
PM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	184	1,071	32%	\$5.15	224	1,202	35%	\$5.15	198	1,119	33%	\$7.45	224	1,167	34%	\$7.85	239	1,286	38%
1500 - 1600	\$5.50	207	1,360	40%	\$5.75	256	1,299	38%	\$7.75	266	1,325	39%	\$6.75	282	1,850	54%	\$8.65	258	1,337	39%
1600 - 1700	\$5.35	166	1,064	31%	\$5.50	161	1,054	31%	\$7.50	159	1,100	32%	\$7.80	190	1,296	38%	\$8.45	174	1,080	32%
1700 - 1800	\$5.30	138	889	26%	\$5.40	147	788	23%	\$6.40	136	767	23%	\$8.20	111	719	21%	\$7.05	178	842	25%
1800 - 1900	\$5.50	111	429	13%	\$3.95	117	481	14%	\$3.95	116	516	15%	\$4.85	125	492	14%	\$6.55	132	515	15%
1900 - 2000	\$3.85	78	284	8%	\$3.85	88	281	8%	\$3.85	79	254	7%	\$5.60	89	284	8%	\$6.05	110	343	10%

	Mon	day	03/30/20		Tues	day	03/31/20		Wedne	esday	04/01/20		Thursd	lay	04/02/20		Frida	y	04/03/20	1
PM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	191	1,019	30%	\$5.15	186	1,068	31%												
1500 - 1600	\$5.50	247	1,518	45%	\$5.75	297	1,438	42%												
1600 - 1700	\$5.35	146	1,264	37%	\$5.50	156	1,223	36%												
1700 - 1800	\$5.30	147	778	23%	\$5.40	129	810	24%												
1800 - 1900	\$5.50	113	411	12%	\$3.95	103	445	13%												
1900 - 2000	\$3.85	77	265	8%	\$3.85	69	240	7%												



# **OCTA WESTBOUND PEAK-HOUR VOLUMES**

	Mone	day	03/02/20	)	Tues	day	03/03/20		Wedne	esday	03/04/20		Thurso	lay	03/05/20		Frid	ay	03/06/20	
AM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Сар.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	711	2,555	75%	\$3.05	804	2,711	80%	\$3.05	755	2,569	76%	\$3.05	804	2,606	77%	\$3.05	687	2,046	60%
0500 - 0600	\$4.95	809	2,640	78%	\$4.95	197	486	14%	\$4.95	838	2,578	76%	\$4.95	884	2,713	80%	\$4.70	773	2,471	73%
0600 - 0700	\$5.15	561	2,180	64%	\$5.15	55	241	7%	\$5.15	580	2,250	66%	\$5.15	581	2,103	62%	\$4.95	590	2,140	63%
0700 - 0800	\$5.65	419	2,143	63%	\$5.65	364	1,752	52%	\$5.65	450	2,098	62%	\$5.65	493	2,147	63%	\$5.50	390	1,821	54%
0800 - 0900	\$5.15	192	1,890	56%	\$5.15	119	978	29%	\$5.15	261	2,224	65%	\$5.15	221	2,088	61%	\$4.95	191	1,513	45%
0900 - 1000	\$4.10	194	1,927	57%	\$4.10	243	2,092	62%	\$4.10	241	2,130	63%	\$4.10	273	2,175	64%	\$4.10	220	1,750	51%

	Mone	day	03/09/20	)	Tues	day	03/10/20		Wedne	sday	03/11/20		Thurso	lay	03/12/20		Frid	ay	03/13/20	
AM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Сар.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	764	2,519	74%	\$3.05	698	2,070	61%	\$3.05	727	2,293	67%	\$3.05	718	2,291	67%	\$3.05	579	1,645	48%
0500 - 0600	\$4.95	841	2,555	75%	\$4.95	886	2,473	73%	\$4.95	820	2,381	70%	\$4.95	658	2,033	60%	\$4.70	658	2,096	62%
0600 - 0700	\$5.15	602	1,937	57%	\$5.15	569	1,869	55%	\$5.15	616	2,022	59%	\$5.15	562	1,798	53%	\$4.95	521	1,787	53%
0700 - 0800	\$5.65	414	2,006	59%	\$5.65	434	2,008	59%	\$5.65	413	2,005	59%	\$5.65	394	1,935	57%	\$5.50	372	1,770	52%
0800 - 0900	\$5.15	226	2,073	61%	\$5.15	209	2,054	60%	\$5.15	218	1,865	55%	\$5.15	189	1,748	51%	\$4.95	157	1,470	43%
0900 - 1000	\$4.10	230	1,886	55%	\$4.10	188	2,215	65%	\$4.10	209	1,695	50%	\$4.10	179	1,911	56%	\$4.10	134	1,142	34%

	Mone	day	03/16/20		Tues	day	03/17/20		Wedne	sday	03/18/20		Thurso	lay	03/19/20		Frid	ay	03/20/20	
AM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Сар.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	636	1,970	58%	\$3.05	590	1,789	53%	\$3.05	575	1,667	49%	\$3.05	488	1,443	42%	\$3.05	369	1,021	30%
0500 - 0600	\$4.95	696	2,215	65%	\$4.95	740	2,128	63%	\$4.95	583	1,779	52%	\$4.95	493	1,528	45%	\$4.70	367	1,324	39%
0600 - 0700	\$5.15	328	1,519	45%	\$5.15	352	1,648	48%	\$5.15	279	1,151	34%	\$5.15	213	872	26%	\$4.95	236	972	29%
0700 - 0800	\$5.65	223	1,468	43%	\$5.65	157	1,062	31%	\$5.65	178	963	28%	\$5.65	125	813	24%	\$5.50	104	696	20%
0800 - 0900	\$5.15	135	1,190	35%	\$5.15	107	945	28%	\$5.15	92	813	24%	\$5.15	62	708	21%	\$4.95	72	619	18%
0900 - 1000	\$4.10	130	977	29%	\$4.10	119	830	24%	\$4.10	101	708	21%	\$4.10	90	604	18%	\$4.10	87	542	16%

	Mon	day	03/23/20		Tues	day	03/24/20		Wedne	esday	03/25/20		Thurso	lay	03/26/20		Frid	ay	03/27/20	
AM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Сар.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	402	1,056	31%	\$3.05	368	965	28%	\$3.05	353	948	28%	\$3.05	333	880	26%	\$3.05	286	754	22%
0500 - 0600	\$4.95	458	1,498	44%	\$4.95	447	1,506	44%	\$4.95	311	1,089	32%	\$4.95	391	1,362	40%	\$4.70	309	1,207	36%
0600 - 0700	\$5.15	186	918	27%	\$5.15	147	728	21%	\$5.15	150	792	23%	\$5.15	124	729	21%	\$4.95	155	780	23%
0700 - 0800	\$5.65	107	722	21%	\$5.65	92	636	19%	\$5.65	85	611	18%	\$5.65	74	606	18%	\$5.50	75	566	17%
0800 - 0900	\$5.15	53	519	15%	\$5.15	37	488	14%	\$5.15	72	524	15%	\$5.15	59	453	13%	\$4.95	45	453	13%
0900 - 1000	\$4.10	59	401	12%	\$4.10	59	427	13%	\$4.10	48	401	12%	\$4.10	58	415	12%	\$4.10	56	396	12%

	Mone	day	03/30/20		Tues	day	03/31/20		Wedne	sday	04/01/20		Thurso	lay	04/02/20		Frid	ay	04/03/20	
AM Time	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	306	875	26%	\$3.05	310	824	24%												
0500 - 0600	\$4.95	367	1,407	41%	\$4.95	422	1,470	43%												
0600 - 0700	\$5.15	127	797	23%	\$5.15	144	728	21%												
0700 - 0800	\$5.65	70	567	17%	\$5.65	82	590	17%												
0800 - 0900	\$5.15	50	460	14%	\$5.15	55	478	14%												
0900 - 1000	\$4.10	55	373	11%	\$4.10	36	366	11%												



#### OCTA OPERATIONAL HIGHLIGHTS

# **On-road Operations**

OCTA Customer Assistance Specialists (CAS) responded to 78 calls during the month of March. Of those calls, 55 were to assist disabled vehicles and 13 calls to remove debris. The CAS provided assistance to 10 accidents in the Express Lanes with 4 of those accidents originated from the SR91 general-purpose lanes.

#### 91 Express Lanes Toll Entrance Gantries Infrastructure Project Update

OCTA will be contracting with the California Department of Transportation (Caltrans) to provide construction and construction management services for the 91 Express Lanes Toll Entrance Gantries Infrastructure Project. This project entails constructing new toll gantries infrastructures at the three entrances of the OCTA 91 Express Lanes. Construction of the gantries is scheduled to begin Fall 2020 and is expected to be completed in early 2021.

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

Kapsch TrafficCom USA, Inc., (Kapsch), the toll lanes system integrator for the 91 Express Lanes, completed the replacement of the Electronic Toll and Traffic Management (ETTM) system at the current toll gantries. This new lane system is reading both the new 6C transponder protocol as well as the legacy Title 21 protocol. The next phase of the project includes the replacement of the closed-circuit television cameras along the corridor. The new toll gantries infrastructure, as mentioned above, will house the new ETTM equipment. Once the gantries have been constructed, Kapsch will commence installation.



# FINANCIAL HIGHLIGHTS OCTA

# 91 Express Lanes Operating Statement

		YTD as of :	3/31/2020	YTD Vari	ance		
Description		Actual (1)	Budget (1)	Dollar \$	Percent (%)		
Operating revenues:							
Toll revenue	\$	36,164,539.61	\$ 39,979,657.00	\$ (3,815,117.39) (9 2,027,655.91 49 (1,787,461.48) (4 (4 (4 (4 (4 (4 (4 (4 (4 (4 (4 (4 (4			
Fee revenue		6,161,932.91	4,134,277.00	(1,787,461.48) (1,787,461.48) (1,787,461.48) (1,787,461.48) (1,787,461.48) (1,787,461.48) (1,787,461.48) (1,787,461.49) (1,980,954.57) (1,008,379.59) (1,7947,215.95) (1,109,39.53) (1,109,39.53) (1,109,39.53) (1,109,47.96) (1,109,352.73) (1,109,352.73) (1,109,352.73) (1,109,352.73) (1,109,352.73) (1,109,352.73) (1,109,352.73) (1,14,546,399.32) (1,156) (1,156) (1,156) (1,156) (1,156) (1,156) (1,156) (1,156) (1,156) (1,156) (1,156) (1,156) (1,156)			
Total operating revenues		42,326,472.52	44,113,934.00	(1,787,461.48)	(4.1)		
				7.00 \$ (3,815,117.39) (9 7.00 2,027,655.91 49 4.00 (1,787,461.48) (4  0.00 755,228.66 13 3.00 (121,247.00) (5 6.00 980,954.57 50 0.00 71,867.41 6 0.00 1,008,379.59 56 5.00 277,215.95 49 3.00 180,487.45 50 5.00 (94,455.86) (12 8.00 167,939.53 69 0.00 (63,018.75) (33 7.00 33,924.50 129 7.00 17,947.96 32 7.00 136,650.70 97 - (132,245.47) N/ 5.00 64,529.35 57 2.00 40,033.06 11 6.00 3,324,191.65 21 - (2,646,082.90) N/  8.00 (1,109,352.73) (3  0.00 (229,446.25) (25 9.00 1,549,459.80 54 8.00) 74,960.74 2 - 34,494.17 N/ 1.00 1,429,468.46 (651			
Operating expenses:				00 \$ (3,815,117.39) (9.00 2,027,655.91 49.00 (1,787,461.48) (4.00 755,228.66 13.00 (121,247.00) (5.00 980,954.57 50.00 71,867.41 6.00 1,008,379.59 56.00 277,215.95 49.00 180,487.45 50.00 (94,455.86) (12.00 167,939.53 69.00 (33,924.50 129.00 17,947.96 32.00 136,650.70 97.00 (132,245.47) N/0.00 64,529.35 57.00 40,033.06 11.00 3,324,191.65 21.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (3.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109,352.73) (41,561.00 (1,109			
Contracted services		4,917,551.34	5,672,780.00	(229,446.25) (229,446.25) (1,109,352.73) (229,446.25) (1,14,546,399.32) (1,787,461.48) (4,1787,461.48) (4,1787,461.48) (4,1787,461.48) (4,1787,461.48) (4,1787,461.48) (4,1787,461.48) (4,1787,461.48) (4,1787,461.48) (4,1787,461.48) (4,1787,47.96) (1,109,352.73) (1,109,352.73) (1,14,546,399.32) (41,561			
Administrative fee		2,251,160.00	2,129,913.00	(121,247.00)	(5.7)		
Other professional services		950,021.43	1,930,976.00	980,954.57	50.8		
Credit card processing fees		963,852.59	1,035,720.00	71,867.41	6.9		
Toll road account servicing		786,370.41	1,794,750.00	1,008,379.59	56.2		
Other insurance expense		285,059.05	562,275.00	277,215.95	49.3		
Toll road maintenance supply repairs		175,765.55	356,253.00	180,487.45	50.7		
Patrol services		829,170.86	734,715.00	(94,455.86)	(12.9)		
Building equipment repairs and maint		73,598.47	241,538.00	167,939.53	69.5		
6C Transponders		250,518.75	187,500.00	(63,018.75)	(33.6)		
Other services		(7,677.50)	26,247.00	33,924.50	129.3		
Utilities		37,159.04	55,107.00	17,947.96	32.6		
Office expense		4,264.30	140,915.00	136,650.70	97.0		
Bad debt expense		132,245.47	-	(132,245.47)	N/A		
Miscellaneous (2)		47,845.65	112,375.00	64,529.35	57.4		
Leases		304,828.94	344,862.00	40,033.06	11.6		
Total operating expenses		12,001,734.35	15,325,926.00	7.00 \$ (3,815,117.39) 7.00 2,027,655.91 1.00 (1,787,461.48) 1.00 (1,787,461.48) 1.00 (121,247.00) 1.00 (121,247.00) 1.00 (1,008,379.59) 1.00 (1,008,379.59) 1.00 (1,008,379.59) 1.00 (1,008,379.59) 1.00 (1,008,379.59) 1.00 (1,008,379.59) 1.00 (1,008,379.59) 1.00 (1,008,379.59) 1.00 (1,008,379.53) 1.00 (1,009,352.73) 1.00 (1,109,352.73) 1.00 (1,109,352.73) 1.00 (1,109,352.73) 1.00 (1,109,352.73) 1.00 (1,109,352.73) 1.00 (1,109,352.73)			
Depreciation and amortization (3)		2,646,082.90	-	00 \$ (3,815,117.39) 00 2,027,655.91 00 (1,787,461.48) 00 755,228.66 00 (121,247.00) 00 980,954.57 71,867.41 00 1,008,379.59 00 277,215.95 00 180,487.45 00 (94,455.86) 00 167,939.53 00 (63,018.75) 00 33,924.50 10 17,947.96 00 136,650.70 (132,245.47) 00 64,529.35 00 (132,245.47) 00 64,529.35 00 (13,066) 00 3,324,191.65 (2,646,082.90) 00 (229,446.25) 00 (1,109,352.73) 00 (229,446.25) 00 1,549,459.80 00 74,960.74 00 1,429,468.46 (6			
				,			
Operating income (loss)		27,678,655.27	28,788,008.00	7.00			
Nonoperating revenues (expenses):							
Reimbursement from Other Agencies		676,803.75	906,250.00	755,228.66 (1,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461.48) (4,787,461			
Interest income			2,847,069.00	134,277.00         2,027,655.91           113,934.00         (1,787,461.48)           672,780.00         755,228.66           129,913.00         (121,247.00)           930,976.00         980,954.57           035,720.00         71,867.41           794,750.00         1,008,379.59           562,275.00         277,215.95           356,253.00         180,487.45           734,715.00         (94,455.86)           241,538.00         167,939.53           187,500.00         (63,018.75)           26,247.00         33,924.50           55,107.00         17,947.96           140,915.00         136,650.70           112,375.00         64,529.35           344,862.00         40,033.06           325,926.00         3,324,191.65           (2,646,082.90)           788,008.00         (1,109,352.73)           906,250.00         (229,446.25)           847,069.00         1,549,459.80           534,048.00)         74,960.74           -         34,494.17           219,271.00         1,429,468.46           (6         (35,000.00)         (141,546,399.32)           (41,5			
Interest expense		(3,459,087.26)	(3,534,048.00)	l '	2.1		
Other	(14,581,399.32)  rating revenues  6,161,932.91  42,326,472.52  4,917,551.34  2,251,160.00  950,021.43  963,852.59  786,370.41  285,059.05  175,765.55  829,170.86  73,598.47  250,518.75  (7,677.50)  37,159.04  4,264.30  132,245.47  47,845.65  304,828.94  12,001,734.35  2,646,082.90  27,678,655.27		-		N/A		
Total nonoperating revenues (expenses)		1,648,739.46	219,271.00	1,429,468.46	(651.9)		
Transfers in		-	-	-	N/A		
Transfers out		(14,581,399.32)	(35,000.00)	(14,546,399.32)	(41,561.1)		
Net income (loss)	\$	14,745,995.41	\$ 28,972,279.00	\$ (14,226,283.59)	(49.1)		

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

# **Capital Asset Activity**

During the nine months ending March 31, 2020, capital asset activities included \$195,292 for the ETTM system project, \$297,339 for the new back-office/account management system, \$5,920 for computer equipment and \$325,411 for transponder purchases.



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

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

# **OPERATIONS OVERVIEW RCTC**

#### TRAFFIC AND REVENUE STATISTICS FOR RCTC

Total traffic volume on the 91 Express Lanes for March 2020 was 808,527. This represents a daily average of 26,082 vehicles. This is a 38.3% decrease in total traffic volume from the same period last year, which totaled 1,310,935. Potential toll revenue for the month was \$3,656,203, which represents a decrease of 28.3% from the prior year's total of \$5,098,850. Carpool percentage for March was 21.62% as compared to the previous year's rate of 24.36%. The decreases were attributed to the COVID-19 pandemic and California Governor Gavin Newsom's orders for residents to self-quarantine and refrain from non-essential travel.

Month-to-date traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the RCTC 91 Express Lanes and associated potential revenue for the month of March 2020.

#### Current Month-to-Date (MTD) as of March 31, 2020

	MAR-20	Stantec			MAR-19	Yr-to-Yr
	MTD	MTD	#	%	MTD	%
Trips	Actual	Projected	Variance	Variance	Actual	Variance
Full Toll Lanes	633,701	1,046,814	(413,113)	(39.5%)	991,552	(36.1%)
3+ Lanes	174,826	341,886	(167,060)	(48.9%)	319,383	(45.3%)
Total Gross Trips	808,527	1,388,700	(580,173)	(41.8%)	1,310,935	(38.3%)
Revenue						
Full Toll Lanes	\$3,632,038	\$4,224,757	(\$592,719)	(14.0%)	\$5,057,871	(28.2%)
3+ Lanes	\$24,165	\$0	\$24,165		\$40,979	(41.0%)
Total Gross Revenue	\$3,656,203	\$4,224,757	(\$568,554)	(13.5%)	\$5,098,850	(28.3%)
Average Revenue per Trip						
Average Full Toll Lanes	\$5.73	\$4.04	\$1.69	41.8%	\$5.10	12.4%
Average 3+ Lanes	\$0.14	\$0.00	\$0.14		\$0.13	7.7%
Average Gross Revenue	\$4.52	\$3.04	\$1.48	48.7%	\$3.89	16.2%



The 2020 fiscal year-to-date (YTD) traffic volume is 0.4% lower when compared with the same period last year. The 2020 fiscal year-to-date revenue is 15.6% higher than for the same period last year. Year-to-date average revenue per-trip is \$4.32.

Fiscal year-to-date traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the RCTC 91 Express Lanes and associated potential revenue for the months of July 2019 through March 2020.

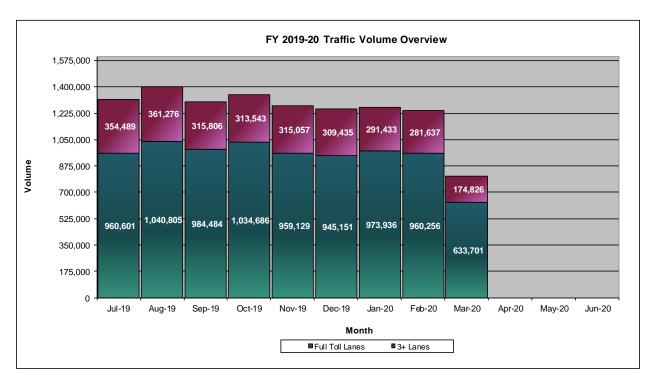
## FY 2019-20 Year to Date as of March 31, 2020

	FY 2019-20	Stantec			FY 2018-19	Yr-to-Yr
	YTD	YTD	#	%	YTD	%
Trips	Actual	Projected	Variance	Variance	Actual	Variance
Full Toll Lanes	8,536,905	8,820,029	(283,124)	(3.2%)	8,519,888	0.2%
3+ Lanes	2,656,315	2,859,029	(202,714)	(7.1%)	2,722,195	(2.4%)
Total Gross Trips	11,193,220	11,679,057	(485,837)	(4.2%)	11,242,083	(0.4%)
Revenue						
Full Toll Lanes	\$47,991,940	\$34,952,857	\$13,039,082	37.3%	\$41,441,557	15.8%
3+ Lanes	\$308,439	\$0	\$308,439		\$329,540	(6.4%)
Total Gross Revenue	\$48,300,379	\$34,952,857	\$13,347,521	38.2%	\$41,771,096	15.6%
Average Revenue per Trip						
Average Full Toll Lanes	\$5.62	\$3.96	\$1.66	41.9%	\$4.86	15.6%
Average 3+ Lanes	\$0.12	\$0.00	\$0.12		\$0.12	0.0%
Average Gross Revenue	\$4.32	\$2.99	\$1.33	44.5%	\$3.72	16.1%

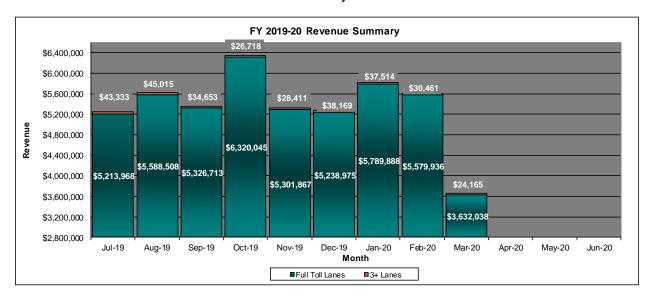


# **RCTC Traffic and Revenue Summary**

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



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





# **RCTC PEAK-HOUR VOLUMES**

RCTC evaluates traffic volumes for peak period hours and either increases or decreases tolls according to the toll rate policy. The hours highlighted in red represent toll reductions made on March 23<sup>rd</sup> in response the reduced peak-period volumes due to the COVID-19 pandemic.

## RCTC EASTBOUND PEAK-HOUR VOLUMES

Eastbound PM Peak - County Line to McKinley

	Monda	у		03/02/2	20	Tuesda	ıy		03/03/2	0	Wedne	sday		03/04/2	0	Thursda	ay		03/05/	20	Friday			03/06/	20
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	200	969	1,169	D	\$6.95	199	951	1,150	D	\$9.00	236	1071	1,307	F	\$11.85	244	1,089	1,333	F	\$21.00	304	1,133	1,437	F
1500 - 1600	\$7.35	291	857	1,148	D	\$6.95	306	951	1,257	Е	\$9.90	313	934	1,247	Ε	\$11.35	319	1,099	1,418	F	\$18.70	339	858	1,197	D
1600 - 1700	\$5.30	190	936	1,126	D	\$5.30	186	932	1,118	D	\$5.30	192	925	1,117	D	\$7.50	249	959	1,208	Е	\$10.45	246	938	1,184	D
1700 - 1800	\$5.30	225	862	1,087	D	\$5.30	189	848	1,037	D	\$5.30	229	881	1,110	D	\$5.30	222	868	1,090	D	\$6.95	236	1,010	1,246	Е
1800 - 1900	\$5.30	278	681	959	С	\$5.30	272	781	1,053	D	\$5.30	293	822	1,115	D	\$5.30	287	836	1,123	D	\$5.30	306	869	1,175	D
1900 - 2000	\$2.25	197	555	752	В	\$4.20	196	607	803	С	\$5.30	251	715	966	С	\$5.30	264	716	980	С	\$5.30	284	697	981	С

	Monda	у		03/09/2	20	Tuesda	ıy		03/10/20	)	Wedne	sday		03/11/2	0	Thursda	ıy		03/12/	20	Friday			03/13/2	20
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	209	951	1,160	D	\$6.95	174	856	1,030	D	\$9.00	225	935	1,160	D	\$11.85	210	829	1,039	D	\$21.00	234	966	1,200	D
1500 - 1600	\$7.35	317	933	1,250	Ε	\$6.95	246	744	990	С	\$9.90	279	950	1,229	Е	\$11.35	294	930	1,224	Е	\$18.70	270	788	1,058	D
1600 - 1700	\$5.30	216	917	1,133	D	\$5.30	172	692	864	С	\$5.30	184	839	1,023	D	\$7.50	218	843	1,061	D	\$10.45	174	806	980	С
1700 - 1800	\$5.30	216	864	1,080	D	\$5.30	196	758	954	С	\$5.30	209	743	952	С	\$5.30	191	850	1,041	D	\$6.95	170	711	881	С
1800 - 1900	\$5.30	268	712	980	С	\$5.30	209	578	787	В	\$5.30	246	675	921	С	\$5.30	237	757	994	С	\$5.30	239	552	791	В
1900 - 2000	\$2.25	166	426	592	В	\$4.20	138	308	446	В	\$5.30	187	450	637	В	\$5.30	201	595	796	В	\$5.30	194	391	585	В

	Monda	у		03/16/2	20	Tuesda	у		03/17/20	)	Wedne	sday		03/18/2	:0	Thursda	ıy		03/19/	20	Friday			03/20/	20
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	205	796	1,001	D	\$6.95	199	689	888	С	\$9.00	148	566	714	В	\$11.85	181	593	774	В	\$21.00	151	540	691	В
1500 - 1600	\$7.35	222	852	1,074	D	\$6.95	240	770	1,010	D	\$9.90	218	687	905	С	\$11.35	211	706	917	С	\$18.70	137	467	604	В
1600 - 1700	\$5.30	158	696	854	С	\$5.30	126	724	850	С	\$5.30	132	612	744	В	\$7.50	117	539	656	В	\$10.45	92	375	467	В
1700 - 1800	\$5.30	153	655	808	С	\$5.30	160	575	735	В	\$5.30	120	465	585	В	\$5.30	104	437	541	В	\$6.95	97	292	389	Α
1800 - 1900	\$5.30	130	459	589	В	\$5.30	125	358	483	В	\$5.30	98	294	392	Α	\$5.30	79	241	320	Α	\$5.30	74	240	314	Α
1900 - 2000	\$2.25	84	252	336	Α	\$4.20	75	182	257	Α	\$5.30	68	144	212	Α	\$5.30	72	153	225	Α	\$5.30	70	141	211	Α

	Monda	у		03/23/	20	Tuesda	ıy		03/24/2	0	Wedne	sday		03/25/2	0	Thursda	ıy		03/26/	20	Friday			03/27/	20
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	98	336	434	В	\$5.30	105	445	550	В	\$5.30	0	0	0	Α	\$5.30	130	438	568	В	\$6.95	142	491	633	В
1500 - 1600	\$5.30	100	463	563	В	\$5.30	138	499	637	В	\$5.30	0	0	0	Α	\$5.30	161	628	789	В	\$6.95	143	499	642	В
1600 - 1700	\$5.30	63	310	373	Α	\$5.30	59	334	393	Α	\$5.30	0	0	0	Α	\$5.30	94	483	577	В	\$6.95	99	434	533	В
1700 - 1800	\$5.30	71	234	305	Α	\$5.30	62	218	280	Α	\$5.30	0	0	0	Α	\$5.30	51	249	300	Α	\$6.95	86	281	367	Α
1800 - 1900	\$5.30	46	118	164	Α	\$5.30	48	139	187	Α	\$5.30	0	0	0	Α	\$5.30	72	137	209	Α	\$5.30	69	162	231	Α
1900 - 2000	\$2.25	39	86	125	Α	\$4.20	36	80	116	Α	\$5.30	10	29	39	Α	\$5.30	37	93	130	Α	\$5.30	56	114	170	Α

	Monda	ıy		03/30/	20	Tuesda	ıy		03/31/2	0	Wedne	esday		04/01/2	0	Thursda	ay		04/02/	20	Friday			04/03/	20
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	96	379	475	В	\$5.30	95	380	475	В															
1500 - 1600	\$5.30	140	521	661	В	\$5.30	157	531	688	В															
1600 - 1700	\$5.30	95	464	559	В	\$5.30	87	424	511	В															
1700 - 1800	\$5.30	75	237	312	Α	\$5.30	66	263	329	Α															
1800 - 1900	\$5.30	55	127	182	Α	\$5.30	48	126	174	Α															
1900 - 2000	\$2.25	44	76	120	Α	\$4.20	35	79	114	Α															



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

	Monda	ıy		03/02/	20	Tuesda	у		03/03/2	0	Wedne	sday		03/04/2	0	Thursda	ay		03/05/	20	Friday			03/06/	20
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.95	116	702	818	С	\$5.30	119	742	861	С	\$5.30	111	741	852	С	\$5.30	127	783	910	С	\$5.30	132	787	919	С
1500 - 1600	\$5.30	137	638	775	В	\$2.95	137	699	836	С	\$2.95	160	644	804	С	\$5.30	142	792	934	С	\$2.95	161	595	756	В
1600 - 1700	\$2.95	99	658	757	В	\$2.95	106	639	745	В	\$2.95	96	630	726	В	\$2.95	134	708	842	С	\$2.95	108	585	693	В
1700 - 1800	\$2.95	125	637	762	В	\$2.95	112	633	745	В	\$2.95	129	637	766	В	\$2.95	105	585	690	В	\$2.95	133	646	779	В
1800 - 1900	\$2.95	141	505	646	В	\$2.95	132	584	716	В	\$2.95	138	618	756	В	\$2.95	157	567	724	В	\$2.95	143	514	657	В
1900 - 2000	\$2.95	122	410	532	В	\$2.95	108	460	568	В	\$2.95	147	501	648	В	\$2.95	154	539	693	В	\$2.95	177	418	595	В

	Monda	у		03/09/	20	Tuesda	y		03/10/2	0	Wedne	sday		03/11/2	0	Thursda	ıy		03/12/	20	Friday			03/13/	20
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.95	118	650	768	В	\$5.30	97	655	752	В	\$5.30	105	678	783	В	\$5.30	118	658	776	В	\$5.30	103	711	814	С
1500 - 1600	\$5.30	151	715	866	С	\$2.95	125	583	708	В	\$2.95	149	667	816	С	\$5.30	128	679	807	С	\$2.95	134	579	713	В
1600 - 1700	\$2.95	117	683	800	В	\$2.95	103	610	713	В	\$2.95	113	654	767	В	\$2.95	136	639	775	В	\$2.95	84	581	665	В
1700 - 1800	\$2.95	151	640	791	В	\$2.95	105	581	686	В	\$2.95	119	551	670	В	\$2.95	102	511	613	В	\$2.95	88	428	516	В
1800 - 1900	\$2.95	136	507	643	В	\$2.95	111	541	652	В	\$2.95	119	550	669	В	\$2.95	110	488	598	В	\$2.95	113	351	464	В
1900 - 2000	\$2.95	97	311	408	В	\$2.95	86	271	357	Α	\$2.95	108	363	471	В	\$2.95	142	438	580	В	\$2.95	87	243	330	Α

	Monda	у		03/16/	20	Tuesda	y		03/17/2	0	Wedne	sday		03/18/2	0	Thursda	ıy		03/19/	20	Friday			03/20/	20
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.95	97	546	643	В	\$5.30	79	451	530	В	\$5.30	80	379	459	В	\$5.30	89	425	514	В	\$5.30	65	377	442	В
1500 - 1600	\$5.30	106	639	745	В	\$2.95	103	560	663	В	\$2.95	96	495	591	В	\$5.30	106	547	653	В	\$2.95	73	354	427	В
1600 - 1700	\$2.95	84	569	653	В	\$2.95	87	542	629	В	\$2.95	88	507	595	В	\$2.95	74	415	489	В	\$2.95	50	296	346	Α
1700 - 1800	\$2.95	64	529	593	В	\$2.95	67	423	490	В	\$2.95	63	363	426	В	\$2.95	50	340	390	Α	\$2.95	52	241	293	Α
1800 - 1900	\$2.95	68	344	412	В	\$2.95	70	277	347	Α	\$2.95	50	243	293	Α	\$2.95	43	192	235	Α	\$2.95	33	168	201	Α
1900 - 2000	\$2.95	38	175	213	Α	\$2.95	33	180	213	Α	\$2.95	28	133	161	Α	\$2.95	38	119	157	Α	\$2.95	27	103	130	Α

	Mon	day		03/23/	20	Tues	day		03/24/2	0	Wedne	esday		03/25/2	0	Thurs	day		03/26/	20	Frid	ау		03/27/	20
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.95	51	263	314	Α	\$2.95	65	357	422	В	\$2.95	0	0	0	Α	\$2.95	66	282	348	Α	\$2.95	63	317	380	Α
1500 - 1600	\$2.95	57	347	404	В	\$2.95	71	357	428	В	\$2.95	0	0	0	Α	\$2.95	60	450	510	В	\$2.95	65	352	417	В
1600 - 1700	\$2.95	34	278	312	Α	\$2.95	40	304	344	Α	\$2.95	0	0	0	Α	\$2.95	43	377	420	В	\$2.95	42	279	321	Α
1700 - 1800	\$2.95	25	230	255	Α	\$2.95	29	190	219	Α	\$2.95	0	0	0	Α	\$2.95	23	183	206	Α	\$2.95	47	204	251	Α
1800 - 1900	\$2.95	24	88	112	Α	\$2.95	24	114	138	Α	\$2.95	0	0	0	Α	\$2.95	27	116	143	Α	\$2.95	33	120	153	Α
1900 - 2000	\$2.95	21	70	91	Α	\$2.95	15	66	81	Α	\$2.95	7	22	29	Α	\$2.95	14	62	76	Α	\$2.95	25	72	97	Α

	Мс	onday	/		03/30/	20	Tuesda	ıy		03/31/2	0	Wedne	sday		04/01/2	20	Thursda	ay		04/02/	20	Friday			04/03/	20
PM Tir	ne Pr	rice	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1	<b>500</b> \$2	2.95	64	248	312	Α	\$2.95	57	302	359	Α															
1500 - 16	<b>500</b> \$2	2.95	73	394	467	В	\$2.95	78	382	460	В															
1600 - 17	700 \$2	2.95	49	310	359	Α	\$2.95	44	308	352	Α															
1700 - 18	<b>300</b> \$2	2.95	28	204	232	Α	\$2.95	28	222	250	Α															
1800 - 19	900 \$2	2.95	27	101	128	Α	\$2.95	30	106	136	Α															
1900 - 20	000 \$2	2.95	16	64	80	Α	\$2.95	11	63	74	Α															



# **RCTC WESTBOUND PEAK-HOUR VOLUMES**

Westbound AM Peak - McKinley to County Line

						I																			
	Monday			03/02/	20	Tuesday	<u> </u>		03/03/	20	Wednes	day		03/04/	20	Thursda	ıy		03/05/	20	Friday			03/06/2	20
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$10.80	361	1226	1,587	F	\$10.80	364	1083	1,447	F	\$10.80	365	1082	1,447	F	\$10.50	420	1,095	1,515	F	\$5.30	349	701	1,050	D
0500 - 0600	\$23.25	486	936	1,422	F	\$22.80	542	879	1,421	F	\$19.75	467	767	1,234	Е	\$17.50	518	1,057	1,575	F	\$12.20	468	997	1,465	F
0600 - 0700	\$19.55	362	1094	1,456	F	\$17.45	332	878	1,210	Е	\$19.40	384	1196	1,580	F	\$19.40	434	850	1,284	Е	\$11.45	460	1,159	1,619	F
0700 - 0800	\$16.35	296	1314	1,610	F	\$16.35	347	1328	1,675	F	\$17.10	311	1341	1,652	F	\$15.30	411	1,279	1,690	F	\$9.30	359	1,075	1,434	F
0800 - 0900	\$11.15	165	1316	1,481	F	\$11.45	199	1397	1,596	F	\$11.45	185	1555	1,740	F	\$12.20	210	1,367	1,577	F	\$8.00	170	1,013	1,183	D
0900 - 1000	\$6.95	135	1,006	1,141	D	\$9.00	158	1139	1,297	Е	\$8.00	158	1069	1,227	Е	\$9.00	169	1,108	1,277	Е	\$5.30	132	764	896	С

	Monday	•		03/09/2	20	Tuesday	,		03/10/2	20	Wednes	day		03/11/2	20	Thursda	ıy		03/12/	20	Friday			03/13/2	50
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$10.80	404	1,014	1,418	F	\$10.80	344	850	1,194	D	\$10.80	352	937	1,289	Е	\$10.50	356	958	1,314	Е	\$5.30	235	521	756	В
0500 - 0600	\$23.25	508	971	1,479	F	\$22.80	488	840	1,328	Ε	\$19.75	463	698	1,161	D	\$17.50	473	1,011	1,484	F	\$12.20	304	730	1,034	D
0600 - 0700	\$19.55	394	911	1,305	Ε	\$17.45	333	736	1,069	D	\$19.40	408	955	1,363	F	\$19.40	384	677	1,061	D	\$11.45	307	903	1,210	Е
0700 - 0800	\$16.35	337	1,209	1,546	F	\$16.35	350	1,032	1,382	F	\$17.10	371	1,172	1,543	F	\$15.30	353	1,156	1,509	F	\$9.30	281	1,005	1,286	Е
0800 - 0900	\$11.15	199	1,447	1,646	F	\$11.45	204	1,307	1,511	F	\$11.45	217	1,187	1,404	F	\$12.20	205	1,172	1,377	F	\$8.00	109	909	1,018	D
0900 - 1000	\$6.95	171	969	1,140	D	\$9.00	139	1,139	1,278	Е	\$8.00	143	807	950	С	\$9.00	125	924	1,049	D	\$5.30	87	548	635	В

	Monday			03/16/2	20	Tuesday	,		03/17/2	20	Wednes	day		03/18/2	20	Thursda	ıy		03/19/	20	Friday			03/20/2	20
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$10.80	303	786	1,089	D	\$10.80	248	711	959	С	\$10.80	254	678	932	С	\$10.50	221	554	775	В	\$5.30	157	330	487	В
0500 - 0600	\$23.25	385	761	1,146	D	\$22.80	419	708	1,127	D	\$19.75	318	559	877	С	\$17.50	245	556	801	С	\$12.20	184	528	712	В
0600 - 0700	\$19.55	201	727	928	С	\$17.45	223	812	1,035	D	\$19.40	205	653	858	С	\$19.40	141	370	511	В	\$11.45	144	484	628	В
0700 - 0800	\$16.35	172	872	1,044	D	\$16.35	136	769	905	С	\$17.10	142	557	699	В	\$15.30	99	461	560	В	\$9.30	72	403	475	В
0800 - 0900	\$11.15	109	731	840	С	\$11.45	84	578	662	В	\$11.45	67	450	517	В	\$12.20	42	378	420	В	\$8.00	35	327	362	Α
0900 - 1000	\$6.95	87	478	565	В	\$9.00	78	420	498	В	\$8.00	65	344	409	В	\$9.00	70	277	347	Α	\$5.30	43	231	274	Α

	Monday			03/23/	20	Tuesday	,		03/24/	20	Wednes	day		03/25/	20	Thursda	ıy		03/26/	20	Friday			03/27/	20
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$6.95	183	276	459	В	\$6.95	162	286	448	В	\$6.95	153	289	442	В	\$6.95	148	236	384	Α	\$4.20	128	201	329	Α
0500 - 0600	\$6.95	193	609	802	С	\$6.95	246	695	941	С	\$6.95	202	594	796	В	\$6.95	207	584	791	В	\$4.20	156	537	693	В
0600 - 0700	\$6.95	103	405	508	В	\$6.95	88	320	408	В	\$6.95	104	399	503	В	\$6.95	86	395	481	В	\$4.20	109	389	498	В
0700 - 0800	\$6.95	68	409	477	В	\$6.95	61	344	405	В	\$6.95	57	306	363	Α	\$6.95	64	334	398	Α	\$4.20	61	318	379	Α
0800 - 0900	\$6.95	36	261	297	Α	\$6.95	30	200	230	Α	\$6.95	39	218	257	Α	\$6.95	40	222	262	Α	\$4.20	21	206	227	Α
0900 - 1000	\$6.95	44	175	219	Α	\$6.95	32	199	231	Α	\$6.95	34	176	210	Α	\$6.95	33	184	217	Α	\$4.20	32	176	208	Α

	Monday			03/30/	20	Tuesday	/		03/31/	20	Wednes	day		04/01/	20	Thursda	ay		04/02/	20	Friday			04/03/	20
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$6.95	119	273	392	Α	\$6.95	144	238	382	Α															
0500 - 0600	\$6.95	212	636	848	С	\$6.95	229	673	902	С															
0600 - 0700	\$6.95	94	424	518	В	\$6.95	75	340	415	В															
0700 - 0800	\$6.95	51	314	365	Α	\$6.95	64	308	372	Α															
0800 - 0900	\$6.95	32	241	273	Α	\$6.95	39	210	249	Α															
0900 - 1000	\$6.95	37	174	211	Α	\$6.95	20	157	177	Α															



Westbound AM Peak - I-15 North to County Line

	Monday			03/02/	20	Tuesday	/		03/03/	20	Wednes	day		03/04/	20	Thursda	ıy		03/05/	20	Friday			03/06/	20
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$6.85	200	824	1,024	D	\$6.85	243	820	1,063	D	\$5.30	197	815	1,012	D	\$5.30	258	776	1,034	D	\$5.30	214	617	831	С
0500 - 0600	\$19.05	310	1154	1,464	F	\$18.60	364	1007	1,371	Ε	\$16.60	328	1177	1,505	F	\$13.50	353	1,086	1,439	F	\$6.85	299	1,026	1,325	Ε
0600 - 0700	\$19.35	294	1097	1,391	Е	\$18.60	318	1260	1,578	F	\$20.70	295	1126	1,421	F	\$15.55	340	1,135	1,475	F	\$8.85	284	867	1,151	D
0700 - 0800	\$12.15	198	1176	1,374	Е	\$14.80	280	1231	1,511	F	\$13.80	225	1200	1,425	F	\$12.75	250	1,145	1,395	Е	\$6.85	209	947	1,156	D
0800 - 0900	\$6.85	100	1089	1,189	D	\$8.85	101	1201	1,302	Е	\$8.85	93	1171	1,264	Е	\$8.85	109	1,108	1,217	Е	\$5.30	103	885	988	С
0900 - 1000	\$5.30	113	815	928	С	\$5.30	100	942	1,042	D	\$5.30	110	942	1,052	D	\$5.30	123	924	1,047	D	\$2.95	99	716	815	С

	Monday	,		03/09/	20	Tuesday	,		03/10/2	20	Wednes	day		03/11/2	20	Thursda	ıy		03/12/	20	Friday			03/13/	20
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	sov	Vol.	LOS
0400 - 0500	\$6.85	250	773	1,023	D	\$6.85	218	571	789	В	\$5.30	236	653	889	С	\$5.30	241	619	860	С	\$5.30	145	509	654	В
0500 - 0600	\$19.05	357	1,035	1,392	Е	\$18.60	346	878	1,224	Ε	\$16.60	339	995	1,334	Ε	\$13.50	327	965	1,292	Ε	\$6.85	209	807	1,016	D
0600 - 0700	\$19.35	315	809	1,124	D	\$18.60	305	959	1,264	Ε	\$20.70	312	912	1,224	Ε	\$15.55	292	906	1,198	D	\$8.85	207	714	921	С
0700 - 0800	\$12.15	221	1,048	1,269	Е	\$14.80	247	995	1,242	Ε	\$13.80	230	1,078	1,308	Ε	\$12.75	212	982	1,194	D	\$6.85	146	879	1,025	D
0800 - 0900	\$6.85	123	1,100	1,223	Е	\$8.85	117	1,142	1,259	Ε	\$8.85	133	1,006	1,139	D	\$8.85	106	962	1,068	D	\$5.30	60	730	790	В
0900 - 1000	\$5.30	94	870	964	С	\$5.30	110	1,018	1,128	D	\$5.30	100	840	940	С	\$5.30	102	903	1,005	D	\$2.95	72	479	551	В

	Monday	•		03/16/2	20	Tuesday	ı		03/17/2	20	Wednes	day		03/18/	20	Thursda	ıy		03/19/	20	Friday			03/20/	20
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$6.85	176	613	789	В	\$6.85	163	549	712	В	\$5.30	141	465	606	В	\$5.30	116	424	540	В	\$5.30	82	320	402	В
0500 - 0600	\$19.05	247	893	1,140	D	\$18.60	227	742	969	С	\$16.60	198	688	886	С	\$13.50	171	616	787	В	\$6.85	112	484	596	В
0600 - 0700	\$19.35	158	797	955	С	\$18.60	156	859	1,015	D	\$20.70	130	563	693	В	\$15.55	89	468	557	В	\$8.85	85	414	499	В
0700 - 0800	\$12.15	86	713	799	В	\$14.80	59	601	660	В	\$13.80	56	492	548	В	\$12.75	46	388	434	В	\$6.85	41	304	345	Α
0800 - 0900	\$6.85	43	628	671	В	\$8.85	45	507	552	В	\$8.85	32	402	434	В	\$8.85	25	342	367	Α	\$5.30	28	293	321	Α
0900 - 1000	\$5.30	63	461	524	В	\$5.30	60	374	434	В	\$5.30	51	337	388	Α	\$5.30	40	282	322	Α	\$2.95	33	247	280	Α

	Monday	•		03/23/	20	Tuesday	1		03/24/	20	Wednes	day		03/25/	20	Thursda	ay		03/26/	20	Friday			03/27/	20
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$5.30	104	302	406	В	\$5.30	99	287	386	Α	\$5.30	84	276	360	Α	\$5.30	91	257	348	Α	\$2.95	61	244	305	Α
0500 - 0600	\$5.30	150	481	631	В	\$5.30	124	504	628	В	\$5.30	127	519	646	В	\$5.30	112	454	566	В	\$2.95	92	415	507	В
0600 - 0700	\$5.30	81	472	553	В	\$5.30	68	419	487	В	\$5.30	62	376	438	В	\$5.30	63	413	476	В	\$2.95	57	392	449	В
0700 - 0800	\$5.30	48	327	375	Α	\$5.30	36	293	329	Α	\$5.30	27	280	307	Α	\$5.30	24	292	316	Α	\$2.95	15	258	273	Α
0800 - 0900	\$5.30	21	250	271	Α	\$5.30	21	276	297	Α	\$5.30	15	228	243	Α	\$5.30	23	225	248	Α	\$2.95	21	230	251	Α
0900 - 1000	\$5.30	26	178	204	Α	\$5.30	25	167	192	Α	\$5.30	24	179	203	Α	\$5.30	27	144	171	Α	\$2.95	31	151	182	Α

	Monday	•		03/30/	20	Tuesday	/		03/31/	20	Wednes	day		04/01/	/20	Thursda	ay		04/02	20	Friday			04/03/	20
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$5.30	75	265	340	Α	\$5.30	71	228	299	Α															
0500 - 0600	\$5.30	95	487	582	В	\$5.30	118	471	589	В															
0600 - 0700	\$5.30	45	404	449	В	\$5.30	53	367	420	В															
0700 - 0800	\$5.30	22	280	302	Α	\$5.30	28	285	313	Α															
0800 - 0900	\$5.30	17	214	231	Α	\$5.30	19	232	251	Α															
0900 - 1000	\$5.30	19	145	164	Α	\$5.30	20	149	169	Α															



# RCTC OPERATIONAL HIGHLIGHTS

# **On-road Operations**

RCTC Freeway Service Patrol (FSP) responded to 62 calls during the month of March. Of those calls, 41 were to assist disabled vehicles, 11 calls to remove debris and 10 were in response to accidents in the Express Lanes.



# FINANCIAL HIGHLIGHTS RCTC

# RCTC 91 Express Lanes Operating Statement

	YTD as of : 3/31/2020			YTD Variance			
Description	Actual <sup>1</sup>		Budget		Dollar \$	Percent (%)	
Operating revenues:		L					
Toll Revenue	\$ 44,671,968.46	\$	-, -,	\$	(1,768,631.54)	(3.8)	
Fee Revenue	6,348,890.05		3,960,225.00		2,388,665.05	60.3	
Total operating revenues	51,020,858.51		50,400,825.00		620,033.51	1.2	
Operating expenses:		$\overline{}$		<u> </u>			
Salaries and Benefits	577,052.79		1,015,050.00		437,997.21	43.2	
Legal Services	159,217.52		262,500.00		103,282.48	39.3	
Advisory Services	46,070.58		56,250.00		10,179.42	18.1	
Audit and Accounting Fees	46,000.00		35,250.00		(10,750.00)	(30.5)	
Service Fees	2.706.21		19.500.00		16,793.79	86.1	
Other Professional Services	276,118.79		1,859,625.00		1,583,506.21	85.2	
Lease Expense	159,300.79		192,375.00		33,074.21	17.2	
Operations	2,246,970.13		2,721,375.00		474,404.87	17.4	
Utilities	29,048.52		46,875.00		17,826.48	38.0	
Supplies and Materials	123.62		3,750.00		3.626.38	96.7	
Membership and Subscription Fees	20,306.75		18,750.00		(1,556.75)	(8.3)	
Office Equipment & Furniture (Non-Capital)	747.12		3,750.00		3,002.88	80.1	
Maintenance/Repairs	121,708.55		262,350.00		140,641.45	53.6	
Training Seminars and Conferences	1,125.00		3,375.00		2,250.00	66.7	
9	2,724.33		5,625.00			51.6	
Transportation Expenses	,		•		2,900.67		
Lodging	2,455.52		5,250.00		2,794.48	53.2	
Meals	1,088.56		750.00		(338.56)	(45.1)	
Other Staff Expenses	524.65		750.00		225.35	30.0	
Advertising	6,776.63		142,500.00		135,723.37	95.2	
Program Management	78,546.84		-		(78,546.84)	N/A	
Program Operations	5,630,439.23		8,745,150.00		3,114,710.77	35.6	
Litigation Settlement	-		7,500.00		7,500.00	100.0	
Furniture & Equipment	340,518.76		562,500.00		221,981.24	39.5	
Improvements	16,032.27		12,075.00		(3,957.27)	(32.8)	
Depreciation	5,391,972.02	#	-		(5,391,972.02)	N/A	
Bad Debt Expense	11.03		-		(11.03)	N/A	
Total operating expenses	15,157,586.21		15,982,875.00		825,288.79	5.2	
Operating income (loss)	35,863,272.30		34,417,950.00		1,445,322.30	4.2	
operating meetine (rese)	00,000,272.00	<u> </u>	01,117,000.00	<u> </u>	1,110,022.00	1.2	
Nonoperating revenues (expenses):						L	
Interest Revenue	2,228,813.71		1,004,250.00		1,224,563.71	(121.9)	
Other Miscellaneous Revenue	(855.99)		-		(855.99)	N/A	
Interest Expense	(19,799,515.75)	#	(5,339,925.00)		(14,459,590.75)	270.8	
Total nonoperating revenues (expenses)	(21,674,553.90)		(4,335,675.00)		(17,338,878.90)	(399.9)	
Transfers In				l		N/A	
Transfers In	(1,599,475.16)		(2,294,625.00)		- 695,149.84	(30.3)	
Handidia Out	(1,033,473.10)	1	(2,204,020.00)	l	000, 140.04	(50.5)	
Net income (loss)	\$ 12,589,243.24	\$	27,787,650.00	\$	(15,198,406.76)	(54.7)	

<sup>&</sup>lt;sup>1</sup> Unaudited



<sup>&</sup>lt;sup>2</sup> Depreciation is not a budgeted expense

<sup>&</sup>lt;sup>3</sup> Amount includes accrued compounded interest for the 91 Project Transportation Infrastructure Finance and Innovation Act (TIFIA) loan and accreted interest on the 2013 Toll Revenue Bonds Series B (capital appreciation). \$10.8 million of the \$14.3 million interest cost will not be paid in the current year and therefore not included in the FY 2019/20 budget

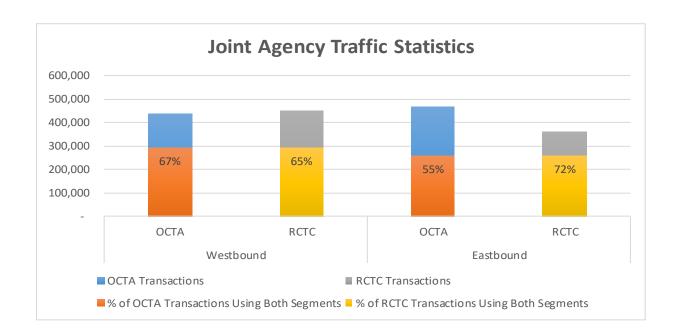
# **JOINT AGENCY TRIP AND REVENUE STATISTICS**

# MULTI AGENCY TRIP AND REVENUE STATISTICS

MONTH ENDING March 31, 2020

MTD	Transactions by Agency	Transactions Using Both Segments	% Using Both Segments	Revenue
Westbound	, igolio,	<u> </u>	- cogc	novonao
OCTA	438,123	293,387	67%	\$ 1,179,082
RCTC	448,814	293,387	65%	\$ 2,462,410
I-15	196,654	129,559	66%	\$ 1,039,602
McKinley	252,160	163,828	65%	\$ 1,422,808
Eastbound				
OCTA	467,277	258,672	55%	\$ 1,736,980
RCTC	359,713	258,672	72%	\$ 1,193,793
I-15	135,926	104,168	77%	\$ 323,361
McKinley	223,787	154,504	69%	\$ 870,432

## JOINT AGENCY TRAFFIC STATISTICS





## JOINT AGENCY PERFORMANCE MEASURES

REPORTING REQUIREMENT	Reporting Period	PERFORMANCE STANDARD	Mar-20 Performance	
CUSTOMER SERVICE	•			
Call Wait Time	Monthly	Not to exceed 2 minutes	1:29	
Abandon Rate	Monthly	No more than 4.0%	2.7%	
Customer Satisfaction	Monthly	At least 75 outbound calls	77	
VIOLATION PROCESSING			•	
Response Time	Monthly	Within 2 business days of receipt	0.9	
CUSA Violation Collection Rate	Quarterly	70% or more	62%	
CUSA Violation Collection Rate	Annually	74% or more		
TRAFFIC OPERATIONS				
Initial & Secondary Reviews	Monthly	Equal to or less than 15 days	0.7	
* Plate Misread Errors	Monthly	Equal to or less than 0.4%	0.01%	
CAS Response Time	Monthly	0:20 (minutes) per call	0:10	
ACCOUNTING			'	
OCTA Exceptions	Monthly	No more than 3	0	
RCTC Exceptions	Monthly	No more than 3	0	
INFORMATION TECHNOLOGY				
Back-office System Uptime	Monthly	99% Availability	100%	
Network Uptime	Monthly	99% Availability		

CUSA = Co firo ute USA; CAS = OCTA Customer Assistance Specialists

## JOINT AGENCY TRANSPONDER DISTRIBUTION

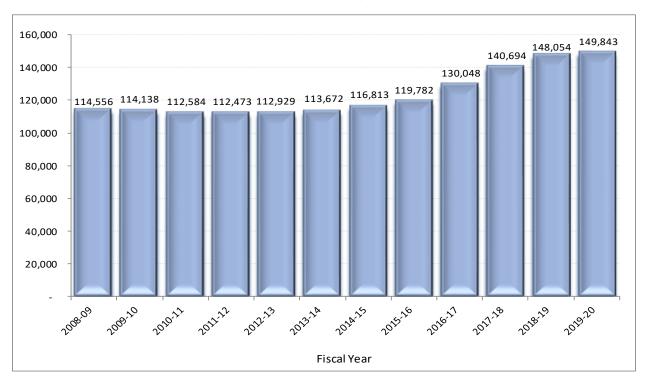
T21 TRANSPONDER DISTRIBUTION	March-20		February-20		FY 2019-20 Average To-Date	
121 TRANSPONDER DISTRIBUTION	Tags % of Tot		Tags % of Total			
Issued						
To New Accounts	927	91.2%	629	77.4%	1,183	52.2%
Additional Tags to Existing Accounts	36	3.5%	82	10.1%	638	28.1%
Replacement Transponders	54	5.3%	102	12.5%	447	19.7%
Total Issued	1,017		813		2,267	
Returned						
Account Closures	164	3.0%	335	18.2%	422	24.1%
Accounts Downsizing	244	4.4%	270	14.7%	178	10.1%
Defective Transponders	5,121	92.6%	1,235	67.1%	1,152	65.8%
Total Returned	5,529		1,840		1,752	



<sup>\*</sup>Plate M isread Error performance is current after a 80-dayhold-back period; therefore, percentage reported here is for 2 months prior to the month of this report.

At the end of March 2020, the 91 Express Lanes had 149,843 active customer accounts and 295,675 transponders classified as Assigned.

# Number of Accounts by Fiscal Year As of March 31, 2020



#### **Incoming Email Activity**

During March, the Anaheim Processing Center received 3,854 emails.

#### **Operational Activity**

Amid concerns about the spread of COVID-19 and following the governor's guidance to help reduce its spread, the 91 Express Lanes Customer Walk-In Center was closed in March and will remain so until further notice. Operational activities in the Anaheim and Corona locations continued to function with a combination of remote workers and core staff located at the facilities. Core essential functions include aiding stranded motorists, providing incident management services and dispatching emergency vehicles through the traffic operations center. The call center remains open to respond to customer service and violation calls.







#### June 8, 2020

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

LW

From: Laurena Weinert, Clerk of the Board

Subject: Amendment to Agreement for Service and Maintenance of

Security Systems

# Executive Committee Meeting of June 1, 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**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-7-1676 between the Orange County Transportation Authority and Convergint Technologies LLC, in the amount of \$65,000, for additional project support services. This will increase the maximum obligation of the agreement to a total contract value of \$341,000.



June 1, 2020

**To:** Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Amendment to Agreement for Service and Maintenance of

Security Systems

#### Overview

In July 2017, the Orange County Transportation Authority entered into an agreement with Convergint Technologies LLC, to provide service and maintenance to the security systems, which include the video management system, access control system, and duress alarm system, for a three-year term at the administration building and all operating bases. An amendment is required to increase the maximum cumulative payment obligation in order to accommodate additional project support.

#### Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-7-1676 between the Orange County Transportation Authority and Convergint Technologies LLC, in the amount of \$65,000, for additional project support services. This will increase the maximum obligation of the agreement to a total contract value of \$341,000.

#### **Discussion**

A security service and maintenance contract is required to ensure the Orange County Transportation Authority's (OCTA) security systems perform as required and operability issues are resolved in a timely manner. This agreement is time and expense, and while some calls for service or maintenance can be anticipated and planned for, the majority of service calls are unexpected. OCTA entered into a contract for these services with Convergint Technologies, LLC in July 2017, and since that time, an increase in unforeseen security service calls has exhausted the current contract capacity. Examples of recent unplanned maintenance and repairs include repairing door lock solenoids, addressing pin/latch misalignments, and replacing card readers as it relates to access control equipment. Additionally, addressing power issues, replacing batteries

and supply boards, addressing server updates, and installing cameras related to the video management system were all unplanned service calls.

#### **Procurement Approach**

The procurement was originally handled in accordance with OCTA Board of Directors (Board)-approved procedures for professional and technical services. The original agreement was awarded by the Contracts Administration and Materials Management (CAMM) Department for a three-year term, in the amount of \$240,000. CAMM has issued one amendment as described in Attachment A.

The term of the agreement is through August 31, 2020. Amending the agreement will increase the maximum cumulative payment obligation by \$65,000, bringing the total contract value to \$341,000.

#### Fiscal Impact

Funds are included in OCTA's Fiscal Year 2019-20 Budget, Security and Emergency Preparedness Department, accounts 1316-7611-A5310-0J0, 1316-7611-A5310-0J1, 1316-7611-A5310-0J2, 1316-7611-A5310-0J3, and 1316-7611-A5310-0RR, and is funded through local funds.

#### Summary

Staff is recommending the Board authorize the Chief Executive Officer to negotiate and execute Amendment No. 2 to Agreement No. C-7-1676 with Convergint Technologies LLC, in the amount of \$65,000, thereby increasing the total contract value to \$341,000, for service and maintenance of security systems.

#### Attachment

A. Convergint Technologies LLC, Agreement No. C-7-1676 Fact Sheet

## Prepared by:

Katrina L. Faulkner Manager, Security and Emergency

Preparedness 714-560-5719

# Approved by:

Jennifer L. Bergener

Chief Operating Officer, Operations/ Deputy Chief Executive Officer

714-560-5462

Virginia Abadessa

Director, Contracts Administration and

Materials Management

714-560-5623

# Convergint Technologies LLC Agreement No. C-7-1676 Fact Sheet

- 1. July 31, 2017, Agreement No. C-7-1676, \$240,000, approved by the Contracts Administration and Materials Management (CAMM) Department.
  - Agreement to provide service and maintenance of security systems.
  - Term of the agreement is effective through August 31, 2020.
- 2. September 9, 2019, Amendment No. 1 to Agreement No. C-7-1676, \$36,000, approved by CAMM.
  - Amendment to increase the maximum cumulative payment obligation for the purchase of ID badges.
- 3. June 8, 2020, Amendment No. 2 to Agreement No. C-7-1676, \$65,000, pending Board of Directors approval.
  - Amendment to increase the maximum cumulative payment obligation.

Total committed to Convergint Technologies LLC, Agreement No. C-7-1676, in the amount of \$341,000.





#### June 8, 2020

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

From: Laurena Weinert, Clerk of the Board

**Subject:** Agreement for Occurrence Tracking System Replacement

## Finance and Administration Committee Meeting of May 27, 2020

Present: Directors Do, Hennessey, Hernandez, Jones, Muller, R. Murphy,

and Steel

Absent: None

#### **Committee Vote**

Following the roll call vote, this item was declared passed 7-0 by the Members present.

#### **Committee Recommendations**

- Approve the selection of Origami Risk LLC, as the firm to Α. provide cloud-based claims management software as a service in support of the Orange County Transportation Authority's Tracking System Occurrence for Risk Management and Safety departments.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2023 between the Orange County Transportation Authority and Origami Risk LLC, in the amount of \$495,170, to provide cloud-based claims management software as a service to replace Orange County Transportation Authority's Occurrence Tracking System for a three-year term.



## May 27, 2020

**To:** Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

**Subject:** Agreement for Occurrence Tracking System Replacement

#### Overview

The Orange County Transportation Authority utilizes an in-house, custom developed browser-based software application for the Operations, Safety and Environmental Compliance, and Risk Management departments to gather and analyze information about any activities which may be related to litigation used by claims management and safety. The current Occurrence Tracking System used by the Orange County Transportation Authority was developed over 25 years ago and a replacement is now needed. Board of Directors' approval is requested to execute an agreement for a replacement system.

#### Recommendations

- A. Approve the selection of Origami Risk LLC, as the firm to provide cloud-based claims management software as a service in support of the Orange County Transportation Authority's Occurrence Tracking System for Risk Management and Safety departments.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2023 between the Orange County Transportation Authority and Origami Risk LLC, in the amount of \$495,170, to provide cloud-based claims management software as a service to replace Orange County Transportation Authority's Occurrence Tracking System for a three-year term.

#### **Discussion**

The Orange County Transportation Authority's (OCTA) current claims management software is known as the Occurrence Tracking System (OTS). OTS is a browser-based software application developed in-house in the early 1990s that gathers and analyzes operational information for Operations, Safety

and Environmental Compliance, and Risk Management departments to meet their respective missions and goals.

The current system provides a work process from the point of an operations occurrence through the radio dispatch center to allow for immediate response to accidents and injuries in the field. Data is collected to document events for use by various teams to process post-incident claims, drug and alcohol testing, discipline, remedy any unsafe conditions, or behaviors and to comply with laws and regulations.

The OTS system was developed in a programming language that is being replaced in the digital world with newer technology that is not as vulnerable to security risks. The system's programming language is not a skillset that is readily found in the open job market.

Staff is recommending changing the system to a cloud-based system for the following three reasons:

- Internal resources currently used to support the existing system will no longer be available due to staffing changes.
- Cloud-based solutions are turnkey and can be deployed much more quickly than in-house solutions, and they do not require significant complex customizations, maintenance, or development costs.
- The Federal Transit Administration (FTA) requires OCTA to adopt a
  Public Transportation Agency Safety Plan that follows the requirements
  of a safety management system (SMS) approach by July 20, 2020. The
  new software includes functionality to satisfy the new FTA SMS
  requirements as the current software does not.

## 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 March 3, 2020, Request for Proposals (RFP) 0-2023 was issued electronically on CAMM NET. The project was advertised in a newspaper of general circulation on March 3 and 9, 2020. A pre-proposal conference was held

on March 11, 2020. Three addenda were issued to provide responses to questions received and make clarifications relative to the RFP.

On March 30, 2020, two proposals were received. An evaluation committee comprised of OCTA staff from Contracts Administration and Materials Management, Enterprise Computer Solutions and Support, Risk Management, Operations Support, and Safety and Environmental departments met to review the submitted proposals.

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

•	Qualifications of the Firm	25 percent
•	Staffing and Project Organization	20 percent
•	Work Plan	30 percent
•	Cost and Price	25 percent

Several factors were considered in developing the evaluation criteria weights. Qualifications of the firm was weighted at 25 percent because firms needed to demonstrate a background of experience with systems used by risk, safety, and field teams for occurrence tracking. Staffing and project organization was weighted at 20 percent, as the firm had to present a project team with the expertise and skills, as well as the availability, to develop a new claims management system as required. Work plan was rated the highest at 30 percent, because the work plan approach and strategy derived from proposals was an important consideration during the evaluation review process, which included completion of a Business Requirements list that documents the proposed solution's capability and method to implement the system. The firm also needed to demonstrate the ability to build, customize, and configure the OTS application to ensure compatibility with OCTA's system requirements. The cost and price criteria were assigned a 25 percent weight to ensure OCTA receives value for the services provided.

The evaluation committee reviewed and discussed the two proposals received based on the evaluation criteria and interviewed both firms. Both firms are listed below in alphabetical order:

#### Firm and Location

Origami Risk LLC (Origami) Chicago, Illinois

Trackit LLC (Trackit) Van Nuys, California

On April 14, 2020, the evaluation committee interviewed the two firms. The interviews consisted of a presentation allowing each team to present a short demonstration of its proposed product and respond to evaluation committee questions.

On April 15, 2020, the two firms were sent requests for clarifications that resulted in best and final offers (BAFO). The BAFO included clarifications to the scope of work (SOW), as well as a reduction in the term of the contract to three years for maintenance and license fees. The rankings did not change, post review of BAFO.

Based on the evaluation of the written proposals, as well as information obtained from the interviews and BAFO, the evaluation committee recommends Origami as the firm to replace the OTS for consideration of the award. The following is a brief summary of the proposal evaluation results.

#### Qualifications of the Firm

The two firms are established firms with relevant experience and extensive resources. The firms demonstrated experience in the development of similar OTS projects.

Origami was founded in 2009, has 300 employees and 26 offices with a primary office in Chicago, Illinois. Origami currently serves over 600 clients in a range of industries using the firm's cloud-based solution hosted as Software as a Service (SaaS). Clients range from municipalities, cities, states, governments, and federal agencies and provides the SaaS solution to clients that include Port of Seattle, Washington Schools Risk Management Pool, South Carolina School Board, and ten transit agencies including Alameda-Contra Costa Transit District, Washington Metropolitan Area Transit Authority, and Metropolitan Atlanta Rapid Transit Authority.

Trackit was founded in 2012 and is located in La Mesa, California. They provide services and products to more than 80 transit agencies using Trackit services and products. The types of services offered did not address the full range of the

SOW's project goals needed. Clients include Long Beach Transit, Lynx Transit, Jacksonville Transportation, BC Transit in Canada, and Metropolitan Atlanta Rapid Transit Authority.

Staffing and Project Organization

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

Origami's service team lead is responsible for leading large software implementations and managing ongoing client services, as well as supporting a team of client executives that has managed the New York City Transit Authority. The project manager has over 15 years' experience in implementing technology solutions and has been proposed to manage and implement the risk management solutions. The project manager has managed similar projects for both Massachusetts Bay Transportation Authority and Washington Metropolitan Area Transit Authority and will be OCTA's main contact. The staff responded to all questions at the interview and were knowledgeable of the software requirements essential to OCTA.

Trackit's project manager has been in the transportation business for more than 25 years with primary responsibility in the area of training. He was manager of training for San Diego Transit and Director of Instruction for the Los Angeles County Metropolitan Transportation Authority, and has experience implementing safety, risk, and software programs. The support manager has over six years' experience in selling, delivery, and support transit solutions.

#### Work Plan

In addition to the SOW, OCTA compiled a comprehensive list of business requirements that are imperative to be fully understood by proposers. The purpose of this list was to provide proposers the opportunity to review and discuss these requirements with OCTA in its proposal and interview.

Origami met the requirements of the RFP and effectively discussed the approach to completing the OTS replacement project identified in the SOW. Origami presented a work plan that detailed their project understanding and approach and responded positively to all business requirements on the list. The firm has a complete software package that meets OCTA's requirements. The work plan demonstrated an understanding of the project objectives and clearly described the firm's approach. During the interview, the firm gave a 30-minute demonstration of their product and was found to be acceptable.

Trackit has strong transit agency experience and operations training but the proposed work plan did not articulate a clear solution addressing all the essential requirements of the SOW. Many of the SOW business requirements listed by OCTA as "must haves," were responded to as future enhancements and the firm was unable to provide a delivery timeline during the interview. The methodology approach was not described as requested and relevant deliverables information were not delineated as requested creating a lack of clarity and a large effort to identify the information required. The proposed solution did not demonstrate that it can meet OCTA's requirements for a new OTS. Furthermore, the demonstration of the firm's product did not provide additional information or clarification of how their solution would meet the business requirements necessary to this project.

#### Cost and Price

Pricing scores were based on a formula which assigned the highest score to the firm with the lowest firm-fixed price for the three-year term and scored the other proposal's firm-fixed price based on its relation to the lowest firm-fixed price. Origami's proposed firm-fixed price was higher than Trackit's firm-fixed price, but it was within the OCTA project manager's independent cost estimate. The price difference between the firms is representative of Origami's proposed solution's ability to deliver on all aspects of the required SOW.

#### 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 Origami as the top-ranked firm to provide cloud-based claims management software in support of the OCTA's Risk Management and Safety and Environmental departments. Origami delivered a thorough and comprehensive proposal and an interview that was responsive to all the requirements of the RFP.

# Fiscal Impact

This project is included in OCTA's Fiscal Year 2019-20 Budget, Finance and Administrative Division, accounts 1285-7519-A5359-N8N and 1285-9028-A5359-9RS. The expenditures will be funded using local funds.

#### Summary

Staff is recommending the Board of Directors authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2023 between the Orange County Transportation Authority and Origami Risk LLC, in the amount of \$495,170 for a three-year term, to replace OCTA's Occurrence Tracking System.

#### **Attachments**

- A. Review of Proposals, RFP 0-2023, Occurrence Tracking System Replacement
- B. Proposal Evaluation Criteria Matrix, RFP 0-2023, Occurrence Tracking System Replacement
- C. Contract History for the Past Two Years, RFP 0-2023: Occurrence Tracking System Replacement

Prepared by:

Lloyd Sullivan Department Manager, Information Systems 714-560-5957 Approved by:

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

Virginia Abadaga

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

# Review of Proposals

# RFP 0-2023 Occurrence Tracking System Replacement

Presented to the Finance and Administration Committee on May 27, 2020 2 proposals were received, 2 firms were interviewed, 1 firm is being recommended

Evaluation Panel	Proposed Criteria	Weight Factors
Contracts Administration and Materials Management (1)	Qualifications of the Firm	25 percent
Enterprise Computer Solutions and Support (1)	Staff and Project Organization	20 percent
Risk Management (1)	Work Plan	30 percent
Operations Support (1)	Cost and Price	25 percent
Safety and Environmental (1)		

# PROPOSAL EVALUATION CRITERIA MATRIX RFP 0-2023 OCCURRENCE TRACKING SYSTEM REPLACEMENT

Origami Risk, LLC						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	5	5	5	5	4	5	23
Staffing/Project Organization	4	4	4	4	4	4	15
Work Plan	4	5	5	5	4	6	25
Cost and Price	1	1	1	1	1	5	5
Overall Score	65	70	70	73	60		68
Trackit, LLC						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	3	3	3	3	3	5	15
Staffing/Project Organization	3	3	3	2	3	4	10
Work Plan	2	2	3	2	3	6	13
Cost and Price	5	5	5	5	5	5	25
Overall Score	62	62	67	60	65		64

**CONTRACT HISTORY FOR THE PAST TWO YEARS** 

RFP 0-2023: Occurrence Tracking System Replacement

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date Amount	Subconsultant Amount	Total Contract Amount
Origami Risk LLC						
Contract Type:		No previous contracts				
Subconsultants: None						
				Sub Total		\$0.00
Trackit LLC						
Contract Type: Purchase Orders for Training Software	A42253	Training Software	October 3, 2019	January 31, 2020	None	\$ 17,000
Subconsultants: None	A43531	Training Software	October 15, 2019	January 31, 2021	None	\$ 24,000
				Sub Total		\$41,000

#### **ATTACHMENT C**

ATTACHMENT C





#### June 8, 2020

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

From: Laurena Weinert, Clerk of the Board

**Subject:** Agreement for Deferred Compensation Services

#### Finance and Administration Committee Meeting of May 27, 2020

Present: Directors Do, Hennessey, Hernandez, Jones, Muller, R. Murphy,

and Steel

Absent: None

#### **Committee Vote**

Following the roll call vote, this item was declared passed 7-0 by the Members present.

#### **Committee Recommendations**

- A. Approve the selection of Nationwide Retirement Solutions as the firm to provide deferred compensation services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2014 between the Orange County Transportation Authority and Nationwide Retirement Solutions, to perform a broad range of defined contribution services related to the administration of the 457(b), 401(a), and 3121 plans, for an initial term of five years with two, five-year option terms.



#### May 27, 2020

**To:** Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

**Subject:** Agreement for Deferred Compensation Services

#### Overview

The Orange County Transportation Authority provides all employees the opportunity to participate in a defined contribution program through a third-party deferred compensation service provider. Voluntary employee contributions are allocated to the 457(b) Deferred Compensation Plan. Additionally, employer contributions are allocated to the 401(a) Plan as employees become eligible. A 3121 Plan is also available for the Board of Directors, extra help employees, coach operator trainees, and interns who are not eligible to participate in the Orange County Employees Retirement System through the Orange County Transportation Authority. The 3121 Plan is also available to newly-hired employees over the age of 60 that waive membership into the Orange County Employees Retirement System. Approval is needed to execute a new agreement for these services.

#### Recommendations

- A. Approve the selection of Nationwide Retirement Solutions as the firm to provide deferred compensation services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2014 between the Orange County Transportation Authority and Nationwide Retirement Solutions, to perform a broad range of defined contribution services related to the administration of the 457(b), 401(a), and 3121 plans, for an initial term of five years with two, five-year option terms.

#### Discussion

The Orange County Transportation Authority (OCTA) is responsible for the establishment and administration of a Defined Contribution Plan for employees and members of the Board of Directors (Board). Utilizing the services of a plan

provider, OCTA currently provides all employees, including those covered by a collective bargaining agreement and members of the Board, the opportunity to participate in a 457(b) Deferred Compensation Plan. Company contributions for those eligible employees are allocated to the 401(a) Plan. Members of the Board, extra help employees, employees who are classified as interns and coach operator trainees are required to participate in the 3121 Plan, along with new hires over the age of 60 that waive membership in the Orange County Employees Retirement System (OCERS) pension plan.

Prior to 2004, OCTA contracted with four deferred compensation service providers to administer the defined contribution plans. In 2004, 2010 and 2015, the Board awarded the contract to a single provider, Nationwide Retirement Solutions (Nationwide). The current contract for these services is set to expire on July 31, 2020; a new contract is necessary to continue providing these services through a plan provider.

#### Procurement Approach

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

On January 23, 2020, Request for Proposals (RFP) 0-2014 was issued electronically on CAMM NET. The project was advertised in a newspaper of general circulation on January 21 and 28, 2020. A pre-proposal conference was held on January 29, 2020, with six attendees representing five firms. Addendum No. 1 was issued to provide a copy of the pre-proposal registration sheet, revise the term of the agreement to include option terms, as well as other administrative changes. Addendum No. 2 was issued to respond to questions related to the RFP.

On February 13, 2020, six proposals were received. An evaluation committee consisting of OCTA staff from the Contracts Administration and Materials Management Department, Treasury and Public Finance Department, Human Resources and Organizational Development Division, Finance and Administration Division, as well as an external representative from Benefit Financial Services Group, OCTA's Deferred Compensation Plan consultant, met to review all proposals received.

The evaluation process included a two-phase approach by first reviewing each proposal based on responses to questions related to minimum requirements and given a pass/fail grade. Offerors were required to pass all criteria in the first phase of the evaluation to move onto the second phase of the evaluation process. The first phase of the evaluation process identified those offerors that were best suited to meet the needs and objectives of OCTA. Minimum requirements included plan size, participant count, and availability to conduct education meetings. All offerors passed the first phase of the evaluation.

The second phase of the evaluation process was to evaluate the proposals based on the following evaluation criteria and weights:

•	Recordkeeping/Administration	20 percent
•	Communication/Education	40 percent
•	Investments	20 percent
•	Cost and Price	20 percent

Several factors were considered in developing the criteria weights. Recordkeeping/Administration was weighed at 20 percent to ensure the firm can provide the required administrative services. Communication/Education of the defined contribution program to OCTA's employees through face-to-face, one-on-one meetings, as well as call center accessibility and performance metrics were among the most important factors. Therefore, this criterion was weighted highest at 40 percent. It is imperative that each proposing firm has the ability to provide information and meet with employees at times and in ways that are most convenient to the employees with little disruption to their duties. Access to the local client representative or a customer service representative by telephone, as well as a user-friendly online system were of importance. Investments as well as cost and price were weighted equally at 20 percent to ensure the firm can provide a variety of investment options comparable to what is currently available to participants and to ensure the fees per service are competitive so that OCTA and participants receive value for the services provided.

On March 13, 2020, the evaluation committee reviewed all proposals based on the evaluation criteria and short-listed the two most qualified firms listed below in alphabetical order:

Firm and Location

ICMA Retirement Corporation (ICMA-RC) Washington, D.C.

# Nationwide Retirement Solutions (Nationwide) Columbus, Ohio

The interviews were conducted on April 1, 2020 and consisted of a presentation to demonstrate the firms' understanding of OCTA's requirements and provided a brief overview of their recordkeeping processes and communication/education plan. 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 asked relative to the firms' role and responsibilities in administering the plan, the proposed project team's roles and experience on similar past projects, key personnel availability, innovative services or tools currently in development, as well as questions related to the features of the firms' participant website. Finally, each team was asked specific clarification questions related to their proposal.

The preliminary ranking was reviewed by the evaluation committee after the interviews, and no change was made.

Based on the evaluation of the written proposals, the firm's qualifications, and the information obtained from the interviews, the evaluation committee recommends Nationwide for consideration of the award. The following is a brief summary of the proposal evaluation results.

#### Recordkeeping/Administration

Both firms demonstrated relevant experience and qualifications for administrating and recordkeeping similar-sized plans.

Nationwide has specialized in providing retirement plan services to the government sector for over 46 years. The firm manages \$143 billion defined contribution retirement plan assets and provides plan administration, investment, communications and education services to 6,911 section 457 deferred compensation plans across the United States. Nationwide is currently the incumbent firm providing defined contribution services to OCTA employees and has a proven track record of effectively managing all aspects of the defined contribution program including working with staff to comply with reporting requirements.

Nationwide has a local dedicated day-to-day contact and relationship manager and has the shortest average response time for their toll-free customer service number of the short-listed firms. The firm's call center hours are the longest and open for operation on Saturdays. Due to the schedules of a large number of OCTA employees, this level of accessibility meets the requirements of the scope

of work. Lastly, the participant asset allocation system Nationwide uses allows for an unlimited number of portfolio models. Nationwide's experience and qualifications in providing defined contribution services as required were clearly demonstrated through their proposal and interview.

ICMA-RC is established and experienced with a distinguished reputation in the industry. The firm has provided retirement plan services to the government sector for over 47 years. The firm provides plan administration, investment, communications and education services to 4,693 section 457 deferred compensation plans across the United States. The firm's call center is not open on Saturdays. Lastly, the participant asset allocation system can accommodate three-to-five risk-based portfolios or seven-to-ten target-date portfolio models.

#### Communication/Education

Both short-listed firms demonstrated their commitment to plan participants in education and communication of retirement solutions.

Nationwide is experienced in providing retirement services with a demonstrated commitment to employee education. The communication and education plan proposed by Nationwide included the most thorough and comprehensive of the short-listed firms. Nationwide has proposed tool enhancements including phone cue reservation for longer than normal hold times and a multi-touch point strategy that complements the individual and group meetings conducted by the local dedicated retirement specialist. The dedicated retirement specialist will be available for face-to-face meetings during the various employee work shifts at all OCTA work locations. Nationwide proposed the highest number of annual ongoing meeting days for one-on-one meetings with employees at no additional cost to the employee. Also, the firm proposed all interested employees to receive comprehensive financial plans and goal-specific financial plans for any employee at no additional cost.

Nationwide has the ability for employees to contribute simultaneously to model type portfolio funds and core funds allowing employees greater investment options with the ability to have both at the same time.

ICMA-RC proposed a new mobile tool to allow employees to send a text message for account information and schedule meetings with a financial advisor. ICMA-RC proposed the second highest number of annual ongoing meeting days for one-on-one meetings with employees. However, ICMA-RC proposed to charge additional fees for participant education days that exceeded the original number of proposed days. Also, the firm proposed a goal-specific plan for participants who choose to aim for a specific amount in their profile by a specified

age. A comprehensive financial plan is also available to identify what stage an employee is in and create a unique guide and allow the employee to manage and track the details of their retirement plan. However, the employee would need to pay a fee for the financial plan if the employees' portfolio did not meet or exceed a minimum balance.

Investments

Nationwide proposed to continue offering the fixed account, with a starting guarantee of a 3.5 percent return on investment (ROI) for those plan participants who have elected this investment option. The 3.5 percent ROI is subject to a gradual decrease with a crediting rate floor of .50 percent in 2024. The reduction is based on market conditions and investment performance. The proposed ROI guarantee of .50 percent by Nationwide is the highest proposed fixed-account guarantee. In addition, Nationwide has no account restrictions, allowing the employee to invest in an unlimited number of models in an individual's portfolio.

ICMA-RC proposed the second highest fixed-account guarantee offering 2.41 percent ROI. However, the crediting rate for the fixed-account fund is not guaranteed to remain at 2.41 percent as it is recalculated on a daily basis. In addition, ICMA-RC proposed no credit rating floor, which may lead the ROI for the fixed-account fund to offer no interest. Lastly, ICMA-RC has a limit to how many models are accepted in an employee's portfolio.

#### Cost and Price

Scores for cost and price were based on proposed plan expense ratios expressed in basis points (bps), which is defined as .01 percent. Scores for plan expenses were based on a formula, which assigned the highest score of five to the lowest plan expense and scored the remaining plan expenses based on the relation to the lowest plan expense. ICMA-RC's total expense was the highest ranked and Nationwide's total expense ranking was second highest overall.

#### **Procurement Summary**

Based on the evaluation of written proposals, the firms' qualifications and the information obtained from the interviews, the evaluation committee recommends the selection of Nationwide as the top-ranked firm to provide defined contribution services. Nationwide delivered a proposal and interview that was responsive to all requirements of the RFP.

#### Fiscal Impact

The cost for administration of the defined contribution plans is paid by employees who participate in the deferred compensation benefit. There is no administration cost to OCTA.

#### Summary

Based on the information provided, staff recommends the Board authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2014 between the Orange County Transportation Authority Nationwide Retirement Solutions for a five-year initial term with two, five-year option terms to perform a broad range of defined contribution services related to the administration of the 457(b), 401(a), and 3121 plans at no cost to OCTA.

#### **Attachments**

- Review of Proposals, RFP 0-2014 Deferred Compensation Services Α.
- Proposal Evaluation Criteria Matrix (Short-Listed Firms), RFP 0-2014 B. Deferred Compensation Services
- C. Contract History for the Past Two Years, RFP 0-2014 Deferred Compensation Services

Prepared by:

Bea Masselli

Bea Maselli Section Manager, Benefits 714-560-5825

Virginia/Abadessa

Director, Contracts Administration and

Materials Management

714-560-5623

Approved by:

Maggie McJilton

Executive Director, Human Resources and Organizational Development

714-560-5824

#### **Review of Proposals**

#### RFP 0-2014 Deferred Compensation Services

Presented to Finance and Administration Committee - May 27, 2020

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

	Proposal				Expenses in Basis Points
Overall Ranking	Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	(bps)
1	88	Natioinwide Retirement Solutions	None	Highest-ranked firm overall.	
		Columbus, Ohio		Experienced, tenured, and well-rounded project team.	7 bps
				Providing recordkeeping and administration since 1973.	
				Provides services to 6,911 section 457 plans across the United States for various government sector clients, including OCTA.	
				Call center hours are the longest among the proposing firms.	
				Able to create personalized financial plans for one-on-one employee meetings	
				for no additional cost.  Provided thorough responses to questions with participation from all proposed	
				key personnel.	
				Participant asset allocation system allows for unlimited number of portfolio	
				models.	
				Provided highest guaranteed floor credit of 3.5 percentage rate with a gradual	
				decline to 0.5 percentage rate effective 2024 through the duration of contract.	
				Positive references.	
				Proposed competitive total plan expenses.	
2	78	ICMA - Retirement Corporation	None	Second-ranked firm.	
		Washington, D.C.		Providing recordkeeping and administration since 1972.	6.5 bps
				Provides services to 4,693 section 457 plans across the United States for	
				various government sector clients.  Additional fees for participant education days exceeding number proposed.	
				Additional cost for standard or comprehensive financial plan if the employees'	
				portfolio does not meet or exceed a minimum balance.	
				Participant asset allocation system can accommodate three to five risk based	
				portfolios or seven to ten target-date portfolio models.	
				Provided thorough responses to questions with participation from all proposed key personnel.	
				Positive references.	
				Offered no guaranteed floor credit rate.	

Evaluation Panel:	Proposal Criteria	Weight Factors
Contracts Administration and Materials Management (1)		
Treasury and Public Finance (1)	Recordkeeping/Administration	20%
Finance and Administration (1)	Communication/Education	40%
Human Resources and Organizational Development (2)	Investments	20%
	Cost and Price	20%

## PROPOSAL EVALUATION CRITERIA MATRIX (Short-Listed Firms) RFP 0-2014 DEFERRED COMPENSATION SERVICES

FIRM: Nationwide Retirement Solutions						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Recordkeeping/Administration	4.5	4.0	4.5	4.0	4.0	4	16.8
Communication/Education	4.5	4.5	4.5	4.0	4.0	8	34.4
Investments	4.5	4.5	5.0	5.0	4.0	4	18.4
Cost and Price	4.6	4.6	4.6	4.6	4.6	4	18.6
Overall Score	90.6	88.6	92.6	86.6	82.6		88

FIRM: ICMA-Retirement Corporation						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Recordkeeping/Administration	4.0	4.0	4.0	3.0	4.0	4	15.2
Communication/Education	3.0	4.0	4.0	3.0	3.5	8	28.0
Investments	4.0	4.0	4.0	3.0	3.5	4	14.8
Cost and Price	5.0	5.0	5.0	5.0	5.0	4	20.0
Overall Score	76.0	84.0	84.0	68.0	78.0		78

The range of scores for the non-short-listed firms was 54-68.

### CONTRACT HISTORY FOR THE PAST TWO YEARS RFP 0-2014 DEFERRED COMPENSATION SERVICES

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Nationwide Retirement Solutions						
Contract Type: Time and Expense	C-5-3059	Deferred Compensation Services	August 1, 2015	July 31, 2020		\$ -
Subconsultants: N/A						
	_			Sub Total		\$ -
ICMA-Retirement Corporation						•
Contract Type: N/A	None	N/A	N/A	N/A	N/A	
Subconsultants:None						
				Sub Total		\$ -





#### June 8, 2020

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

From: Laurena Weinert, Clerk of the Board

**Subject:** Active Transportation Update

Regional Planning and Highways Committee Meeting of June 1, 2020

Present: Directors Bartlett, Chaffee, Delgleize, Muller, M. Murphy,

R. Murphy, and Pulido

Absent: None

#### **Committee Vote**

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

#### **Committee Recommendation**

Receive and file as an information item.



#### June 1, 2020

**To:** Regional Planning and Highways Committee

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

**Subject:** Active Transportation Update

#### Overview

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

#### Recommendation

Receive and file as an information item.

#### Background

The Orange County Transportation Authority (OCTA) Board of Directors (Board) receives regular updates on regional active transportation actions. These efforts support OCTA's vision for a multimodal transportation system.

#### **Discussion**

This report provides an update on education, safety, and evaluation programs and projects. In response to the novel coronavirus (COVID-19), OCTA has been adapting project and program deliverables to fit the current situation, creatively undertaking public involvement, and evaluating the effects COVID-19 is having on active transportation in Orange County.

#### Education and Encouragement

Over the past four years, OCTA has secured grant funding from the California State Office of Traffic Safety (OTS) Highway Safety Program. These funds were used to create educational safety videos, host bicycle and pedestrian skills classes, and develop campaigns to distribute safety equipment. Based on OTS grants from previous years, the current pedestrian and bicycle safety project consists of four components: Travel Safe classes, Play It Safe videos, Operation

Bright Lights, and Operation Be Seen. OCTA has retained consultant services to deliver this project.

The overall project focuses on promoting safe walking and bicycling for transit riders, and person-to-person interaction is desirable to successfully complete the project. While COVID-19 has made these interactions challenging, OCTA, working with the consultant, developed alternate approaches to deliver project tasks while providing for the safety of the contractors and the public during the COVID-19 pandemic. For example, OCTA will be hosting 12 virtual Travel Safe classes. The curriculum will be tailored to Orange County residents with modules promoting safe travel covering the following topics:

- Teaching process and outcomes for walk audits;
- Education on traffic safety laws for distinct demographic groups;
- How to develop action plans for behavioral and physical safety improvements, and;
- Instruction on creating interactive exercises to provide input to local agency staff.

Two Play It Safe videos will be produced and will be updated on previous year's videos, focusing on educating motorists about safe and responsible driving behavior around bicycles. These videos will be used in conjunction with the other key tasks to educate motorists on the safe operation of vehicles around bicycles.

The Operation Bright Lights events will focus on the safety and visibility of Orange County bicyclists and will specifically target geographic areas with a high number of bicycle and pedestrian incidents. Bicycle safety equipment, including bicycle helmets and lights, will be distributed at these events. To address the challenge COVID-19 poses to person-to-person contact, OCTA will use social and other media to prompt individuals to pick up safety equipment at "Stop and Grab" distribution events. Holding the distribution events in this way will allow proper social distancing.

Operation Be Seen will focus specifically on distribution events at key OCTA transit stops. OCTA and the consultant will set up stations at transit stops along these corridors to distribute safety materials, including reflective arm bands and keychains to improve pedestrian visibility in low light conditions. Conducting the distribution events at the transit stops instead of on buses will also allow proper social distancing measures while still distributing safety materials to riders of specific routes.

#### <u>Safety</u>

OCTA received two grants related to Safe Routes to School (SRTS) and pedestrian safety efforts. This includes the SRTS Action Plan (Action Plan), as well as the Safe Travels Education Program (STEP) Campaign. These two efforts will help demonstrate SRTS activities to schools and increase the reach of SRTS programs countywide. Both studies will foster continued collaboration and partnership between OCTA, school districts, the Orange County Health Care Association, cities, law enforcement agencies, and the California Department of Transportation.

The Action Plan is evaluating ongoing SRTS efforts countywide, developing a list of action items that could be undertaken, and identifying potential lead agencies and organizations. The Action Plan aims to improve safety for youth who walk and bike to school. This will be done through collaborative efforts, promotion of transportation safety education, strengthening of education and enforcement partnerships, and advancing encouragement programs that will benefit families throughout Orange County. The project will conclude in March 2021.

The STEP Campaign will lead educational and encouragement activities for walking and biking at 25 public elementary schools serving disadvantaged communities. A range of activities will be offered based on school interest and time availability for assemblies, walk/bike-to-school day events, and training activities. These student activities will be held during and after school, as well as with families on nights or weekends. The campaign will continue through June 2022.

Both safety efforts are proceeding through virtual team meetings at this time, and updates will be provided in future active transportation reports.

#### System Evaluation

OCTA is undertaking several initiatives to better understand how active transportation users experience Orange County's transportation system. These projects include the cyclic counts program and an update to the Orange County bicycle map.

The cyclic counts program kicked off in April 2020 and will collect bicycle counts at a minimum of 100 locations throughout Orange County twice during the month of May 2020 and again in 2021. These counts will be taken on one weekday and on one Saturday. The project team recommended, after much discussion, to collect counts in May 2020 notwithstanding the COVID-19 pandemic.

Assessing changes in active transportation travel behavior during this time presents a unique opportunity for data collection that can be used in future transportation model development.

OCTA is currently refreshing the OC Bike Map, which was last updated in 2015. OCTA finished updating its bicycle facility data and will collect feedback from the cities to validate the data provided. To be conscious of the additional demands the COVID-19 response has put on many city staff, coordination for this project is on hold; however, staff is still planning to have the final map complete to coincide with OCTA's September Bike Month activities. Nationally, Bike Month is normally held in May, but many states, counties, and cities are postponing events due to COVID-19. The final 2020 OC Bike Map will be available on the OCTA website and will be printed and distributed throughout Orange County at outreach events.

#### **Grant Application**

OCTA is pursuing an Active Transportation Program Cycle 5 Grant for a Pacific Electric Right-of-Way (PE ROW) bikeway project. The grant application focuses on environmental clearance for a potential bikeway on a four-mile section of the PE ROW between Raitt Street and Euclid Street. The application funding request will be for \$3 million. Applications are currently due September 15, 2020.

#### Summary

OCTA has advanced planning, education, encouragement, and enforcement efforts to improve active transportation throughout Orange County. Coordination and collaboration will continue between the Southern California Association of Governments, California Department of Transportation, and stakeholders to encourage and support pedestrians walking and bicycling within Orange County. These activities require interaction and coordination with stakeholders and have proven to be challenging during the COVID-19 pandemic. The Active Transportation Program at OCTA, and its partners, have been and will continue to make use of technologies and techniques to adapt to new reality presented by COVID-19 while continuing provide for the safety and mobility of Orange County residents.

#### Attachment

None.

Prepared by:

Peter Sotherland Active Transportation Coordinator

Petr Sother

(714) 560-5386

Approved by:

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





#### June 8, 2020

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

From: Laurena Weinert, Clerk of the Board

**Subject:** Medical Exams, Internal Audit Report No. 20-508

#### Finance and Administration Committee Meeting of May 27, 2020

Present: Directors Do, Hennessey, Hernandez, Jones, Muller, R. Murphy,

and Steel

Absent: None

#### **Committee Vote**

Following the roll call vote, this item was declared passed 7-0 by the Members present.

#### **Committee Recommendation**

Receive and file Medical Exams, Internal Audit Report No. 20-508, as an information item.



#### May 27, 2020

**To:** Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Janet Sutter, Executive Director

Internal Audit Department

Subject: Medical Exams, Internal Audit Report No. 20-508

#### Overview

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of controls in place related to the Federal Motor Carrier Safety Administration regulations, California Department of Motor Vehicle requirements, and policies and procedures for employees required to hold a commercial driver license and a current medical certificate. Based on the audit, controls are adequate to ensure employees obtain required medical exams and certificates, and procedures to ensure compliance with requirements to reimburse costs and time to employees that obtain medical recertification are adequate. Finally, invoice review controls for the contract with the provider, ProCare, are generally adequate.

#### Recommendation

Receive and file Medical Exams, Internal Audit Report No. 20-508, as an information item.

#### **Background**

Federal Motor Carrier Safety Administration (FMCSA) regulations, as well as the California Department of Motor Vehicle (DMV) requirements, set forth minimum physical and medical requirements for those holding a commercial driver license. These drivers are required to undergo a medical exam and obtain a written certification from a licensed medical professional that verifies the employee's fitness for duty as a commercial driver. Typically, medical certificates are valid for two years; however, depending on the results of the medical exam, certificates may be issued for a shorter period.

All coach operators and most maintenance employees are required by their job descriptions to hold a Class B commercial driver license with a valid medical certification. Orange County Transportation Authority (OCTA) policy and the respective collective bargaining agreements include guidelines for reimbursement of medical expenses related to the exam and provide for one hour of paid time to employees when they are required to renew their medical certificate on their own time. Employees have the option to utilize OCTA's medical provider, ProCare, or a DMV-certified provider of their choice.

OCTA maintains Agreement No. C-9-1165 with ProCare for medical recertification exams, as well as pre-employment physicals, drug and alcohol testing, etc. Invoices that include charges relating to medical recertification exams are reviewed and approved by the Benefits Manager in the Human Resources and Organizational Development Division and submitted to Accounts Payable for processing.

#### **Discussion**

The Internal Audit Department (Internal Audit) tested monitoring records maintained by base personnel to track employee medical certificates, and payments to employees for reimbursement of medical expenses, and one hour of paid time for obtaining medical recertifications outside of working hours. Observations and interviews were also conducted to determine whether window supervisors verify coach operators' possession of current medical certification cards when reporting to duty. Finally, invoice review controls were assessed and tested, and bus base inspection records were inspected to ensure testing and reporting related to employees' medical certification records.

Based on the audit, controls to ensure compliance with regulations, requirements, and OCTA policies and procedures, are adequate.

#### Summary

Internal Audit has completed an audit of medical exams.

#### Attachment

A. Medical Exams, Internal Audit Report No. 20-508

Prepared by:

Janet Sutter Executive Director, Internal Audit 714-560-591 Approved by:

Serena Ng Senior Manager, Internal Audit 714-560-5938

Berena K. Ng



#### **Medical Exams**

#### **Internal Audit Report No. 20-508**

May 5, 2020



**Performed by** Gerry Dunning, CIA, CISA, CFE, Senior Internal Auditor

Janet Sutter, CIA, Executive Director, Internal Audit

**Distributed to:** Jennifer Bergener, Deputy Chief Executive Officer

Maggie McJilton, Executive Director, Workforce Development Beth McCormick, Ana Ripalda, Cliff Thorne, Dayle Withers,

Karen DeCrescenzo, Bea Maselli

#### Medical Exams May 5, 2020

#### **Table of Contents**

Conclusion	1
Background	,
Objectives, Scope, and Methodology	

Medical Exams May 5, 2020

#### Conclusion

The Internal Audit Department (Internal Audit) of the Orange County Transportation Authority (OCTA) has completed an audit of controls in place related to the Federal Motor Carrier Safety Administration regulations, California Department of Motor Vehicle requirements, and OCTA policies and procedures for employees required to hold a commercial driver license (CDL) and a current medical certificate. Based on the audit, controls are adequate to ensure employees obtain required medical exams and certificates, and procedures to ensure compliance with requirements to reimburse costs and time to employees that obtain medical recertification, are adequate. Finally, invoice review controls for the contract with OCTA's provider, ProCare, are generally adequate.

#### **Background**

<u>Federal Motor Carrier Safety Administration (FMCSA) Regulations and California Department of Motor Vehicles (DMV) Requirements</u>

FMCSA, as well as the California DMV, set forth minimum physical and medical requirements for those holding a CDL. These drivers are required to undergo a medical exam and obtain a written certification from a licensed medical professional that verifies the employee's fitness for duty as a commercial driver. Typically, medical certificates are valid for two years; however, depending on the results of the medical exam, certificates may be issued for a shorter period.

OCTA Policies and Procedures, Job Descriptions, and Collective Bargaining Agreements with Coach Operators and Maintenance Employees

All coach operators and most maintenance employees are required by their job descriptions to hold a Class B CDL with a valid medical certification. OCTA policy and the respective collective bargaining agreements include guidelines for reimbursement of medical expenses related to the exam and provide for one hour of paid time to employees when they are required to renew their medical certificate on their own time. Employees have the option to utilize OCTA's medical provider, ProCare, or a DMV-certified provider of their choice.

OCTA maintains Agreement No. C-9-1165 with ProCare, for medical recertification exams, as well as pre-employment physicals, drug and alcohol testing, etc. The agreement was executed on September 12, 2019. Invoices that include charges relating to medical recertification exams are reviewed and approved by the Benefits Manager in the Human Resources and Organizational Development (HROD) Division, and submitted to Accounts Payable for processing.

Medical Exams May 5, 2020

Payments for reimbursement of medical expenses must be accompanied by a receipt and a copy of the renewed medical certificate. The requests are reviewed and approved by Human Resources staff in HROD and submitted to Accounts Payable for processing.

Requests to provide one hour of paid time to employees that obtain their exam and renew their medical certificate on their own time are submitted from the respective base office personnel directly to Payroll for processing. Reports of the payments made are provided to the base office personnel that track and obtain copies of the renewed medical certificates.

#### DMV System (DMVS) and HASTUS

OCTA base personnel use DMVS to monitor employees' medical certificate expiration dates. The information in DMVS is obtained directly from the DMV. Base operations personnel also use the HASTUS scheduling system to monitor and enforce requirements. Base office specialists monitor and perform follow-up directly with employees as their medical certificate expiration date approaches. Using the HASTUS system, base personnel can flag coach operators whose medical certificates are due to expire so that window dispatch supervisors can follow-up directly with the employee when he/she checks in for their assignment. Window dispatch supervisors also visually verify each coach operator's medical certification card upon signing in for their shift. HASTUS will automatically prevent any coach operator whose medical certificate has expired from signing in.

Medical Exams May 5, 2020

#### Objectives, Scope, and Methodology

The <u>objective</u> was to assess and test controls in place to ensure compliance with FMCSA regulations, DMV requirements, and OCTA policies and procedures relating to medical exams and recertifications of employees required to maintain a CDL.

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

#### Control Environment

o OCTA demonstrates a commitment to attract, develop, and retain competent individuals in alignment with objectives.

#### Control Activities

- OCTA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels.
- OCTA deploys control activities through policies that establish what is expected and in procedures that put policies into action.

#### Monitoring

 OCTA evaluates and communicates internal control deficiencies in a timely manner to those parties responsible for taking corrective action, including senior management and the Board of Directors, as appropriate.

The <u>methodology</u> consisted of testing of monitoring records maintained by base personnel of employees required to maintain a CDL and a valid medical certificate; testing of invoices from ProCare for medical exams; testing of payments for medical reimbursement of medical exam expenses and one hour of paid time for time spent obtaining medical recertification; observation and interview of window supervisors to determine that coach operators checking in have their current medical certification card on hand; testing of base inspection records to determine whether they included testing of medical certificates; and testing for evidence of employees required to maintain a CDL with medical certificate.

The <u>scope</u> was limited to employees required to maintain a CDL with medical certificate per their job description. The <u>scope</u> included paid invoices that reflect medical exam charges under Agreement No. C-9-1165 with ProCare; base monitoring records as of January 2020; observations and interviews on January 9 and January 28, 2020, at the Garden Grove and Santa Ana bases, respectively; DMVS records of employee expired

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

Medical Exams May 5, 2020

medical certificates as of February 12, 2020; and base inspection records for the years 2017, 2018, and 2019. The <u>scope</u> also included a random sample of payments for reimbursement of medical expenses and for one hour of paid time for obtaining a medical exam during non-work hours during the period July 1, 2019 through January 31, 2020. Since the samples were non-statistical, any conclusions are limited to the sample items tested.

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



#### June 8, 2020

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

From: Darrell E. Johnson, Chief Executive Officer

**Subject:** Approval to Release Request for Proposals for an Enterprise Asset

Management System

#### Overview

The Orange County Transportation Authority requires the services of a firm for the development, licenses, implementation, maintenance, and support of an enterprise asset management system. Staff has developed a draft request for proposals to initiate the competitive procurement process to select a firm to provide an enterprise asset management system. Staff is seeking Board of Directors' approval to release the request for proposals.

#### Recommendations

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2272 to select a firm to provide an enterprise asset management system.
- B. Approve the release of Request for Proposals 0-2272 to select a firm to provide an enterprise asset management system for a seven-year initial term with two, two-year option terms.

#### **Discussion**

The Orange County Transportation Authority (OCTA) owns and maintains a variety of assets that are managed using an enterprise asset management (EAM) system called Ellipse. Some of the major assets managed in this system include five maintenance and operating bases, one park and ride facility, and six multi-modal transportation centers totaling 56 buildings and structures. Eight streetcars and one central communications facility will be added in the near future. Rolling stock assets include 777 revenue vehicles and 151 non-revenue vehicles. OCTA has utilized the Ellipse system since 2007 to manage these assets and it is primarily used by the Maintenance department and Contracts Administration and Materials Management to support work management,

maintenance and repair of rolling stock and facilities, materials and inventory management, warranty management, inventory replenishment, and defect tracking, as well as procurement and integration with financial processes.

The Ellipse system lacks functionality required by OCTA to properly manage asset activities. In July 2016, the Federal Transit Administration published the Transit Asset Management (TAM) Final Rule [49 CFR 625] requiring greater oversight and reporting of the state of good repair of capital assets. Coinciding with the TAM Final Rule, there are new requirements for National Transit Database Annual Reporting, as well. These reporting functions are unavailable in the Ellipse system and are completed manually outside the system. The Ellipse system also lacks the functionality to capture the true cost of ownership of rolling stock. A greater level of cost detail is required in order to strategically implement lean maintenance efforts. Furthermore, upgrades to the Ellipse system have not resulted in a product that can meet OCTA's asset management requirements, thus, staff is concerned about the long-term cost and viability of the Ellipse system.

Staff released a request for information (RFI) in December 2019 for firms to provide information regarding their currently available products or customized solutions in order to meet OCTA's asset management requirements. Eight responses were received to the RFI and based on a review of these alternative EAM systems, staff is recommending a replacement of its current Ellipse system to meet its current and future asset management needs. A new EAM system can provide the functionality needed for OCTA to meet yearly reporting requirements without additional manual processes and identify the total cost of ownership and maintenance. A new EAM system can also provide analytics for predictive maintenance to ensure OCTA has more accurate forecasting data, such as asset condition scoring readily accessible by management for improved decision making and regulatory reporting. Furthermore, staff is seeking a new EAM system that will improve operational effectiveness and efficiency in the management of assets, inventory, operations and maintenance.

#### **Procurement Approach**

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

The recommended evaluation criteria and weightings are as follows:

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

Qualifications of the firm is weighted at 25 percent to ensure the firm has prior experience with the development, implementation, maintenance, and support of an EAM system as outlined in the scope for work. Staffing and project organization is weighted at 20 percent to ensure the firm's staff have the requisite expertise for completing the project of similar size. Work plan is weighted the highest at 35 percent to ensure the firm's approach and EAM system meet OCTA's asset management requirements. Cost and price are weighted at 20 percent to ensure OCTA receives value for the services provided.

The contract for this procurement will be for an initial term of seven years, with two, two-year option terms.

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

#### Fiscal Impact

The costs associated with this project was included in OCTA's Fiscal Year 2020-21 Approved Budget, Finance and Administration Division, accounts 1285-9028-A5359-OR5 and 1285-7519-A5359-1FI.

#### Summary

Board approval is requested to approve the release of RFP 0-2272 to select a firm to provide an EAM system, as well as approve the proposed evaluation criteria and weights.

# Approval to Release Request for Proposals for an Enterprise Asset Management System

Page 4

#### Attachment

A. Draft Request for Proposals (RFP) 0-2272 Enterprise Asset Management System

Prepared by:

Marie Latino

Manager, Maintenance Resource

Management

714-560-5323

Approved by:

Cliff Thorne

Director, Maintenance and Motorist

Services

714-560-5975

Virginia Abadessa

Director, Contracts Administration and

Materials Management

714-560-5623

Jennifer L. Bergener

Chief Operating Officer, Operations/

Deputy Chief Executive Officer

714-560-5462

# DRAFT REQUEST FOR PROPOSALS (RFP) 0-2272

# ENTERPRISE ASSET MANAGEMENT SYSTEM



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

# **Key RFP Dates**

Issue Date: June 8, 2020

Pre-Proposal Conference Date: June 15, 2020

Question Submittal Date: June 17, 2020

Proposal Submittal Date: July 8, 2020

Interview/Demo Date: August 11, 2020

# **TABLE OF CONTENTS**

SECTION I:	INSTRUCTIONS TO OFFERORS1
SECTION II:	PROPOSAL CONTENT8
SECTION III:	EVALUATION AND AWARD17
EXHIBIT A:	SCOPE OF WORK21
EXHIBIT B:	COST AND PRICE FORMS22
EXHIBIT C:	PROPOSED AGREEMENT23
EXHIBIT D:	STATUS OF PAST AND PRESENT CONTRACTS FORM24
EXHIBIT E:	CAMPAIGN CONTRIBUTION DISCLOSURE FORM24
EXHIBIT F:	SAFETY SPECIFICATIONS31
EXHIBIT G:	PROPOSAL EXCEPTIONS AND/OR DEVIATIONS32
EXHIBIT H:	PUBLIC RECORDS ACT INDEMNIFICATION - PROPOSAL DOCUMENTS



# NOTICE OF REQUEST FOR PROPOSALS

(RFP): 0-2272: "ENTERPRISE ASSET MANAGEMENT SYSTEM"

TO: ALL OFFERORS

FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY

The Orange County Transportation Authority (Authority) invites proposals from qualified consultants to provide an Enterprise Asset Management (EAM) system.

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

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

Orange County Transportation Authority
Contracts Administration and Materials Management
600 South Main Street, (Lobby Receptionist)
Orange, California 92868

Attention: Masih Bahadori, Principal Contract Administrator

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

Orange County Transportation Authority
Contracts Administration and Materials Management
P.O. Box 14184

Orange, California 92863-1584

Attention: Masih Bahadori, Principal Contract Administrator

\*Note: The Authority utilizes a third-party delivery service; therefore, please anticipate a 48-hour delay in delivery of proposals mailed to the P.O. Box listed above. Proposals are considered received once time stamped at the Authority's physical address.

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

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

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

To receive all further information regarding this RFP 0-2272, firms and subconsultants must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

<u>Category:</u> <u>Commodity:</u>

Computer: Hardware & Business Software Software Computer: Hardware &

Software

**Database Software** 

**Enterprise Asset Management** 

(EAM) Software

Enterprise Software - General Computer Software Consulting

Professional Services Software Maintenance /

Support

A pre-proposal conference will be held on June 15, 2020, at 10:00 a.m. via Skype for Business by using the following link:

# https://meet.octa.net/mbahadori/Y38JSNGD.

Professional Consulting

For audio only, Offerors may use the following phone and number conference identification code:

Phone: (714) 560-5666 Conference ID: 20894#

All prospective Offerors are encouraged to attend the pre-proposal conference.

The Authority has established August 11, 2020, as the date to conduct interviews/demos. All prospective Offerors will be asked to keep this date available.

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

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

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

**SECTION I: INSTRUCTIONS TO OFFERORS** 

#### **SECTION I. INSTRUCTIONS TO OFFERORS**

#### A. PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on June 15, 2020, at 10:00 a.m. via Skype for Business by using the following link:

https://meet.octa.net/mbahadori/Y38JSNGD.

For audio only, Offerors may use the following phone and number conference identification code:

Phone: (714) 560-5666 Conference ID: 20894#

# B. EXAMINATION OF PROPOSAL DOCUMENTS

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

#### C. ADDENDA

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

#### D. AUTHORITY CONTACT

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

Masih Bahadori, Principal Contract Administrator Contracts Administration and Materials Management Department 600 South Main Street

P.O. Box 14184

Orange, CA 92863-1584

Phone: 714.560.5841, Fax: 714.560.5792

Email: mbahadori@octa.net

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

# E. CLARIFICATIONS

#### 1. Examination of Documents

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

# 2. Submitting Requests

- a. All questions, including questions that could not be specifically answered at the pre-proposal conference must be put in writing and must be received by the Authority no later than 5:00 p.m., on June 17, 2020.
- b. Requests for clarifications, questions and comments must be clearly labeled, "Written Questions". The Authority is not responsible for failure to respond to a request that has not been labeled as such.
- c. Any of the following methods of delivering written questions are acceptable as long as the questions are received no later than the date and time specified above:
  - (1) U.S. Mail: Orange County Transportation Authority, 550 South Main Street, P.O. Box 14184, Orange, California 92863-1584.
  - (2) Personal Delivery: Contracts Administration and Materials Management Department, 600 South Main Street, Lobby Receptionist, Orange, California 92868.
  - (3) Facsimile: (714) 560-5792.
  - (4) Email: mbahadori@octa.net

# 3. Authority Responses

Responses from the Authority will be posted on CAMM NET, no later than June 23, 2020. Offerors may download responses from CAMM NET at <a href="https://cammnet.octa.net">https://cammnet.octa.net</a>, or request responses be sent via U.S. Mail by emailing or faxing the request to Masih Bahadori, Principal Contract Administrator.

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

<u>Category:</u> <u>Commodity:</u>

Computer: Hardware & Business Software Software Computer: Hardware &

Software

**Database Software** 

**Enterprise Asset Management** 

(EAM) Software

Enterprise Software - General Computer Software Consulting

Professional Consulting Computer Software Consu

Professional Services Software Maintenance /

Support

Inquiries received after 5:00 p.m. on June 17, 2020 will not be responded to.

#### F. SUBMISSION OF PROPOSALS

#### 1. Date and Time

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

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

# 2. Address

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

Orange County Transportation Authority
Contracts Administration and Materials Management (CAMM)
600 South Main Street, (Lobby Receptionist)
Orange, California 92868
Attention: Masih Bahadori, Principal Contract Administrator

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

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

P.O. Box 14184 Orange, California 92863-1584

Attention: Masih Bahadori, Principal Contract Administrator

\*Note: The Authority utilizes a third-party delivery service; therefore, please anticipate a 48-hour delay in delivery of proposals mailed to the P.O. Box listed above. Proposals are considered received once time stamped at the Authority's physical address.

# 3. Identification of Proposals

as follows:

Offeror shall submit an **original and 7 copies** of its proposal in a sealed package, addressed as shown above in E.2. The outer envelope must show the Offeror's name and address and clearly marked with RFP number.

#### "RFP 0-2272: ENTERPRISE ASSET MANAGEMENT SYSTEM"

In addition to the above, Proposers shall also include one (1) electronic copy of their entire RFP submittal package in "PDF" format on a USB or flash drive.

# 4. Acceptance of Proposals

- a. The Authority reserves the right to accept or reject any and all proposals, or any item or part thereof, or to waive any informalities or irregularities in proposals.
- b. The Authority reserves the right to withdraw or cancel this RFP at any time without prior notice and the Authority makes no representations that any contract will be awarded to any Offeror responding to this RFP.
- c. The Authority reserves the right to issue a new RFP for the project.
- d. The Authority reserves the right to postpone proposal openings for its own convenience.

- e. Each proposal will be received with the understanding that acceptance by the Authority of the proposal to provide the services described herein shall constitute a contract between the Offeror and Authority which shall bind the Offeror on its part to furnish and deliver at the prices given and in accordance with conditions of said accepted proposal and specifications.
- f. The Authority reserves the right to investigate the qualifications of any Offeror, and/or require additional evidence of qualifications to perform the work.
- g. Submitted proposals are not to be copyrighted.

#### G. PRE-CONTRACTUAL EXPENSES

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

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

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

#### H. JOINT OFFERS

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

#### I. TAXES

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

#### J. PROTEST PROCEDURES

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

#### K. CONTRACT TYPE

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be a firm-fixed price contract specifying firm-fixed prices for individual tasks specified in the Scope of Work, included in this RFP as Exhibit A. The Agreement will have a seven (7)-year initial term with two (2), two (2)-year option terms.

#### L. CONFLICT OF INTEREST

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

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

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

#### M. CODE OF CONDUCT

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

**SECTION II: PROPOSAL CONTENT** 

# **SECTION II. PROPOSAL CONTENT**

#### A. PROPOSAL FORMAT AND CONTENT

#### 1. Format

Proposals should be typed with a standard 12-point font, double-spaced and submitted on 8 1/2" x 11" size paper, using a single method of fastening. Charts and schedules may be included in 11"x17" format. Proposals should not include any unnecessarily elaborate or promotional materials. Proposals should not exceed seventy-five (75) pages in length, excluding any appendices, cover letters, resumes, or forms.

#### 2. Letter of Transmittal

The Letter of Transmittal shall be addressed to Masih Bahadori, Principal Contract Administrator and must, at a minimum, contain the following:

- a. Identification of Offeror that will have contractual responsibility with the Authority. Identification shall include legal name of company, corporate address, telephone and fax number, and email address. Include name, title, address, email address, and telephone number of the contact person identified during period of proposal evaluation.
- b. Identification of all proposed subcontractors including legal name of company, contact person's name and address, phone number and fax number, and email address; relationship between Offeror and subcontractors, if applicable.
- c. Acknowledgement of receipt of all RFP addenda, if any.
- d. A statement to the effect that the proposal shall remain valid for a period of not less than 120 days from the date of submittal.
- e. Signature of a person authorized to bind Offeror to the terms of the proposal.
- f. Signed statement attesting that all information submitted with the proposal is true and correct.

# 3. Technical Proposal

#### a. Qualifications, Related Experience and References of Offeror

This section of the proposal should establish the ability of Offeror to satisfactorily perform the required work by reasons of: experience in performing work of a similar nature; demonstrated competence in the

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

#### Offeror to:

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

# b. Proposed Staffing and Project Organization

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

#### Offeror to:

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

#### c. Work Plan

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

#### Offeror to:

- (1) Describe the approach to completing the tasks specified in the Scope of Work. The approach to the work plan shall be of such detail to demonstrate the Offeror's ability to accomplish the project objectives and overall schedule.
- (2) Include a Technical Solution Design (TSD) narrative highlighting the proposed EAM technical solution for the Authority. This narrative shall include a description of the technical architecture and the justification for their proposed approach. This should include hardware and/or cloud hosting environment topology, including network and security

- components, all third-party software, and integration solutions for disparate components.
- (3) Indicate if EAM system has the option to be hosted in the cloud or on-premise. If both options are available, identify the benefits and the drawbacks of each option.
- (4) Outline sequentially the activities that would be undertaken in completing the tasks and specify who would perform them.
- (5) Furnish a project schedule for completing the tasks in terms of elapsed weeks. The proposed project schedule shall identify all phases and the high-level tasks in sufficient detail. Tasks should be grouped into the project phases and include all the relevant deliverables, project milestones, and tasks for which the Authority would be responsible.
- (6) Identify methods that Offeror will use to ensure quality control as well as budget and schedule control for the project.
- (7) Identify any special issues or problems that are likely to be encountered in this project and how the Offeror would propose to address them.
- (8) Offeror is encouraged to propose enhancements or procedural or technical innovations to the Scope of Work that do not materially deviate from the objectives or required content of the project.
- (9) Complete the EAM System Highlights Table (Attachment A to Exhibit A)
- (10) Complete the Project Task Deliverables Table (Attachment B to Exhibit A)
- (11) Complete the EAM System Requirements List (Attachment C to Exhibit A).

#### d. Exceptions/Deviations

State any technical and/or contractual exceptions and/or deviations from the requirements of this RFP, including the Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit C), using the form entitled "Proposal Exceptions and/or Deviations" included in this RFP. This Proposal Exceptions and/or Deviations form must be included in the original proposal submitted by the Offeror. If no technical or contractual exceptions and/or deviations

are submitted as part of the original proposal, Offerors are deemed to have accepted the Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit C). Offerors will not be allowed to submit the Proposal Exceptions and/or Deviations form or any technical and/or contractual exceptions after the proposal submittal date identified in the RFP. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed by Authority.

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

#### e. Public Records Act Indemnification

Proposals received by Authority are subject to the California Public Records Act, Government Code section 6250 et seq. (the "Act"), except as otherwise provided in the Act. Proposers should familiarize themselves and exceptions thereto. In no event shall the Authority or any of its agents, representatives, consultants, directors, officers, or employees be liable to a Proposer for the disclosure of any materials or information submitted in response to the RFP. Proposers must complete and sign the Exhibit H, Public Records Act Indemnification — Proposal Documents, and submit it with the proposal. Failure to complete Exhibit G may cause the proposal to be deemed non-responsive to this RFP and may no longer continue in the evaluation process.

If a California Public Records Act request is received by Authority for the release of information identified by Proposer as propriety, trade secret, or confidential, the request will be referred to Proposer for review and consideration. If Proposer requests that the information be withheld from release, Proposer shall provide such request in writing with the legal basis under the Act for each requested withholding. Failure to notify the Authority in writing of its desire to withhold the records within three business days and/or to timely provide a legal basis for the withholding of documents, regardless of

any marking or designation of such documents, shall constitute a waiver of any claims Proposer may have had related to such disclosure.

Authority will review the request, determine if the disclosure of the records is required by law, and notify Proposer of such determination. If Authority determines that the disclosure of records is required by law, Authority will notify Proposer of such determination and provide Proposer the opportunity to seek a protective order or other appropriate legal relief to protect the records.

Proposer shall defend and hold harmless Authority from any legal action arising from such withholding, as further detailed in Exhibit H, Public Records Act Indemnification – Proposal Documents.

# 4. Cost and Price Proposal

As part of the cost and price proposal, the Offeror shall submit proposed pricing to provide the services for each work task described in Exhibit A, Scope of Work.

The Offeror shall complete the "Price Summary Sheet" form included with this RFP (Exhibit B), and furnish any narrative required to explain the prices quoted in the schedules. It is anticipated that the Authority will issue a firm-fixed-price contract specifying firm-fixed-prices for individual tasks.

# 5. Appendices

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

#### B. FORMS

# 1. Campaign Contribution Disclosure Form

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

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

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

Offeror is required to submit only one (1) copy of the completed form(s) as part of its proposal, and it shall be included in only the original proposal and electronic copy.

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

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

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

# 3. Proposal Exceptions and/or Deviations Form

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

#### 4. Public Records Act Indemnification Form

Offerors shall complete and sign the form entitled "Public Records Act Indemnification" provided in this RFP and submit it as part of the original proposal. Proposers must complete and sign either Option 1 or Option 2,

whichever applies.

**SECTION III: EVALUATION AND AWARD** 

# **SECTION III. EVALUATION AND AWARD**

#### A. EVALUATION CRITERIA

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

#### 1. Qualifications of the Firm

25%

Technical experience in performing work of a closely similar nature; strength and stability of the firm; strength, stability, experience and technical competence of subcontractors; assessment by client references.

# 2. Staffing and Project Organization

20%

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

# 3. Work Plan 35%

Depth of Offeror's understanding of Authority's requirements and overall quality of work plan; logic, clarity and specificity of work plan; appropriateness of resource allocation among the tasks; reasonableness of proposed schedule; utility of suggested technical or procedural innovations; responses to EAM System Highlights Table, Project Task Deliverables Table, and EAM System Requirements List.

#### 4. Cost and Price

20%

Reasonableness of the total price as well as the individual tasks; competitiveness with other offers received; adequacy of data in support of figures quoted.

#### B. EVALUATION PROCEDURE

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

During the evaluation period, the Authority may interview some or all of the proposing firms. The Authority has established August 11, 2020, as the date to conduct interviews. All prospective Offerors are asked to keep this date available.

No other interview dates will be provided, therefore, if an Offeror is unable to attend the interview on this date, its proposal may be eliminated from further discussion. The interview may consist of a short presentation by the Offeror after which the evaluation committee will ask questions related to the firm's proposal and qualifications.

At the conclusion of the proposal evaluations, Offerors remaining within the competitive range may be asked to submit a Best and Final Offer (BAFO). In the BAFO request, the firms may be asked to provide additional information, confirm or clarify issues and submit a final cost/price offer. A deadline for submission will be stipulated.

At the conclusion of the evaluation process, the evaluation committee will recommend to the Transit Committee, the Offeror with the highest final ranking or a short list of top ranked firms within the competitive range whose proposal(s) is most advantageous to the Authority. The Board Committee will review the evaluation committee's recommendation and forward its decision to the full Board of Directors for final action.

#### C. AWARD

The Authority will evaluate the proposals received and will submit, with approval of the Transit Committee, the proposal considered to be the most competitive to the Authority's Board of Directors, for consideration and selection. The Authority may also negotiate contract terms with the selected Offeror prior to award, and expressly reserves the right to negotiate with several Offerors simultaneously and, thereafter, to award a contract to the Offeror offering the most favorable terms to the Authority.

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

The selected Offeror will be required to submit to the Authority's Accounting department a current IRS W-9 form prior to commencing work.

# D. NOTIFICATION OF AWARD AND DEBRIEFING

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

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

**EXHIBIT A: SCOPE OF WORK** 

# **Scope of Work**

# **Enterprise Asset Management System**

1.	BACKGROUND	2
2.	PROJECT GOALS / OBJECTIVES AND HIGH-LEVEL PROJECT SCOPE	3
3.	OCTA TEAM	5
4.	CONSULTANT TEAM	6
5.	SCOPE OF ENGAGEMENT: SERVICES, EFFORTS AND DELIVERABLES	7
6.	BUSINESS PROCESS NARRATIVE	9
7.	PROJECT IMPLEMENTATION TASKS AND DELIVERABLES	19
	Task 1 – Project Planning and Management Task 2 – Requirements Gathering Task 3 – Design Task 4 – Construct / Build Task 5 – Test Task 6 – Pilot Task 7 – Train Task 8 – Deploy Task 9 – Post-Deployment Support	. 23 . 24 . 27 . 27 . 29 . 29
8.	APPENDIX 1: EXISTING SYSTEM REPORTS	36
9.	APPENDIX 2: VEHICLE INSPECTION SHEET	207
10.	APPENDIX 3: EQUIPMENT ASSIGNMENT REPORT FOR 10/13/2019	228
ATTA	ACHMENT A: EAM SYSTEM HIGHLIGHTS TABLE	232
ATTA	ACHMENT B: PROJECT TASK DELIVERABLES TABLE	234
ΔΤΤΔ	ACHMENT C: FAM SYSTEM REQUIREMENTS LIST	237

#### 1. BACKGROUND

The Orange County Transportation Authority (OCTA) is a state-mandated, multi-modal transportation agency in Orange County, California. OCTA regulates, prioritizes, funds, plans, designs, builds, operates, and maintains the transportation network. This includes major highway and freeway projects, high-occupancy managed lanes, street improvements, commuter rail, streetcar, the public transit system, paratransit services and taxi services.

OCTA currently has 13 facilities (five bus bases [Santa Ana, Garden Grove, Anaheim, Construction Circle in Irvine, and Sand Canyon in Irvine] + eight transit facilities), and will be adding eight (8) streetcars and one (1) central communications facility in the upcoming two (2) to four (4) years. There are two (2) physical warehouses that are operated by OCTA and three (3) warehouses operated by OCTA contractors.

# OCTA Vehicle Break-down (as of 10/13/2019):

- 507 Fixed-Route and Contracted Fixed-Route vehicles (298 and 209, respectively).
   Of the 507, OCTA has three (3) hydrogen and 504 compressed natural gas (CNG) buses. In the future, OCTA shall also operate electric buses.
- 248 ACCESS service vehicles
- Eight (8) streetcars (future)

The Equipment Assignment Report for 10/13/2019 can be found in Appendix 3 to this Scope of Work (SOW).

Regarding materials management, OCTA has approximately 7,000 active bus stock numbers, \$4.3 million dollars in valued inventory, a bulk storage facility, a material planning department, a warranty department, a parts cataloger, and a receiving department. OCTA's Materials Management section supports maintenance operations along with six specialty shops: upholstery, rebuild, electronics, automotive, body shop and facilities. The Materials Management section is also responsible for suppling bus parts, shop supplies, fuels, lubricants, safety supplies, cleaning supplies and consumable products. The Materials Management section works seven days a week, 24 hours a day and all holidays (24 x 7 x 365). Replenishment of parts and supplies are managed using min/max stocking levels, use of a critical inventory optimizer software, historical usage data and supplier recommended stocking reports.

There are 6500 work orders raised per month on average and approximately 400 unique types of work orders currently used, plus 600 that are historical/unused types. There are about 550 purchase orders and contracts created per month.

The Enterprise Asset Management (EAM) system shall allow for **approximately 550 named users**.

OCTA currently utilizes the Ellipse EAM system, and it is extensively used across OCTA to support work management, maintenance and repair of rolling stock and facilities, materials and inventory management, warranty management, inventory replenishment, defect tracking, procurement requests, procurement status management, reporting, and integration with financial processes.

# **Current Ellipse system users include:**

- 1. Bus Fleet Management, Non-Revenue Maintenance, Bus Rebuild Center
- 2. Facilities Maintenance
- 3. Rail Fleet Services (future)
- 4. Rail Wayside and Rail Communications (future)
- OCTA Administration Personnel and General Services
- 6. Asset Management
- 7. Warranty
- Consultant/Contract Management includes Logistics/Material Management and Procurement
- 9. Accounting
- 10. Information Services (IS)
- 11. Contracted Service Providers (future)

# <u>Current systems that interface with Ellipse system (or are used to support Ellipse system processes):</u>

- 1. HASTUS (Bus Operations)
- 2. ONESolution (Finance)
- 3. Fleet Watch (Vehicle Maintenance)
- 4. Critical Inventory Optimizer (CIO)
- 5. AnaLabs (Oil and Coolant Analysis)
- Kronos (Shift Change/Timekeeping)
- 7. Lawson (HR)
- 8. Link One (Materials Management feature in Ellipse for electronic parts diagram information)
- 9. CAMMNET (Consultant Profile Management / e-Procurement system)
- 10. Solicitation Manager (Contract Maintenance)
- 11. Critical Inventory Optimization (module within Ellipse)
- 12. Various extracts (from Access databases)
- 13. Data Warehouse

Additional details on the interfaces can be found in the EAM Requirements List (Attachment C) under the tab titled "Interfaces and Data Exchanges."

Fleet Commander is a separate software used by OCTA to manage service vehicles. This software is does not interface with Ellipse.

#### 2. PROJECT GOALS / OBJECTIVES AND HIGH-LEVEL PROJECT SCOPE

OCTA is seeking a modern EAM business and technical system, which includes the following:

- 1. Implementing a modern transportation asset management software solution with comprehensive functionality.
- Revising business processes (if necessary) that, when coupled with the new EAM software, shall result in more efficient operations (i.e., improved productivity) and more effective asset management (i.e., better data quality including asset condition scoring readily accessible by management for improved decision making and regulatory

reporting).

OCTA's top-level business objectives for the overall EAM program initiative are as follows:

- Capture, control and track a broad range of OCTA assets throughout each asset's usable life. Asset classes / types include, but not limited to, infrastructure, linear, rolling stock and related assets for commuter rail and bus transit operations, as well as facilities and other assets.
- 2. Implement a scalable solution enabling complete EAM, inventory management and work management.
- 3. Meet OCTA's growing business needs associated with OCTA's forecast for expanding transit asset inventory over the next 10 to 20 years with a scalable technology solution.
- 4. Comply with federal Moving Ahead for Progress in the 21st Century Act (MAP-21) and Fixing America's Surface Transportation (FAST) Act guidelines for asset management and asset condition reporting (e.g., State of Good Repair reporting).
- 5. Become a recognized industry leader in enterprise transit asset management (TAM) and State of Good Repair, as well as support compliance with generally accepted asset management standards, such as:
  - a. ISO 55000 management of physical assets.
  - b. American Public Transportation Association (APTA).
  - c. MAP-21 State of Good Repair and the FAST Act.
  - d. FTA TAM Rulemaking.
  - e. National Transit Database reporting (monthly and annually).
- 6. Improve operational effectiveness and efficiency in the management of assets, inventory, operations and maintenance, especially the reduction of re-work and the identification of cost of business / ownership.
- 7. Improved internal communications / collaboration, operational productivity and reporting supporting data analytics, decision-making and business intelligence.
- 8. Easy to use, integrated, end-to-end EAM system transportation-sector focused, enabling:
  - a. Inventory management, including critical inventory optimization.
  - b. Mobility / tablet / smart-phone solution to support:
    - i. Maintenance & Facilities: work plans, work orders, unscheduled maintenance, defect management
    - ii. Materials Management: Receiving, issuing, cycle counting, shipping, stocking
  - c. Requisition / Purchase Order / Contract Management
    - Best practice solution for supporting the inventory, non-inventory goods, services, blanket purchase orders for inventory/goods/services, and contract management. Includes the requisitioning process for the procurement of inventory/goods and services.
    - ii. Best Practice solution for facilitating payment in OCTA's ONESolution financial software for all types of purchase orders and contracts listed in paragraph 2.8.c.i above.

- d. Robust reporting and analytic analysis.
  - Database query access for reporting.
- 9. The expected duration of the project implementation effort is 24 calendar months, followed by a five-year use of the EAM system in production, for a total initial contract term of seven (7) years. OCTA is also including two, two-year option terms whereby OCTA may elect to extend the term of the contract at its sole discretion.
  - a. Approximate target start date for implementation efforts: Third Quarter of 2020
  - Approximate target completion date for implementation efforts: Third Quarter of 2022 (This is inclusive of 30 calendar days of post-deployment support services following the implementation of all EAM functional modules.)
  - c. Five-year use of the EAM system in production
  - d. Two, two-year options at OCTA's sole discretion

# NOTE: Please assume the project duration above when submitting pricing on the Price Summary Sheet, Exhibit B to this RFP.

- 10. Ellipse is used by the following departments / teams:
  - a. Bus Fleet Management, Non-Revenue Maintenance, Bus Rebuild Center
  - b. Facilities Maintenance
  - c. Maintenance Resource Management Assets
  - d. Contract and Materials Management (CAMM) Materials Management (Inventory and Warranty)
  - e. CAMM Contracts (Requisitions, Purchase Orders, Contract Tracking)
  - f. Finance Accounts Payable and Budgeting
  - g. Information Services (IS)
  - h. Plus, there are dozens of "Requisitioners" throughout OCTA to facilitate requisitioning in each of OCTA's departments.)
  - i. Rail Wayside and Rail Communications (not currently included in Ellipse, but shall be included in the EAM system)
  - j. Contracted Service Providers (not currently using Ellipse, but shall be using the new EAM system)

#### 3. OCTA TEAM

OCTA shall establish a project team that shall include the following staffing for this project:

- 1. A Project Steering Committee consisting of the major stakeholders shall meet as needed (at a minimum, quarterly) to monitor progress and make any course corrections that are need.
- 2. Business Owners.
- 3. An OCTA Project Manager who shall spend approximately thirty percent (30%) of his/her time on this project.
- 4. At a minimum, one (1) technical lead who shall be available as needed. The technical lead(s) shall assist with OCTA's network, security, data warehouse, database, device management, and components.

- Business Computing Solution Specialists (BCSS) and functional experts shall be available as needed, based on the project schedule and at the request of the OCTA Project Manager.
- 6. One (1) or more power users shall be available as needed. They shall assist with application use-case questions and testing.
- 7. System users shall be available during certain testing periods. All users of the system shall participate, provided they have received proper training.

# 4. CONSULTANT TEAM

- Consultant's personnel shall accept the condition that scheduling flexibility is required since OCTA's IS activities are driven by a combination of internal and external dependencies.
- Consultant resources shall work closely with the OCTA IS Project Manager to plan the expected work for each reporting/billing period. All EAM project work shall be coordinated through the OCTA IS Project Manager.
- 3. Consultant shall provide to each of their assigned resources a personal computer (PC) and cell phone. Personnel shall not perform work on an OCTA-issued PC.
- 4. Consultant may use offshore resources where appropriate; however, the OCTA IS Project Manager shall be aware and approve of the use of offshore resources. Consultant shall assume full responsibility for the quality of the resultant deliverables and the timeliness of their delivery.
- Consultant personnel shall backup all work products at the end of each workday onto an OCTA designated storage device (most likely a SharePoint repository or shared network drive setup for the EAM project team).
- 6. Consultant's personnel assigned to work on OCTA projects are responsible for the proper care of OCTA's facilities and equipment made available to them throughout the term of the contract.
- 7. Unless otherwise agreed to by OCTA's Project Manager, Consultant's staff shall work onsite at OCTA's Orange, CA headquarters building or from a pre-authorized remote location. Exceptions require OCTA's Project Manager approval for work performed offsite or offshore.
- 8. All individuals participating on the Consultant's project team shall have sufficient comprehension of the English language to read, write, speak and understand all job-related directions and discussions.
- 9. All communication shall be in English, including verbal and written.
- Verbal and written communication shall be grammatically correct at a universitygrade-level.
- 11. Consultant shall be available from 7:00am to 6:00pm (Pacific Time), Mondays through Fridays, and on all U.S. working days.
- 12. Consultant shall provide all phone and desktop-sharing conference calling dial-in numbers and Uniform Resource Locators (URLs).
- 13. Consultant shall provide telephonic technologies that limit the phone call latency to less than one (1) second and are at audio quality standards equivalent to typical U.S. domestic phone call quality standards.
- 14. Consultant shall respond to voicemail, email and text messages within a reasonable amount of time, but under no circumstances shall the amount of time exceed one (1) business day.

#### 5. SCOPE OF ENGAGEMENT: SERVICES, EFFORTS AND DELIVERABLES

The Consultant shall provide the following services, efforts and deliverables. The details for each of these are outlined within this SOW and within the EAM Requirements List (Attachment C). In addition to individual software and environment-related requirements, the EAM Requirements List (Attachment C) also provides information related to OCTA's physical site locations and details, software performance service level agreements (SLAs), a list of existing system interfaces and details, and the list of existing printers, all of which may be used by the Consultant to more accurately estimate the scope, cost and schedule for this project.

# 1. EAM Application Software

OCTA shall only consider well-designed and previously implemented, proven software with a demonstrated ease of use, asset management functionality consistent with the U.S. Department of Transportation guidelines for transit organizations, robust reporting capabilities, an advanced system integration architecture and superior product support. Realizing the breadth and complexity of the desired EAM solution, OCTA allows for customization, third party software products (with interfaces), and new functionality to be released in the near future to satisfy OCTA's EAM requirements.

The EAM system shall have individual features and functions consistent with OCTA's EAM functional and technical requirements noted on the EAM Requirements List (Attachment C). OCTA has identified a list of requirements that the Consultant shall satisfy in the baseline software functionality or via customization, third party software products (with interfaces), or future releases of the proposed EAM system. Additional details on the interfaces can be found in the EAM Requirements List (Attachment C) under the tab titled "Interfaces and Data Exchanges."

The EAM system shall take into account usability with OCTA's other critical enterprise software applications to facilitate a streamlined end-to-end experience for OCTA's EAM users.

The EAM system shall be highly intuitive from a user perspective, thus positioning OCTA to take advantage of the proposed technology to improve staff productivity and organizational effectiveness.

The EAM system shall permit secure and easy access to the EAM data for reporting and query generation with reduced needs for programming resources to produce normal operational reports.

Please see the EAM Requirements List (Attachment C) for the individual features and functions required.

# 2. Other Related Software

This includes all third-party software, utilities, report writers, workflow software, development tools, hardware drivers, etc., that are required to operate and maintain the proposed EAM system.

# 3. Support, Maintenance, Warranty

OCTA is seeking to use the EAM system for at least five (5) years after completion of implementation. Therefore, the support and maintenance shall include updates, upgrades, patches and break/fixes for five (5) years (beginning from the date once the software is being used in production environment) for all software that is being licensed. Software support that accompanies the acquisition shall include high quality, 24x7x365 support. Please see the EAM Requirements List (Attachment C) for the individual services required.

# 4. Environment (Hosting Services, or On-Premise)

OCTA shall consider EAM technology solutions that are cloud-based systems or on-premise systems. Please see the EAM Requirements List (Attachment C) for the individual services required.

# 5. Project Implementation Effort

For detailed descriptions of the services, tasks, and deliverables required during the project implementation, see the "Project Implementation Tasks and Deliverables" under section 7 of this SOW. The implementation effort shall include the following:

- a. Project Planning and Management Various administrative efforts and documentation to implement this system / project. Consultant's Project Manager or Point of Contact (POC) and assigned resources shall report to and take daily direction from OCTA's Project Manager.
- b. **Implementation** All technical services required to install, set-up, configure and implement all software and hardware products, including the provisioning, installation, requirements gathering, configuration, testing, deployment, and post-deployment support for the software and hardware.
- c. **Data Conversion and Migration** Efforts required to ensure the existing OCTA data is moved into the new EAM system.
- d. **Software Integrations** / **Interfaces** Design, development, testing, implementation and technical documentation for interfaces between the proposed EAM Software, any proposed third-party software, and OCTA's existing application systems (HR, Finance, Timekeeping, Fluid Management, Operations Scheduling, Parts Diagrams, etc.), which are described on the "Interfaces and Data Exchanges" tab of the EAM Requirements List (Attachment C).
- e. **Reports and Analytics** Design, development, testing, implementation and technical documentation for reports, including the required custom reports.
- f. **Training** Training for OCTA resources.
- g. **Travel and Expenses** Please note that OCTA does not pay for daily incidentals.

# 6. Technical Solution Design (TSD) Narrative

The Consultant shall include in the "Work Plan" section of its proposal a TSD narrative section highlighting the proposed EAM technical solution for OCTA. This narrative shall include a description of the technical architecture and the justification for their proposed approach. This should include hardware and/or cloud hosting environment topology, including network and security components, all third-party software, and integration solutions for disparate components.

#### 7. Enhancements

If the Consultant's technical solution offers other related functionality or modules not included in the SOW that may be of value to OCTA, the Consultant shall include a separate section in their TSD narrative for such enhancements. The applicable costs for such enhancements shall be included in the Price Summary Sheet, Exhibit B to this RFP, under the "List of Enhancements."

#### 6. BUSINESS PROCESS NARRATIVE

This section is a general narrative of the business processes that OCTA expects to be supported by the EAM solution.

# Asset Management

- Asset Lifecycle Management OCTA's regulatory requirements and operational maturity objectives necessitate a robust lifecycle management solution for its asset portfolio. Current growth projections shall require the onboarding of significant numbers of assets into an already sizeable fleet, bringing with it an increased reliance on automated, digital tools to effectively track, maintain, and retire the assets at a pace scalable with heightened service requirements. Effective management of the asset lifecycle has the ability to drive improved maintenance and service delivery to customers, while also improving the asset-accounting and cost forecasting that define high-maturity organizations.
- Asset Inventory and Classification Hierarchies The interconnected nature of OCTA's
  assets, components, and subcomponents presents a complex environment in which
  maintenance and operation can be managed and optimized in concert with one another.
  Parent-child relationships comprise the asset inventory system of record, which serves as
  the principal repository for all of OCTA's asset management functions. Concentrating
  priority weightings, classifications, and reference information into a single repository allows
  operations and support staff to have a consistent body of knowledge to refer to, thereby
  improving their ability to execute service and improve overall efficiency.
- Asset Assessment and Condition MAP-21 regulatory requirements necessitate robust asset assessment and condition rating functionality, which in turn allows OCTA to gain a tactical view of the health of their asset portfolio, and a strategic plan for capital allocation in the future. A holistic understanding of the condition of assets over time provides an added benefit in the form of highly effective predictive maintenance plans, data analysis opportunities, and general improvements to the health of the assets under their control.
- Asset Tracking and Management Tracking key performance data between assets and asset classes allows OCTA to gain a holistic understanding of their asset portfolio and

develop strategic plans to optimize performance as the organization grows. This shall facilitate compliance with MAP-21 regulations and ensure OCTA is meeting federal guidelines and requirements.

- Capital Project Scoping and Prioritization In order to effectively scale with increasing growth demands, it is critical that OCTA's capital projects are planned, scoped, and prioritized with data that supports critical decision-making processes. It shall take into account the condition of assets in the portfolio, criticality of individual assets and their asset classes, and the performance of core sections of the asset fleet provides long-term security in rapidly changing environments. Furthermore, effective capital project scoping and prioritization shall allow OCTA to meet MAP-21 regulations regarding the plan to improve and maintain the condition of transit assets moving forward.
- Capital Plan Tracking OCTA's capital project portfolio contains highly diverse projects
  with budgets, schedules, and priority levels that shall be accurately tracked and managed
  at an individual and holistic level for reporting and audit purposes. More effective
  management of capital projects shall allow OCTA to more effectively plan for long-term
  sustainability and improve service levels across the organization.
- Asset Project Planning Capital projects that are aimed at improving the condition of OCTA's assets require special consideration due to new reporting and tracking regulation. More effective management, tracking, and execution of asset-centric projects shall allow OCTA to meet those regulatory requirements more effectively and shall improve the delivery of service where those assets are employed.
- Asset Status and Location OCTA's fleet of mobile assets should be able to be tracked
  to ensure service is being delivered on time and location. This allows supervisors and
  managers to more effectively plan and schedule service, enables tactical decision making
  by support staff, and results in peace-of-mind for the customer.
- Asset Configuration Management Effective management of assets requires equally
  effective management of the components, subcomponents, and assemblies that make up
  the overall asset. Through thorough management of the configurations of assets, OCTA
  shall be able to improve asset performance, improve asset lifetimes, and generate more
  comprehensive reports on the assets in their employ. Additionally, OCTA shall be able to
  quickly identify assets that fall out of compliance with maintenance and service standards,
  improving service delivery across the organization.
- Component Tracking Repairable components that are continually used, repaired or rebuilt and placed in service require sophisticated tracking of their location, service status, and maintenance histories. With effective serialized component tracking, OCTA shall be able to more effectively utilize repairable components across their asset portfolio, reduce duplicative component purchasing, and maintain a higher asset condition standard across the organization while reducing inventory costs.
- Asset Lifecycle Costing To effectively carry out their asset management mandate, OCTA shall gain a comprehensive understanding of the costs incurred with the ownership and maintenance of each individual asset within the portfolio. This includes costs specific to each phase of the asset lifecycle, and aggregate costs from classes and subclasses of

assets. By capturing these costs, OCTA shall be able to more accurately plan, budget and forecast future projects and expenditures.

- Asset On-Boarding and Replacement In order to scale OCTA's asset portfolio to meet
  projected growth, it is necessary to streamline and more effectively control the asset
  onboarding and replacement process. This includes data-driven replacement schedules
  for in-service assets, asset data transfer, and tracking newly procured assets that are
  brought into service. This shall allow OCTA to make strategic asset procurements, and
  more effectively manage all new assets, and ease the transition between asset deployment
  and operations.
- Asset Retirement Aging assets that require replacement need to be properly
  depreciated and relieved of usable parts, components, and data before retirement from
  service. Effective management of asset retirement shall allow OCTA to maximize value
  from end of life assets, and more effectively prepare for replacement and onboarding.

# **Work Planning and Management**

- Planned Maintenance Program Management OCTA's asset management mandate demands more sophisticated, planned maintenance programs to perform predictive, preventative, and reliably centered maintenance on critical assets and components. Through improved planned maintenance data gathering and management, OCTA shall be able to identify and resolve maintenance issues more rapidly and improve service delivery across the organization.
- Work Planning, Scheduling, and Management OCTA's workforce performs myriad functions over a highly diverse range of service and support roles, all of which require effective work planning and management practices. To give the organization a comprehensive understanding of the amount and value of work being utilized, resource utilization, planning, forecasting, and budgeting requirements shall be taken into account. Comprehensively understanding and managing work shall allow OCTA to more effectively utilize resources where they are needed most, staff for projects according to data-driven expectations, and deliver higher-value services to customers.
- Electronic Parts Catalogues (EPC) An easy to use electronic parts catalog is essential for helping maintenance and operations personnel quickly find, order, and associate parts to a work order. As a result, technicians spend less time searching for parts to repair issues, make less ordering mistakes, and increase wrench time.
- Warranty Management Consolidating OCTA's warranty agreements into an automated, digitized space allows for heightened control over the assets, components, and parts that comprise OCTA's asset portfolio. It shall also permit the sharing of warranty recovery data between the maintenance and material management departments.
- Asset Usage and Maintenance History In order to meet federal regulatory guidelines,

OCTA shall keep a detailed record of the usage and maintenance histories of the assets, components, and subcomponents that drive operations and support functions. Effective management of asset usage and history shall allow OCTA to more comprehensively manage assets across their lifecycles, improving efficiency and service delivery across the organization.

- External Contract Maintenance The EAM system should not only facilitate
  management of work assigned to OCTA FTEs, but also work contracted to external
  Consultants and Consultants. These features should allow OCTA employees to isolate
  work contracted to external Consultants, track performance versus tasks delivered, and
  examine compliance versus expectations.
- Failure Analysis Understanding root-cause failures of systems, components and underlying assets enables maintenance personnel and management to improve reliability and performance for assets under their purview. A robust failure analysis feature set that enables detailed analysis, adjustments to planned maintenance programs and continuous operational improvement is essential for OCTA.
- Maintenance Costing Understanding the complete costs of maintenance allows OCTA
  to more accurately assign value to projects, budgets, and other functions. True
  maintenance costs include breakdowns by assets, work type, workforce, and ultimately
  provide insight to the planning and reporting personnel at OCTA.

# **Fleet Management**

Buses, streetcars (in 2022), and non-revenue vehicles perform the mobile services that
define OCTA's interactions with its customers. This includes not only the moving assets,
but the resource requirements at the rail yards and bus stations, managing the tools and
maintenance equipment at the maintenance shops. Effectively managing moving assets
and the components that support them is critical to ensuring public safety and the
sustainability of OCTA's service model for years to come.

# Linear Asset Management (in 2022)

 OCTA's linear assets provide a unique challenge in accurately referencing the network of tracks, signals, and related assets in a variety of functions that are critical to the overall service portfolio. By being able to accurately track, maintain, and reference the linear assets under OCTA's control, personnel shall be able to more effectively locate and maintain those assets, improve their data gathering and reporting functions that include linear references, and improve the safety of the riders that utilize the rail system through more effective linear asset maintenance.

# **Inventory Management**

• Inventory Item Definition and Location - OCTA's diverse service portfolio carries an

equally diverse range of materials required to operate, maintain, and repair the OCTA fleet. To effectively manage and safeguard OCTA's inventory investment, item classifications and descriptions shall be sophisticated and highly specific to ensure that material is able to be found within the system and made available for service. This includes ensuring that inventory materials spread across OCTA's numerous warehouses and storage facilities are identifiable by location, giving further insight into availability and lead times.

- Warehouse/Storeroom Configuration and Management Over 15,000 inventory transactions monthly are processed through storage and inventory facilities, requiring sophisticated coordination between the software solution and OCTA's processes in order to effectively deliver service. Optimizing configuration and management of OCTA's warehouses maximizes wrench-time and eliminates the unnecessary delays caused by an unorganized system.
- Inventory Transactions and Material Usage Tracking To accommodate increasing
  inventory transaction volume, it is critical that OCTA is able to clearly track, manage, ability
  to reallocate open requisitions and audit the parts and components being utilized in
  OCTA's critical functions. This includes comprehensively understanding how usage of
  individual inventory materials and classes of materials occurs across the organization, and
  the flexibility to scrap, sell, or store excess materials.
- Material Replenishment Variations in ridership, maintenance schedules, diverse bus fleet with many different Consultants, and other factors result in continuous changes to the inventory replenishment cycle. Understanding how material needs vary from a data-driven perspective allows OCTA to optimize the management of material levels, resulting in decreased waste and consistent parts availability that support staff uses to carry out critical services.
- Cycle Counting and Physical Inventory Ensuring that inventory levels in the system
  are accurate necessitates a data-centric approach to cycle counting and inventory
  reconciliation. Notifying and assisting material management personnel with real-time data
  allows them to accurately establish inventory levels in less time, and with fewer errors. This
  translates to more effective service for downstream users across the organization.
- Serialized Item and Lot Tracking Parts identification through serialization and lot tracking provides OCTA's material management personnel with the ability to more effectively track where material is being stored and used. This increases parts visibility, reducing waste from duplicative ordering that arises from a less sophisticated management system.
- Inventory Accounting and Valuation OCTA's material portfolio includes a highly diverse range of assets, parts, and components, which shall be accurately valued for

depreciation, resale, audit, and reporting purposes. Furthermore, the value of inventory material associated with specific projects and initiatives allows OCTA to more effectively forecast and carry out projects within realistic budgets.

 Material Safety – Hazardous materials require special handling, storage, and maintenance practices, which shall be performed by material management personnel in order to keep themselves and other employees safe. The ability to see and prepare for those requirements reduces the chance of mishandling and increases the efficiency of the hazardous material handling processes.

# **Planning and Budgeting**

- OCTA's capital planning and capital projects define the organization's long-term investment goals. Effective planning and budgeting require comprehensive collection and analysis of data generated across the organization, and specifically related to the assets that OCTA owns and operates. This includes planning for capacity increases as OCTA continues to grow in both ridership and services offered.
- OCTA uses multiple types of plan including, but not limited to:
  - Operational Plan a clear picture plan of how a department shall contribute to the Agency's strategic goals,
  - Capacity Plan ability to schedule work against labor capacity,
  - o Rolling Plan updatable labor plans that are updated after specific time intervals, and
  - Standing Plan single use labor plans with specific required actions (commonly known future dated / system-generated work orders).
- Planning and budgeting for long term goals not associated with specific projects presents
  a unique challenge in that they can require many different data sets that may not be
  apparent from the onset. To compensate, it is critical that OCTA is able to effectively
  gather and analyze data on the entirety of their asset portfolio, including condition and
  age-based data, key asset attribute data, and other related data sets. To effectively plan
  and budget, it is necessary that OCTA is able to display that data in dashboards and reports
  that convey critical information accurately, in real-time, and with easily interchangeable
  metrics.

# Reporting and Analysis (All areas)

- OCTA relies on data analysis and reporting to make critical decisions, comply with regulations, and improve the services within their portfolio. This includes reporting on all of the assets that OCTA owns and operates, the services rendered internally and externally, and countless other functional areas.
- Total Cost of Ownership
  - o Capturing all costs: labor, material, Consultants, services associated with each Asset.

# **Mobility**

 As a mobility-centered organization, it is critical that OCTA personnel are able to work in the field with the same effectiveness they would have at a desk. This presents a unique challenge in that data and documentation from the field shall be consistent with data generated on the core network, and information shall be reconciled quickly and accurately. Effective implementation of a mobile solution shall allow OCTA to more effectively manage its assets and improve service delivery across the organization.

# Geographic Information System (GIS)/ Global Positioning System (GPS)

 OCTA's services span a large geographic area and employ mobile assets that are highly reliant on accurate, real-time location data. This includes mobile personnel that frequently travel to execute services and record data. By employing GIS/GPS more effectively, OCTA shall be able to better understand the location of assets, material, workforce, and services in real time, allowing for the optimization of related processes, and improve the speed at which services are rendered.

# **Automated Workflow**

OCTA relies on effective workflows to carry out critical internal and external processes.
 Automating the approval/denial process allow support and maintenance staff the opportunity to receive input quickly and work towards high value activities.

# Bar Coding/Radio-frequency identification (RFID) and other technologies

 Maintaining the network of parts and materials that are critical to OCTA's day-to-day operations require sophisticated mechanisms by which they can be tracked, sent, received, and utilized. Technologies like bar codes and RFID provide countless uses for support and maintenance staff that enable them to complete work more effectively and focus on highervalue activities.

# <u>Image</u>

 OCTA's maintenance and support personnel require accuracy and speed in order to respond to changing demands, incidents, and requests. Software that supplies high quality images, drawings, and other forms of media allow users to operate at the highest efficiency levels, while maintaining a detailed graphical record that can be used to establish audit.

# **Graphical Viewer/User Interface**

 Operations and support staff require real-time decision-making capabilities to be at their most effective. Robust graphical user interfaces that allow for highly comprehensive understanding of the current status of the asset and service portfolios.

# **Internet of Things**

• OCTA's asset management goals require highly sophisticated data sets to support the growing ecosystem of connected devices used to gather asset and condition data.

# **Procurement**

 Requisitioning – OCTA requires electronic requisitioning of inventory stock items based on inventory replenishment methods such as Min/Max. Electronic requisitioning of

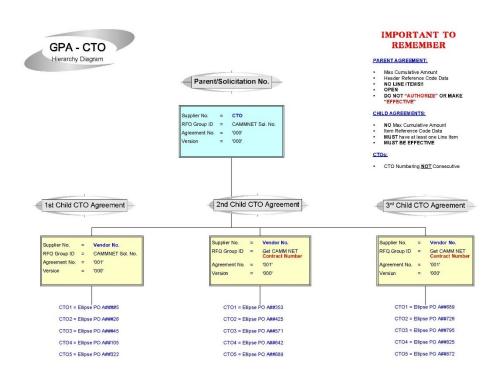
non-inventory goods and services is also required. The approval process for non-inventory goods and services requisitions should be a hierarchical approval method not dependent on approval amount levels. OCTA requires requisitions to be approved based on an OCTA defined bottom up organizational hierarchical methodology. Non-inventory goods and services requisitions shall be reviewed by OCTA's Finance/Budget department prior to the requisition being approved and able to be procured. Currently the budget review is a manual review and is not tied into OCTA's in-house developed budget system. It is anticipated that the budget review process shall remain a manual process. OCTA often requires non-inventory goods and services requisitions to be rerouted back to the requestor to make changes to the requisition such as amount, funding status, funding account numbers, purchasing instructions, and other requisition details. The reroute process shall reroute the requisition back to the requestor and be efficient and reliable. Once the requisition is rerouted back to the requestor and the necessary changes made the requisition shall proceed back through the original hierarchy so that the changes can be reviewed by everyone in the approval hierarchy. OCTA requires multiple account numbers associated with a requisition line item as well as multiple account numbers associated with a resulting contract or purchase order. Due to the numerous funding and budget categories that a contract or purchase order may be funded by, the requisition and resulting contract or purchase order should support at least 200 account codes. requisitions should have the ability to attach files to the requisition by browsing OCTA's local network and selecting file(s), like selecting a file to attach to an email message. The attachment process should allow the attachment of multiple files. Attached files to a requisition should be able to be opened at any time throughout the requisition approval process and after the requisition has been approved.

- Reports
  - Detailed Requisition report showing information like funding per item, procurement instructions, estimated item unit price, item description, quantity, extended item estimated price, total estimated cost of the requisition, requestor, and the approval status of the requisition.
- Purchase Orders OCTA requires the EAM solution facilitate a Best Practice solution for creating, amending, revising and printing goods and service purchase orders. OCTA creates purchase orders for ordering inventory and non-inventory items as well as for simple short-term services. The purchase order shall be able to create, modify and store standard purchase order text and be able to add that text without having to retype the standard text. Users shall also be able to add custom text to the purchase order as well. Purchase Order data should be used to facilitate invoice payment.
  - Reports
    - The EAM solution shall need to generate a multi-page purchase order with header information, such as the Vendor name, address, contact information. The purchase order report shall also be able to list items in the body of the purchase order with unit price, quantity, extended price, item description, stock number, delivery date per item. The purchase order report shall be able to print the sum of all item extended prices and apply sales tax to the taxable items on the last page of the purchase order. The purchase order report shall also print OCTA's boiler plate purchase order terms and conditions.
- Contracts OCTA requires the EAM solution facilitate a Best Practice contract solution for Professional Services, Architectural and Engineering Services, Construction Services, Cooperative Agreements, Term Purchase Orders, Bench Contracts for Services, Term Pricing Contracts and other Agreements to be entered into the EAM application and

categorized differently than Purchase Orders so that Contracts can be reported separately from Purchase Orders so that Contracts can be reported separately from Purchase Orders to facilitate payment and reporting requirements.

# Reports

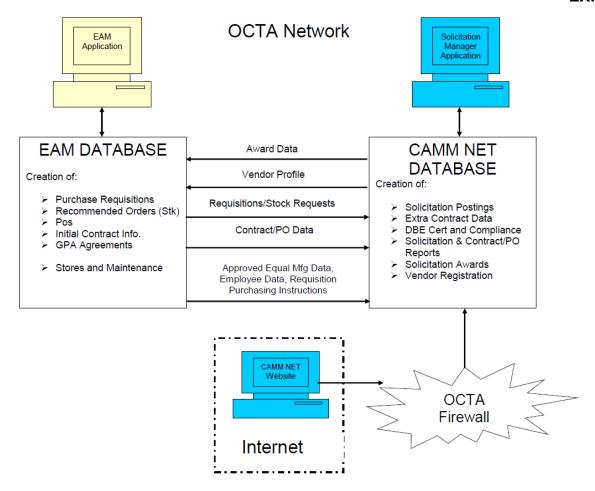
- □ The EAM solution needs to be able to generate a summary report confirming a contract has been entered into the EAM software as well as summary information like contract amount, Vendor name, contract effective date, contract expiration date, funding information and other contract related information.
- Bench Contracts for Services OCTA requires the EAM solution to support two types
  of Bench style contracts OCTA uses. OCTA uses Stock Blanket Purchase orders for
  certain inventory items for where a Vendor agrees to a fixed agreed upon price per item
  for specified a period. The other Bench type contract, which OCTA calls a Contract Task
  Order Agreement, is used for services. Elements of these types of Bench Contracts are:
  - Stock Blanket Purchase Orders Are term purchase orders for inventory items where a Vendor agrees to a fixed price per item for the agreed term. The term is usually at least a year there can be option year pricing for additional terms. Inventory items on Stock Blanket Purchase Orders should automatically generate an inventory purchase order based on inventory replenishment levels.
  - Contract Task Order Agreements Are Master agreements for on-call services whereby there can be multiple agreements for the same types of services with each agreement sharing one pool of funds. When OCTA has a need for a service on a Contract Task Order Agreement a Contract Task Order (CTO) is issued for the specific service. The relationship between the pool of funds, the Contract Task Order Agreements and the Contract Task Orders for the actual service can best be shown as a hierarchical family as shown in the diagram below. The pool of funds being the Parent Agreement, the Contract Task Order Agreements representing Child Agreements, and the Contract Task Order for a specific service being a Grandchild Agreement.



# Reports

- Stock Blanket Purchase Orders should print the same as other EAM goods and Inventory Purchase Orders. Contract Task Orders should print a summary report confirming a Contract Task Order has been entered into the EAM software like the Contract report outlined for Contracts.
- Interfaces with OCTA's CAMMNET e-Procurement System OCTA developed and owns its own e-Procurement system named CAMMNET. CAMMNET uses EAM data to create and post solicitations on its CAMMNET website and sends Consultant registration and award data to the EAM database via interfaces. Below are the interface data shared between the EAM and CAMMNET databases:
  - Requisition/Inventory Requests Are sent to the CAMMNET database and used to post solicitations on the CAMMNET Website
  - Consultant Registrations Are sent to the EAM system to create and update Vendor profiles to be used to create contracts and purchase order in the EAM system.
  - Awards Award data is sent from the CAMMNET database to the EAM system which updates the Requisition/Inventory Requests with awarded Vendor number, price, leadtime and other award data.
  - Contracts/Purchase Order Summary Contract and Purchase Order data is sent from the EAM system to the CAMMNET database for reporting purposes.
  - Bench Contracts Stock Blanket Purchase orders and Parent and Child CTO Agreement data is sent from the EAM system to the CAMMNET database for reporting purposes.
  - Contract and Purchase Order customer defined data Is sent from the EAM system to the CAMMNET database for reporting purposes.
  - Approved Equal Manufacturer and Part Number date for Inventory items Sent from the EAM system to CAMMNET for solicitation postings.
  - Employee Data Sent from the EAM system to the CAMMNET database for CAMMNET contract administration purposes.
  - Purchase Requisition Purchasing Instructions Sent the EAM system to the CAMMNET database for CAMMNET requisition status purposes.

Below is a diagram showing the interface relationships between OCTA's CAMMNET system and the EAM system.



#### 7. PROJECT IMPLEMENTATION TASKS AND DELIVERABLES

The following Tasks correspond to contractual payment schedule.

# Task 1 - Project Planning and Management

Consultant shall designate a Project Manager who shall serve as the single point of contact for the Consultant.

The following administrative project documentation, deliverables and actions shall be produced, maintained, and made available by Consultant each week for OCTA to ensure accuracy and completeness. Prior to the deadline of each document and deliverable, adequate time shall be allotted within the schedule for: 1) OCTA's review of ALL project documentation, 2) revisions to be made by Consultant, and 3) final approval by OCTA. Upon approval, work shall be authorized.

1.1 **Project Schedule**. Consultant shall use Microsoft Project 2013. The schedule shall identify all tasks in sufficient detail (durations for each detailed task shall not be greater than five (5) business days, unless approved by the OCTA Project Manager). Tasks shall be grouped by project phase, and shall include all the relevant deliverables, and project milestones. The tasks shall identify Resources (and Owners if applicable), start and end dates, duration of tasks, and predecessor

relationships (whenever applicable). The schedule shall indicate the tasks for which OCTA is responsible. OCTA shall review and adjust the time allocated for the OCTA tasks, as well as insert any additional OCTA tasks. The project schedule shall be updated weekly by the Consultant's Project Manager to accurately identify percentage physical work complete, or percentage effort complete (whichever is applicable). Payments shall be reconciled against the project schedule. All invoices shall be accompanied by a current project schedule to show the monies due tie to the project schedule's percentage Complete or Milestone (whichever is applicable).

All deliverables stated in the SOW shall be completed on-time per the project schedule and approved by the OCTA Project Manager.

It is anticipated that once the Design Phase is complete, the Project Schedule may need to be revised to align with revisions to the post-Design phase efforts (Change Orders would be required, as applicable.). Upon approval of the revised project schedule, it shall be baselined to permit identification of future modifications to the schedule.

- 1.2 Roles and Responsibilities (R&R) Matrix. This matrix is to be structured in the form of a Responsible, Accountable, Consulted, Informed (RACI), including Resource Name, Title, Role, Billable Hourly Rate, and Percentage Allocation to the project. Each project document and deliverable are to be identified in the RACI by phase. This matrix shall also clearly define the Consultant's lines of communications during the project. The OCTA R&R Matrix template can be used if the Consultant does not have a standardized RACI.
- 1.3 **Change Orders.** If there are any modifications to Scope, Resources, Budget, or Schedule, the Consultant shall submit those requests and obtain approval from OCTA in advance of the work being initiated. The Change Orders shall reflect all additions, deletions, or modifications. Consultant shall provide a detailed report for each required change including the issue number (#), title, date identified, description, alternatives, recommended alternative and impacts to schedule, budget, and resource for the recommended alternative.
- 1.4 Issues, Risks, Action Items, Bugs, Future Enhancements Log (aka Item Log). OCTA's Mantis Hub application shall be used to manage the Item Log, unless approved by the OCTA Project Manager. The log shall include: item Type, Title, Date Opened, Date Updated, ETA, Opened By, Priority, Description, Assigned To, Status, Comments (updated weekly / date-stamped), and Date Closed. Risks shall be quantified (Occurrence: probability / impact; Control: effective / efficient) in a Risk Assessment.
- 1.5 **Project Status Reports.** Submitted to OCTA twice each month (and more frequently if the project is off-schedule, off-scope, or off-budget) it shall be received by noon (Pacific Time) on the Friday it is due. The format for progress reporting can be in the Consultant's format. The OCTA Project Status Report template can be used if the Consultant does not have a standardized Status Report. However, the following elements shall be included within the report:
  - Overall Project Status (Green, Yellow, Red). Green = project is on-track with schedule, budget, scope and/or resources, no major issues; no minor issues that shall not be resolved in short-term; nothing to escalate. Yellow = project is at

risk of slippage with one or more area of schedule, budget, scope, and/or resources; deviation could be 10 to 20% of plan; the project team has plan to correct the deviation. Red = project is slipping in one or more areas of schedule, budget, scope, and/or resources; management assistance is needed to re-set project.

- *Trend* (Steady, Improving, Degrading). The Trend is a forecast of the probable change in Status within the upcoming 1-2 weeks.
- Tasks Completed during the reporting period
- Tasks In-Progress
- Next Steps / Work Planned for the next reporting period including, but not limited to, those identified per the baseline project plan
- Resources utilized since the previous Status Report, or those Resources who shall be needed during the next reporting period
- *Project Issues*, including description, viable solution(s), owner, deadline, impact if not addressed by the deadline.
- Identification of Short-Term Risks, 30 days or less that affects the project's progress, deliverables, or milestones. The risks shall be noted, potential solution(s) identified, action required for resolution, and estimated duration of solution.
- Identification of *Long-Term Risks*, 60 days or more that affects the project's progress, deliverables, or milestones. The risk shall be noted, potential solution(s) identified, and action required for resolution, and duration required.
- 1.6 The Consultant's project team shall co-lead the kick-off meeting with OCTA's Project Manager. This shall be scheduled to occur after the signing of the contract and the acceptance of the project schedule. All the Consultant's identified team members or their alternates are required to attend the meeting, unless approved by the OCTA Project Manager. The Consultant's project manager shall present (using a Microsoft PowerPoint presentation) and discuss the project approach (describing how the project shall be successfully completed, and the implementation approach), the project's goals and objectives, scope, out-of-scope items, work plan, timeline, and team member roles and responsibilities during the meeting, and allow time for questions.
- 1.7 The Consultant's project manager shall co-lead the ongoing project and executive status meetings with OCTA's Project Manager. The meetings shall be held at OCTA's facility in Orange, CA, but the Consultant's team may attend the meeting by tele-conference and WebEx. The purpose of the meetings shall be to review and discuss the Project Status Report, Project Schedule, Item Log, resolution of issues, assess risk, determine corrective action as required, and to discuss future efforts. At a minimum, Project Status Meetings with OCTA project team shall occur once every month to discuss project progress. Executive Status Meetings with Key Stakeholders and Management shall occur at least every two (2) months, as deemed necessary by the OCTA Project Manager. Attendance shall be taken at each meeting.
- 1.8 Project Working Meetings Agendas. The content shall include a list of topics, start and end time for each topic, presenter, follow-up items from previous meetings.

- 1.9 **Meeting Minutes.** The content shall include a summary of the discussion, decisions, and action items. Minutes shall be distributed after the meeting to the meeting attendees (within one business day).
- 1.10 Ancillary Project Deliverables. Detailed examples of any/all project-specific deliverables that shall be produced by the Consultant during the project engagement shall be provided to OCTA in advance of the start of project to permit OCTA adequate time to assess the reasonableness of the content, as well as approve the format and proposed content.
- 1.11 Response to voicemail, email, and texts shall be within a reasonable amount of time, but under no circumstances shall exceed two (2) business days. If a deadline or 'respond by' date/time is indicated in a communication by OCTA, it shall be expected to be met unless it is considered unreasonable by the Consultant. If so, the Consultant shall immediately notify OCTA, and provide a reasonable deadline that would need to be approved by OCTA.
- 1.12 Documentation Repository. OCTA will establish a Microsoft Teams or Microsoft SharePoint site for the project, to which the Consultant shall have access. All 'master' versions of documentation shall be posted to this site by the Consultant. The documents shall be 'checked-out' and 'checked-in' to provide control, versioning, and collaboration during the process of drafting the documentation. The project documentation shall always be maintained within the repository.
- 1.13 All **Deliverables / Documentation** shall be submitted to OCTA in digital formats that are compatible with the OCTA Microsoft Office suite, or as approved by the OCTA Project Manager. Consultant shall clearly identify any documentation or project deliverables that contain proprietary information and therefore needs a suitable form of protection.

### **Objectives**

- Effective and efficient administration of the project.
- Complete and accurate information.
- Transparency.
- Readily accessible information for the appropriate resources.

#### **Deliverables**

- 1.1 Project Schedule
- 1.2 Roles and Responsibilities Matrix
- 1.3 Change Orders
- 1.4 Item Log (web-based system)
- 1.5 Project Status Reports
- 1.6 Kick-Off Meeting
- 1.7 Various Meetings
- 1.8 Meeting Agendas
- 1.9 Meeting Minutes
- 1.10 Ancillary Project Deliverables
- 1.11 (no applicable deliverable)
- 1.12 Documentation Repository

#### 1.13 Documentation

# Task 2 – Requirements Gathering

The Consultant shall gather and document OCTA requirements, including use-cases, from OCTA personnel to ensure the system is configured in a way that meets the needs of OCTA processes and policies.

Business analysis Joint Application Development (JAD) sessions should be conducted to gather the requirements documentation. This shall expand upon the functional and the nonfunctional requirements that were documented for the SOW. The JAD session shall ensure consensus from cross-functional teams (business, technical and testing teams) by documenting complete, non-redundant, prioritized and valid features, functions and requirements. The requirements should describe the problem, business case, process and procedures (input, process, output), data model, and any other pertinent information. The ultimate deliverable shall provide the business solution that shall be used for the build/ configuration, and by the test team. The final requirements deliverable shall be approved by the OCTA business and technical teams. The final requirements may require an approved change request if the scope, schedule or cost are impacted.

To aid with the requirements gathering, the Consultant shall provide system demonstrations, and system documentation. System documentation is a guide for each module for the end-users as to how to work with each module and key aspect of the EAM system.

# **Objectives**

- Consensus among cross-functional teams
- Complete, non-redundant, prioritized, valid list of features, functions and requirements
- Define all business rules
- Define the business processes and procedures, including workflow routing, alerts, notifications
- Define all data interfaces from/to the software solution
- Define the user screen views
- Define the reports required
- Documentation that can be used during Build/Construction and Testing

#### **Deliverables**

- 2.1 System demonstration
- 2.2 Detailed and approved Requirements Documentation in the form of a Requirements Matrix, which shall be used as a Requirements Traceability Matrix
- 2.3 System Documentation

# Task 3 - Design

Design reviews shall be conducted during the design phase to evaluate progress, as well as to evaluate the technical adequacy of the design and conformance with performance, usability, and OCTA technical standards. Prior to each review, the Consultant shall submit a design review package that includes the design and other information required for the review, including: architecture topology diagram, data flow diagram, hardware, and software versions, network and security diagrams.

Unless the Consultant proposes an alternate approach, which is acceptable to OCTA, design review shall be divided into three distinct stages:

- 1. Conceptual Design Review
- 2. Preliminary Design Review
- 3. Final Design Review

# 3.1 Conceptual Design Review

The primary objectives of the Conceptual Design Review shall be to acquaint OCTA with the Consultant's intended design and procurement activities, resolve external interfaces, and provide the basis for proceeding to preliminary design review. At a minimum, the conceptual design review shall accomplish the following:

- 3.1.1 Confirm the Consultant 's management team and the scope of supply of subsuppliers.
- 3.1.2 Provide narrative descriptions of the major subsystems proposed by the Consultant.
- 3.1.3 Identify information needs and decisions required from the agency.
- 3.1.4 Confirm that the Consultant is familiar with the intended operations and maintenance environment.
- 3.1.5 Provide block diagrams showing functionality and interfaces between system components and elements, such as OCTA's' systems, that are not to be provided by the Consultant but affect the system provided by the Consultant.
- 3.1.6 Review the software conceptual design, including block diagrams and features.

The Consultant and its subconsultants/vendors shall work closely with OCTA to accurately complete the application implementation and configuration, as well as all related services. The Consultant shall also answer questions posed during the application implementation process. All decisions shall be documented.

# **Objectives:**

- Perform necessary application configurations.
- Answer and document application set up questions during the application implementation process.

#### **Deliverables:**

- 3.1 Design Documentation that includes all implementation and configuration changes.
- 3.2 Back-up and Recovery Plan. Consultant shall provide its backup and recovery plan, which shall detail how to recover from software and database failures. The backup plan shall encompass all aspects of the solution and shall detail the recovery process from a small-scale failure to a total system failure.
- 3.3 One of the key deliverables during this EAM project shall be a comprehensive Systems Integration Design (SID) document where in the interface design approach shall be articulated. If the Consultant proposes third party software as part of their EAM Solution, then the SID shall include both existing OCTA systems, as well as the interfaces used to integrate the out-of-the-box EAM software with the third-party software.

# 3.2 Preliminary Design Review

The Preliminary Design Review is designed to review the adequacy of the selected design approach for equipment needed for collection of cash and evaluate requirement conformance. The Preliminary Design Review shall represent approximately 65 percent completion of the total engineering effort for the system. At a minimum, the Preliminary Design Review shall include:

- 3.2.1 Detailed technical descriptions of the system's major components, allowing a thorough understanding of the implementation of the proposed System Components.
- 3.2.2 Drawing of passenger interface arrangements.
- 3.2.3 Preliminary installation layouts for onboard readers including mounting arrangements and installation methods.
- 3.2.4 Software system level flow charts, if applicable. Software data backup and recovery procedures.

### **Objectives:**

- Perform necessary application implementation and configuration.
- Answer and document application set up questions during the application implementation process.

#### **Deliverables:**

3.2.1 Updated Design Documentation

# 3.3 Final Design Review

The Final Design Review shall be conducted when detailed design is complete. The Final Design Review shall determine whether the detailed design shall conform to the design requirements. Data submitted for the Final Design Review shall be updated to a level of detail consistent with the completed design and submitted for the Final Design Review. At a minimum, the Final Design Review shall include:

- 3.3.1 Latest revisions of the drawings and documentation submitted for the Preliminary Design Review.
- 3.3.2 Data documentation at the second level, including all software development. documentation available or used in the Consultant's design process, consisting of structured data flow diagrams, event tables and/or dialogue diagrams (as available) to the lowest level of decomposition with software module descriptions (or elemental process descriptions) in structured narrative format. The second level of software documentation is one level above source code.
- 3.3.3 Review of Consultant's final interoperability and integration with onboard systems, including verification and test plans.

# 3.4 Release Management Plan

The Release Management Plan (RMP) is a deliverable detailing how the Consultant intends to manage the multiple environments (Development, Testing, Training, User Acceptance Testing, Production, & others) during both the project implementation, as well as once the system is being used by OCTA as a Production system. The RMP covers the initial "Out-of-the-box" release, the product upgrades, the interim functional/module releases, the final production turnover, and bug fix releases, and subsequent Consultant updates / upgrades.

# **Objectives:**

- Perform necessary application implementation and configuration.
- Answer and document application set up questions during the application implementation process.
- Provide a clear understanding of the process to manage environment updates / changes.

### **Deliverables:**

- 3.4.1 Finalized Design Documentation
- 3.4.2 Release Management Plan

# Task 4 - Construct / Build

The Consultant shall build / customize / configure the application to ensure compatibility with the system requirements.

If this setup differs from the Consultant's setup, then changes shall be documented, reviewed with OCTA.

The Construct / Build phase includes all elements of the system.

System Technical Documentation is for all system components. It is a compilation of all relevant product technical information, including infrastructure, hardware, network, security, database, database backups, data migration and conversion, application software and third-party software (including applicable warranties and licenses), customizations and configurations, interfaces, reports, etc. It is used when transferring product knowledge to OCTA's IS staff who shall support the EAM modules post-implementation.

Execute the build and configuration of the solution in test environment.

# **Objectives**

- Perform application build according to the requirements.
- Fully configured, installed and operational solution in a test environment
- Create all identified data interfaces, reports.
- Solid technical understanding of the system.

#### **Deliverables**

- 4.1 Documented system configurations, including deviations to the system requirements
- 4.2 Test environment solution installed, configured and developed addressing all listed
- 4.3 System Technical Documentation

# Task 5 - Test

The Consultant shall be required to thoroughly test the application to ensure stability, performance, and system functionality using specific testing data prior to making the system available for OCTA testing efforts. The Consultant shall develop the Test Plan, Test Cases, and Test Scripts (if automated testing is being conducted). The Test Cases shall be clear, concise, and pertinent to the OCTA system. OCTA shall use these Test Cases when conducting OCTA's User Acceptance Testing (UAT).

#### **Test Plan**

The Consultant shall develop a Testing Plan for the entire project. The Testing Plan should address each type of testing.

1. The Testing Plan should include <u>who</u> is conducting the testing, <u>what</u> type of testing shall be conducted, <u>when</u> the testing shall be conducted, <u>where</u> the testing should be performed, the purpose of the test (<u>why</u>), and <u>how</u> to conduct the testing.

- 2. The testing should include unit-, system-, integration-, load-, stress-, functional-, non-functional-, device-, and network-testing.
- 3. Testing may include backup and restore, and disaster recovery procedures.
- 4. The Consultant's technical members shall assist OCTA project staff as needed, to complete all UAT.

#### **Test Cases**

The Test Cases is a set of conditions or variables under which a Tester shall determine whether a system under test satisfies requirements or works correctly. The process of developing test cases can also help find problems in the requirements or design of an application. The Test Cases should include a description, any assumptions or preconditions, the steps, and the expected result.

# **Testing Results**

The testing shall be based on the Test Cases. The Consultant is responsible for executing the Test Cases and applicable automated Test Scripts and drafting the **Test Results** in the form of human-readable documentation with any supporting system-generated testing reports.

#### **UAT**

OCTA shall conduct UAT of all system functionality. The Consultant shall be responsible for supporting the UAT efforts, including:

- Clarifying system functionality.
- Troubleshooting and correcting error and invalid results.
- Updating system documentation (as applicable).

# **Objectives:**

- Testing efforts are thorough, effective and efficient.
- All pertinent resources are clear on the testing process and efforts that shall be completed.
- Acceptance Test success criteria is defined.
- Bugs are documented, prioritized and resolved.
- Any necessary corrections or configuration changes are completed.
- All planned testing is completed successfully.

#### **Deliverables:**

- 5.1 Test Plan
- 5.2 Test Cases (and Test Scripts if automated testing is being conducted)
- 5.3 Testing Results
- 5.4 Defect logging in Item Log
- 5.5 Stakeholder sign-off on the completed testing

# Task 6 - Pilot

The purpose of the pilot is to utilize the new system in a limited deployment to prove the concept of the system, and how it shall benefit OCTA's environment.

- 1. The Pilot Plan should include who is participating in the pilot, what this pilot includes, or is omitted (scope of the pilot), when the pilot shall be conducted, where the pilot should be performed, the purpose of the pilot (why), and how to conduct the pilot.
- 2. The pilot testing program shall be developed by the Consultant for approval by OCTA. The Consultant shall jointly review results with OCTA and determine whether the testing indicates the integration is successful, in which case it shall be installed on the balance of buses.
- 3. If the pilot is unsuccessful, the Consultant shall submit a remediation plan and remediation schedule to OCTA for approval and in accordance with the remediation plan, install the necessary fixes and retest according to the test plan.

# **Objectives:**

- The system viability is validated.
- The system is used in the same manner it shall be used once it is fully deployed.

#### **Deliverables:**

- 6.1 Pilot Plan
- 6.2 Pilot Acceptance

# Task 7 - Train

- 7.1 Consultant shall develop a Training Plan for the entire project. The Training Plan should include the following information: who is conducting and attending the training, what the training shall include, when and where the training shall be conducted, the purpose of the test (why), and how the training shall be conducted.
- 7.2 Consultant shall provide an EAM orientation/ overview course for all team members plus additional technical or functional module level courses for selected participants based on their role. For example, bus participants may need to take the following four (4) courses: Orientation, Maintenance Work Order Management, Material Management and Work Management (e.g., Time Keeping). Consultant shall design an appropriate training program for the proposed EAM Technical Solution. If third party software is proposed, then Consultant shall also include training courseware offered by the third-party software vendors.
- 7.3 Describe the mediums that shall be used (videos, manuals, classes, etc.).
- 7.4 Training documentation shall be provided that is comprehensive of the system features and functionality for the specific use by OCTA users in the OCTA environment. Detailed manuals, outlines, lesson plans, shall be submitted for approval. Instruction shall be designed to be comprehensive of the equipment, and the system features and functionality. The documentation shall be provided in both digital and print format. These manuals should describe and explain all features and

- functions of the application, how to use the application, and some common troubleshooting techniques.
- 7.5 The Consultant shall provide training for IT (technical training), and system administration, end-user training to both OCTA and OCTA contracted employees.
- 7.6 The base-level training shall use the train-the-trainer method, where the Consultant trains OCTA supervisors or other selected personnel. Those people shall then train all other users of the application.
- 7.7 Training shall be conducted at OCTA's administrative offices in Orange, CA, which shall need to be provided based on system functionality / user roles, as well as at OCTA base locations in Santa Ana, Garden Grove, and Irvine, which shall be presented in multiple shifts at each base due to the work-shift availability. For locations please see the Location Demographics sheet in EAM Requirements List (Attachment C).

# **Objectives:**

- Ensure that OCTA project team and the system administrators understand how to manage, maintain, use, and support all technology components involved in Consultant's solution.
- Provide training to OCTA project team on how to use system features and functionality.

#### **Deliverables:**

- 7.1 Training Plan that denotes the people providing the training, and the resources attending the training, the objectives and expectations of the training, the content that shall be provided, schedule and location, and the purpose of the training.
- 7.2 Training Documentation, including manuals, outlines, lesson plans, etc., either paper or digital, for each training session.
- 7.3 System Administration training for OCTA technical staff.
- 7.4 Train-the-Trainer training for OCTA trainers.
- 7.5 End-User Training for OCTA's system users.

# Task 8 - Deploy

The Consultant shall be responsible for the implementation / deployment of the application into a production environment for OCTA to use it as a production system. The Go-Live date is the date OCTA shall commence using the application as a production system.

# 8.1 <u>Go-Live Assessment</u>

The Consultant's Project Manager shall prepare a readiness assessment report for submission to OCTA. This report shall identify any incomplete efforts, tasks, and bug fixes and prioritize their importance from a technical-perspective to the cutover date, as well as the plan for addressing the incomplete tasks in the post go-live phase. Contingency plans for Go-Live shall be documented.

# **Objectives:**

- Complete Readiness Assessment Report
- Identify outstanding tasks and identify estimated completion dates
- Prepare the implementation efforts

#### **Deliverables:**

- 8.1.1 Readiness Assessment Report
- 8.1.2 Draft the Implementation (Deployment) Plan

# 8.2 Go-Live Plan

A meeting shall be held prior to production deployment to review the Implementation (Deployment) Plan. The Implementation Plan should include <u>who</u> is participating in the deployment, <u>what</u> the deployment shall encompass, <u>when</u> the deployment efforts/tasks shall be conducted, <u>where</u> the deployment shall be performed.

The Consultant and OCTA Project Manager shall work with the project teams to draft an appropriate schedule that includes the following: tasks, durations, resources, start- and end-times, status reporting, and production Validation Tests (to ensure the deployment was completed successfully). This should be included within the Implementation Plan.

A deployment checklist shall be documented to ensure all changes are moved to production accurately and completely.

A support plan shall be documented that shall include support before, during, and post-production deployment.

OCTA requires that all changes to the production environment shall be approved by a change control board.

### **Objectives:**

- Approved Change Control
- Plan for support-related activities
- Create schedule
- Determine Production Validation tests

#### **Deliverables:**

- 8.2.1 Approved Implementation (Deployment) Plan
- 8.2.2 Go-Live Schedule
- 8.2.3 Deployment Checklist
- 8.2.4 Production Validation Tests
- 8.2.5 Go-Live Support Plan
- 8.2.6 Approved Change Control

# 8.3 Go-Live / Deployment

Execute the build and configuration of the solution into the production environment.

# **Objectives**

- Fully configured, installed and operational solution in a production environment
- Create all identified data interfaces

#### **Deliverables**

8.3.1 Production environment solution installed and configured addressing all listed requirements (including all identified interfaces)

# 8.4 Final Acceptance

The Consultant shall assist OCTA in evaluating results of production acceptance testing. Based on the outcome of this testing, decisions related to setup and processes shall be re-evaluated in order to achieve desired results.

# **Objectives:**

- Evaluate documented validation test scripts
- Summarize test script processes that did not yield desired results
- Review and prioritize pending defects
- Evaluate system setup and process decisions to achieve desired results
- Completion and sign-off on testing
- Identification of required action items for project completion

#### **Deliverables:**

- 8.4.1 Approved Validation Test scripts
- 8.4.2 Updated System Documentation (based on deployment revisions)
- 8.4.3 Updated Items Log that with any remaining defects that shall be addressed
- 8.4.4 Deployment Acceptance

# Task 9 - Post-Deployment Support

The Consultant shall provide support for the system after Go-Live. The Consultant shall warranty their work to conform to requirements set forth in this SOW, for a minimum of ninety (90) calendar days after final software is deployed to production at Go-Live. The Consultant shall correct and repair, at no cost to the OCTA, any defect, malfunction, or non-conformity that prevents the application from performing in accordance with requirements set forth in this SOW.

• The warranty period shall begin on the Go-Live date if all bugs and defects previously reported during testing have been resolved to the OCTA's satisfaction. Go-Live constitutes the date when the solution is formally accepted in writing and ready for deployment in the OCTA's production environment. All bugs, defects, and issues

previously reported during testing shall be fixed to the OCTA's satisfaction before the solution can be formally accepted for Go-Live and before warranty can begin. A test in production is not considered Go-Live.

 If minor issues remain and it is mutually agreed by OCTA and the Consultant to proceed with the Go-Live in production to allow the Consultant additional time past Go-Live to resolve these minor issues that shall not initiate the start of warranty. In this case a separate written acceptance shall be provided to commence the warranty period after all remaining issues have been fixed by the Consultant and accepted by OCTA.

The Consultant shall provide help desk services to troubleshoot and resolve system issues or questions. The Consultant shall provide a support phone number and website where issues can be raised, documented, managed and monitored.

Lessons learned from the Consultant's perspective shall be submitted in a timely manner 30-60 days after Go-Live.

# **Objective**

- On-going support on the business application
- Continuous improvements to the business application

#### **Deliverables**

- 9.1 Help Desk contact information, web-based tracking tool, Help Desk services and software fixes, where appropriate
- 9.2 Regular installation of software patches or releases to the application
- 9.3 Lessons Learned document

If the Consultant wishes to propose modifications to the project implementation tasks and deliverables noted above, it shall do so on the Project Task Deliverables Table (Attachment B). The Consultant shall clearly indicate which efforts or deliverables would not be delivered or how the proposed modification would change the tasks and deliverables. For example, if a pilot phase is not recommended, then the Consultant shall clearly indicate as such and explain why it would not be needed or if an alternative is proposed.

# **Priority Level Descriptions**

Performance expectations and SLA statistics are shown on the Software Performance SLA sheet in the EAM Requirements List (Attachment C).

**P1**: Production instance totally unavailable to all users at a Site. OCTA is unable to perform a critical business function at all or any sites, and no reasonable workaround. Security breach within OCTA's environment.

SLA: For critical issues OCTA expects confirmation from the Consultant regarding the issue within two (2) hours and a solution within twenty-four (24) hours of the request.

### Examples:

- 1. Production instance not available for use.
- 2. Function does not work.
- **P2**: Production instance unavailable to single user. Critical function unavailable to all Users at a Site, and no reasonable workaround exists. Production performance significantly degraded causing disruption of the business operations of OCTA. Non-production instance totally unavailable.

SLA: OCTA expects confirmation from the Consultant regarding the issue within eight (8) business hours and a solution within three (3) business days of the request.

#### Examples:

- 1. Very slow production system performance;
- 2. Unable to print any reports:
- 3. Individual User unable to connect;
- 4. Creation or reset of User accounts;
- 5. Migrate major bug or enhancement code to Production Environment.
- **P3**: Single function unavailable to all users at a site, but a reasonable workaround exists. Maintenance task in production environment that has minimal impact on OCTA.

SLA: OCTA expects confirmation from the Consultant regarding the issue within three (3) business days and a solution within five (5) business days of the request.

### Examples:

- 1. Unable to print a non-critical report;
- 2. Configure a new printer;
- 3. Create developer account;
- 4. Migrate minor bug or enhancement code to production environment.
- **P4**: Minor fault that has minimal impact on the business operations of the Customer for which an acceptable work-around exists. Maintenance task in non-production environment.

SLA: OCTA expects confirmation from the Consultant regarding the issue within five (5) business days and a solution within two (2) calendar weeks of the request.

# Examples:

- 1. Migrate code to Non-Production Environment.
- 2. Refresh Non-production database.

#### 8. APPENDIX 1: EXISTING SYSTEM REPORTS

For the purposes of defining the reporting requirements, examples of the existing OCTA Maintenance Key Indicators (MKI) report, the eight (8) Ellipse-generated reports, and 71 Business Objects Reports are listed and shown below. The new system should provide reports equivalent to all these reports.

# **OCTA Maintenance Key Indicator (MKI) Report:**

The MKI report includes highlighting to reflect the information OCTA would expect to be delivered from the EAM solution.

# Orange County Transportation Authority



# Maintenance Department

Standards & Performance Key Indicator Report

MKI April 2019





Measurements	Goal	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	FYTD
Efficiency														
MPG - 40-ft. CNG		3.16	3.14	3.14	3.24	3.32	3.41	3.45	3.44	3.37	3.27			3.29
MPG - 60-ft. CNG		2.37	2.37	2.39	2.47	2.52	2.60	2.62	2.59	2.53	2.43			2.49
PM Inspections OTP	= 100.0%	98.4%	99.0%	99.5%	99.5%	99.5%	97.9%	98.6%	99.4%	99.5%	100.0%			99.1%
PM Inspections On-time		189	200	182	204	195	184	205	176	212	198			1,945
Total PM Inspections		192	202	183	205	196	188	208	177	213	198			1,962
CPM - Total Costs		\$1.76	\$2.33	\$2.16	\$2.51	\$2.35	\$2.97	\$2.60	\$2.31	\$2.54	\$2.36			\$2.39
CPM - Direct Costs	< \$0.78	\$0.65	\$0.64	\$0.66	\$0.71	\$0.75	\$0.71	\$0.77	\$0.74	\$0.77	\$0.70			\$0.71
Attendance	> 97.0%	98.7%	98.6%	98.3%	98.4%	99.1%	99.2%	99.4%	98.4%	99.0%	99.3%			98.8%
OT - Scheduled	< 1.5%	1.8%	0.0%	1.9%	0.0%	7.0%	2.2%	1.4%	4.0%	0.0%	0.0%			1.7%
OT - Unscheduled	< 3.0%	1.6%	2.9%	3.2%	3.5%	3.1%	2.9%	1.2%	1.6%	1.9%	1.6%			2.3%
% of Unavailable Staff		16.3%	19.1%	13.4%	11.3%	15.3%	21.4%	13.2%	14.9%	15.0%	16.5%			15.6%
Effectiveness														
% of Buses on Hold	< 15.0%	18.4%	11.5%	13.4%	12.6%	13.2%	13.7%	13.8%	13.5%	13.7%	13.5%			13.7%
Buses on Hold		1,157	768	772	833	843	838	922	800	858	888			8,679
Buses at the Base		6,292	6,665	5,768	6,625	6,379	6,107	6,693	5,924	6,258	6,571			63,282
Days Buses were on Hold		44	46	40	46	44	42	46	40	42	44			434
Valid Mechanical MBRC	> 14,000	14,297	16,319	15,082	17,119	16,565	19,915	16,327	13,181	17,541	16,406			16,113
Valid Mechanical Road Calls		83	75	73	70	68	57	72	82	68	71			719
Floot Miles		1,186,652	1,223,935	1,100,975	1,198,304	1,126,391	1,135,183	1,175,565	1,080,877	1,192,813	1,164,795			11,585,491
Vehicle Damage														
# of Incidents		42	57	49	62	49	56	45	35	43	59			497
Damage Costs		\$17,180	\$25,153	\$36,231	\$21,563	\$38,523	\$17,613	\$17,632	\$11,866	\$17,211	\$16,035			\$219,007
Vandalism Repair Costs		\$1,847	\$1,713	\$211	\$1,358	\$2,017	\$865	\$350	\$467	\$852	\$2,130			\$11,811
On-the-Job Injury											Ţ			
Labor Hours Lost (as a %)	< 2.00%	0.00%	0.01%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.02%			0.00%
# of Lost Time Occurrences		0	1	0	0	0	0	0	0	0	1			2

Notes

1. Abbreviations Used:

MPG: Miles per [Gasoline] Gallon [Equivalent] LNG: Liquified Natural Gas

CNG: Compressed Natural Gas OTP: On-time Performance

CPM: Cost Per Mile

MBRC: Miles Between Road Calls PM: Preventative Maintenance

OT: Overtime UP: On-time Privil Preventative National Control Contr

K:\MAINT\PeriodReports\Current\FY18-19\_MK\]\_Report\FY19\_10\_MK\]\_Report\_Apr\20190401\_MK\] Report\_Apr\v1.11\_StandardsTotal 1 of 23



Measurements	Т	Goal	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	FYTD
Efficiency	一														
MPG - 40-ft. CNG	$\neg$		3.00	2.99	2.99	3.10	3.14	3.25	3.28	3.26	3.21	3.09			3.13
MPG - 60-ft. CNG			2.37	2.37	2.39	2.47	2.52	2.60	2.62	2.59	2.53	2.43			2.49
PM Inspections OTP	=	100.0%	98.1%	100.0%	99.0%	99.1%	100.0%	100.0%	99.1%	98.9%	99.2%	100.0%			99.3%
PM Inspections On-time			102	108	96	110	108	98	110	94	117	115			1,058
Total PM Inspections			104	108	97	111	108	98	111	95	118	115			1,065
CPM - Direct Costs	<	\$0.78	\$0.73	\$0.69	\$0.71	\$0.75	\$0.83	\$0.74	\$0.86	\$0.83	\$0.80	\$0.75			\$0.77
Direct Parts + Labor Costs			\$462,592	\$453,971	\$418,305	\$488,253	\$502,940	\$452,307	\$546,317	\$486,471	\$525,810	\$476,112			\$4,813,079
Direct Parts Costs			\$172,476	\$174,549	\$147,639	\$185,627	\$193,003	\$168,284	\$209,273	\$180,998	\$197,836	\$171,773			\$1,801,479
Direct Labor Costs			\$290,116	\$279,422	\$270,646	\$302,625	\$309,937	\$284,023	\$337,045	\$305,473	\$327,974	\$304,339			\$3,011,600
Fleet Miles			636,487	662,020	593,150	648,461	604,967	611,042	632,468	587,745	653,994	636,834			6,267,167
Attendance	>	97.0%	98.4%	98.8%	97.1%	98.9%	98.9%	99.3%	99.7%	96.9%	97.5%	98.9%			98.5%
OT - Scheduled	<	1.5%	2.1%	0.0%	2.2%	0.0%	8.2%	2.3%	1.4%	3.9%	0.0%	0.0%			1.9%
OT - Unscheduled	<	3.0%	1.2%	2.8%	0.6%	1.3%	0.1%	0.8%	2.3%	1.7%	2.8%	2.6%			1.7%
% of Unavailable Staff			17.4%	24.0%	12.2%	12.4%	11.8%	15.7%	10.0%	16.5%	15.9%	17.0%			15.2%
Effectiveness															
% of Buses on Hold	<	15.0%	16.3%	12.0%	12.9%	13.3%	14.6%	14.5%	15.0%	15.1%	14.7%	14.8%			14.3%
Buses on Hold			553	435	404	478	509	482	550	489	501	526			4,927
Buses at the Base			3,388	3,629	3,128	3,589	3,475	3,335	3,657	3,228	3,402	3,564			34,395
Days Buses were on Hold			22	23	20	23	22	21	23	20	21	22			217
Valid Mechanical MBRC	>	14,000	12,990	15,396	12,895	15,440	16,805	16,515	14,055	10,495	15,951	15,163			14,341
Valid Mechanical Road Calls			49	43	46	42	36	37	45	56	41	42			437
Fleet Miles			636,487	662,020	593,150	648,461	604,967	611,042	632,468	587,745	653,994	636,834			6,267,167
Vehicle Damage	Т														
# of Incidents			22	26	19	27	30	28	23	20	21	30			246
Damage Costs			\$4,365	\$8,030	\$5,145	\$6,288	\$15,853	\$7,075	\$11,537	\$5,945	\$4,671	\$5,245			\$74,156
On-the-Job Injury															
% of Labor Hours Lost		2.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.04%			0.00%
Labor Hours Lost			0	0	0	0	0	0	0	0	0	4			4
Regular Hours			8,636	8,346	8,373	9,154	7,797	8,295	9,375	7,746	8,616	8,714			85,052
# of Lost Time Occurrences			0	0	0	0	0	0	0	0	0	1			1

1. Abbreviations Used:

MPG: Miles per [Gasoline] Gallon [Equivalent]

- New Local Section (Control of Section 1) Control of Section (Control of

K:1MAINT:PeriodReportsiCurrent\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr/20190401\_MKI\_Report\_Apr v1.12\_StandardsSNA 2 of 23



Measurements	Т	Goal	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	FYTD
Efficiency	Т														
MPG - 40-ft. CNG	Т		3.33	3.29	3.29	3.37	3.49	3.57	3.62	3.61	3.52	3.44			3.45
MPG - 60-ft. CNG			-	-	-	-	-	-	-	-	-	-			-
PM Inspections OTP	ŀ	100.0%	98.9%	97.9%	100.0%	100.0%	98.9%	95.6%	97.9%	100.0%	100.0%	100.0%			98.9%
PM Inspections On-time	1		87	92	86	94	87	86	95	82	95	83			887
Total PM Inspections			88	94	86	94	88	90	97	82	95	83			897
CPM - Direct Costs	<	\$0.78	\$0.55	\$0.59	\$0.61	\$0.67	\$0.66	\$0.67	\$0.66	\$0.64	\$0.74	\$0.64			\$0.64
Direct Parts + Labor Costs	1		\$305,171	\$329,704	\$311,405	\$367,612	\$341,929	\$348,855	\$357,002	\$313,667	\$396,098	\$338,340			\$3,409,783
Direct Parts Costs	1		\$88,937	\$97,401	\$89,228	\$109,639	\$99,201	\$108,476	\$117,214	\$94,766	\$132,292	\$111,420			\$1,048,575
Direct Labor Costs	1		\$216,234	\$232,303	\$222,177	\$257,973	\$242,728	\$240,379	\$239,788	\$218,900	\$263,806	\$226,919			\$2,361,208
Fleet Miles	1		550,165	561,915	507,825	549,843	521,423	524,141	543,098	493,133	538,819	527,962			5,318,324
Attendance	>	97.0%	98.0%	98.2%	98.7%	98.8%	100.0%	99.4%	98.6%	99.0%	99.9%	99.5%			99.0%
OT - Scheduled	<	1.5%	2.5%	0.0%	2.5%	0.0%	7.6%	3.2%	1.8%	3.3%	0.0%	0.0%			2.0%
OT - Unscheduled	<	3.0%	2.7%	2.9%	6.2%	6.9%	8.3%	7.0%	0.1%	0.2%	0.1%	0.2%			3.4%
% of Unavailable Staff	┸		17.0%	15.4%	16.4%	13.9%	19.9%	26.4%	17.5%	16.5%	20.5%	22.7%			18.5%
Effectiveness	┸														
% of Buses on Hold	<	15.0%	20.8%	11.0%	13.9%	11.7%	11.5%	12.8%	12.3%	11.5%	12.5%	12.0%			13.0%
Buses on Hold	1		604	333	368	355	334	356	372	311	357	362			3,752
Buses at the Base	ı		2,904	3,036	2,640	3,036	2,904	2,772	3,036	2,696	2,856	3,007			28,887
Days Buses were on Hold			22	23	20	23	22	21	23	20	21	22			217
Valid Mechanical MBRC	>	14,000	16,181	17,560	18,808	19,637	16,294	26,207	20,115	18,967	19,956	18,206			18,859
Valid Mechanical Road Calls	ı		34	32	27	28	32	20	27	26	27	29			282
Fleet Miles	1		550,165	561,915	507,825	549,843	521,423	524,141	543,098	493,133	538,819	527,962			5,318,324
Vehicle Damage	Т														
# of Incidents	Т		20	31	30	35	19	28	22	15	22	29			251
Damage Costs	L		\$12,815	\$17,123	\$31,086	\$15,274	\$22,670	\$10,538	\$6,095	\$5,921	\$12,540	\$10,790			\$144,852
On-the-Job Injury	L														
% of Labor Hours Lost	<	2.00%	0.00%	0.02%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			0.00%
Labor Hours Lost			0	2	0	0	0	0	0	0	0	0			2
Regular Hours	┸		7,037	7,315	6,769	7,602	6,504	6,527	7,583	6,519	7,074	6,758			69,687
# of Lost Time Occurrences	L		0	1	0	0	0	0	0	0	0	0			1

#### Notes

 Abbreviations Used:
 MPG: Miles per [Gasoline] Gallon [Equivalent] CNG: Compressed Natural Gas OTP: On-time Performance CPM: Cost Per Mile MBRC: Miles Between Road Calls

- LNG: Liquified Natural Gas

  OTP: On-time Performance

  OT: Overtime

  PMI: Preventative Maintenance

  2. PM Inspections OTP is based on the number of buses inspected within 5,700-6,300 miles of the last inspection before February 2019. Threshold changed to 3,400-6,600 miles effective on February 2019.

  3. PM Inspection OTP goal changed from 97% to 100% effective on February 2019.

- 4. CPM Direct Costs include only the Parts and Labor costs to maintain the buses.

  3. Buses on Hold Percent is calculated by taking the (daily) cumulative number of buses on hold divided by the (daily) cumulative number of buses at the bases.

K:MAINT/PeriodReports/Current/FY18-19\_MKI\_Report/FY19\_10\_MKI\_Report\_Apr/20190401\_MKI\_Report\_Apr v1.13\_StandardsGGA 3 of 23



TA April 2019 - Standards and Performance: Rebuild, Automotive and Electronics

Measurements		Goal	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	FYTD
Efficiency	Т														
CPM - Direct Costs	<	\$0.12	\$0.30	\$0.33	\$0.34	\$0.31	\$0.36	\$0.28	\$0.28	\$0.30	\$0.24	\$0.28			\$0.30
Direct Parts + Labor Costs			\$38,992	\$41,965	\$42,031	\$40,435	\$43,190	\$33,332	\$32,119	\$36,087	\$33,293	\$34,833			\$376,277
Direct Parts Costs			\$14,970	\$11,755	\$11,823	\$11,831	\$11,602	\$10,345	\$6,745	\$11,344	\$9,549	\$12,819			\$112,781
Direct Labor Costs			\$24,022	\$30,210	\$30,208	\$28,604	\$31,588	\$22,987	\$25,374	\$24,743	\$23,745	\$22,015			\$263,496
Fleet Miles			129,934	125,996	123,443	129,032	118,368	118,520	113,484	120,737	140,009	125,539			1,245,063
Attendance	>	97.0%	100.0%	98.8%	99.3%	97.4%	98.5%	98.7%	99.9%	99.7%	99.9%	99.5%			99.2%
Sick+Inc.Shift Hours			0	82	40	184	88	72	8	16	8	32			530
Regular Hours			6,385	6,608	6,008	7,160	5,921	5,613	6,704	5,919	6,781	6,665			63,763
OT - Scheduled	<	1.5%	0.8%	0.0%	0.9%	0.0%	4.7%	1.0%	0.8%	4.7%	0.0%	0.0%			1.2%
Holiday Overtime Hours			48	0	56	0	280	56	56	280	0	0			776
Regular Hours			6,385	6,608	6,008	7,160	5,921	5,613	6,704	5,919	6,781	6,665			63,763
OT - Unscheduled	<	3.0%	1.0%	2.9%	3.4%	2.5%	1.4%	1.1%	1.0%	3.2%	2.6%	1.6%			2.1%
Regular Overtime Hours			66	193	204	182	82	60	67	188	174	109			1,324
Regular Hours			6,385	6,608	6,008	7,160	5,921	5,613	6,704	5,919	6,781	6,665			63,763
% of Unavailable Staff			14.0%	17.1%	11.6%	7.2%	14.9%	24.0%	12.6%	11.1%	8.2%	9.5%			12.8%
Unavailable Staff Hours			895	1,127	696	515	885	1,348	845	659	556	631			8,156
Regular Hours			6,385	6,608	6,008	7,160	5,921	5,613	6,704	5,919	6,781	6,665			63,763
Labor Hours Lost	<	2.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			0.00%
Labor Hours Lost			0	0	0	0	0	0	0	0	0	0			0
Regular Hours			6,385	6,608	6,008	7,160	5,921	5,613	6,704	5,919	6,781	6,665			63,763
Lost Time Occurrences			0	0	0	0	0	0	0	0	0	0			0

Notes
1. Abbreviations Used:

MPG: Miles per [Gasoline] Gallon [Equivalent]

CNG: Compressed Natural Gas

CPM: Cost Per Mile OT: Overtime

MBRC: Miles Between Road Calls PM: Preventative Maintenance

LNG: Liquified Natural Gas OTP: On-time Performance

2. CPM - Direct Costs include only the Parts and Labor costs to maintain the non-revenue vehicles.

3. Buses on Hold Percent is calculated by taking the (daily) cumulative number of buses on hold divided by the (daily) cumulative number of buses at the bases.

K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI Report\_Apr v1.15\_StandardsRebuildOthers 4 of 23



		Santa	Ana			Garden G	irove		Total Directly-Operated Fixed-Route				
Bus Series	Parts	Labor	Miles	СРМ	Parts	Labor	Miles	CPM	Parts	Labor	Miles	CPM	
2200	\$0	\$0	0	\$0.00	\$0	\$1,331	0	\$0.00	\$0	\$1,331	0	\$0.00	
2300	50	\$0	0	\$0.00	SO	\$0	0	\$0.00	\$0	\$0	0	\$0.00	
5121	\$0	\$0	0	\$0.00	\$10,084	\$25,053	58,874	\$0.60	\$10,084	\$25,053	58,874	\$0.60	
5500	\$87,010	\$124,063	241,024	\$0.88	SO	\$0	26	\$0.00	\$87,010	\$124,063	241,051	\$0.88	
5600	\$0	\$0	0	\$0.00	\$0	\$0	0	\$0.00	\$0	\$0	0	\$0.00	
5700	\$0	\$0	0	\$0.00	\$85,824	\$177,667	400,076	\$0.66	\$85,824	\$177,667	400,076	\$0.66	
5800	\$24,721	\$68,155	183,053	\$0.51	\$15,513	\$22,868	68,986	\$0.56	\$40,234	\$91,023	252,039	\$0.52	
7500	\$7,268	\$19,548	51,904	\$0.52	SO	\$0	0	\$0.00	\$7,268	\$19,548	51,904	\$0.52	
7600	\$29,987	\$55,467	88,074	\$0.97	SO	\$0	0	\$0.00	\$29,987	\$55,467	88,074	\$0.97	
7621	\$22,787	\$37,105	72,778	\$0.82	SO	\$0	0	\$0.00	\$22,787	\$37,105	72,778	\$0.82	
Total Bus	\$171,773	\$304,339	636,834	\$0.75	\$111,420	\$226,919	527,962	\$0.64	\$283,193	\$531,258	1,164,795	\$0.70	
Other	\$0	\$0	0	n/a	\$0	\$0	0	n/a	\$0	\$0	0	n/a	
Direct Requisitions	\$0	\$0	n/a	n/a	\$0	\$0	n/a	n/a	\$0	\$0	n/a	n/a	
Total Other	\$0	\$0	0	n/a	\$0	\$0	n/a	n/a	\$0	\$0	0	n/a	
Grand Total	\$171,773	\$304,339	636,834	\$0.75	\$111,420	\$226,919	527,962	\$0.64	\$283,193	\$531,258	1,164,795	\$0.70	

Note:

K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI\_Report\_Apr v1.16a\_BasePartsLabor\_Month 5 of 23



# Maintenance Key Indicators Report FYTD 2019 - Parts and Labor Costs: Maintenance Bases

		Santa A	ına			Garden G	ove		Total I	Directly-Operated	fixed-Route	
Bus Series	Parts	Labor	Miles	СРМ	Parts	Labor	Miles	СРМ	Parts	Labor	Miles	СРМ
2200	\$0	\$0	0	\$0.00	\$0	\$5,624	0	\$0.00	\$0	\$5,624	0	\$0.00
2300	(\$0)	so	0	\$0.00	\$0	\$549	0	\$0.00	\$0	\$549	0	\$0.00
5121	\$0	\$0	357	\$0.00	\$121,588	\$273,289	501,320	\$0.79	\$121,588	\$273,289	501,677	\$0.79
5500	\$828,165	\$1,280,173	2,358,289	\$0.89	\$0	\$0	26	\$0.00	\$828,165	\$1,280,173	2,358,315	\$0.89
5600	\$5,351	\$0	0	\$0.00	\$0	\$0	0	\$0.00	\$5,351	\$0	0	\$0.00
5700	(\$0)	\$0	917	\$0.00	\$822,384	\$1,844,623	4,209,325	\$0.63	\$822,384	\$1,844,623	4,210,243	\$0.63
5800	\$305,607	\$659,451	1,913,228	\$0.50	\$104,603	\$237,122	607,467	\$0.56	\$410,210	\$896,573	2,520,695	\$0.52
7500	\$134,377	\$244,620	487,747	\$0.78	\$0	\$0	186	\$0.00	\$134,377	\$244,620	487,933	\$0.78
7600	\$340,800	\$536,659	823,625	\$1.07	\$0	\$0	0	\$0.00	\$340,800	\$536,659	823,625	\$1.07
7621	\$187,179	\$290,698	683,004	\$0.70	\$0	\$0	0	\$0.00	\$187,179	\$290,698	683,004	\$0.70
Total Bus	\$1,801,479	\$3,011,600	6,267,167	\$0.77	\$1,048,575	\$2,361,208	5,318,324	\$0.64	\$2,850,054	\$5,372,808	11,585,491	\$0.71
Other	\$0	\$0	0	n/a	\$0	\$0	0	n/a	\$0	\$0	0	n/a
Direct Requisitions	\$0	\$0	0	n/a	\$0	\$0	0	n/a	\$0	\$0	n/a	n/a
Total Other	\$0	\$0	0	n/a	\$0	\$0	n/a	n/a	\$0	\$0	0	n/a
Grand Total	\$1,801,479	\$3,011,600	6,267,167	\$0.77	\$1,048,575	\$2,361,208	5,318,324	\$0.64	\$2,850,054	\$5,372,808	11,585,491	\$0.71

Note:

K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI\_Report\_Apr v1.16b\_BasePartsLabor\_YTD 6 of 23



		Reb	uild			Special	Projects		Automotive				
Bus Series	Parts	Labor	Miles	СРМ	Parts	Labor	Miles	СРМ	Parts	Labor	Miles	СРМ	
2200	\$0	\$0	0	\$0.00	\$0	\$0	0	\$0.00	n/a	n/a	n/a	n/a	
2300	\$0	\$0	0	\$0.00	\$0	\$0	0	\$0.00	n/a	n/a	n/a	n/a	
5121	\$0	\$0	58,874	\$0.00	\$28	\$780	58,874	\$0.01	n/a	n/a	n/a	n/a	
5500	so	\$0	241,051	\$0.00	\$0	\$0	241,051	\$0.00	n/a	n/a	n/a	n/a	
5600	\$0	\$0	0	\$0.00	\$0	\$0	0	\$0.00	n/a	n/a	n/a	n/a	
5700	\$0	\$0	400,076	\$0.00	\$0	\$222	400,076	\$0.00	n/a	n/a	n/a	n/a	
5800	so	\$0	252,039	\$0.00	\$0	\$0	252,039	\$0.00	n/a	n/a	n/a	n/a	
7500	\$0	\$0	51,904	\$0.00	\$0	\$0	51,904	\$0.00	n/a	n/a	n/a	n/a	
7600	\$0	\$0	88,074	\$0.00	\$0	\$0	88,074	\$0.00	n/a	n/a	n/a	n/a	
7621	SO	\$0	72,778	\$0.00	\$0	\$0	72,778	\$0.00	n/a	n/a	n/a	n/a	
9000	\$0	\$0	0	\$0.00	\$0	\$0	0	\$0.00	\$12,817	\$20,550	125,413	\$0.27	
Total Bus	\$0	\$0	1,164,795	\$0.0000	\$28	\$1,003	1,164,795	\$0.0009	\$12,817	\$20,550	125,413	\$0.2661	
Other	\$0	\$61,086	0	n/a	\$0	\$0	0	n/a	\$1	\$1,465	126	\$11.60	
Direct Requisitions	\$0	\$0	n/a	n/a	\$0	\$0	n/a	n/a	\$0	\$0	n/a	n/a	
Total Other	\$0	\$61,086	0	n/a	\$0	\$0	0	n/a	\$1	\$1,465	n/a	n/a	
Grand Total	\$0	\$61,086	1,164,795	\$0.0524	\$28	\$1,003	1,164,795	\$0.0009	\$12,819	\$22,015	125,539	\$0.2775	

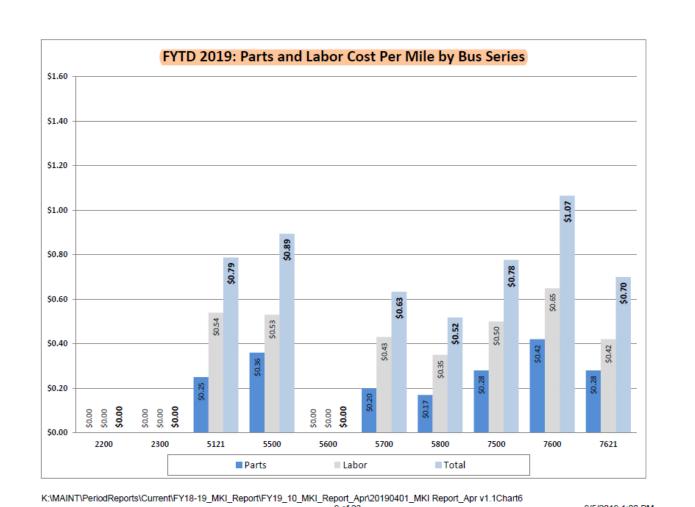
- 1. Special Projects include Transit Technical Service.
- Other under Automotive includes ROW buses.

 $K: \label{lem:kimaint} K: \label{lem:kimaint} K: \label{lem:kimaint} W: \label{lem:kimain$ 

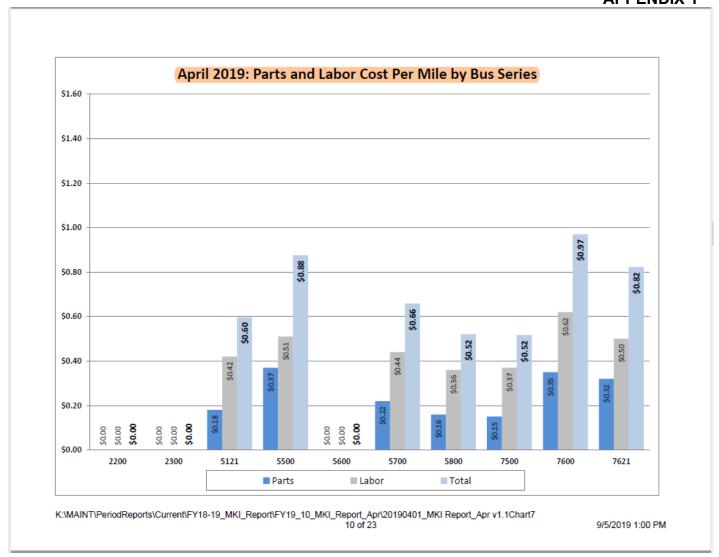
# Maintenance Key Indicators Report FYTD 2019 - Parts and Labor Costs: Rebuild, Special Projects and Automotive

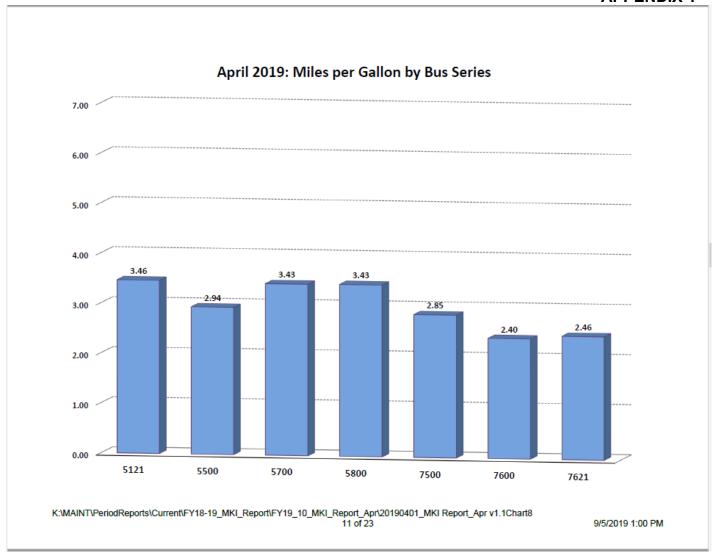
		Rel	build			Special	Projects		Automotive				
Bus Series	Parts	Labor	Miles	СРМ	Parts	Labor	Miles	СРМ	Parts	Labor	Miles	CPM	
2200	\$0	\$0	0	\$0.00	SO	\$0	0	\$0.00	\$0	so	0	\$0.00	
2300	so	\$0	0	\$0.00	so	\$0	0	\$0.00	\$0	so	0	\$0.00	
5121	\$0	\$0	501,677	\$0.00	\$24,928	\$780	501,677	\$0.05	\$0	so	0	\$0.00	
5500	\$0	\$0	2,358,315	\$0.00	so	\$0	2,358,315	\$0.00	\$0	so	0	\$0.00	
5600	\$0	\$0	0	\$0.00	so	\$0	0	\$0.00	\$0	\$0	0	\$0.00	
5700	\$0	\$0	4,210,243	\$0.00	so	\$335	4,210,243	\$0.00	\$0	so	0	\$0.00	
5800	\$0	\$0	2,520,695	\$0.00	SO	\$0	2,520,695	\$0.00	\$0	50	0	\$0.00	
7500	\$0	\$0	487,933	\$0.00	\$165,931	\$993	487,933	\$0.34	\$0	50	0	\$0.00	
7600	-\$4	\$0	823,625	\$0.00	50	\$0	823,625	\$0.00	\$0	\$0	0	\$0.00	
7621	\$0	\$0	683,004	\$0.00	\$0	\$0	683,004	\$0.00	\$0	\$0	0	\$0.00	
9000	50	\$0	0	\$0.00	\$0	\$0	0	\$0.00	\$112,191	\$251,299	1,244,020	\$0.29	
Total Bus	-\$4	\$0	11,585,491	\$0.0000	\$190,859	\$2,108	11,585,491	\$0.0167	\$112,191	\$251,299	1,244,020	\$0,2922	
Other	\$0	\$580,996	0	n/a	\$177	\$388	0	n/a	\$590	\$12,196	1,043	\$12.26	
Direct Requisitions	\$0	\$0	n/a	n/a	\$0	\$0	n/a	n/a	\$0	\$0	n/a	n/a	
Total Other	\$0	\$580,996	0	n/a	\$177	\$388	0	n/a	\$590	\$12,196	1,043	\$12.26	
Grand Total	-\$4	\$580,996	11.585.491	\$0.0501	\$191.037	\$2,497	11.585.491	\$0.0167	\$112,781	\$263,496	1.245.063	\$0,3022	

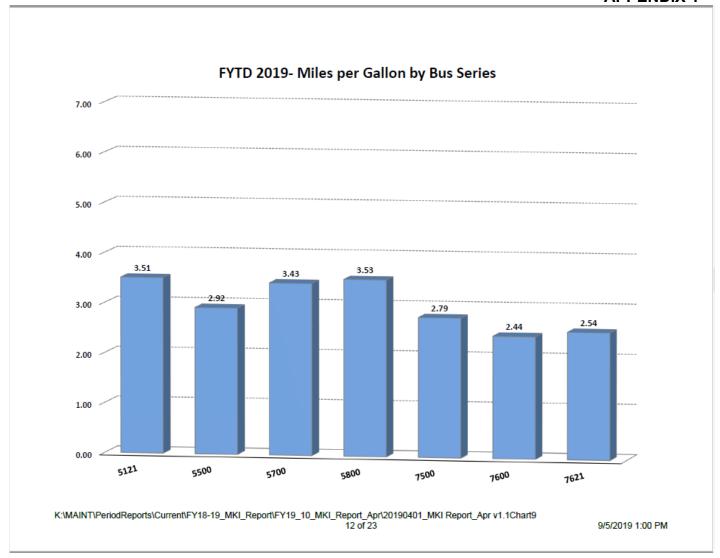
K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI\_Report\_Apr\v1.17b\_OtherPartsLabor\_YTD 8 of 23



K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI Report\_Apr v1.1Chart6 9 of 23

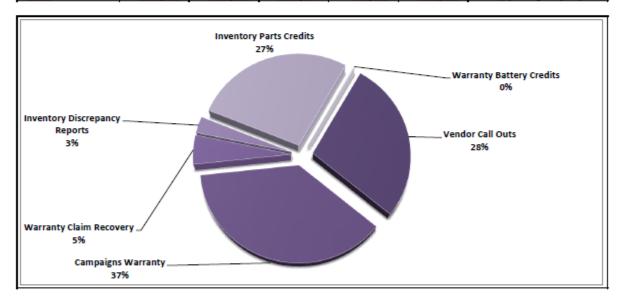








			Warranty	Inventory		Warranty	
	Vendor Call	Campaigns	Claim	Discrepancy	Inventory	Battery	
Month	Outs	Warranty	Recovery	Reports	Parts Credits	Credits	Total
July	\$90,531	\$135,133	\$0	\$1,721	\$27,681	\$0	\$255,066
August	\$71,794	\$71,488	\$15,080	\$8,942	\$126,267	\$0	\$293,571
September	\$73,942	\$95,965	\$4,459	\$5,146	\$43,231	\$1,091	\$223,835
October	\$46,507	\$101,390	\$13,812	\$4,736	\$92,970	\$851	\$260,266
November	\$23,904	\$100,288	\$4,472	\$1,677	\$95,056	\$0	\$225,397
December	\$15,898	\$116,535	\$21,146	\$2,628	\$43,568	\$0	\$199,774
January	\$26,938	\$154,678	\$4,642	\$12,066	\$30,015	\$0	\$228,339
February	\$36,764	\$85,719	\$28,393	\$7,455	\$44,826	\$1,091	\$204,249
March	\$160,254	\$0	\$15,249	\$14,985	\$89,730	\$480	\$280,698
April	\$114,110	\$33,568	\$11,875	\$7,686	\$54,940	\$0	\$222,180
May							\$0
June							\$0
Total	\$660,642	\$894,766	\$119,128	\$67,042	\$648,284	\$3,514	\$2,393,375



## Notes

- 1. Claims Credit: Failed parts that are on a bus under warranty (e.g., If bus has fan to flywheel warranty and a starter motor goes out, a warranty claim is filed to receive credit for that part).
- Inventory Discrepancy: All other defective parts. Most all major components come with a 6-12 month warranty from the date of install.
- 3. Data Source: FYTD 2019 Warranty Department Monthly Report, CAMM Inventory Team Section Manager

K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI Report\_Apr
v1.111\_WarrantyClaims
13 of 23

# Maintenance Key Indicators Report GGYA April 2019 - Road Calls by Category (excluding farebox, headsign and radio)

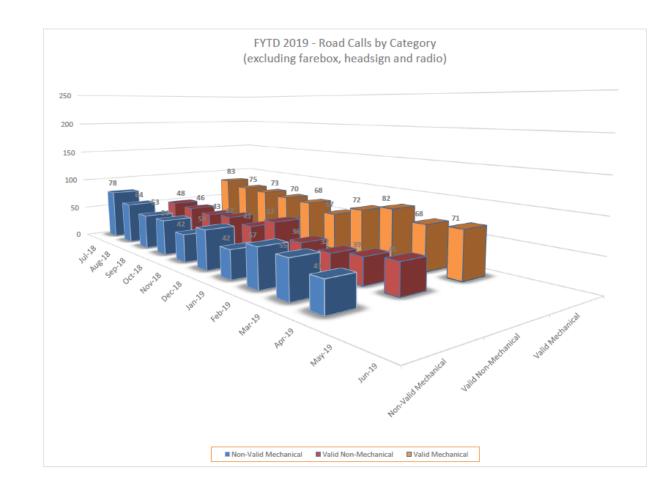
	Road Calls	Santa	a Ana	Garden	Grove	Т	otal
Code	Description	Valid	Non-Valid	Valid	Non-Valid	Valid	Non-Valid
A	Air System	1	3			1	3
В	Brake System		2	2		2	(2)
81	Interlock System				8		
D	Engine	8	4	13		21	4
Di	Hot Engine						
E	Electrical	8	13	ě		8	13
E2	Lighting System	3	2	2	1	5	3
F3	Chime System	1				1	
E4		ē				ē	
E5	Kneeling System Charging System	5	2	1		6	2
E		1	3	1	ě	2	3
_	Starting System	_	_			_	_
G	Drivers Seat	1		2	1	3	1
G1	Windows						0
G2	Passenger Seats						
G3	Body Panels		1				1
G4	Seat Belt				3		3
G5	Bike Rack		1				1
н	Air Conditioning System	2	3			2	3
H1	Heater System						
H2	Defroster System						
H3	Furnes					8	
	Fuel System			1		1	
M	Suspension						
M1	Drive Line						
M2	Differential						
N	Cooling System	4				4	ě
0	Oil System			0			
P	Rear Door System	3		1		4	
P1	Front Door System	1	1	3		4	1
R	Wiper System	ē					ē
5	Steering System						
1	Transmission	3	1	3		6	
U			_				1
	Retarder System					0	
W	Fire						
X	Hydraulic System			0	8	8	
Y	Wheelchairs	1	1		1	1	2
Z	Out of Fuel					9	43
	Total Mechanical	42	37	29	6	71	
C	Tire		n/a	6	n/a	11	n/a
	Sick Passenger	1	n/a	4	n/a	5	n/a
11	Vandalism		n/a	1	n/a	1	n/a
12	Critters		n/a		n/a		n/a
13	Customer Residue	13	n/a	10	n/a	23	n/a
IN	Field Incident		n/a		n/a		n/a
0	Accident	(1)	n/a	2	n/a	3	n/a
NC	No Coach Operators		n/a	8	n/a		n/a
Q	Operator Error		n/a	ë	n/a		n/a
TR	Traffic/Late		n/a	ë	n/a		n/a
TS	Terminal Swap	i	n/a	ě	n/a		n/a
V	Mirror	2	n/a		n/a	2	n/a
WE	Window Error	- 1	n/a	- 4	n/a	-	n/a
	Total Non-Mechanical	22	n/a	23	n/a	45	n/a
	Valid Mechanical Roadcall %	22	42%	2	50%	43	45%
	Non-Valid Mechanical Roadcall %		37%		10%	l	27%
						l	
	Non-Mechanical Roadcall %		22%		40%	l	28%
	Total Miles Traveled		636,834		527,962		1,164,795
	Miles Between Valid Mech. RC's		15,163		18,206		16,406
	Miles Between Non-Mechanical RC's		28,947		22,955		25,884

K:\MAINT:PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apri20190401\_MKI\_Report\_Apr v1.112a\_RCCategory\_Month 14 of 23



	Road Calls	Sant	a Ana	Garden	n Grove	Total		
Code	Description	Valid	Non-Valid	Valid	Non-Valid	Valid	Non-Valid	
Α	Air System	18	16	6	3	24	19	
В	Brake System	17	29	14	16	31	45	
B1	Interlock System	3	6	1	2	4	8	
D	Engine	79	48	79	11	158	59	
D1	Hot Engine	2	-	-	-	2	-	
E	Electrical	95	112	21	4	116	116	
E2	Lighting System	13	36	14	4	27	40	
E3	Chime System	5	14	16	4	21	18	
E4	Kneeling System	2	2	-	-	2	2	
E5	Charging System	41	11	5	1	46	12	
F	Starting System	12	19	7	6	19	25	
G	Drivers Seat	7	4	6	7	13	11	
G1	Windows	1	-	1	-	2	-	
G2	Passenger Seats	4	5	1		5	5	
G3	Body Panels	8	16	5	3	13	19	
G4	Sest Belt	1	-	6	9	7	9	
G5	Bike Radk	4	7	5	4	9	11	
н	Air Conditioning System	17	47	14	8	31	55	
H1	Heater System	-	-	1	2	1	2	
H2	Defroster System	3	1	-	1	3	2	
Н3	Fumes	1	1	-	1	1	2	
L	Fuel System	3	4	8	4	11	8	
M	Suspension	2	4	2	-	4	4	
M1	Drive Line	-	-	-	-	-	-	
M2	Differential	-	-	-	-	-	-	
N	Cooling System	40	7	16	-	56	7	
0	Oil System	1	-	-	-	1	-	
P	Rear Door System	14	16	16	4	30	20	
P1	Front Door System	9	7	9	3	18	10	
R	Wiper System	8	5	12	-	20	5	
S	Steering System	-	1	-	-	-	1	
т	Transmission	12	7	7	1	19	8	
U	Retarder System	-	-	1	1	1	1	
w	Fire	-	1	-	-	-	1	
x	Hydraulic System	1	-	-	-	1		
Y	Wheelchairs	13	16	9	6	22	22	
Z	Out of Fuel	1	-	-	-	1		
	Total Mechanical	437	442	282	105	719	547	
C	Tire	62	n/a	48	n/a	110	n/a	
1	Sidk Passenger	38	n/a	28	n/a	66	n/a	
11	Vandalism	6	n/a	3	n/a	9	n/a	
12	Critters	5	n/a	4	n/a	9	n/a	
13	Customer Residue	113	n/a	98	n/a	211	n/a	
IN	Field Incident	-	n/a	-	n/a	-	n/a	
1	Acadent	2	n/a	7	n/a	9	n/a	
NC	No Coach Operators		n/a	-	n/a		n/a	
Q	Operator Error	-	n/a	-	n/a	-	n/a	
TR	Traffic/Late	-	n/a	-	n/a	-	n/a	
TS	Terminal Swap		n/a		n/a		n/a	
v	Mirror	14	n/a	6	n/a	20	n/a	
WE	Window Error	-	n/a	-	n/a	-	n/a	
	Total Non-Mechanical	240	n/a	194	n/a	434	n/a	
	Valid Mechanical Roadcall %		39%		49%		42%	
	Non-Valid Mechanical Roadcall %		39%	1	18%	1	32%	
	Non-Mechanical Roadcall %		21%	1	33%	l	26%	
	Total Miles Traveled		6,267,167	1	5,318,324	l	11,585,491	
	Miles Between Valid Mech. RC's		14,341		18,859		16,113	

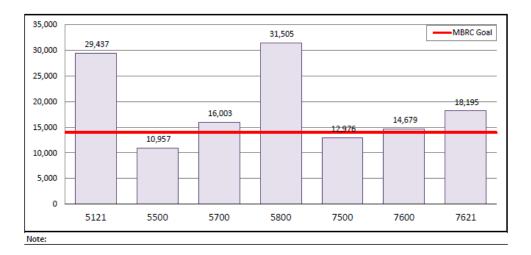
K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr/20190401\_MKI\_Report\_Apr v1.112b\_RCCategory\_YTD 15 of 23



K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI Report\_Apr v1.1Chart10 16 of 23

# Maintenance Key Indicators Report April 2019 - Road Calls by Bus Series (excluding farebox, headsign and radio)

	Mech	anical	Non-Me	chanical	Total Miles	Miles Between
Bus Series	Valid	Non-Valid	Valid	Non-Valid	Traveled	Valid Road Calls
5121	2	1	•	n/a	58,874	29,437
5500	(22)	(16)	8	n/a	241,051	10,957
5700	25	5	23	n/a	400,076	16,003
5800	8	8	5	n/a	252,039	31,505
7500	(4)	4	2	n/a	51,904	12,976
7600	(6)	(5)	3	n/a	88,074	14,679
7621	4	4	4	n/a	72,778	18,195
Total	71	43	45	-	1,164,795	16,406

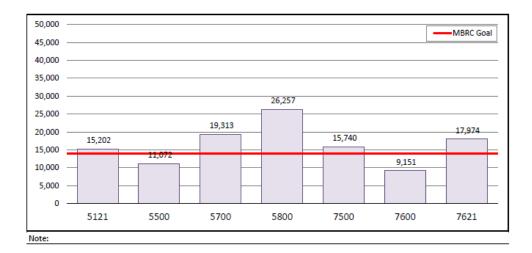


K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI Report\_Apr v1.114a\_RCSeries\_Month 17 of 23

## Maintenance Key Indicators Report

FYTD 2019 - Road Calls by Bus Series (excluding farebox, headsign and radio)

	Mech	anical	Non-Me	chanical	Total Miles	Miles Between
Bus Series	Valid	Non-Valid	Valid	Non-Valid	Traveled	Valid Road Calls
5121	33	11	8	n/a	501,677	15,202
5500	213	212	98	n/a	2,358,315	11,072
5700	218	84	167	n/a	4,210,243	19,313
5800	96	84	89	n/a	2,520,695	26,257
7500	31	48	15	n/a	487,933	15,740
7600	90	67	31	n/a	823,625	9,151
7621	38	41	26	n/a	683,004	17,974
Total	719	547	434	-	11,585,491	16,113



K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI Report\_Apr v1.114b\_RCSeries\_YTD 18 of 23



	Road Calls											
Code	Description	5121	5500	5700	5800	7500	7600	7621	Total			
A	Air System	-	1	-	-	2	-	1	4			
В	Brake System	-	1	2	1	-	-	-	4			
81	Interlock System	-	-	-	-	-	-	-				
D	Engine	2	6	10	3	2	1	1	25			
D1	Hot Engine	-	-	-	-	-	-	-				
E	Electrical	-	11	-	3	-	6	1	21			
E2	Lighting System	-	1	3	2	1	-	1	8			
E3	Chime System	-	1			-	-	-	1			
E4	Kneeling System	-	-	-	-	-	-	-				
E5	Charging System	-	6	1		1	-	-	8			
F	Starting System	-	2	1	2	_		-	5			
G	Drivers Seat	-	1	3		-		-	4			
G1	Windows	-	-	-		-		-				
G2	Passenger Seats	-	-			-		-				
G3	Body Panels	-	-			1	-	-	1			
G4	Seat Belt	1	-	2				-	3			
G5	Bike Rack				1				1			
н	Air Conditioning System					_	1	4				
H1	Heater System							- 7				
H2	Defroster System							_				
H3	Fumes											
L	Fuel System			1								
					_	_		-				
M	Suspension Drive Line	-	-	- 1	-	-		-				
M1	Differential	-	-		-	-		-				
M2		-	2			-	2	-				
N	Cooling System	-	2	-	-	-		-	4			
0	Oil System	-	- 1		-	-		-				
P	Rear Door System	-	1	1	1	1	-	-	4			
P1	Front Door System	-	1	3	1		-	-	5			
R	Wiper System	-	-	-	-	-		-				
S	Steering System	-	-	-	-	-	-	-				
T	Transmission	-	3	2	2	-		-	7			
U	Retarder System	-	-	-	-	-	-	-				
w	Fire	-	-	-	-	-		-				
X	Hydraulic System	-	-	-	-	-	-	-				
Y	Wheelchairs	-	1	1	-	-	1	-	3			
Z	Out of Fuel	-	-	-		-	-	-				
	Total ALL Mechanical	3	38	30	16	8	11	8	114			
C	Tire	-	2	6	-	-	2	1	11			
I .	Sick Passenger	-	-	4	-			1	5			
11	Vandalism	-	-	1	-	-	-	-	1			
12	Critters	-		-	-							
13	Customer Residue	-	4	10	5	1	1	2	23			
J	Accident	-	1	2	-		-		3			
٧	Mirror	-	1	-	-	1	1		3			
	Total ALL Non-Mechanical		8	23	5	2	4	4	46			

K:IMAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr/20190401\_MKI\_Report\_Apr v1.115a\_RCCatSeries\_Month 19 of 23

Maintenance Key Indicators Report

Output

PytD 2019 - All Road Calls by Category and Bus Series (excluding farebox, headsign and radio)

	Road Calls											
Code	Description	5121	5500	5700	5800	7500	7600	7621	Total			
A	Air System	1	18	8	3	2	8	3	43			
В	Brake System	-	15	28	15	-	10	8	76			
B1	Interlock System	-	7	3	-	1	1	-	12			
D	Engine	6	63	76	21	4	25	22	217			
D1	Hot Engine	-	2	-	-	-	-	-	2			
E	Electrical	10	99	14	28	23	46	12	232			
E2	Lighting System	3	23	10	16	3	2	10	67			
E3	Chime System	-	8	18	4	3	-	6	39			
E4	Kneeling System	-	2	-	1	-	1	-	4			
E5	Charging System	2	41	4	1	4	3	3	58			
F	Starting System	1	13	10	10	5	2	3	44			
G	Drivers Seat	1	3	10	7	1	2	-	24			
G1	Windows	-	-	1	-	-	1	-	2			
G2	Passenger Seats	-	3	1	2		3	1	10			
G3	Body Panels	-	8	6	6	3	9	-	32			
G4	Seat Belt	1	-	13	1	1		-	16			
G5	Bike Rack	-	3	8	7	1	1	-	20			
н	Air Conditioning System	7	33	14	8	9	9	6	86			
H1	Heater System	-	-	3	-	-	-	-	3			
H2	Defroster System	-	2	1		-	2	-	5			
нз	Fumes	-	2	1	-	-	-	-	3			
L	Fuel System	-	2	11	4	1	1	-	19			
M	Suspension	1	4	1	1	-	1	-	8			
M1	Drive Line	-	-	-		-	-	-	-			
M2	Differential	-	-	-	-	-	-	-	-			
N	Cooling System	5	20	10	1	6	21	-	63			
0	Oil System	-	-	-	-	-	1	-	1			
P	Rear Door System	-	5	19	12	9	4	1	50			
P1	Front Door System	-	6	10	10	-	-	2	28			
R	Wiper System	5	10	5	2	2	-	1	25			
S	Steering System	-	-	-	-	-	1	-	1			
т	Transmission	1	14	5	6	-	1	-	27			
U	Retarder System	-	-	2		-	-	-	2			
w	Fire	-	-		1	-		-	1			
X	Hydraulic System	-	-	-	1	-	-	-	1			
Υ	Wheelchairs	-	18	10	12	1	2	1	44			
Z	Out of Fuel	-	1	-				-	1			
	Total ALL Mechanical	44	425	302	180	79	157	79	1,266			
c	Tire	2	35	43	22	2	10	6	120			
1	Sick Passenger	1	16	23	15	2	5	4	66			
11	Vandalism	-	2	3	2			2	9			
12	Critters	-	5	2	2				9			
13	Customer Residue	6	39	87	45	9	14	12	212			
J	Accident	-	1	10	1				12			
٧	Mirror	1	11		7	2	5	4	35			
	Total ALL Non-Mechanical	10	109	173	94	15	34	28	463			

K:IMAINT/PeriodReports/Current/FY18-19\_MKI\_Report/FY19\_10\_MKI\_Report\_Apr/20190401\_MKI\_Report\_Apr v1.115b\_RCCatSeries\_YTD 20 of 23



Bus			Goal	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	FYTD
Series																
5121		>	14,000	8,473	8,789	51,030	18,145	9,194	40,764	22,794	15,917	8,949	29,437			15,202
	Valid Mechanical Road Call			6	6	-	3	5	-	2	3	6	2			33
	Miles Traveled		- 1	50,840	52,732	51,030	54,434	45,968	40,764	45,587	47,752	53,696	58,874			501,677
5500		>	14,000	8,989	8,791	10,310	15,002	11,884	11,394	15,551	8,262	14,798	10,957			11,072
	Valid Mechanical Road Call		- 1	27	28	22	16	19	20	15	27	17	22			213
	Miles Traveled			242,702	246,136	226,816	240,033	225,803	227,871	233,265	223,075	251,564	241,051			2,358,315
5600		>	14,000	-	-	-	-	-	-	-	-	-	-			-
	Valid Mechanical Road Call Miles Traveled			- :		:	-		-	-		-	-			
5700	THIRD THOUSAND	>	14,000	17,654	19,505	16,077	21,506	17,329	21,221	22,986	20,431	23,496	16,003			19,313
	Valid Mechanical Road Call		,	25	23	25	20	24	20	19	19	18	25			218
	Miles Traveled		- 1	441,349	448,607	401,926	430,118	415,897	424,419	436,730	388,187	422,935	400,076			4,210,243
5800		>	14,000	31,538	29,279	23,998	17,947	28,529	256,371	17,183	25,107	18,987	31,505			26,257
	Valid Mechanical Road Call			8	9	10	15	9	-	15	9	13	8			96
	Miles Traveled			252,300	263,510	239,976	269,201	256,757	256,371	257,749	225,963	246,830	252,039			2,520,695
6370		>	14,000	-	-	-	-	-	-	-	-	-	-			-
	Valid Mechanical Road Call		- 1	-	-	-	-	-	-	-	-	-	-			-
	Miles Traveled			-	-	-	-	-	-	-	-	-	-			-
7500		>	14,000	9,182	52,089	37,964	16,872	40,887	10,770	10,828	9,783	53,243	12,976			15,740
	Valid Mechanical Road Call		- 1	6	1	1	3	1	4	5	5	1	4			31
	Miles Traveled			55,092	52,089	37,964	50,615	40,887	43,078	54,142	48,917	53,243	51,904			487,933
7600		>	14,000	10,059	15,571	10,065	10,794	8,391	8,310	6,591	5,993	7,952	14,679			9,151
	Valid Mechanical Road Call		- 1	8	- 6	8	8	9	9	12	13	11	6			90
7621	Miles Traveled		44.000	80,472	93,428	80,518	86,349	75,518	74,788	79,096	77,914	87,470	88,074			823,625
/621	Valid Mechanical Road Call	>	14,000	21,299	33,717	8,964	13,511	65,561	16,973	17,249	11,511 6	38,538	18,195			17,974 38
	Valla Mechanical noda Call Miles Traveled			63.898	67.433	62.746	67.554	65.561	67.893	68.996	69.069	77,075	72,778			683,004
TOTAL	Willes Troveled		14,000	14,297	16,319	15,082	17,119	16,565	19,915	16,327	13,181	17,541	16,406			16,113
	Valid Mechanical Road Call	_	24,000	83	75	73	70	10,303	57	72	82	68	71			719
	Miles Traveled*			1,186,652	1,223,935	1,100,975	1,198,304	1,126,391	1,135,183	1,175,565	1,080,877	1,192,813	1,164,795			11,585,491

\*Total mileage is an estimated calculation.

K:\MAINT\PeriodReportsiCurrent\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr/20190401\_MKI\_Report\_Apr v1.116a\_RC\_YTD 21 of 23



										Diesel Gallon
						Fuel Cost		Fuel Cost	Cost /	Equivalent
Object - Fuel Description	Unit Price	Qty. Fuel	Fuel Cost	User Fees	Fees Cost	+ Fees	Sales Tax	+ Sales Tax	Unit	(DGE)
7711 - Diesel Fuel	\$2.37	497	\$1,178							497
Federal LUST Fee				\$0.001000	\$0					
Federal Oil Spill Tax				\$0.000000	\$0					
CA Diesel Tax				\$0.000000	\$0					
CA AB32 Environment Surcharge				\$0.003400	\$2					
CA Sales/Use Tax							7.25%			
Orange Co. CA Sales/Use Tax							0.50%			
					\$2	\$1,180	\$91	\$1,272	\$2.56	
7712 - Unleaded Fuel (Non-Revenue)	\$2.84	7.606	\$21,596							6.585
Federal LUS. T.	,	,,,,,,	+22,555	\$0.001000	\$8					0,222
Federal & CA Oil Spill Fee				\$0.001000	\$0					
CA AB32 Environment Surcharge				\$0.00000	\$30					
CA Childhood Lead Fee				\$0.003880	\$30 \$11					
State Gasoline Excise Tax				\$0.417000	\$3,171					
Margin				-\$0.161100 \$0.029800	-\$1,225 \$227		3.750			
Freight-Fuel Transport				\$0.029800	\$2,221	\$23,818	2.75% \$649	\$24,467	\$3.22	
					32,221	\$23,010	3043	324,407	33.22	
7718 - Compressed Natl Gas (CNG)	\$0.28	373,489								323.367
Therm Conversion	1.14	425,777	\$117,217							_
Late Payment Penalty/New Service Fee				n/a	\$0					
SoCal Gas Customer Charge				n/a	\$130					
Operation & Maintenance (O&M)*				\$0.258184	\$109.929					
Edison Electricity**				\$0.119147	\$50,730					
Transmission Charge				\$0.191470	\$81,524					
Municipal Surcharge				\$0.004120	\$1,754					
Public Purpose Prog Surcharge				\$0.025030	\$10,657					
State Regulatory Fee				\$0.002470	\$1.052					
					**				(per therm)	
					\$255,776	\$372,992	n/a	\$372,992	\$0.88	
7719 - Liquified Natural Gas (LNG)	\$0.00	0	\$0							
Delivery Fee	\$0.00	U	\$0		\$0		7.75%			١
					\$0	\$0	\$0	\$0	\$0.00	
Grand Total		381,591	\$139,991		\$257,999	\$397,990	\$740	\$398,730		

K:\MAINT\PeriodReports\Current\FY18-19\_MKI\_Report\FY19\_10\_MKI\_Report\_Apr\20190401\_MKI\_Report\_Apr\v1.117a\_Fuel\_Month 22 of 23

Note:

\*Unit price of fuel includes the cost of operations.

\*\*Edison charges are estimated based on the ISC electricity consumptions.



										Diesel Gallon
	Average	Total				Fuel Cost		Fuel Cost	Cost /	Equivalent
Object - Fuel Description	Unit Price	Qty. Fuel	Fuel Cost	User Fees	Fees Cost	+ Fees	Sales Tax	+ Sales Tax	Unit	(DGE)
7711 - Diesel Fuel	\$2.56	6,697	\$17,142							6,697
Federal LUST Fee				\$0.001000	\$7					
Federal Oil Spill Tax				\$0.001317	\$9					
CA Diesel Tax				\$0.221538	\$1,484					
CA AB32 Environment Surcharge				\$0.003400	\$23					
CA Sales/Use Tax							7.25%			
Orange Co. CA Sales/Use Tax							0.50%			
					\$1,506	\$18,648	\$1,428	\$20,076	\$3.00	
7712 - Unleaded Fuel (Non-Revenue)	\$2.41	75,591	\$182,046							65,446
Federal L.U.S. T.				\$0.001000	\$76					
Federal & CA Oil Spill Fee				\$0.002137	\$162					
CA AB32 Environment Surcharge				\$0.003212	\$243					
CA Childhood Lead Fee				\$0.001500	\$113					
State Gasoline Excise Tax				\$0.417000	\$31,521					
Margin				-\$0.161100	-\$12,178					
Freight-Fuel Transport				\$0.029800	\$2,253		2.75%			
					\$22,190	\$204,235	\$5,555	\$209,790	\$2.78	
7718 - Compressed Natl Gas (CNG)	\$0.64	3,671,710								3,178,970
Therm Conversion	1.14	4,185,750	\$2,663,494							
Late Payment Penalty/New Service Fee				n/a	\$0					
SoCal Gas Customer Charge				n/a	\$1,300					
Operation & Maintenance (O&M)*				\$0.25	\$1,062,484					
Edison Electricity**				\$0.122867	\$514,292					
Transmission Charge				\$0.135467	\$567,029					
Municipal Surcharge				\$0.004831	\$20,223					
Public Purpose Prog Surcharge				\$0.024553	\$102,773					
State Regulatory Fee				\$0.001742	\$7,293					
									(per therm)	
					\$2,275,395	\$4,938,889	n/a	\$4,938,889	\$1.18	
7719 - Liquified Natural Gas (LNG)	\$0.00	0	\$0							0
Delivery Fee					\$0		0.00%			
_					\$0	\$0	\$0	\$0	\$0.00	
Grand Total		3,753,998	\$2,862,681		\$2,299,091	\$5,161,772	\$6,982	\$5,168,754		

K:\MAINT\Period\Reports\Current\FY18-19\_MK\\_Report\FY19\_10\_MK\\_Report\_Apr\20190401\_MK\\Report\_Apr\v1.117b\_Fuel\_YTD 23 of 23

Note:
"Unit price of fuel includes the cost of operations.
"Edison charges are estimated based on the ISC electricity consumptions.

## **Eight (8) Ellipse-generated Reports:**

- 1. OCJ625
- 2. Discrepancy Report
- 3. OCJMTE
- 4. OCJ620
- 5. Work Order Task Job Card
- 6. Purchase Order Print
- 7. Purchase Order Print CONTRACT
- 8. PO Print Draft
- 9. Expedite Letter 1
- 10. Expedite Letter 2

These Ellipse-generated reports are depicted in screen shots below.

## 1. OCJ625

Run on: 10/	16/19 at: 09:			OCTA PROD			Page: 1 Report: OCJ625
			Par	ent Work Order/Work Or	rder		
Parent	00002659	Parent WO Plant	5743	Parent WO	0000003850	Parent WO Raised	12/14/2017
Work Order	01037986	Work Order Plant No.	OFMSNAF301	Work Order Originator	0000000120	Work Order Raised Date	10/07/2019
Parent	00006744	Parent WO Plant	5771	Parent WO	0000003632	Parent WO Raised	08/05/2019
Work Order	01023906	Work Order Plant No.	5787	Work Order Originator	0000003632	Work Order Raised Date	08/05/2019
Parent	00006836	Parent WO Plant	5764	Parent WO	0000003632	Parent WO Raised	08/18/2019
Work Order	01026662	Work Order Plant No.	5744	Work Order Originator	0000003632	Work Order Raised Date	08/18/2019
Work Order	01026663	Work Order Plant No.	5744	Work Order Originator	0000003632	Work Order Raised Date	08/18/2019
Work Order	01026664	Work Order Plant No.	5744	Work Order Originator	0000003632	Work Order Raised Date	08/18/2019
Work Order	01026665	Work Order Plant No.	5744	Work Order Originator	0000003632	Work Order Raised Date	08/18/2019
Work Order	01026666	Work Order Plant No.	5744	Work Order Originator	0000003632	Work Order Raised Date	08/18/2019
Work Order	01026667	Work Order Plant No.	5744	Work Order Originator	0000003632	Work Order Raised Date	08/18/2019
Parent	00006897	Parent WO Plant	5736	Parent WO	0000003850	Parent WO Raised	08/24/2019
Work Order	01028234	Work Order Plant No.	5735	Work Order Originator	0000003850	Work Order Raised Date	08/24/2019
Work Order	01028235	Work Order Plant No.	5735	Work Order Originator	0000003850	Work Order Raised Date	08/24/2019
Work Order	01028236	Work Order Plant No.	5735	Work Order Originator	0000003850	Work Order Raised Date	08/24/2019
Work Order	01028237	Work Order Plant No.	5735	Work Order Originator	0000003850	Work Order Raised Date	08/24/2019
Work Order	01028238	Work Order Plant No.	5735	Work Order Originator	0000003850	Work Order Raised Date	08/24/2019
Work Order	01028239	Work Order Plant No.	5735	Work Order Originator	0000003850	Work Order Raised Date	08/24/2019
Work Order	01028240	Work Order Plant No.	5735	Work Order Originator	0000003850	Work Order Raised Date	08/24/2019

2. Discrepancy report 1 of 1 | D Delivery Location Report Number: D04057 10/17/2019 Date: Santa Ana Base Operations 4301 West MacArthur Blvd Santa Ana, CA 92704 PO / Item No: Shipped Via: A42742 / 006 To: THE AFTERMARKET PARTS COMPANY, L Date: Call Tag No: 3229 SAWMILL PARKWAY RA No: DELAWARE OH 43015 DISCREPANCY CODE REQUESTED ACTION QTY QTY QTY QTY REJECTED 1.00 30.00 SANTA ANA BASE PART NO. AND DESCRIPTION QTY REJECTED ACTION CODE NO DISC CODE NO SOM 338 P SOM 338 P VALVE, DRIER PURCE VALVE, WINSTALLATION KIT MUST BE HEW, NOT REMANUFACTURED OEM AND APPROVED PRODUCTS ONLY WILL BE ACCEPTED 000016049 1.00 DEFECTIVE PART ISSUE CREDIT MEMO Unit Amount \$ 142.66 Extended Price \$ 155.86 1 9.25% REMARKS/REQUESTED ACTION LEAKING AIR; FAILED UPON INSTALLATION Prepared By: 0000004501 Vendor Sign: Reviewed By: Approved By: Base/location 0000004501 Print: SANTA ANA BASE

## 3. OCJMTE

## Employee Labor Time Report Entry Validation

Work Group	SNAM		Crew	1B1	Period From:	10/17/2019	Period To: 10/17/2019
Date:	10/17/2019						
Employee	Employee Name		Hours	Overtime	Work Order	Equipment No.	Work Order Short Description
0000002971	HA,VINH		7.00	0.00	01040079	000020167635	NF CNG ARTIC INSPECTION #1
			1.00	0.00	SAMIND20	00000001000	INDIRECT LABOR - ANNUAL WORK ORDER
		Total	8.00	0.00			
Date:	10/17/2019						
Employee	Employee Name		Hours	Overtime	Work Order	Equipment No.	Work Order Short Description
0000003268	MC KENZIE,DAN		1.00	0.00	SAMIND20	00000001000	INDIRECT LABOR - ANNUAL WORK ORDER
			1.50	0.00	01039338	00000001000	R/C TRUCK MULE FORKLIFT 10/13 - 10/19/19
			0.50	0.00	01040306	00000005569	T/S NO START
			2.00	0.00	01040313	000000005510	T/S CEL / LOW COOLANT LIGHT
			0.50	0.00	SAMIND20	00000001000	INDIRECT LABOR - ANNUAL WORK ORDER
			0.50	0.00	SAMIND20	00000001000	INDIRECT LABOR - ANNUAL WORK ORDER
			2.00	0.00	01040298	000020165823	T/S SLOW AIR BUILD UP/AIR LEAK
		Total	8.00	0.00			

## 4. OCJ620

Run on: 10	/17/19 at: 03:				(	OCTA PROD			Page: 1
				V	Vork Order Ma	ndatory Fields Discre	pancy		Report: OCJ620
Originator	00000	00001 - ELl	JPS1 GENER	IC					
Work Order	Raised Date	Plant No.	Comp. Code	Work Group	Orig. Priority	Type Of Failure (JobCode2)	Cause (JobCode3)	Action (JobCode4)	Warranty (JobCode5)
01039945	10/15/2019	5523	IN85	SNAM	4	G2 (PASSENGER SEATS)	00 (MAINTENANCE)	18 (INSPECTED)	
01038886	10/10/2019	7624	BR00	SNAM	4	•			
01038889	10/10/2019	7624	BR25	SNAM	4			30 (REPLACED)	
01038640	10/09/2019	5533	AS65	SNAM	4			30 (REPLACED)	
01038656	10/09/2019	5519	TRC5	SNAM	4				
01038663	10/09/2019	5519	XT65	SNAM	4			30 (REPLACED)	
01038355	10/08/2019	5519	TRC5	SNAM	4			25 (REPAIRED)	
01038356	10/08/2019	5519	ENB5	SNAM	4			30 (REPLACED)	
01038371	10/08/2019	5519	HV95	SNAM	4			25 (REPAIRED)	
01038354	10/08/2019	5519	ENA5	SNAM	4				
01037651	10/06/2019	5504	IN65	SNAM	4	00 (MAINTENANCE)		30 (REPLACED)	40 (NOT WARRANTY)
01037639	10/06/2019	5504	BRC5	SNAM	4			30 (REPLACED)	
01037637	10/06/2019	5504	SSC5	SNAM	4				
01037654	10/06/2019	5504	HV10	SNAM	4			30 (REPLACED)	
01037514	10/05/2019	5809	HV10	SNAM	4				
01037528	10/05/2019	5809	SS05	SNAM	4				

## 5. Work Order Task - Job Card

NOTE: The term "Job Card" is OCTA's Work Order.



Work Order:

Page 1 of 2 01040399

Occurrence No:

Printed On: 10/17/2019 13:19:20

		OCTA-	- Job Card		
Equipment_Ref	8000			WO# 01040399	Task 001
quipment Description	1 REBUILD				
Standard Job	000071	200	Component Modif		
Component Code	FB15 - CASH		ier		
Account Code	00301421 -	ORANGE CO TRANSIT DI	STRICT		
			formation		
WO Description	CASH BO	X, GFI FAREBOX -	SN 19454		
Priority	4 - ROUTINE		<u>Originator</u>	HOANG, TOAN	
Work Order Type	MT - MAINTE	NANCE	Maintenance Typ	RB - REBUILD COM	IPONENT
Parent WO			Related WO		
Creation Hours	00000000		Completion Hours	i	
Raised Date/Time	10/17/2019	13:19:01	Reference Numbe	er.	
		Task In	formation		
Task	001 - REBUIL	D GFI CASH BOX			
Work Group	SNAE - SANT	A ANA	Plan Start Date		
Safety Instructions	OBSERVE AL	L OCTA SAFEY POLICIES	Task Completion Code	Text SUBMIT COMPLET SUPERVISOR	ED W/O TO
Resource Type	ELECTRONIC	TECH	Estimated Hours	3.5	
		Completio	n Comments		
REBUILD CASHBOX.					
2800 TOAN H					
2800 TOAN H					
2800 TOAN H					
2800 TOAN H					
2800 TOAN H					
2800 TOAN H					
2800 TOAN H					
2800 TOAN H					
2800 TOAN H					
2800 TOAN H					
2800 TOAN H					
	# Hours		Date Badg	ge# Hours	Total
	# Hours		Date Badg	ge# Hours	Total
	# Hours		Date Badg	ge# Hours	Total
	# Hours		Date Bado	ge# Hours	Total
	# Hours		Date Badg	ge # Hours	Total
Date Badge	# Hours	Mechanic/Technici		ge # Hours Supervisor	Total
	# Hours	Mechanic/Technici			Total



Work Order:

Page 2 of 2 01040399

Occurrence No:

Printed On: 10/17/2019 13:19:20

## OCTA - Job Card

Equipment\_Ref 8000 WO# 01040399 Task 001

## **Material Requirements**

Stock Code	Description	Part No	Mnemonic	No. Required
19454C	BOX, CASH			1

## **lob Instructions**

ALL MAINTENANCE DEPARTMENT POLICIES AND PROCEDURES MUST BE OBSERVED AT ALL TIMES. SAFETY REGULATIONS AND POLICIES & PROCEDURES SHALL BE FOLLOWED. ALL REQUIRED PERSONAL PROTECTIVE EQUIPMENT SHALL BE WORN DURING THE IMPLEMENTATION OF THIS WORK ORDER.

## 6. Purchase Order Print

Page 1 of 3

DATE 10/17/2019

TO: GRAINGER

1544 BROOKHOLLOW DRIVE

SANTA ANA CA 92705

SHIP TO: Santa Ana Base Operations 4301 West MacArthur Blvd Santa Ana, CA 92704

ANGELA HAHN

Orange County Transportation Authority PO BOX 14184 Orange, CA 92863-1584 Attn: Accounts Payable

PURCHASE ORDER

FOB:

BUYER:

A43640

DESTINATION - FREIGHT NO

EMAIL INVOICES TO VENDORINVOICES@OCTA.NET OR MAIL TO:

	CATHERIN 949505318		TZ	REQUESTOR: PAUL BURCIAGA		PAYMENT WILL NOT PURCHASE ORDER N	BE MADE UNLESS INVO NUMBER.	DICE INDICATES
ITEM NO.	QTY.	U/M	STOCK NO.	DESCRIPTIONS	DELIVERY DATE	TERMS	UNIT PRICE	EXTENSION
001	1	PK		ATTN: BRYAN ROBINSON; SANTA ANA BASE-1 GRAINGER# 5CNJ2 4 X 4 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 1000 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$43.57 TAXABLE	\$43.57
002	10	PK		GRAINGER# 5ZW44 9 X 6 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 100 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$11.24 TAXABLE	\$112.40
003	1	PK		GRAINGER# 5CNH8 3 X 2 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 1000 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$22.67 TAXABLE	\$22.67
004	10	PK		GRAINGER# 5ZW40 5 X 3 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 100 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$4.35 TAXABLE	\$43.50
ORANGE	COUNTY T	RANSP	ORTATION AL	JTHORITY OCTA GENERAL PROVI	SIONS FOUN	D ON	SUBTOTAL	
SIVIIIOL	22011111	. 5 (110)	C. T. T. T. T. T.	PAGE 3 ARE INCORPOR			SALES TAX	
BY:				NOT SUBJECT TO TRAIF FEDERAL EXCISE TAX.	NSPORTATIO	N OR	TOTAL	

VENDOR COPY

SHIP TO: Santa Ana Base Operations

4301 West MacArthur Blvd

Santa Ana, CA 92704

Page 2 of 3

DATE 10/17/2019

TO: GRAINGER

1544 BROOKHOLLOW DRIVE

SANTA ANA CA 92705

ATTN: CATHERINE BARTZ

PHONE: 9495053186 REQUESTOR: PAUL BURCIAGA PURCHASE ORDER A43640

FOB: DESTINATION - FREIGHT NO BUYER: ANGELA HAHN

EMAIL INVOICES TO VENDORINVOICES@OCTA.NET OR MAIL TO:

Orange County Transportation Authority PO BOX 14184 Orange, CA 92863-1584 Attn: Accounts Payable

PAYMENT WILL NOT BE MADE UNLESS INVOICE INDICATES PURCHASE ORDER NUMBER.

FHOINE. 3	143505510	00		REQUESTOR. PAUL BURGIAGA				
ITEM NO.	QTY.	U/M	STOCK NO.	DESCRIPTIONS	DELIVERY DATE	TERMS	UNIT PRICE	EXTENSION
005	1	PK		GRAINGER# 5CNJ8 8 X 6 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 1000 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$77.53 TAXABLE	\$77.53
				REQ# 26403 FOR QUOTE# 2042048992				
				4301 W. MAC ARTHUR BLVD. SANTA ANA, CA 92704				
				CONFIRMED ORDER BY EMAIL OR PHONE WITH ON DO NOT FAX, WILL CAUSE VENDOR TO DUPLICATE ORDER.				
ORANGE C	OUNTY T	RANSP	ORTATION AL				SUBTOTAL	\$ 299.67
				PAGE 3 ARE INCORPOR			SALES TAX	\$ 27.72
BY:				NOT SUBJECT TO TRAN FEDERAL EXCISE TAX.	ISPORTATIO	N OR	TOTAL	\$ 327.39

VENDOR COPY

# Page 3 of

ო

# ORANGE COUNTY TRANSPORTATION AUTHORITY - GENERAL PROVISIONS

INSPECTION AND ACCEPTANCE - All items are subject to final inspection and acceptance by OCTA at destination notwithstanding any payment or prior inspection at SELLERs facilities. Final inspection will be made within a reasonable time after receipt of items hereunder.

CHANGES - By written notice only. OCTA may, from time to time, order work suspension or make changes in quantities, drawings, designs, specifications, place of delivery or delivery schedules, methods of shipment and packaging, and property and services furnished by SELLER. If any such change causes an increase or decrease in the price of this agreement or in the time required for its performance SELLER or OCTA shall promptly notify the other party thereof and assert its claim for adjustment within (30) days after the change is ordered, and an equitable adjustment shall be made. However, nothing in this clause shall excuse SELLER from proceeding immediately with the agreement as changed.

DEFAULT AND EXCESS REPROCUREMENT LIABILITY - OCTA may terminate this agreement if a federal or state proceeding for the relief of debtors is undertaken by or against SELLER, or if SELLER makes an assignment for the benefit of creditors, or if SELLER fails after reasonable notice by OCTA to cure a deficiency in performance or lack of progress thereto, and OCTA shall have such additional remedies as may be available whether or not it so terminates this agreement, including but not limited to the payment by SELLER to OCTA of expenses incurred by OCTA in reprocuring elsewhere the same or similar items or services defaulted by SELLER hereunder.

INDEMNIFICATION - SELLER shall indemnify, defend, and save harmless OCTA from and against any loss, damage, claim, or harm for bodily injuries, including death or damage to property caused by SELLER or its employees, subcontractions, or supplies in connection with the performance of this agreement.

ASSIGNMENTS AND SUBCONTRACTORS - Neither this agreement nor any interest herein nor claim hereunder may be assigned by SELLER either voluntarity or by operation of law, nor may all or substantially all of this agreement be further subcontracted by SELLER without the prior written consent of OCTA. Withholding of consent shall not be deemed to relieve SELLER of its obligations to comply fully with the requirements hereof.

FEDERAL, STATE, AND LOCAL LAWS - SELLER warrants that in the performance of this agreement, it shall ∞mply with all applicable Federal State and local laws, statutes and ordinances and all lawful orders, rules and regulations thereunder.

INFRINGEMENT INDEMNITY - In lieu of any other warranty by OCTA or SELLER against copyright infringement, statutory, or otherwise, it is agreed that SELLER shall defend at its expense any suit against OCTA based on a claim that any item furnished under this agreement or the normal use or sale thereof infinites sany United States. Letters Patent or copyright and shall pay cost and damages finally awarded in any such suit, provided that SELLER is notified in writing of the suit and given OCTA, information, assistance at SELLERs expense for the defense of same. If the use or sale of said tem is enjoined as a result of such suit, SELLER, at no expense to OCTA, shall obtain for OCTA the right to use and sell said item, or shall substitute an equivalent item acceptable to OCTA and extend this patent indemnity hereto.

TITLE AND RISK OF LOSS - Unless otherwise provided in this agreement, SELLER shall have title to and bear the risk of any loss of or damage to the items purchased hereunder until they are delivered in conformity with this agreement at the F.O.B. point specified herein, and upon such delivery title shall pass from SELLER and SELLERs responsibility for loss or damage shall cases, except for loss or damage resulting from SELLERs regions and delivery shall not constitute acceptance of the item by OCTA.

NOTICE OF LABOR DISPUTE -Whenever SELLER has knowledge that any actual or potential labor dispute may delay this agreement, SELLER shall immediately notify and submit all relevant information to OCTA. SELLER shall insert the substance of this entire clause in any subcontract hereunder as to which a labor dispute may delay this agreement. However, any subcontractor need give notice and information only to its next higher-ther subcontractor.

EQUAL EMPLOYMENT OPPORTUNITY - In connection with the execution of this agreement, SELLER shall not discriminate against any employee or applicant because of race, religion, color, sex or national origin. SELLER shall take affirmative action to insure that applicants are employed and that employees are treated during their employment without regard to their race, religion, color, sex or national origin. Such actions shall include pay, or other forms of compensation and selection for training, including apprenticeship.

PROHIBITED INTEREST - A.)SELLER covenants that no member of, or delegate to, the Congress of the United States shall have any interest, direct or indirect, in the agreement or the proceeds hered. B.) SELLER further covenants that, for the term of this agreement, no director, member, officer, or employee of the OCTA during his tenure in office or one (1) year thereafter shall have any interest, direct or indirect, in this agreement or the proceeds thereof.

TERMINATION FOR CONVENIENCE - The OCTA may terminate this agreement at any time by giving written notice to SELLER of such termination, effective on the date of such notice. Upon receipt of said notice, SELLER shall immediately take action not to incur any further obligations, costs, or expenses, except as may be reasonably necessary to terminate its activities. All inhished or unificated documents and other materials procured or produced by SELLER hereunder shall, at the option of OCTA, become OCTA properly upon the date of such termination.

AUDIT AND INSPECTION OF RECORDS - SELLER shall provide OCTA such access to SELLERs books, records, and facilities as may

FA-CAMM-019-B.doc (9/25/01) v13

Page 1 of 3

DATE 10/17/2019

TO: GRAINGER

1544 BROOKHOLLOW DRIVE

SHIP TO: Santa Ana Base Operations 4301 West MacArthur Blvd Santa Ana, CA 92704

SANTA ANA CA 92705

ATTN: CATHERINE BARTZ

PHONE: 9495053186 REQUESTOR: PAUL BURCIAGA PURCHASE ORDER A43640

FOB: **DESTINATION - FREIGHT NO** BUYER: ANGELA HAHN

EMAIL INVOICES TO VENDORINVOICES@OCTA.NET OR MAIL TO:

Orange County Transportation Authority PO BOX 14184 Orange, CA 92863-1584 Attn: Accounts Payable

PAYMENT WILL NOT BE MADE UNLESS INVOICE INDICATES PURCHASE ORDER NUMBER.

FIIONL.	34330331	00		REQUESTOR. PAUL BURGIAGA				
ITEM NO.	QTY.	U/M	STOCK NO.	DESCRIPTIONS	DELIVERY DATE	TERMS	UNIT PRICE	EXTENSION
001	1	PK		ATTN: BRYAN ROBINSON; SANTA ANA BASE-1 GRAINGER# 5CNJ2 4 X 4 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 1000 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$43.57 TAXABLE	\$43.57
002	10	PK		GRAINGER# 5ZW44 9 X 6 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 100 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$11.24 TAXABLE	\$112.40
003	1	PK		GRAINGER# 5CNH8 3 X 2 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 1000 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$22.67 TAXABLE	\$22.67
004	10	PK		GRAINGER# 5ZW40 5 X 3 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 100 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$4.35 TAXABLE	\$43.50
ORANGE C	OUNTY T	RANSF	PORTATION AU	JTHORITY OCTA GENERAL PROVI PAGE 3 ARE INCORPOR NOT SUBJECT TO TRAN FEDERAL EXCISE TAX.	ATED HERE	N.	SUBTOTAL SALES TAX TOTAL	

PURCHASING

Page 2 of 3

DATE 10/17/2019

TO: GRAINGER 1544 BROOKHOLLOW DRIVE

SANTA ANA CA 92705

ATTN: CATHERINE BARTZ

PHONE: 9495053186

SHIP TO: Santa Ana Base Operations 4301 West MacArthur Blvd

Santa Ana, CA 92704

REQUESTOR: PAUL BURCIAGA

PURCHASE ORDER A43640

FOB: DESTINATION - FREIGHT NO BUYER: ANGELA HAHN

EMAIL INVOICES TO VENDORINVOICES@OCTA.NET OR MAIL TO:

Orange County Transportation Authority PO BOX 14184 Orange, CA 92863-1584 Attn: Accounts Payable

PAYMENT WILL NOT BE MADE UNLESS INVOICE INDICATES PURCHASE ORDER NUMBER.

THOME.				REQUESTOR. TAGE BURGIAGA				
ITEM NO.	QTY.	U/M	STOCK NO.	DESCRIPTIONS	DELIVERY DATE	TERMS	UNIT PRICE	EXTENSION
005	1	PK		GRAINGER# 5CNJ8 8 X 6 STANDARD RECLOSABLE POLY BAG W/ZIP SEAL CLOSER 4 MIL; 1000 PK	10/26/19	NET-30 2168-7799-D2108-N7J	\$77.53 TAXABLE	\$77.53
				REQ# 26403 FOR QUOTE# 2042048992				
				4301 W. MAC ARTHUR BLVD. SANTA ANA, CA 92704				
				CONFIRMED ORDER BY EMAIL OR PHONE WITH ON DO NOT FAX, WILL CAUSE VENDOR TO DUPLICATE ORDER.				
OBANCE	OUNTY T	DANCE	ORTATION AU	ITHODITY OCTA CENEDAL DROVI	PIONE FOUN	D ON	SUBTOTAL	\$ 299.67
ORANGE C	CONTT	RANSP	ORTATION AC	JTHORITY OCTA GENERAL PROVI PAGE 3 ARE INCORPOR				
BY:				NOT SUBJECT TO TRAN	ICDODTATIO	N OD	SALES TAX	\$ 27.72
ы				FEDERAL EXCISE TAX.	SPURIATIO	N OR	TOTAL	\$ 327.39

PURCHASING

# Page 3 of 3

# ORANGE COUNTY TRANSPORTATION AUTHORITY - GENERAL PROVISIONS

INSPECTION AND ACCEPTANCE - All items are subject to final inspection and acceptance by OCTA at destination notwithstanding any payment or prior inspection at SELLERs facilities. Final inspection will be made within a reasonable time after receipt of items hereunder.

CHANGES - By written notice only. OCTA may, from time to time, order work suspension or make changes in quantities, drawings, designs, specifications, place of delivery or delivery schedules, methods of shipment and packaging, and property and services furnished by SELLER. If any such change causes an increase or decrease in the price of this agreement or in the time required for it performance SELLER or OCTA shall promptly notify the other party thereof and assert its claim for adjustment within (30) days after the change is ordered, and an equitable adjustment shall be made. However, nothing in this clause shall excuse SELLER from proceeding immediately with the agreement as changed.

DEFAULT AND EXCESS REPROCUREMENT LIABILITY - OCTA may terminate this agreement if a federal or state proceeding for the relief of debtors is undertaken by or against SELLER, or if SELLER makes an assignment for the benefit of creditors, or if SELLER falls after reasonable notice by OCTA to cure a deficiency in performance or lack of progress thereto, and OCTA shall have such additional remedies as may be available whether or not it so terminates this agreement, including but not limited to the payment by SELLER to OCTA of expenses incurred by OCTA in reprocuring disewhere the same or similar items or services defaulted by SELLER hereunder.

INDEMNIFICATION - SELLER shall indemnify, defend, and save harmless OCTA from and against any loss, damage, claim, or harm for bodity injuries, including death or damage to property caused by SELLER or its employees, subcontractors, or supplies in connection with the performance of this agreement.

ASSIGNMENTS AND SUBCONTRACTORS - Neither this agreement nor any interest herein nor claim hereunder may be assigned by SELLER either voluntarity or by operation of law, nor may all or substantially all of this agreement be further subcontracted by SELLER without the prior written consent of OCTA. Withholding of consent shall not be deemed to relieve SELLER of its obligations to comply fully with the requirements hereof.

FEDERAL, STATE, AND LOCAL LAWS - SELLER warrants that in the performance of this agreement, it shall comply with all applicable Federal. State and local laws, statutes and ordinances and all lawful orders, rules and regulations thereunder.

INFRINGEMENT INDEMNITY - In lieu of any other warranty by OCTA or SELLER against copyright infringement, statutory, or otherwise, it is agreed that SELLER shall defend attils expense any suit against OCTA based on a claim that any leinst furnished under this agreement or the hormal use or sale thereof infringes any United States Letters Patent or copyright and shall pay cost and damagae finally awarded in any such suit, provided that SELLER is notified in writing of the suit and given OCTA, information, assistance at SELLERs expense for the defense of same. If the use or sale of said tent is enotified any such stull. SELLER, at no expresse to OCTA, shall obtain for OCTA, the right to use and sell said item, or shall substitute an equivalent than acceptable to OCTA and extend this patent indemnity hereto.

TITLE AND RISK OF LOSS - Unless otherwise provided in this agreement, SELLER shall have title to and bear the risk of any loss of or damage to the items purchased herunder until they are delivered in conformly with this agreement at the F.O.B. point specified herein, and upon such delivery title shall pass from SELLER responsibility for loss or damage shall cease, except for loss or damage resulting from SELLERs negligence. Passing of title upon such delivery shall not constitute acceptance of the item by OCTA.

NOTICE OF LABOR DISPUTE -Whenever SELLER has knowledge that any actual or potential labor dispute may delay this agreement, SELLER shall immediately notify and submit all relevant information to OCTA. SELLER shall insert the substance of this entire clause in any subcontract hereunder as to which a labor dispute may delay this agreement. However, any subcontractor need give notice and information only to its next higher-lier subcontractor.

EQUAL EMPLOYMENT OPPORTUNITY - In connection with the execution of this agreement, SELLER shall not discriminate against any employee or applicant because of race, religion, color, sex or national origin. SELLER shall ake affirmative action to insure that applicants are employed and that employees are treated during their employment without regard to their race, religion, color, sex or national origin. Such actions shall include pay, or other forms of compensation and selection for training, including apprenticeship.

PROHIBITED INTEREST - A.) SELLER coverants that no member of, or delegate to, the Congress of the United States shall have any interest, direct or indirect, in the agreement or the proceeds hereof. B.) SELLER further covenants that for the term of this agreement, no director, member, officer, or employee of the OCTA during his tenure in office or one (1) year thereafter shall have any interest, direct or indirect, in this agreement or the proceeds thereof.

TERMINATION FOR CONVENIENCE - The OCTA may terminate this agreement at any time by giving written notice to SELLER of such termination. effective on the date of such notice, - Upon reseptor for said notice, SELLER shall immediately that a cation not binder any further obligations, costs, or expenses, except as may be reasonably necessary to terminate its activities. All finished or unfinished documents and other materials procured or produced by SELLER hereunder shall, at the option of OCTA, become OCTA property upon the date of such termination.

AUDIT AND INSPECTION OF RECORDS - SELLER shall provide OCTA such access to SELLERs books, records, and facilities as may

FA-CAMM-019-B.doc (9/25/01) v13

## 7. Purchase Order Print CONTRACT

C91510

AGREEMENT/CTO NO:

CA Sign-Off:

## AGREEMENT/CTO PRINT SUMMARY REPORT

PRINT STATUS: PRINTED DATE PRINTED: OCT 17, 2019 AWARDED TO: ARELLANO ASSOCIATES TOTAL AMOUNT: \$ 120,000.00 DESCRIPTION: Seeking vendor to assist w/staffing SOLICITATION NO. REQUISITION NO. 025894 DEPT NO: ACCT NO: PROJECT NO: 0018 7519 A0001-PQ5 \*\*\* More line items exist FUNDING SOURCES: NOT APPLICABLE FEDERAL-FTA UNIQUE TERMS: NOT APPLICABLE JUSTIFICATION: RFP NOT APPLICABLE

## 8. PO Print Draft

Page 1 of 3 DATE

TO: KONICA MINOLTA BUSINESS 9920 PACIFIC HEIGHTS BLVD.

SUITE # 420 SAN DIEGO CA 92121

ATTN: KARINE ABEDMAMOORE

SHIP TO: 600 S MAIN ST ORANGE, CA 92868 PURCHASE ORDER A43635

FOB: DESTINATION - FREIGHT NO
BUYER: DONALD HERRERA

EMAIL INVOICES TO VENDORINVOICES@OCTA.NET OR MAIL TO:

Orange County Transportation Authority PO BOX 14184 Orange, CA 92863-1584 Attn: Accounts Payable

PAYMENT WILL NOT BE MADE UNLESS INVOICE INDICATES

PURCHASE ORDER NUMBER.

PHONE:	85845842	22		REQUESTOR: DESIREE FERNANDEZ		PURCHASE ORDER N	IUMBER.	
ITEM NO.	QTY.	U/M	STOCK NO.	DESCRIPTIONS	DELIVERY DATE	TERMS	UNIT PRICE	EXTENSION
				For the purchase of various VALO Social Hub software subscription services for the Information Systems Department.				
001		EA		VALO Social Hub ADD-ON Software One-time cost Annual Subscription	10/31/20	NET-30 1282-7612-A5352-9RS	\$4,062.50	\$4,062.50
002		EA		VALO Video ADD-ON Software.One-time cost Annual Subscription	10/31/20	NET-30 1282-7612-A5352-9RS	\$4,062.50	\$4,062.50
003		EA		VALO People & Expertise Finder ADD-ON Software one-time cost Annual Subscription	10/31/20	NET-30 1282-7612-A5352-9RS	\$4,062.50	\$4,062.50
				VERBAL ADDITIONS, DELETIONS, OR MODIFICATIONS OF ANY KIND TO THIS PURCHASE ORDER SHALL BE CONSIDERED UNAUTHORIZED AND INVALID. DO NOT ACCEPT VERBAL MODIFICATIONS FROM ANY EMPLOYEE, AGENT OR				
ORANGE O	COUNTY T	RANSP	ORTATION AL				SUBTOTAL	
BY:				PAGE 3 ARE INCORPOR			SALES TAX	
٠١٠				FEDERAL EXCISE TAX.	SI OKIATIOI	VOIC	TOTAL	

VENDOR COPY

Page 2 of 3 DATE

SHIP TO: 600 S MAIN ST ORANGE, CA 92868 PURCHASE ORDER A43635

FOB: **DESTINATION - FREIGHT NO** BUYER: DONALD HERRERA

EMAIL INVOICES TO VENDORINVOICES@OCTA.NET OR MAIL TO:

Orange County Transportation Authority PO BOX 14184 Orange, CA 92863-1584 Attn: Accounts Payable

PAYMENT WILL NOT BE MADE UNLESS INVOICE INDICATES PURCHASE ORDER NUMBER.

SAN DIEGO CA 92121 ATTN: KARINE ABEDMAMOORE

notwithstanding any payment or

spection and acceptance by OCTA at destination notwith: within a reasonable time after receipt of items hereunder.

All items Final ins

DRANGE COUNTY TRANSPORTATION AUTHORITY - GENERAL PROVISIONS

specifications, place of delivery or delivery and the total order work suspension or make changes in quantities, drawings, designs, specifications; place of delivery or delivery schedules, methods of shipment and peckaging, and properly and sevenes furnished by SELLER. If any such change causes an increase or decrease in the price of this agreement or in the time equired for its performance SELLER or OCTA shall promptly notify the other party thereof and assert its claim for adjustment within (30) days after the change is ordered, and an equitable adjustment shall be made. However, nothing in this clause shall excuse SELLER from proceeding immediately with the agreement as changed.

DEFAULT AND EXCESS REPROQUEMENT ULBUILTY - OCTA may terminate his agreement far federal or state proceeding for the relat of debtors is undertaken by or against SELLER or if SELLER makes an assignment for the benefit of credtors, or if SELLER fails after reasonable motice by OCTA to cure a deficiency in performance or fact of progress thereto, and OCTA shall have such additional remedes as may be available whether or not it so turninates this agreement, including but not firmled to the payment by SELLER to OCTA of expenses incurred by OCTA in responsing deswinere the same of shillar fams or services defaulted by SELLER hereunder.

INDEMNIFICATION - SELLER shall indemnify, defend, and save harmless OCTA from and against any loss, damage, claim, or harm for bodily injuries, including death or damage to property caused by SELLER or its employees, subconfractors, or supplies in connection with the performance of this agreement.

ASSIGNMENTS AND SUBCONTRACTORS - Neither this agreement nor any interest herein nor claim hereunder may be assigned by SELLER after violutating to by speatible of their, not always and all or substantially all of this agreement be further subcondrated by SELLER without the prior win consent of OCTA. Withholding of consent shall not be deemed to relieve SELLER of its obligations to compy fully with the requirements hereof. FEDERAL, STATE, AND LOCAL LAWS - SELLER warrants that in the performance of this agreement, it shall comply with all applicable Federal State and local laws, statutes and ordinances and all lawful orders, rules and regulations thereunder.

TO: KONICA MINOLTA BUSINESS

SUITE # 420

9920 PACIFIC HEIGHTS BLVD.

PHONE: 8584584222 REQUESTOR: DESIREE FERNANDEZ

PHONE: 8	858458422	22		REQUESTOR: DESIREE FERNANDEZ				
ITEM NO.	QTY.	U/M	STOCK NO.	DESCRIPTIONS	DELIVERY DATE	TERMS	UNIT PRICE	EXTENSION
				IMPLIED AGENT OF THE ORANGE COUNTY TRANSPORTATION AUTHORITY. VALID MODIFICATIONS TO THIS PURCHASE ORDER SHALL BE IN THE FORM OF A WRITTEN AMENDMENT, SIGNED BY AN AUTHORIZED MEMBER OF THE ORANGE COUNTY TRANSPORTATION AUTHORITY PROCUREMENT STAFF.  PAYMENT UPON APPROVAL OF CORRECT AND COMPLETE INVOICE. A CORRECT AND COMPLETE INVOICE SHALL CONSIST OF AT LEAST THE FOLLOWING ELEMENTS: PURCHASE ORDER NUMBER, DATE OF ORDER, INVOICE NUMBER, DATE OF INVOICE, CONTRACT PAYMENT TERMS, NAME OF BUYER OR CONTRACT ADMINISTRATOR, LINE BY LINE LISTING OF ALL ITEMS BEING INVOICED AND IDENTIFICATION OF INVOICING FIRM. ANY COSTS INCURRED IN EXCESS OF THE TOTAL AMOUNT OF THIS PURCHASE ORDER, WITHOUT BEING AMENDED, SHALL BE CONSIDERED UNAUTHORIZED, AND AS SUCH MAY NOT BE PAID.				
ORANGE C	OUNTY T	RANSP	ORTATION AL	OOM OEMER NOT			SUBTOTAL	\$ 12,187.50
				PAGE 3 ARE INCORPOI			SALES TAX	\$ 0.00
BY:				NOT SUBJECT TO TRAI FEDERAL EXCISE TAX.	NSPORTATION	OR	TOTAL	\$ 12,187.50
				VENDOD CORV				

VENDOR COPY

INFRINGEMENT INDEMNITY - In field of any other warranty by OCTA or SELLER against copyright infinigement, statutory, or otherwise, it is agreed that SELER stand defined at its expense any stat against OCTA based on a claim that any field minimated under this agreement or the normal use or asset besed infininges any United States Letters Palent or copyright and shall pay cost and damages finally awarded in any such sut, provided that SELLER is notified in writing of the suit and given OCTA, information, assistance at SELLERs expense for the defense of same. If the use or sale of said item is equiveded as a result of stort sut, SELLER, at no expense to OCTA, shall be pain to see and self said item, or shall substitute an equivalent flem acceptable to OCTA and extend this patent indemity before.

TITLE AND RISK OF LOSS - Unless otherwise provided in this agreement, SELLER shall have title to and bear the risk of any loss of or damage to the items purchased thereunder until they are delivered in conformity with this agreement at the C. OB, point specified herein, and upon such delivery title shall pass from SELLER and SELLER and SELLER as exportability for bost or damage shall cease, except for loss or damage resulting from SELLERs responsibility for bost or damage shall cease, except for loss or damage resulting from SELLERs negligence. Passing of title upon such delivery shall not constitute acceptance of the item by OCTA. NOTICE OF LABOR DISPUTE AVIverever SELLER has knowledge that any actual or potential labor dispute may delay this agreement, SELLER shall immediately notify and submit all relevant information to DCTA. SELLER shall insert the substance of this entire clause in any subcontract higher-lers alword as the which abor dispute may delay this agreement. However, any subcontractor need give notice and information only to its next higher-lers autocontractor.

EQUAL EMPLOYMENT OPPORTUNITY - In connection with the execution of this agreement, SELLER shall not discriminate against any employee or applicant because of race, religion, color, sex or national origin. SELLER shall take affirmative action to insure that applicants are employed and that employees are treated during their employment without regard to Feri race, religion, color, sex or national origin. Such actions shall include pay or other forms of compensation and selection for training, including appenditcability.

PROHIBITED INTEREST - A ISELLER covenants that no member of, or deligate to, the Congress of the United States shall have any interest, direct or indirect, in the agreement, no director, member of direct or indirect, in the agreement, no director, member of direct or indirect, in this agreement, no director, member of director, or during his tenure in office or one (1) year thereafter shall have any interest, director indirect, in this agreement or the proceeds thereof.

TERMINATION FOR CONVENIENCE - The OCTA may terminate this agreement at any time by giving written notice to SELLER of such termination effective on the date of such notice. Upon receipt of said notice, SELLER shall immediately takes aboun not to incur any further obligations, costs, or expenses, except as may be reasonably necessary to terminate its activities. All finished or unfinished documents and other materials procured or produced by SELLER hereunder shall at the option of OCTA, become OCTA properly upon the date of such termination.

records, and facilities as SELLER shall provide OCTA such access to SELLERs books, AUDIT AND INSPECTION OF RECORDS -

V13

3 of Page

## 9. Expedite Letter 1



10/01/2019

ABC INDUSTRIES

1234 PARK AVE

CHICAGO, IL 60714

STEVE@ABCINDUSTRIES.COM

Dear Sir/Madam, Shipment of the following items have not been received by OCTA and delivery is past due as of the date above. Please provide status of the following purchase order(s) with revised due date(s) on this form within 48 hours via email. If the specific PO line item (including back orders) has been shipped, include the date shipped, tracking number(s), proof of delivery with signature, PO # or fax information along with this letter.

•								
Order Date	PO#	PO Item No	Original Qty	Remaining Qty	PurchR / Stock	Mfg Part No.	Description	Due Date
09/10/2019	A43308	001	114	84	000022541	ACCUTEK HC19-450 NEWFLYER 097485 R.G.RAY 848-69	CLAMP, TUBE AIR INTAKE TUBE CLAMP	09/28/2019
Reason for Past Due:	[ ]			Revised Due Date:	[ ]			
Date Shipped (if Available):	[ ]			Tracking # (if Available):	[ ]			

Sincerely,

Purchasing Officier: SALLY JONES

Email: SJONES@octa.net
Fax: (714) 555-2222

## 10. Expedite Letter 2



10/01/2019

A COMPANY, INC

12345 WESTMINSTER AVE.

GARDEN GROVE CA 92843 SSMITH@ACOMPANY.COM

Standard text for Expedite Letter 2 Dear Sir/Madam, The following item(s) are now 2 weeks past due as of the date of this letter. Please contact me immediately with current delivery status. Failure to respond to this notice may cause OCTA to cancel its order. Should OCTA cancel its order, OCTA shall not be held responsible for any order processing fees, including shipping, return shipping or restocking fees.

SECOND AND FINAL NOTICE

Order Date PO# PO Item No Original Qty Remaining Qty PurchR / Stock Mfg Part No. Description Due Date
03/24/2017 C53131 001 1 1 017254001 Engine Oil 05/31/2018
Reason for Past Due: [ ]
Date Shipped (if Available): [ ]

Sincerely,

Purchasing Officer: JOHN SMITH
Email: JSMITH@octa.net
Fax: (714) 555-1234

Page 72 of 238

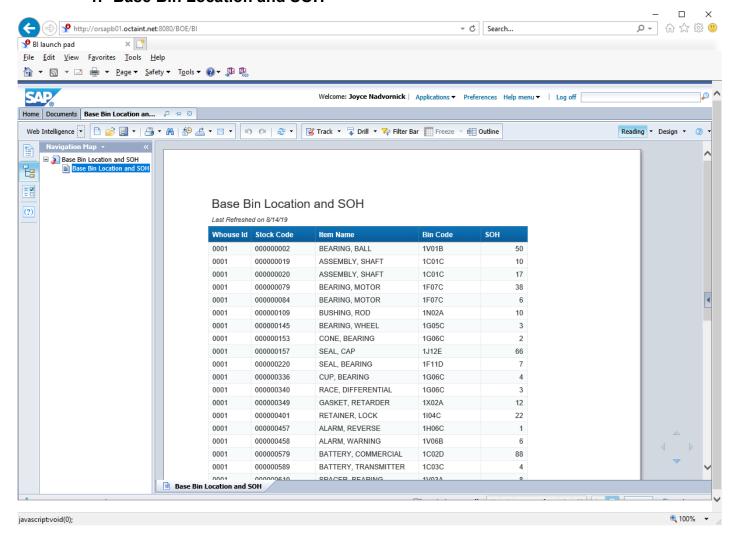
## 71 Business Objects Reports:

	System	Report Name
1	Inventory	Base Bin Location and SOH
2	Inventory	Base Parts Catalog
3	Inventory	Base Parts Catalog - R Stocks
4	Inventory	Comp to Receive
5	Inventory	Comp to Receive - All
6	Inventory	Daily Inventory Adjustments
7	Inventory	Daily Unactioned Recommended Orders (pause)
8	Inventory	Inventory Value
9	Inventory	Maintenance Hold List
10	Inventory	Non-Category Managed Inventory by Class
11	Inventory	Obsolete Parts Issued within Last Three Years
12	Inventory	Obsolete Stocks SOH
13	Inventory	Open Requisitions for Closed Work Orders
14	Inventory	Open Transfers that are Finalized
15	Inventory	Parts Charged to Insp BOs
16	Inventory	Parts Issued
17	Inventory	Parts used on and ONLY on selected Bus Series
18	Inventory	Past Due Purchase Orders
19	Inventory	Planned Transfers
20	Inventory	Receipts Detail
21	Inventory	Replenishment Review
22	Inventory	Requisitions - Pending - Not Finished
23	Inventory	Requisitions Older than 30 Days
24	Inventory	Shelf Life Items Expired or about to Expire
25	Inventory	Stock Code Used in Last 12 Months with Min/Max=0
26	Inventory	Unauthorized Transfers
27	Inventory	Warranty Daily Stock on Hand
28	Inventory	Warranty Open Discrepancy
29	Maintenance	Active Equipment Roster (Non-Revenue)
30	Maintenance	Active Equipment Roster (Revenue)
31	Maintenance	AQMD Quarterly
32	Maintenance	Brake Pit Work Orders for Last 30 Days
33	Maintenance	Condition Monitoring Report - Last 7 Days
34	Maintenance	Condition Monitoring Report
35	Maintenance	Contingency Bus - Work Orders
36	Maintenance	Contingency Bus Tracking
37	Maintenance	Employee Labor Time Report - 2 Days Prior
38	Maintenance	Employee Labor Time Report
39	Maintenance	Equipment Movement - Last 7 Days
40	Maintenance	Equipment Movement (with Prompt)

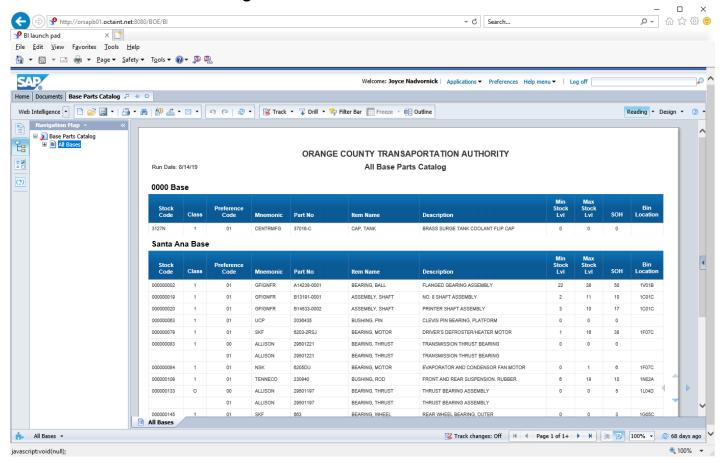
41MaintenanceEquipment Status - Last 7 Days42MaintenanceEquipment Status (with Prompt)43MaintenanceFacilities Bonus - Monthly Review44MaintenanceFire Extinguisher Bottles Due45MaintenanceFire Extinguisher Bottles Due46MaintenanceLabor & Parts Cost47MaintenanceNABI - NF Vehicle Transfer48MaintenanceNon-Revenue Vehicles49MaintenanceOpacity50MaintenancePNR Facilities - Labor & Parts Cost (Last 6 Months)51MaintenancePNR Facilities - Labor & Parts Cost52MaintenancePNR Facilities - Labor & Parts Cost53MaintenanceRoad Call Review53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed Jast 20 days60MaintenanceWork Orders - Closed Since Date prompt61MaintenanceWork Orders - Closed Jast 30 days62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.Pos with Expiration Dates Purchasing65Misc.Repair Costs (Accounting)67Misc.Vehicle Search68Pur			
43MaintenanceFacilities Bonus - Monthly Review44MaintenanceFacilities Response Time to Critical Equipment45MaintenanceFire Extinguisher Bottles Due46MaintenanceLabor & Parts Cost47MaintenanceNABI - NF Vehicle Transfer48MaintenanceNon-Revenue Vehicles49MaintenanceOpacity50MaintenancePNR Facilities - Labor & Parts Cost (Last 6 Months)51MaintenancePNR Facilities - Labor & Parts Cost52MaintenanceRoad Call Review53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWeekly Warranty56MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed Since Date prompt60MaintenanceWork Orders - Closed Since Date prompt61MaintenanceWork Orders (Closed) - Standard Bus Inspection62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.Pos with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search <td< td=""><td>41</td><td>Maintenance</td><td>Equipment Status - Last 7 Days</td></td<>	41	Maintenance	Equipment Status - Last 7 Days
44 Maintenance Facilities Response Time to Critical Equipment 45 Maintenance Fire Extinguisher Bottles Due 46 Maintenance Labor & Parts Cost 47 Maintenance Non-Revenue Vehicles 48 Maintenance Opacity 50 Maintenance PNR Facilities - Labor & Parts Cost (Last 6 Months) 51 Maintenance PNR Facilities - Labor & Parts Cost 52 Maintenance Road Call Review 53 Maintenance Triennial Report - Fleet Inventory 54 Maintenance Vehicles - Defitment/Fitment History 55 Maintenance Weekly Warranty 56 Maintenance Work Orders - Closed (with Date Range Prompt) 57 Maintenance Work Orders - Closed in Current FY 58 Maintenance Work Orders - Closed Last 30 days 59 Maintenance Work Orders - Closed Since Date prompt 60 Maintenance Work Orders - Open 61 Maintenance Work Orders - Open 62 Misc. CAMM Year End Activity 63 Misc. Labor & Parts Cost (Accounting) 64 Misc. POs with Expiration Dates Purchasing 65 Misc. Repair Costs (Accounting) 66 Misc. Repair Costs (Accounting) 67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	42	Maintenance	Equipment Status (with Prompt)
45MaintenanceFire Extinguisher Bottles Due46MaintenanceLabor & Parts Cost47MaintenanceNABI – NF Vehicle Transfer48MaintenanceNon-Revenue Vehicles49MaintenanceOpacity50MaintenancePNR Facilities - Labor & Parts Cost (Last 6 Months)51MaintenancePNR Facilities - Labor & Parts Cost52MaintenanceRoad Call Review53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWork Orders - Closed (with Date Range Prompt)56MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed since Date prompt60MaintenanceWork Orders - Open61MaintenanceWork Orders (Closed) - Standard Bus Inspection62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.POs with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search68PurchasingContract Task Order69PurchasingMonthly Purchasing Activity70PurchasingUn-actioned ROs	43	Maintenance	Facilities Bonus - Monthly Review
46 Maintenance Labor & Parts Cost 47 Maintenance NABI – NF Vehicle Transfer 48 Maintenance Non-Revenue Vehicles 49 Maintenance Opacity 50 Maintenance PNR Facilities - Labor & Parts Cost (Last 6 Months) 51 Maintenance PNR Facilities - Labor & Parts Cost 52 Maintenance Road Call Review 53 Maintenance Triennial Report - Fleet Inventory 54 Maintenance Vehicles - Defitment/Fitment History 55 Maintenance Weekly Warranty 56 Maintenance Work Orders - Closed (with Date Range Prompt) 57 Maintenance Work Orders - Closed in Current FY 58 Maintenance Work Orders - Closed Last 30 days 59 Maintenance Work Orders - Closed Since Date prompt 60 Maintenance Work Orders - Open 61 Maintenance Work Orders - Open 62 Misc. CAMM Year End Activity 63 Misc. Labor & Parts Cost (Accounting) 64 Misc. POs with Expiration Dates Purchasing 65 Misc. Repair Costs (Accounting) 66 Misc. Repair Costs (Accounting) 67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	44	Maintenance	Facilities Response Time to Critical Equipment
47MaintenanceNABI – NF Vehicle Transfer48MaintenanceNon-Revenue Vehicles49MaintenanceOpacity50MaintenancePNR Facilities - Labor & Parts Cost (Last 6 Months)51MaintenancePNR Facilities - Labor & Parts Cost52MaintenanceRoad Call Review53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed since Date prompt60MaintenanceWork Orders - Open61MaintenanceWork Orders (Closed) - Standard Bus Inspection62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.POs with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search68PurchasingContract Task Order69PurchasingMonthly Purchasing Activity70PurchasingUn-actioned ROs	45	Maintenance	Fire Extinguisher Bottles Due
48MaintenanceNon-Revenue Vehicles49MaintenancePNR Facilities - Labor & Parts Cost (Last 6 Months)50MaintenancePNR Facilities - Labor & Parts Cost51MaintenancePNR Facilities - Labor & Parts Cost52MaintenanceRoad Call Review53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed Since Date prompt60MaintenanceWork Orders - Open61MaintenanceWork Orders (Closed) - Standard Bus Inspection62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.POs with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search68PurchasingContract Task Order69PurchasingMonthly Purchasing Activity70PurchasingUn-actioned ROs	46	Maintenance	Labor & Parts Cost
49MaintenanceOpacity50MaintenancePNR Facilities - Labor & Parts Cost (Last 6 Months)51MaintenancePNR Facilities - Labor & Parts Cost52MaintenanceRoad Call Review53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed since Date prompt60MaintenanceWork Orders - Open61MaintenanceWork Orders (Closed) - Standard Bus Inspection62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.POs with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search68PurchasingContract Task Order69PurchasingMonthly Purchasing Activity70PurchasingUn-actioned ROs	47	Maintenance	NABI – NF Vehicle Transfer
50MaintenancePNR Facilities - Labor & Parts Cost (Last 6 Months)51MaintenancePNR Facilities - Labor & Parts Cost52MaintenanceRoad Call Review53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWeekly Warranty56MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed since Date prompt60MaintenanceWork Orders - Open61MaintenanceWork Orders (Closed) - Standard Bus Inspection62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.POs with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search68PurchasingContract Task Order69PurchasingMonthly Purchasing Activity70PurchasingUn-actioned ROs	48	Maintenance	Non-Revenue Vehicles
51MaintenancePNR Facilities - Labor & Parts Cost52MaintenanceRoad Call Review53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWeekly Warranty56MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed since Date prompt60MaintenanceWork Orders - Open61MaintenanceWork Orders (Closed) - Standard Bus Inspection62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.POs with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search68PurchasingContract Task Order69PurchasingMonthly Purchasing Activity70PurchasingUn-actioned ROs	49	Maintenance	Opacity
52MaintenanceRoad Call Review53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWeekly Warranty56MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed since Date prompt60MaintenanceWork Orders (Closed) - Standard Bus Inspection61Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.POs with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search68PurchasingContract Task Order69PurchasingMonthly Purchasing Activity70PurchasingUn-actioned ROs	50	Maintenance	PNR Facilities - Labor & Parts Cost (Last 6 Months)
53MaintenanceTriennial Report - Fleet Inventory54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWeekly Warranty56MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed since Date prompt60MaintenanceWork Orders - Open61MaintenanceWork Orders (Closed) - Standard Bus Inspection62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.POs with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search68PurchasingContract Task Order69PurchasingMonthly Purchasing Activity70PurchasingUn-actioned ROs	51	Maintenance	PNR Facilities - Labor & Parts Cost
54MaintenanceVehicles - Defitment/Fitment History55MaintenanceWeekly Warranty56MaintenanceWork Orders - Closed (with Date Range Prompt)57MaintenanceWork Orders - Closed in Current FY58MaintenanceWork Orders - Closed Last 30 days59MaintenanceWork Orders - Closed since Date prompt60MaintenanceWork Orders (Closed) - Standard Bus Inspection61MaintenanceWork Orders (Closed) - Standard Bus Inspection62Misc.CAMM Year End Activity63Misc.Labor & Parts Cost (Accounting)64Misc.POs with Expiration Dates Purchasing65Misc.Purchase Requisition Not Ordered66Misc.Repair Costs (Accounting)67Misc.Vehicle Search68PurchasingContract Task Order69PurchasingMonthly Purchasing Activity70PurchasingUn-actioned ROs	52	Maintenance	Road Call Review
Maintenance Weekly Warranty  Maintenance Work Orders - Closed (with Date Range Prompt)  Maintenance Work Orders - Closed in Current FY  Maintenance Work Orders - Closed Last 30 days  Maintenance Work Orders - Closed since Date prompt  Maintenance Work Orders - Open  Maintenance Work Orders (Closed) - Standard Bus Inspection  Misc. CAMM Year End Activity  Misc. Labor & Parts Cost (Accounting)  Misc. POs with Expiration Dates Purchasing  Misc. Purchase Requisition Not Ordered  Misc. Repair Costs (Accounting)  Misc. Vehicle Search  Purchasing Contract Task Order  Monthly Purchasing Activity  To Purchasing Un-actioned ROs	53	Maintenance	Triennial Report - Fleet Inventory
<ul> <li>Maintenance Work Orders - Closed (with Date Range Prompt)</li> <li>Maintenance Work Orders - Closed in Current FY</li> <li>Maintenance Work Orders - Closed Last 30 days</li> <li>Maintenance Work Orders - Closed Since Date prompt</li> <li>Maintenance Work Orders - Open</li> <li>Maintenance Work Orders (Closed) - Standard Bus Inspection</li> <li>Misc. CAMM Year End Activity</li> <li>Misc. Labor &amp; Parts Cost (Accounting)</li> <li>Misc. POs with Expiration Dates Purchasing</li> <li>Misc. Purchase Requisition Not Ordered</li> <li>Misc. Repair Costs (Accounting)</li> <li>Misc. Vehicle Search</li> <li>Purchasing Contract Task Order</li> <li>Purchasing Monthly Purchasing Activity</li> <li>Purchasing Un-actioned ROs</li> </ul>	54	Maintenance	Vehicles - Defitment/Fitment History
<ul> <li>Maintenance Work Orders - Closed in Current FY</li> <li>Maintenance Work Orders - Closed Last 30 days</li> <li>Maintenance Work Orders - Closed since Date prompt</li> <li>Maintenance Work Orders - Open</li> <li>Maintenance Work Orders (Closed) - Standard Bus Inspection</li> <li>Misc. CAMM Year End Activity</li> <li>Misc. Labor &amp; Parts Cost (Accounting)</li> <li>Misc. POs with Expiration Dates Purchasing</li> <li>Misc. Purchase Requisition Not Ordered</li> <li>Misc. Repair Costs (Accounting)</li> <li>Misc. Repair Costs (Accounting)</li> <li>Misc. Repair Costs (Accounting)</li> <li>Misc. Vehicle Search</li> <li>Purchasing Contract Task Order</li> <li>Purchasing Monthly Purchasing Activity</li> <li>Purchasing Un-actioned ROs</li> </ul>	55	Maintenance	Weekly Warranty
<ul> <li>Maintenance Work Orders - Closed Last 30 days</li> <li>Maintenance Work Orders - Closed since Date prompt</li> <li>Maintenance Work Orders - Open</li> <li>Maintenance Work Orders (Closed) - Standard Bus Inspection</li> <li>Misc. CAMM Year End Activity</li> <li>Misc. Labor &amp; Parts Cost (Accounting)</li> <li>Misc. POs with Expiration Dates Purchasing</li> <li>Misc. Purchase Requisition Not Ordered</li> <li>Misc. Repair Costs (Accounting)</li> <li>Misc. Repair Costs (Accounting)</li> <li>Misc. Vehicle Search</li> <li>Purchasing Contract Task Order</li> <li>Purchasing Monthly Purchasing Activity</li> <li>Purchasing Un-actioned ROs</li> </ul>	56	Maintenance	Work Orders - Closed (with Date Range Prompt)
<ul> <li>Maintenance Work Orders - Closed since Date prompt</li> <li>Maintenance Work Orders - Open</li> <li>Maintenance Work Orders (Closed) - Standard Bus Inspection</li> <li>Misc. CAMM Year End Activity</li> <li>Misc. Labor &amp; Parts Cost (Accounting)</li> <li>Misc. POs with Expiration Dates Purchasing</li> <li>Misc. Purchase Requisition Not Ordered</li> <li>Misc. Repair Costs (Accounting)</li> <li>Misc. Repair Costs (Accounting)</li> <li>Misc. Vehicle Search</li> <li>Purchasing Contract Task Order</li> <li>Purchasing Monthly Purchasing Activity</li> <li>Purchasing Un-actioned ROs</li> </ul>	57	Maintenance	Work Orders - Closed in Current FY
60 Maintenance Work Orders - Open 61 Maintenance Work Orders (Closed) - Standard Bus Inspection 62 Misc. CAMM Year End Activity 63 Misc. Labor & Parts Cost (Accounting) 64 Misc. POs with Expiration Dates Purchasing 65 Misc. Purchase Requisition Not Ordered 66 Misc. Repair Costs (Accounting) 67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	58	Maintenance	Work Orders - Closed Last 30 days
61 Maintenance Work Orders (Closed) - Standard Bus Inspection 62 Misc. CAMM Year End Activity 63 Misc. Labor & Parts Cost (Accounting) 64 Misc. POs with Expiration Dates Purchasing 65 Misc. Purchase Requisition Not Ordered 66 Misc. Repair Costs (Accounting) 67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	59	Maintenance	Work Orders - Closed since Date prompt
62 Misc. CAMM Year End Activity 63 Misc. Labor & Parts Cost (Accounting) 64 Misc. POs with Expiration Dates Purchasing 65 Misc. Purchase Requisition Not Ordered 66 Misc. Repair Costs (Accounting) 67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	60	Maintenance	Work Orders - Open
63 Misc. Labor & Parts Cost (Accounting) 64 Misc. POs with Expiration Dates Purchasing 65 Misc. Purchase Requisition Not Ordered 66 Misc. Repair Costs (Accounting) 67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	61	Maintenance	Work Orders (Closed) - Standard Bus Inspection
64 Misc. POs with Expiration Dates Purchasing 65 Misc. Purchase Requisition Not Ordered 66 Misc. Repair Costs (Accounting) 67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	62	Misc.	CAMM Year End Activity
65 Misc. Purchase Requisition Not Ordered 66 Misc. Repair Costs (Accounting) 67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	63	Misc.	Labor & Parts Cost (Accounting)
66 Misc. Repair Costs (Accounting) 67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	64	Misc.	POs with Expiration Dates Purchasing
67 Misc. Vehicle Search 68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	65	Misc.	Purchase Requisition Not Ordered
68 Purchasing Contract Task Order 69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	66	Misc.	Repair Costs (Accounting)
69 Purchasing Monthly Purchasing Activity 70 Purchasing Un-actioned ROs	67	Misc.	Vehicle Search
70 Purchasing Un-actioned ROs	68	Purchasing	Contract Task Order
ů –	69	Purchasing	Monthly Purchasing Activity
71   Purchasing   Unprinted Stock Purchase Orders (pause)	70	Purchasing	Un-actioned ROs
	71	Purchasing	Unprinted Stock Purchase Orders (pause)

These 71 Business Objects reports are depicted in screen shots below.

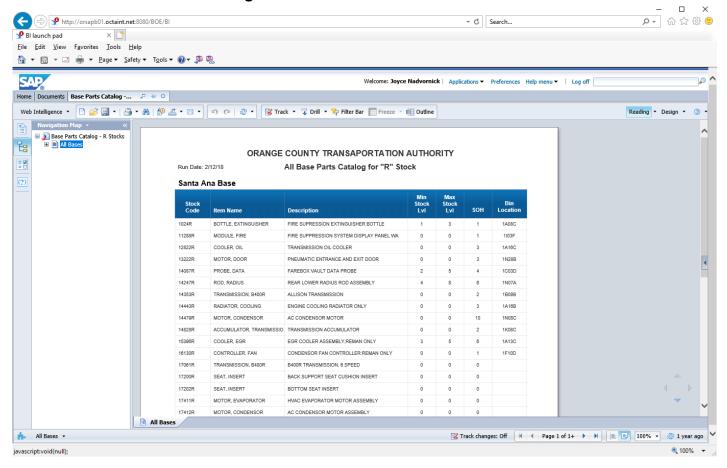
## 1. Base Bin Location and SOH\*



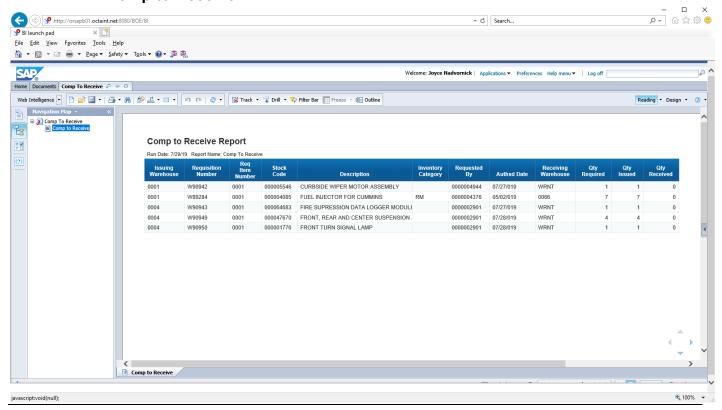
## 2. Base Parts Catalog



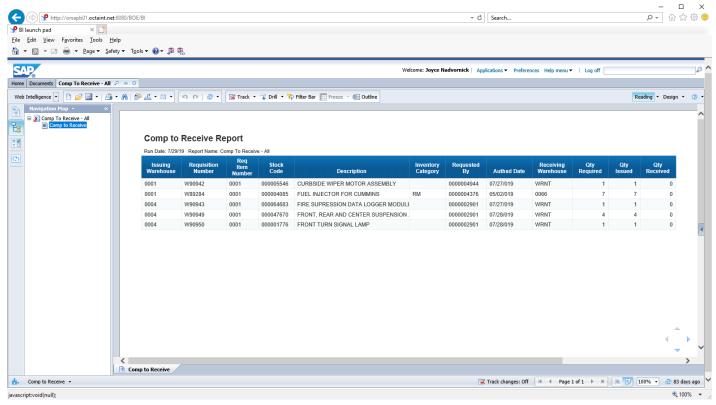
## 3. Base Parts Catalog - R Stocks\*



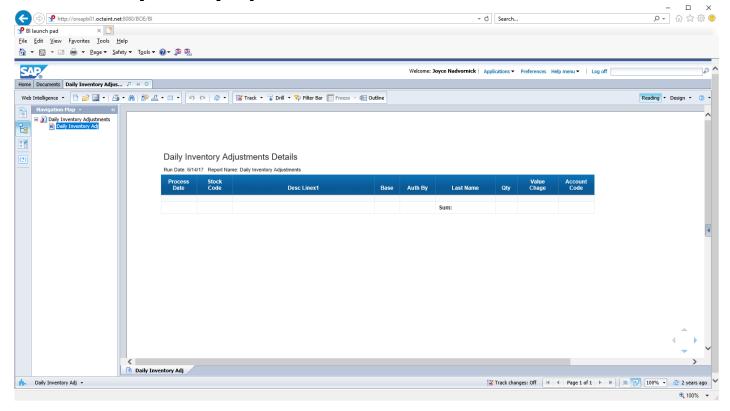
## 4. Comp to Receive

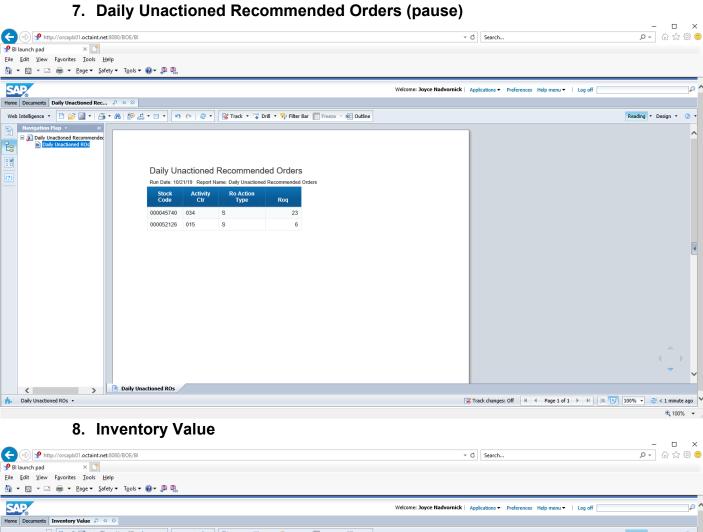


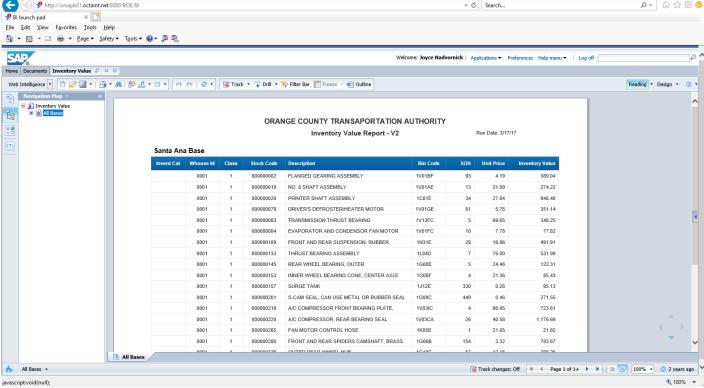
## 5. Comp to Receive - All\*



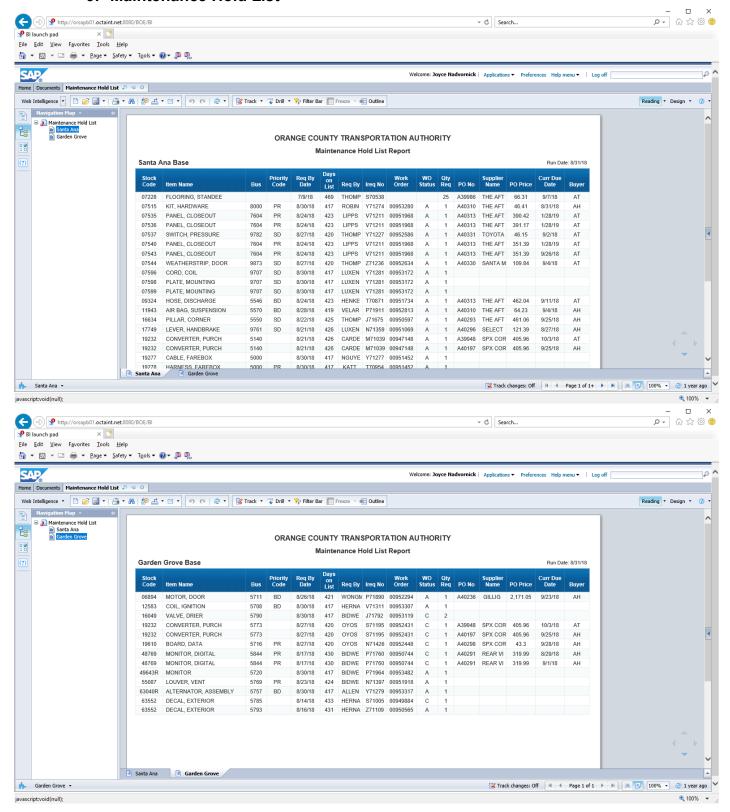
## 6. Daily Inventory Adjustments



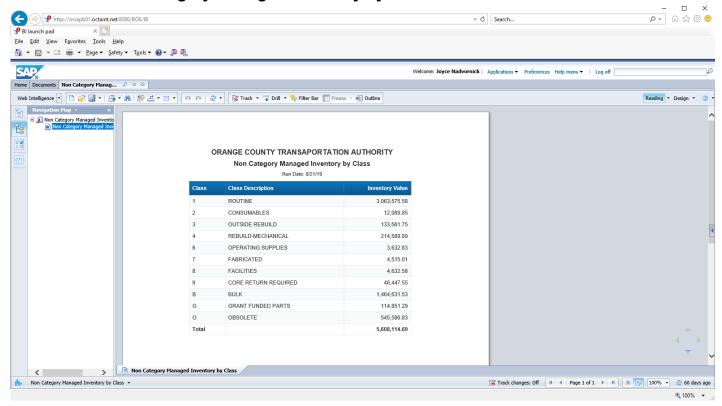




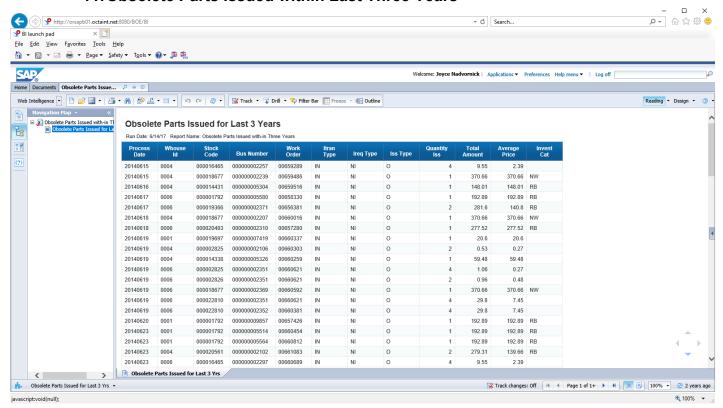
## 9. Maintenance Hold List



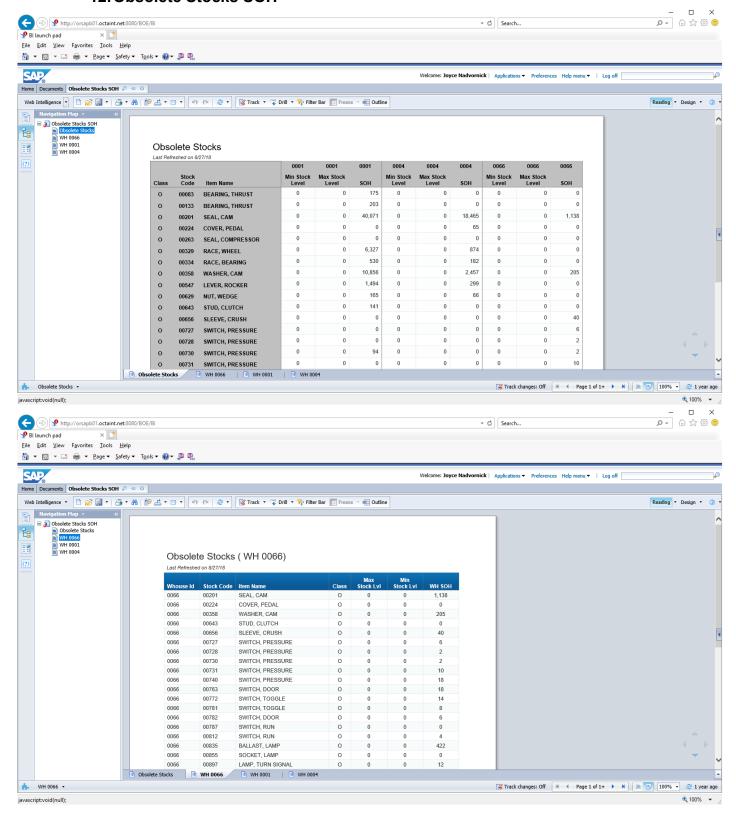
## 10. Non-Category Managed Inventory by Class\*

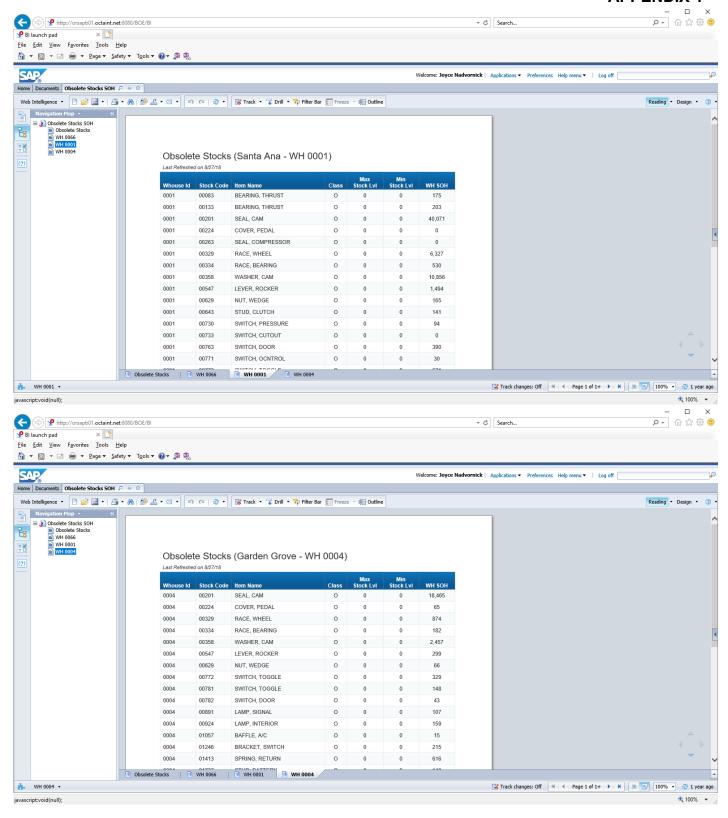


## 11. Obsolete Parts Issued within Last Three Years

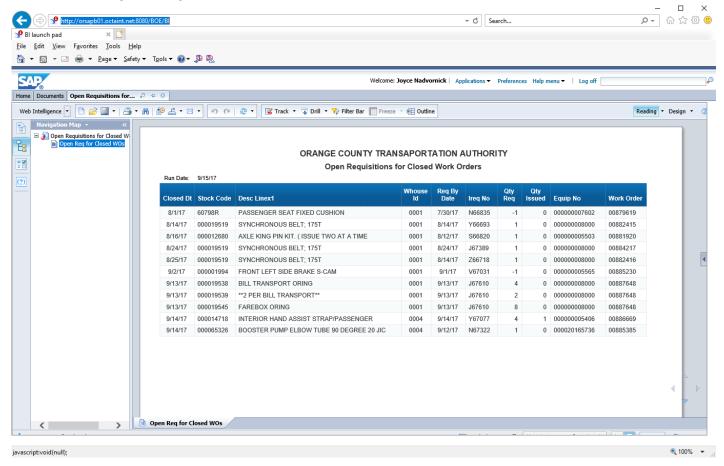


## 12. Obsolete Stocks SOH\*

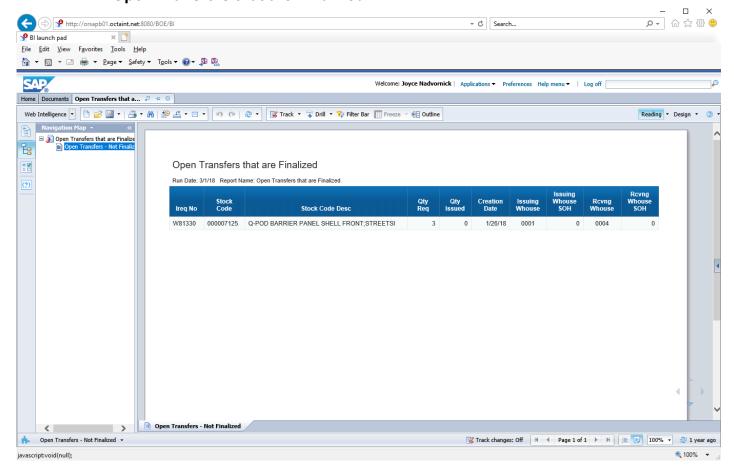




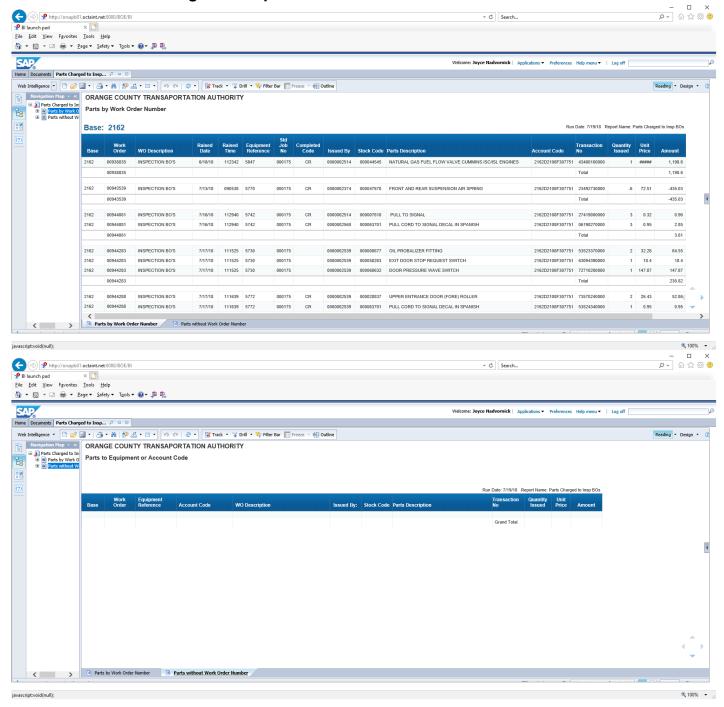
## 13. Open Requisitions for Closed Work Orders



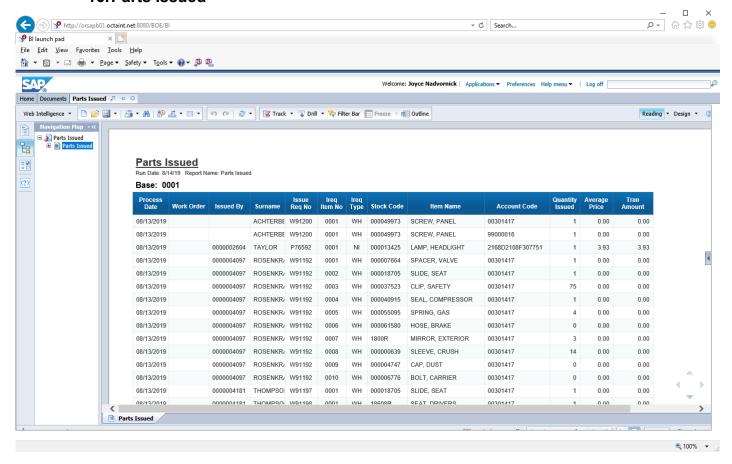
## 14. Open Transfers that are Finalized



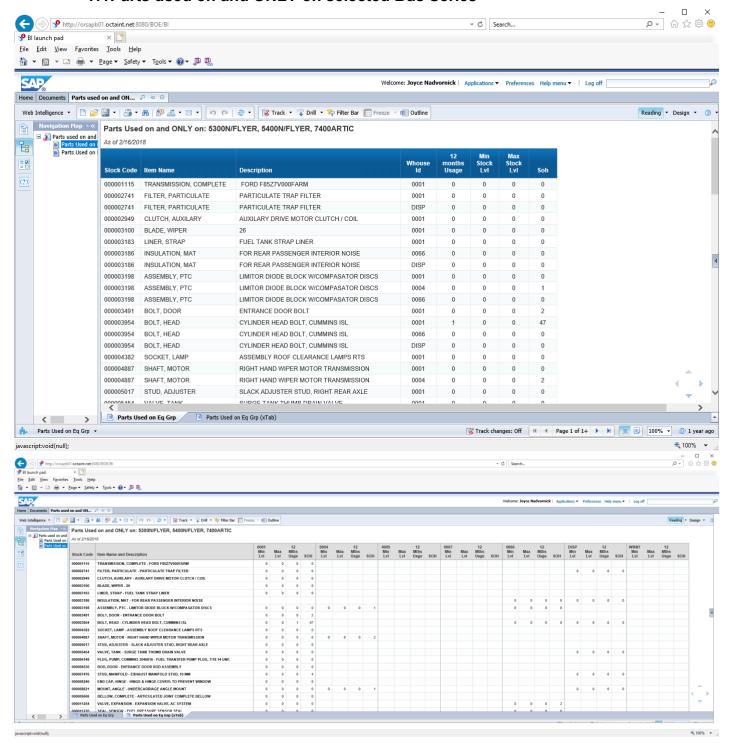
### 15. Parts Charged to Insp Bos\*



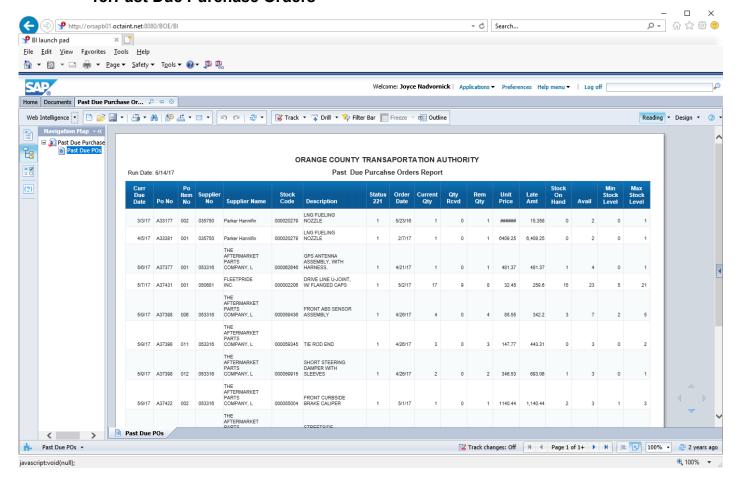
#### 16. Parts Issued



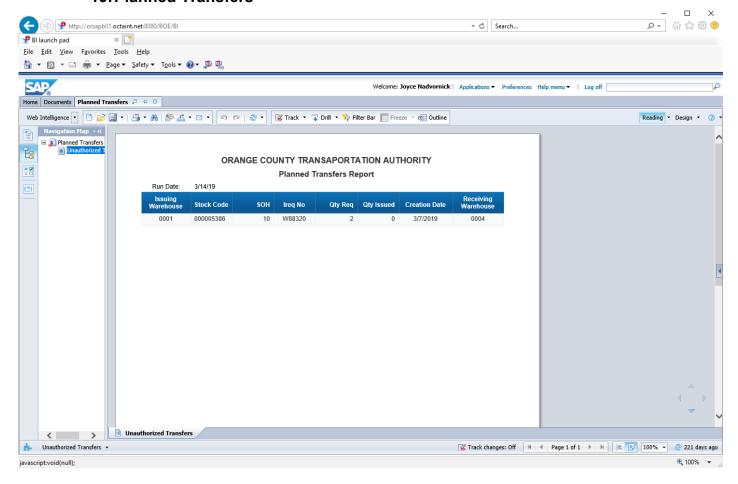
#### 17. Parts used on and ONLY on selected Bus Series\*



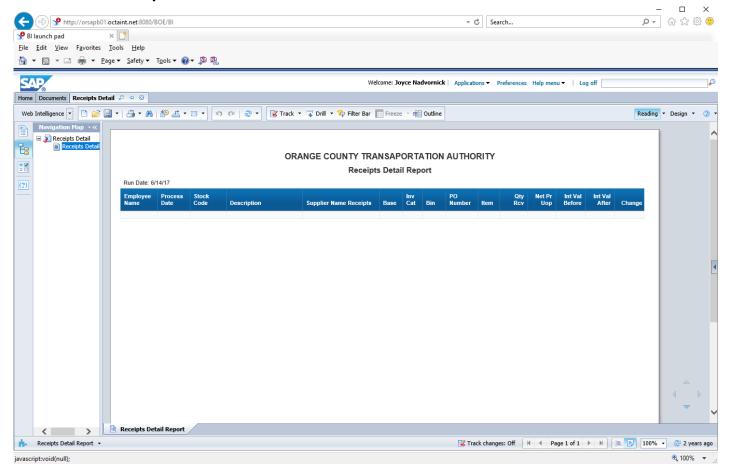
#### 18. Past Due Purchase Orders



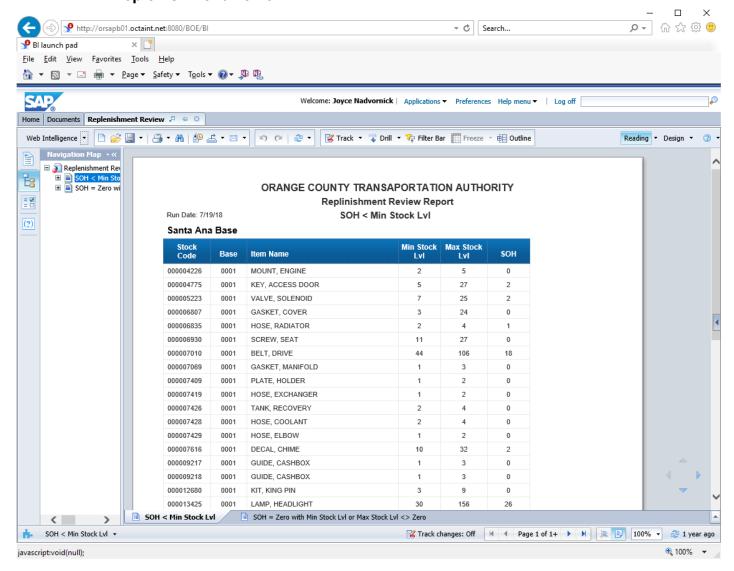
#### 19. Planned Transfers\*

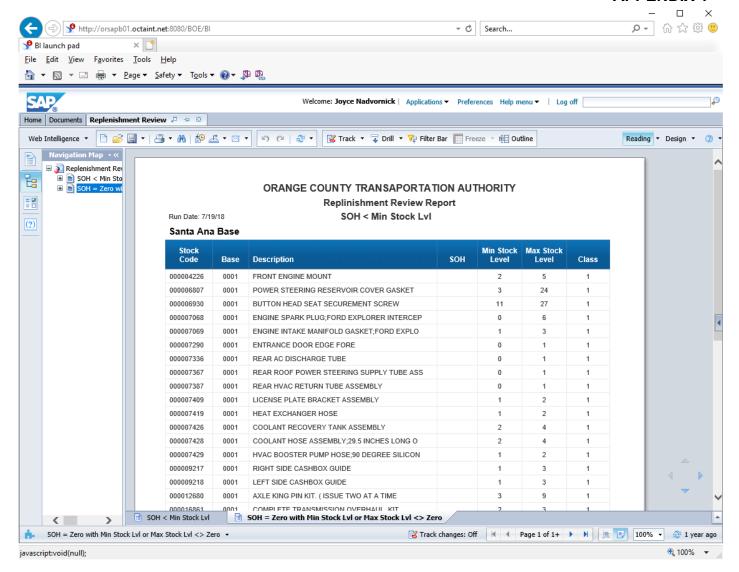


### 20. Receipts Detail

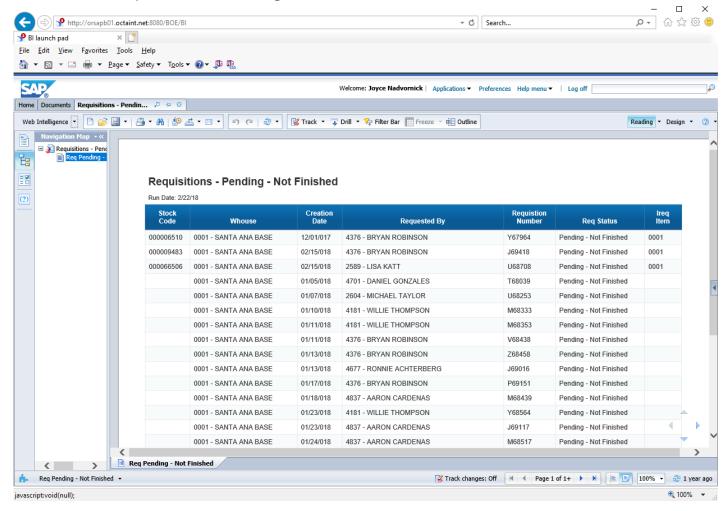


### 21. Replenishment Review

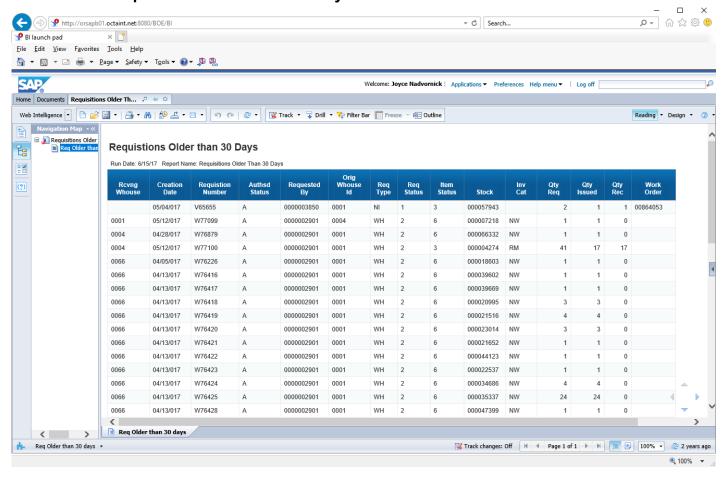




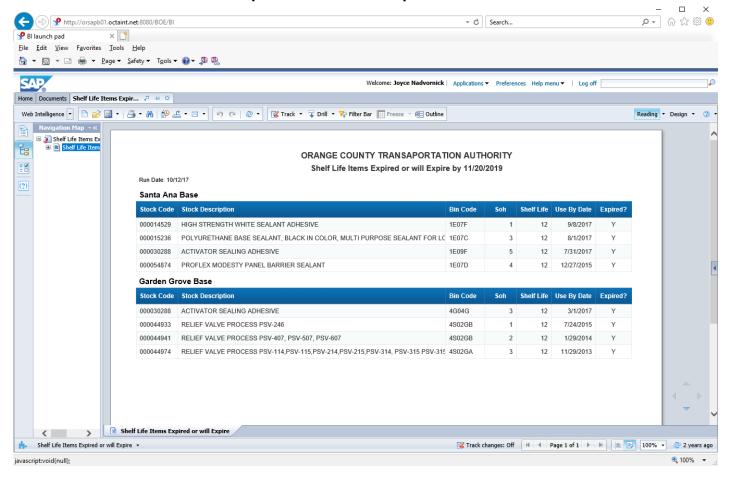
### 22. Requisitions - Pending - Not Finished\*



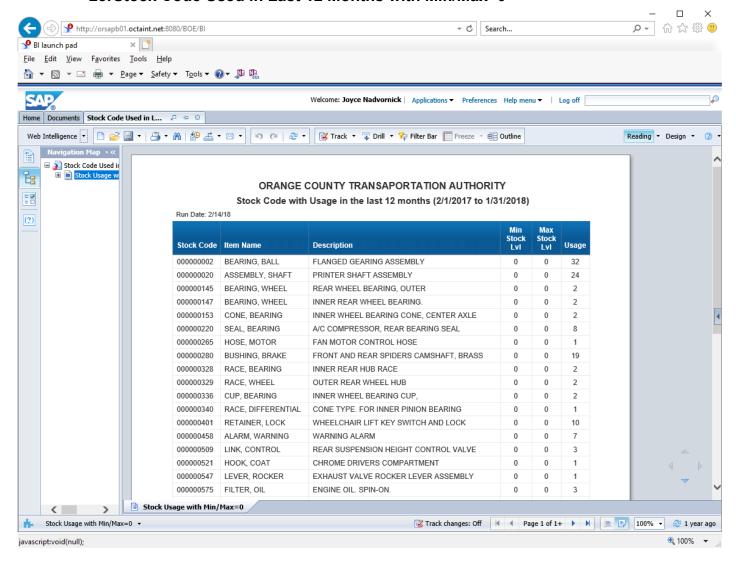
### 23. Requisitions Older than 30 Days



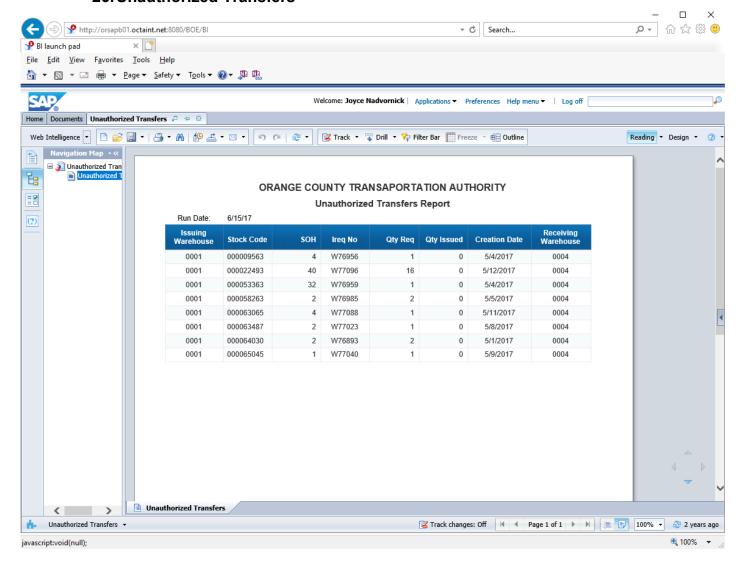
### 24. Shelf Life Items Expired or about to Expire\*



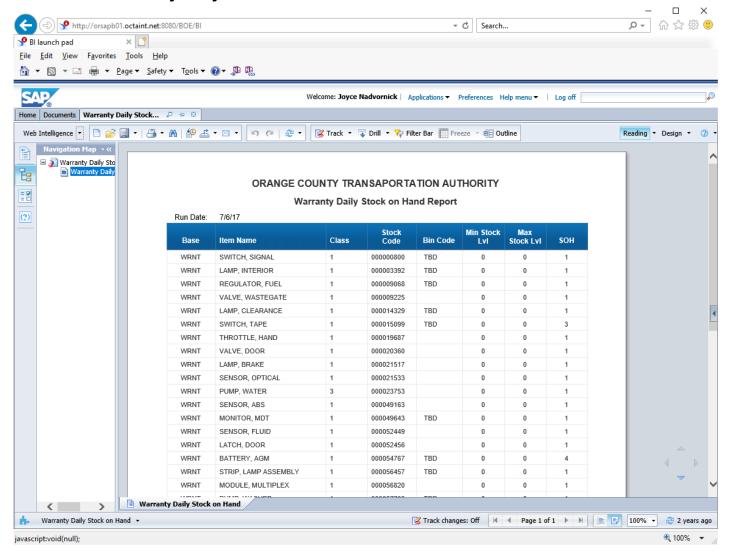
#### 25. Stock Code Used in Last 12 Months with Min/Max=0\*



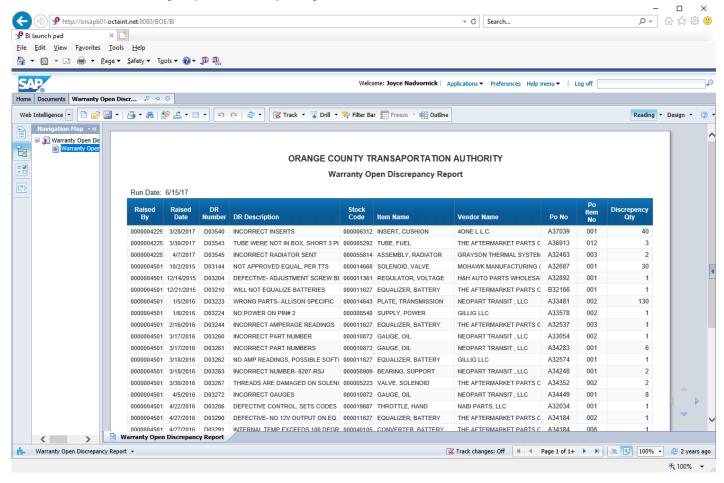
#### 26. Unauthorized Transfers



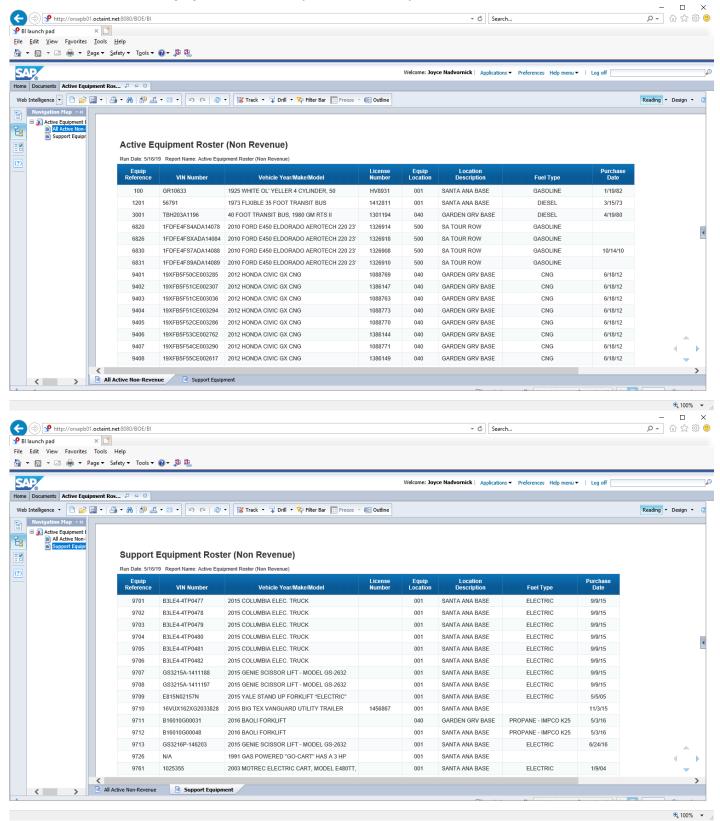
#### 27. Warranty Daily Stock on Hand



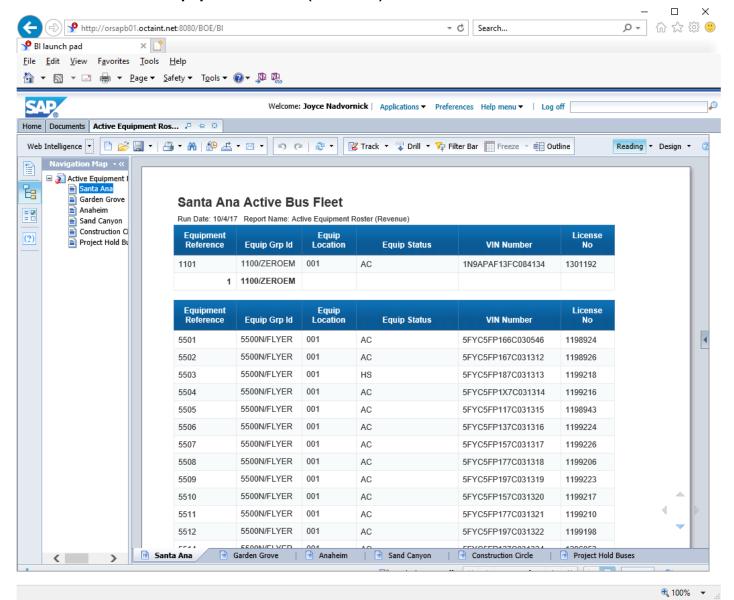
### 28. Warranty Open Discrepancy

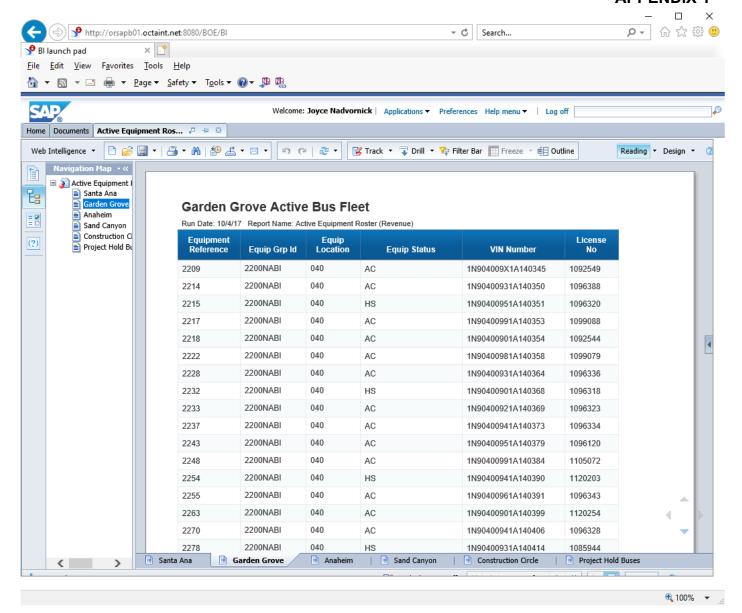


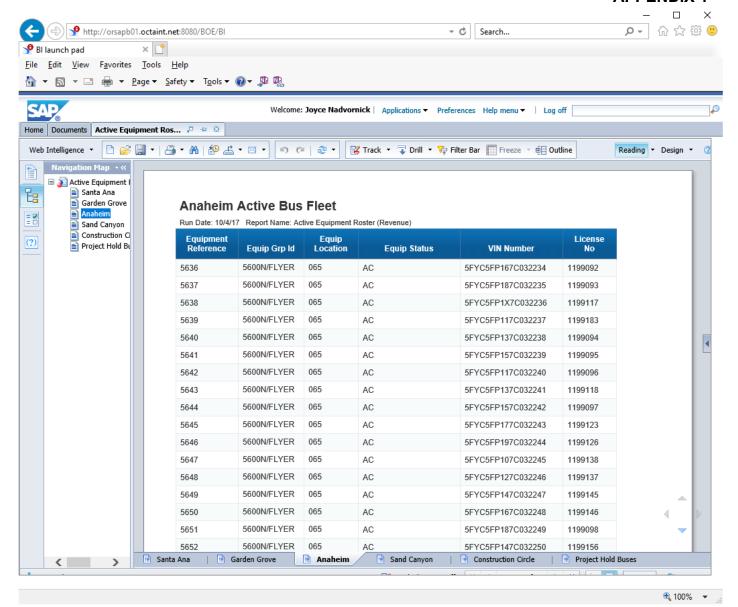
### 29. Active Equipment Roster (Non-Revenue)

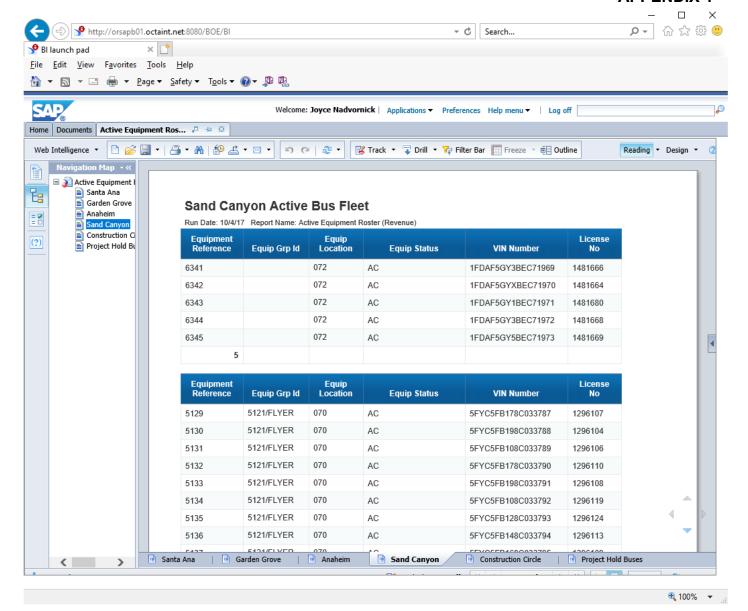


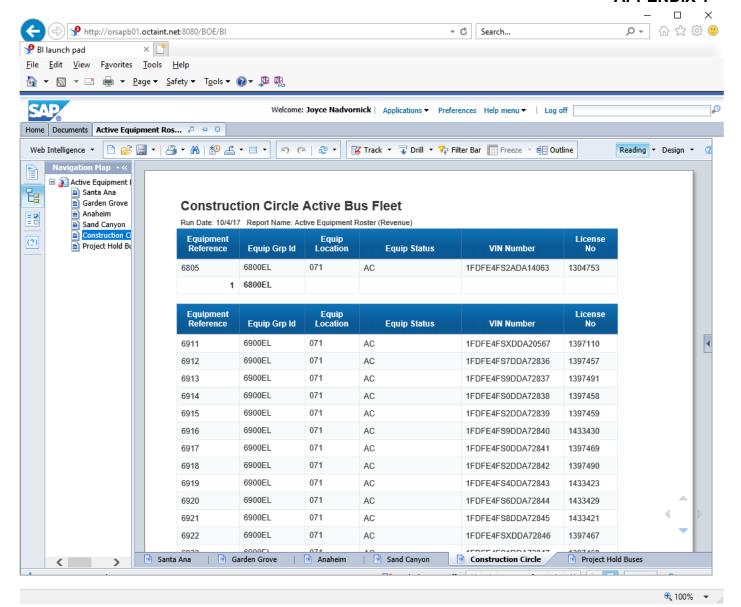
#### 30. Active Equipment Roster (Revenue)

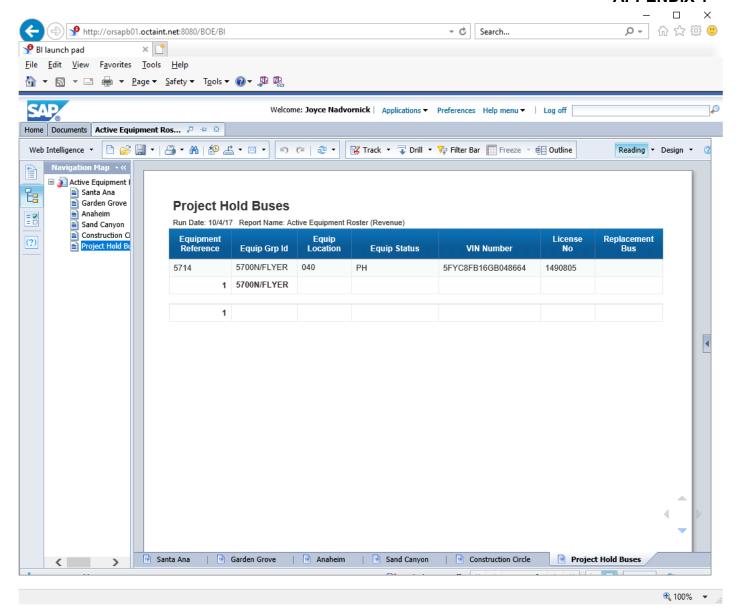




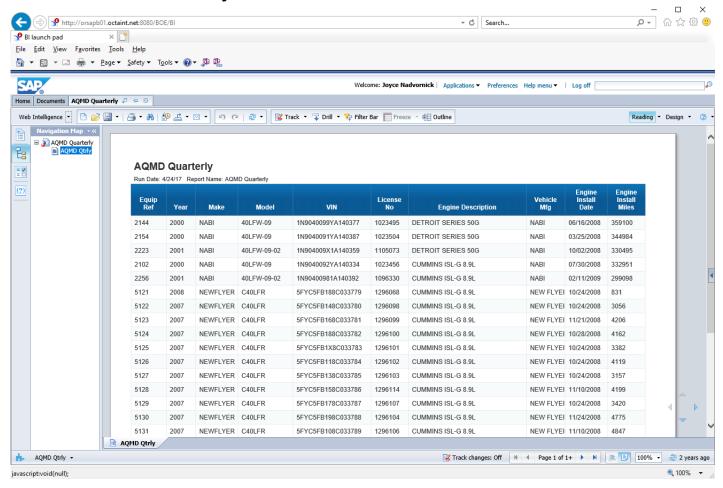




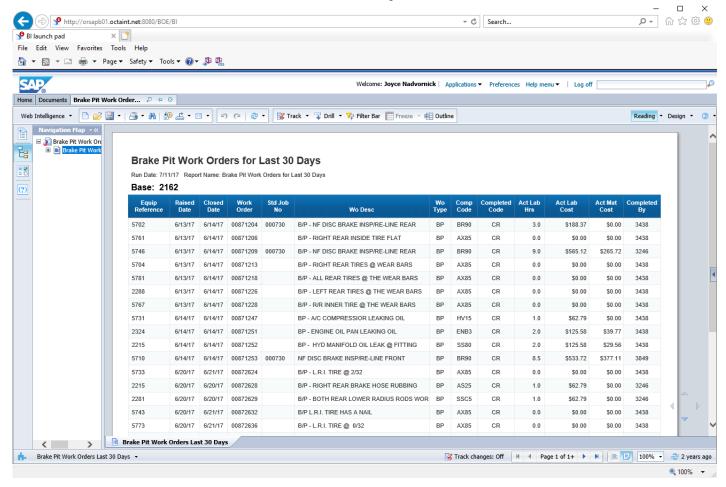




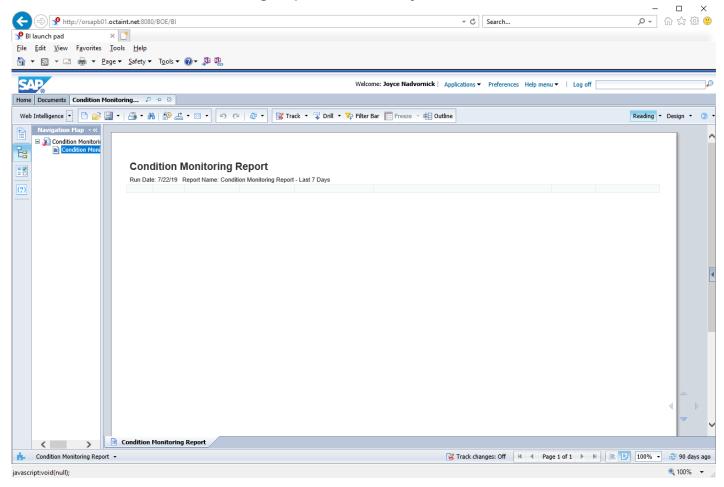
# 31. AQMD Quarterly



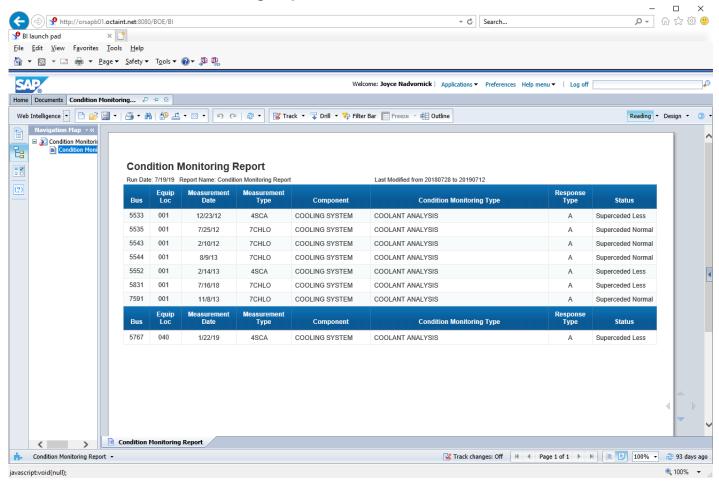
## 32. Brake Pit Work Orders for Last 30 Days



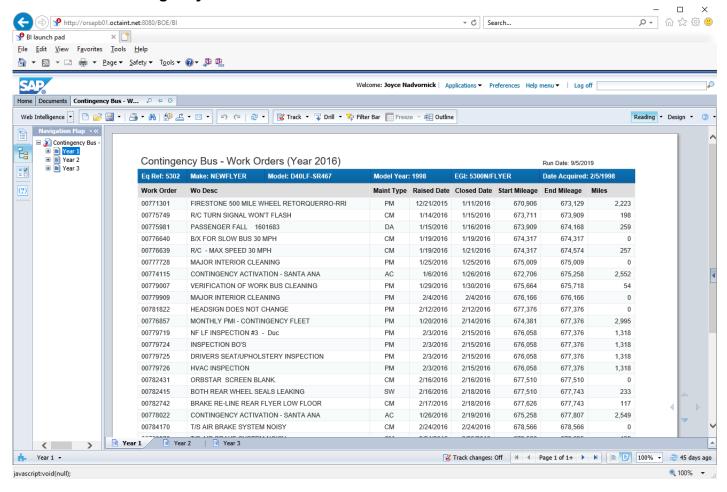
## 33. Condition Monitoring Report - Last 7 Days\*



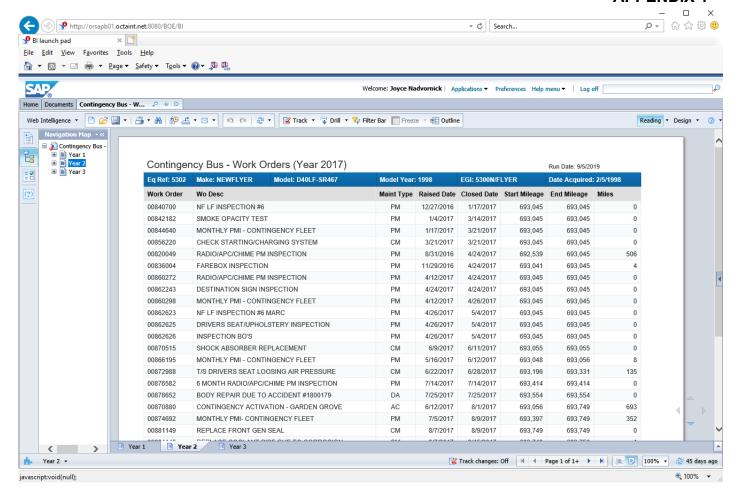
## 34. Condition Monitoring Report\*



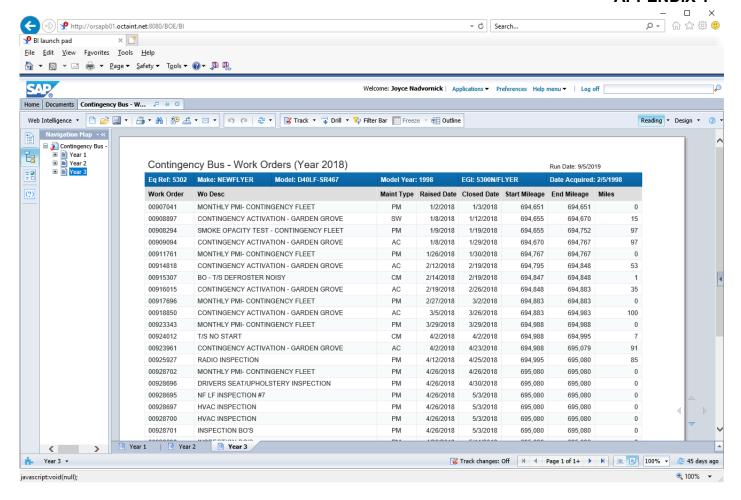
### 35. Contingency Bus - Work Orders\*

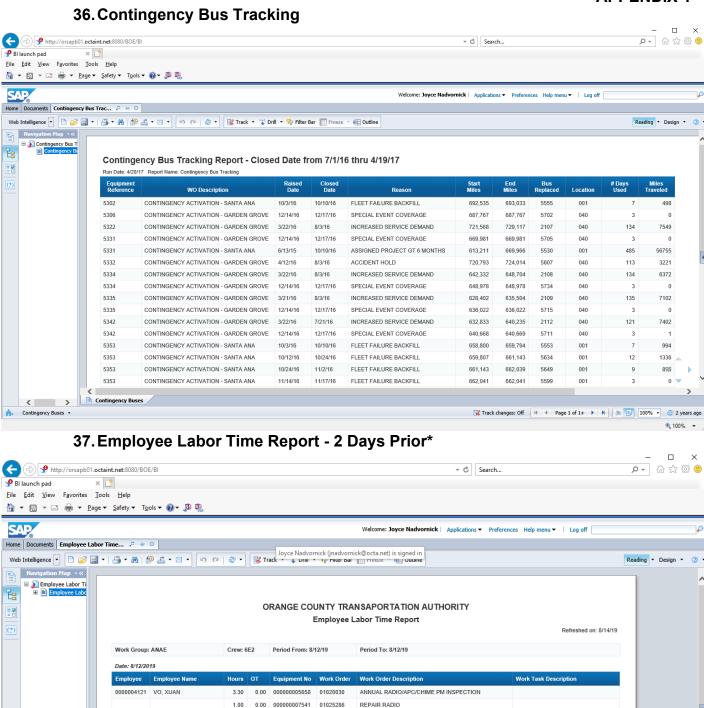


### RFP 0-2272 EXHIBIT A APPENDIX 1



### RFP 0-2272 EXHIBIT A APPENDIX 1





T/S DESTINATION SIGN

Period To: 8/12/19

ADVANCED TECHNICIAN - FLEET

T/S AUTOMATIC PASSENGER COUNTER (APC)

₫ 100% ▼

0.00 000000007507 01025288

0.00 000000007513 01025543

Period From: 8/12/19

000000002000 01024998

1.00 6.30

Crew: 1AT1

8.00 0.00

0.00

Work Group: ATM

0000002957 GALLEGOS, ANTONIO

Total

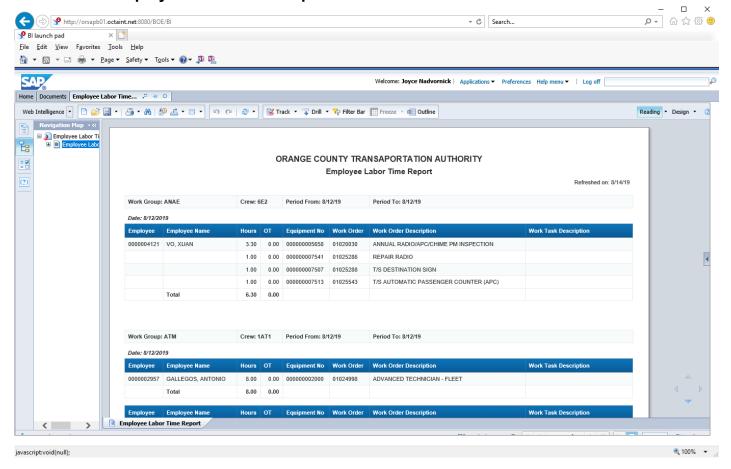
Date: 8/12/2019

Employee Labor Time Report

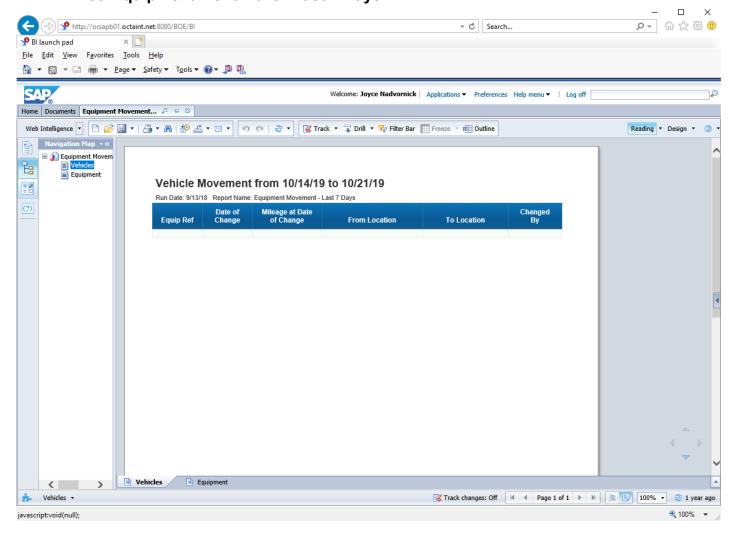
Employee Labor Time Report \*

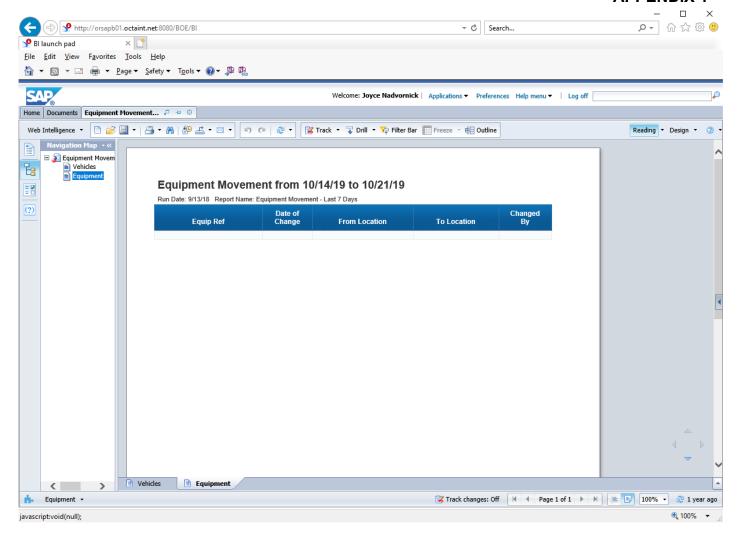
javascript:void(null);

## 38. Employee Labor Time Report\*

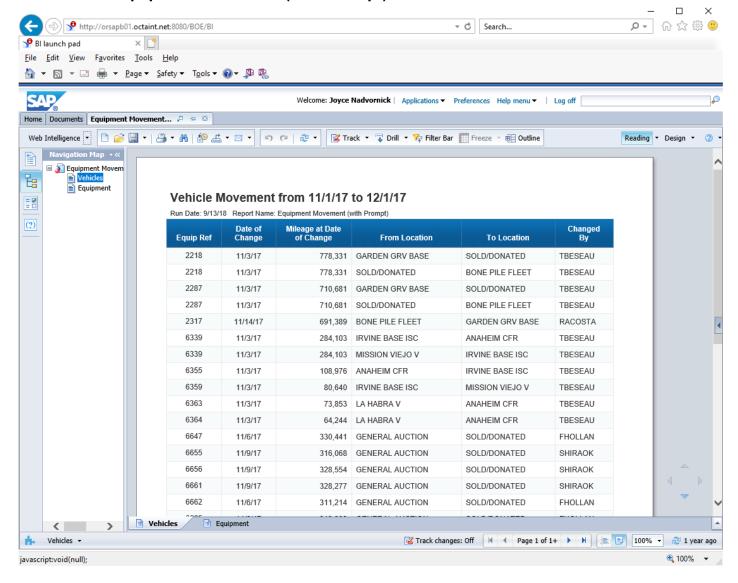


# 39. Equipment Movement - Last 7 Days\*

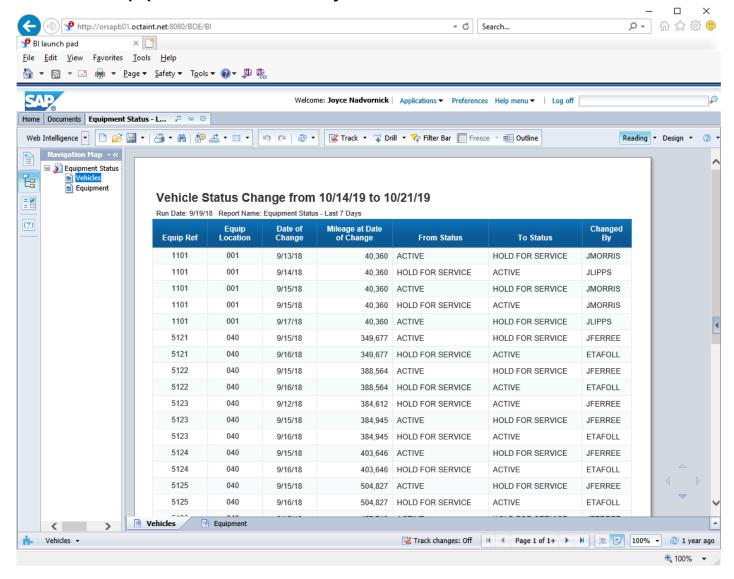


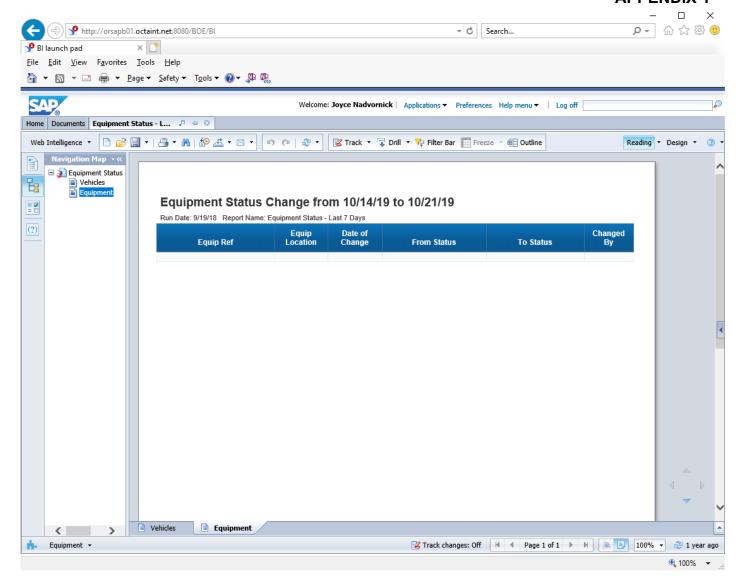


## 40. Equipment Movement (with Prompt) \*

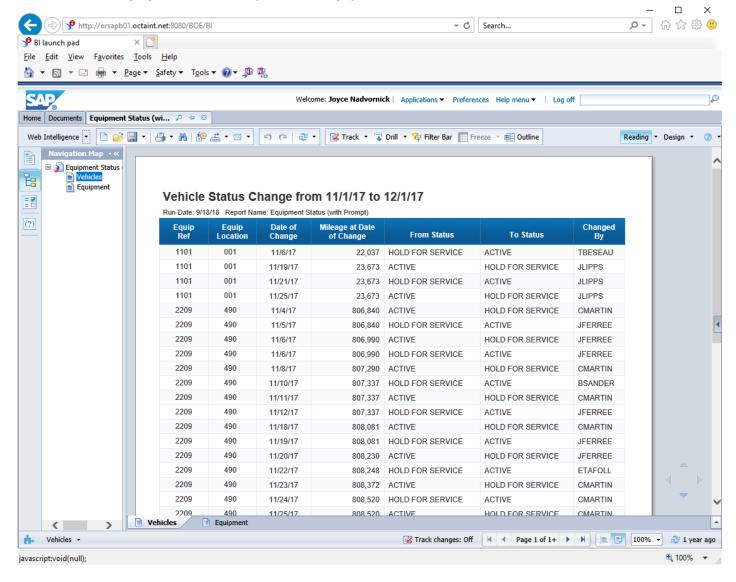


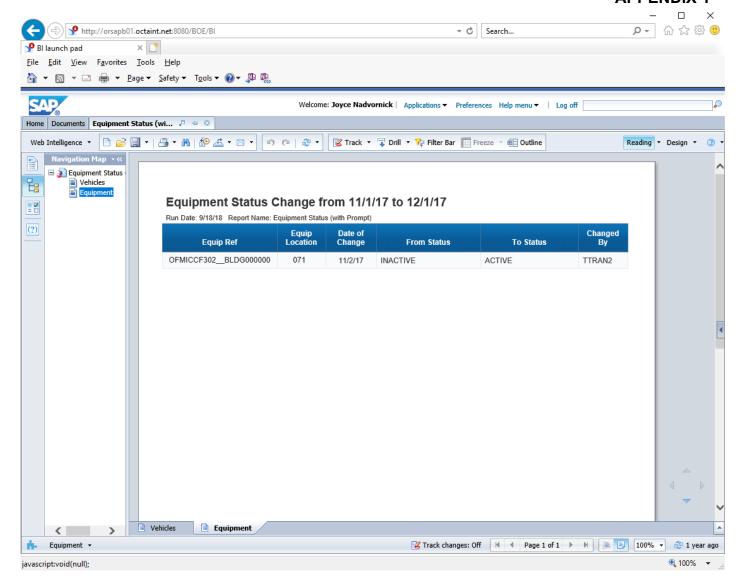
## 41. Equipment Status - Last 7 Days\*



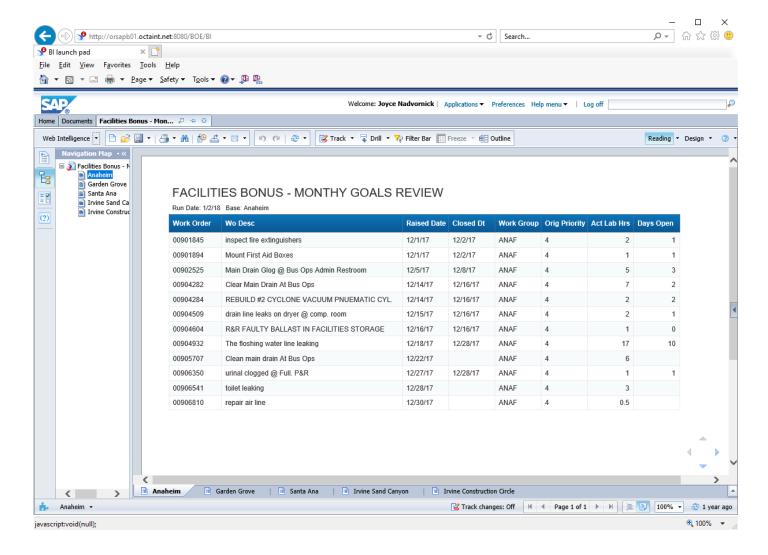


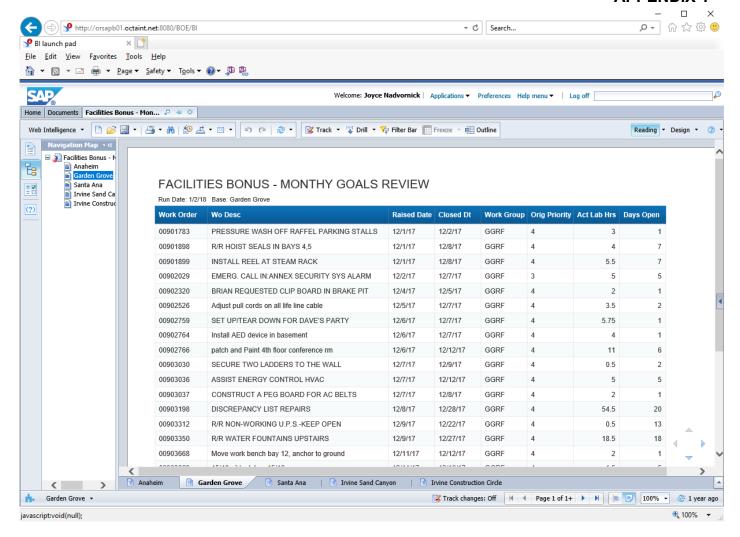
# 42. Equipment Status (with Prompt) \*

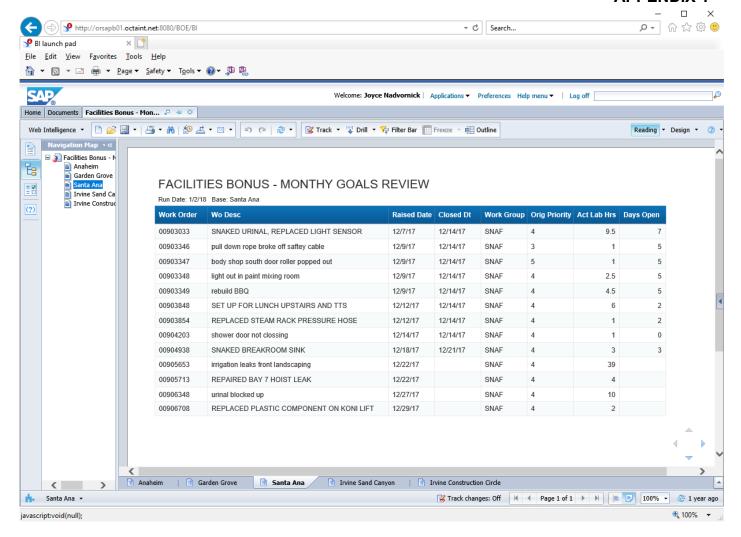


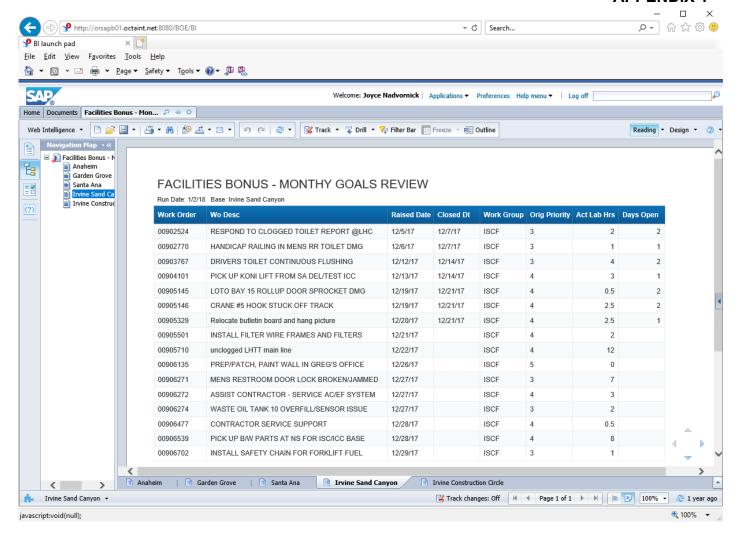


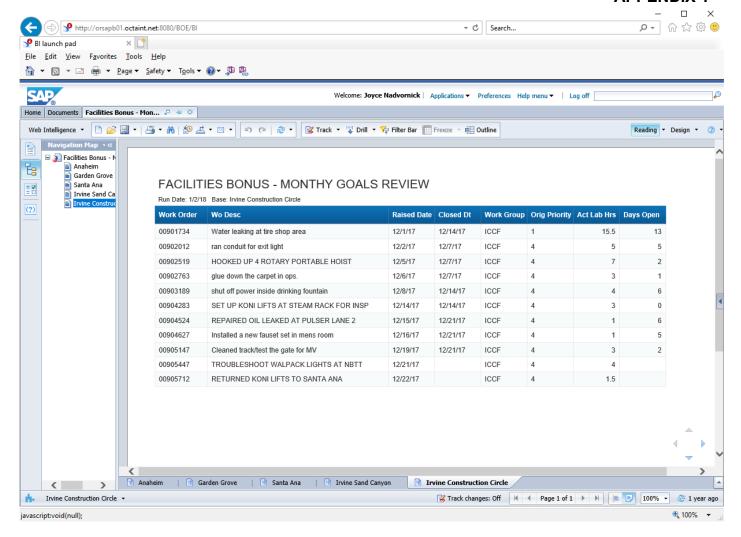
# 43. Facilities Bonus - Monthly Review\*



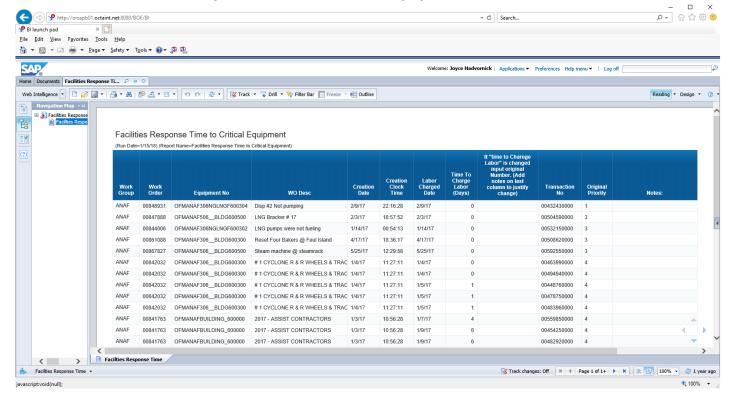




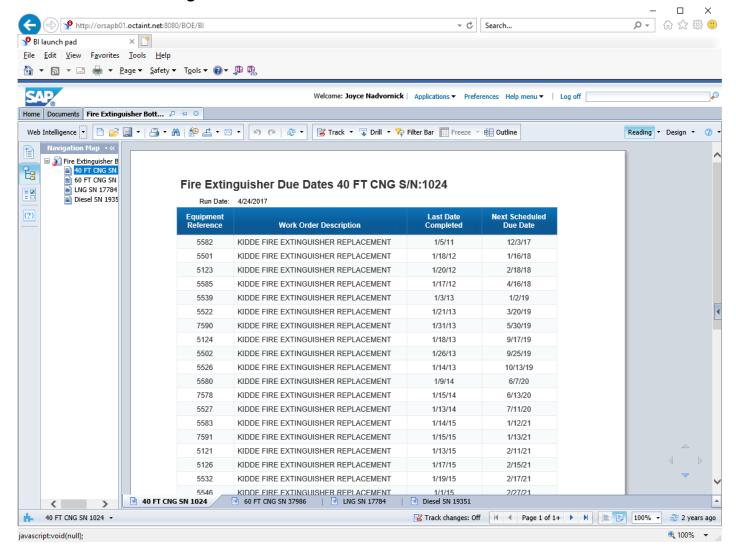




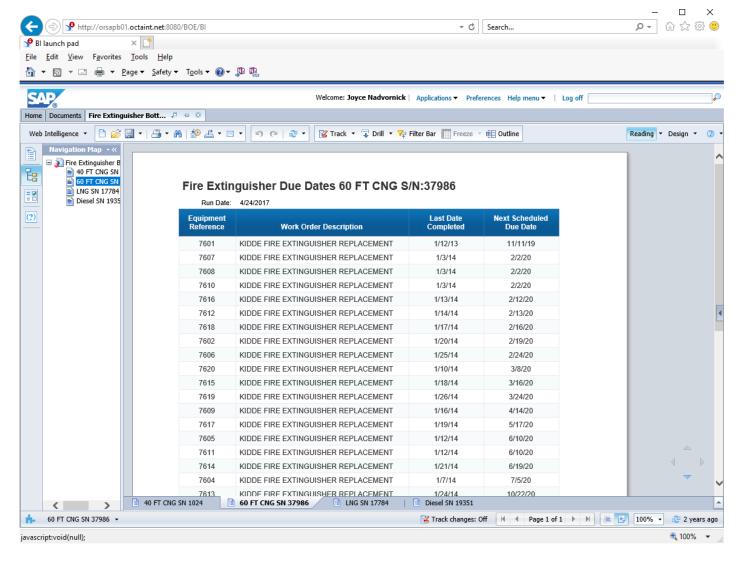
# 44. Facilities Response Time to Critical Equipment\*

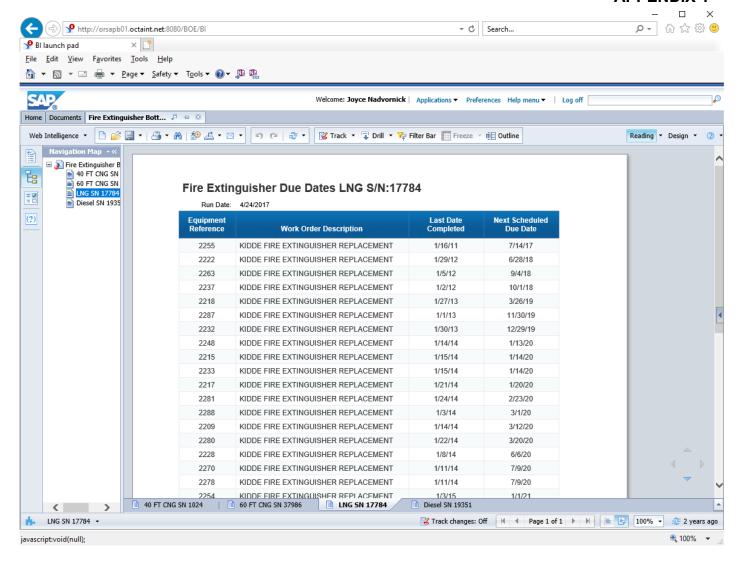


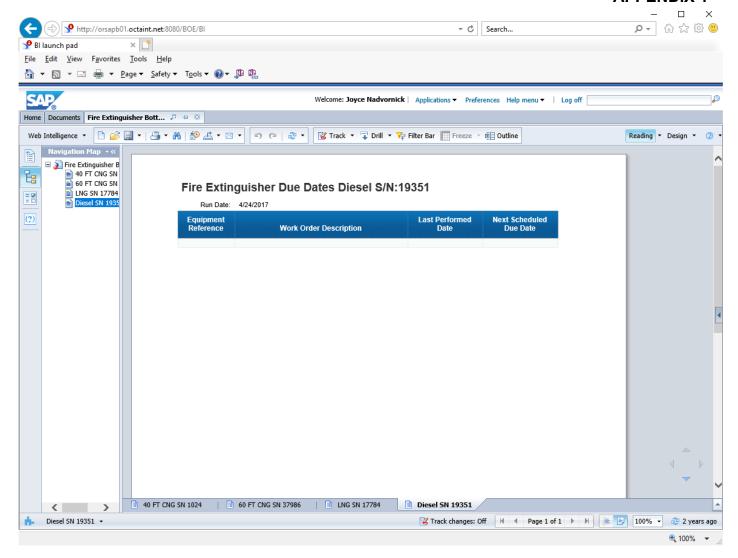
### 45. Fire Extinguisher Bottles Due



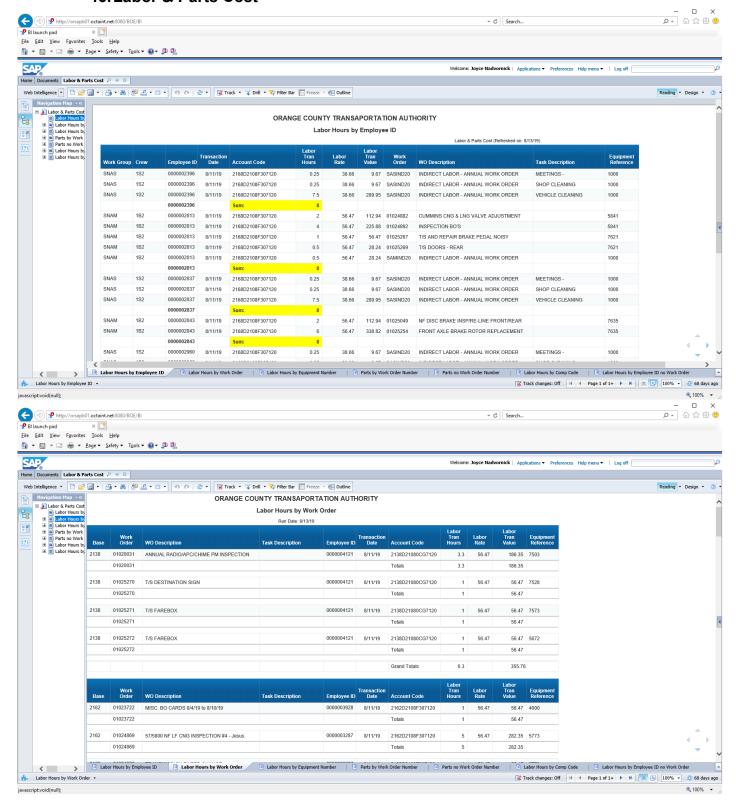
# ATTACHMENT A.2 RFP 0-2272

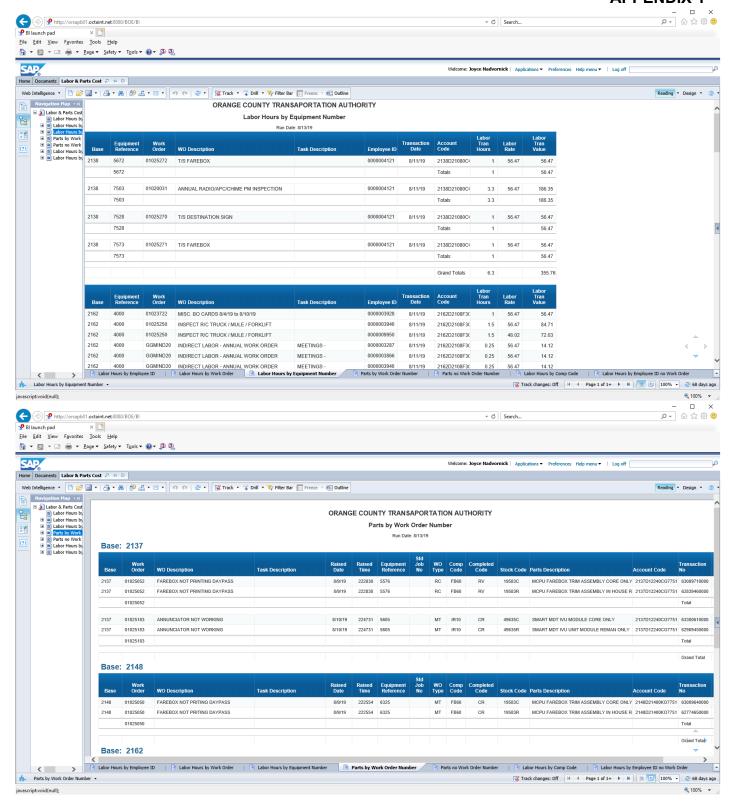


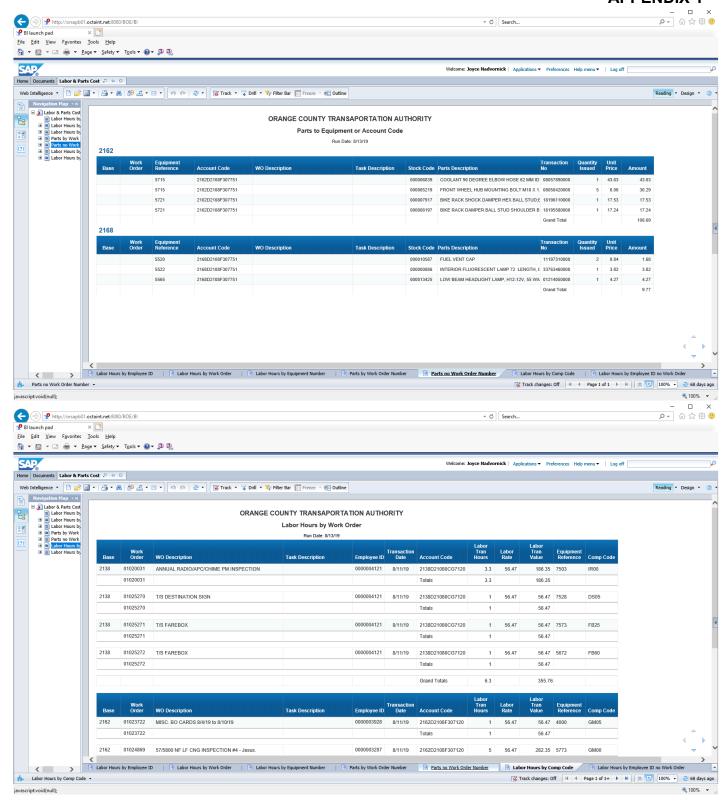


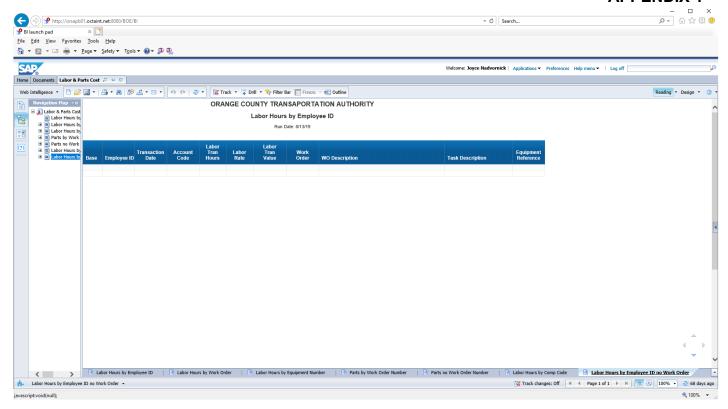


#### 46. Labor & Parts Cost

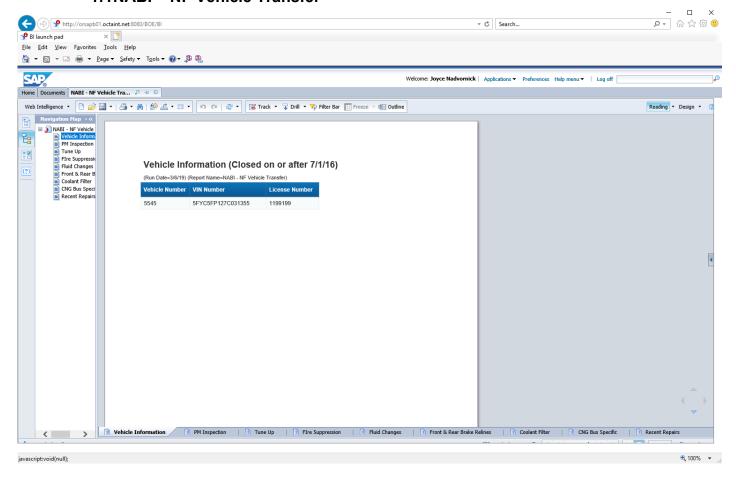


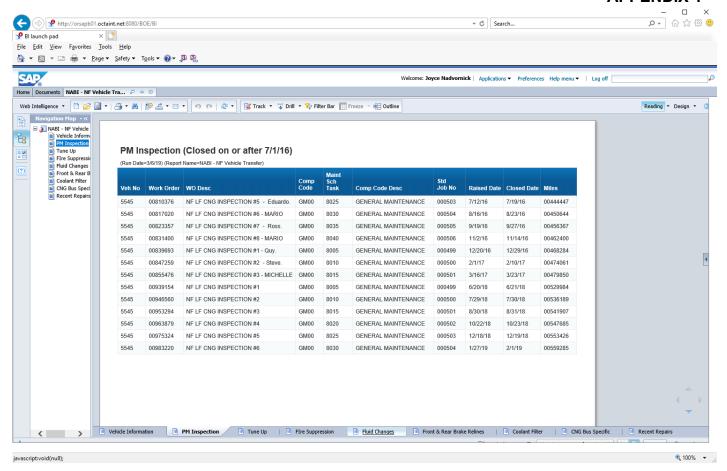


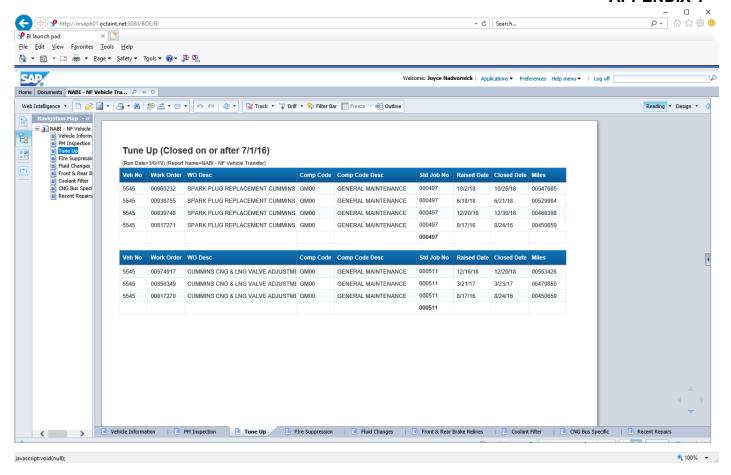


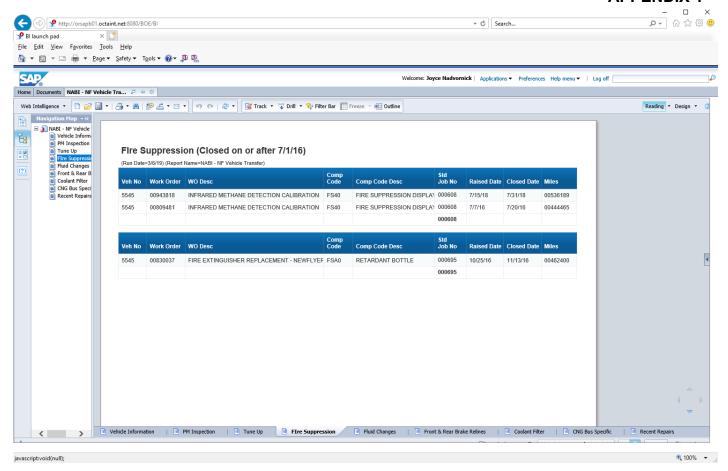


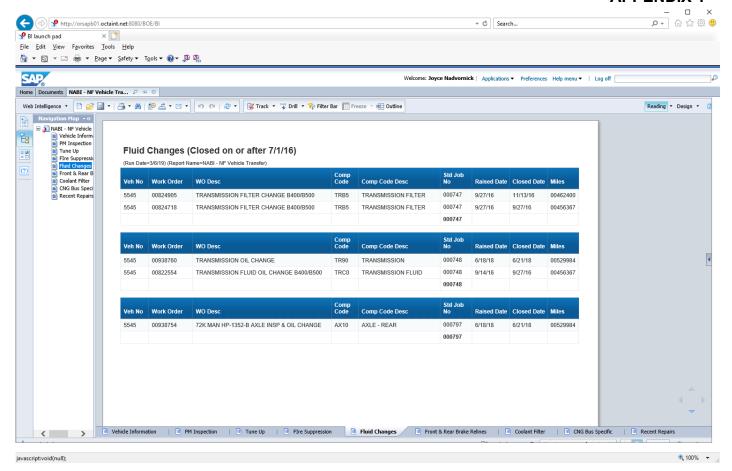
#### 47. NABI - NF Vehicle Transfer

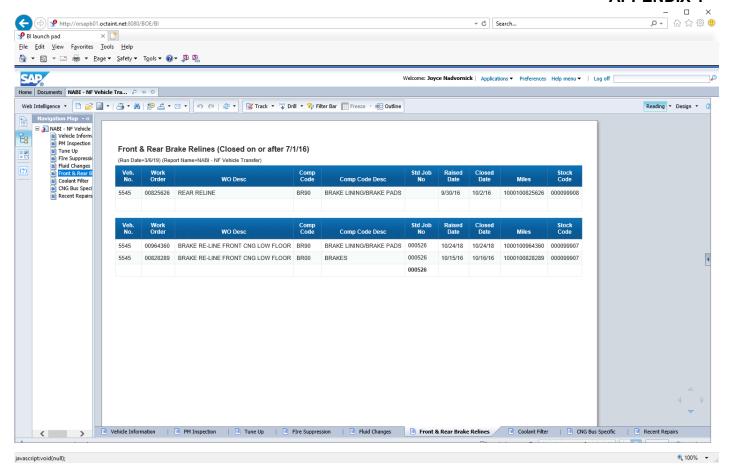


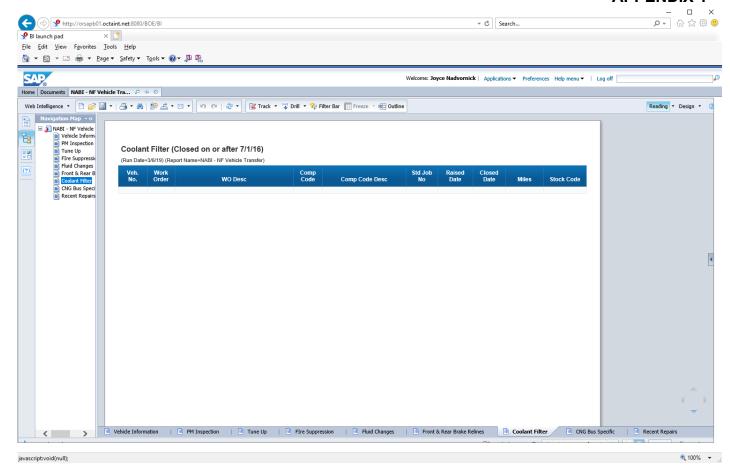


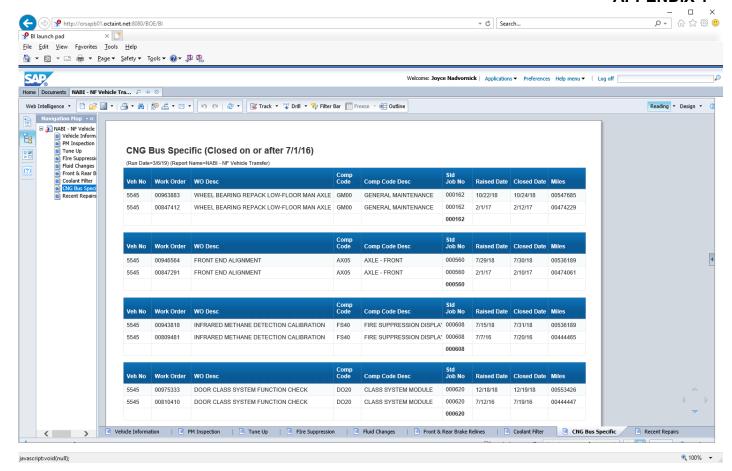


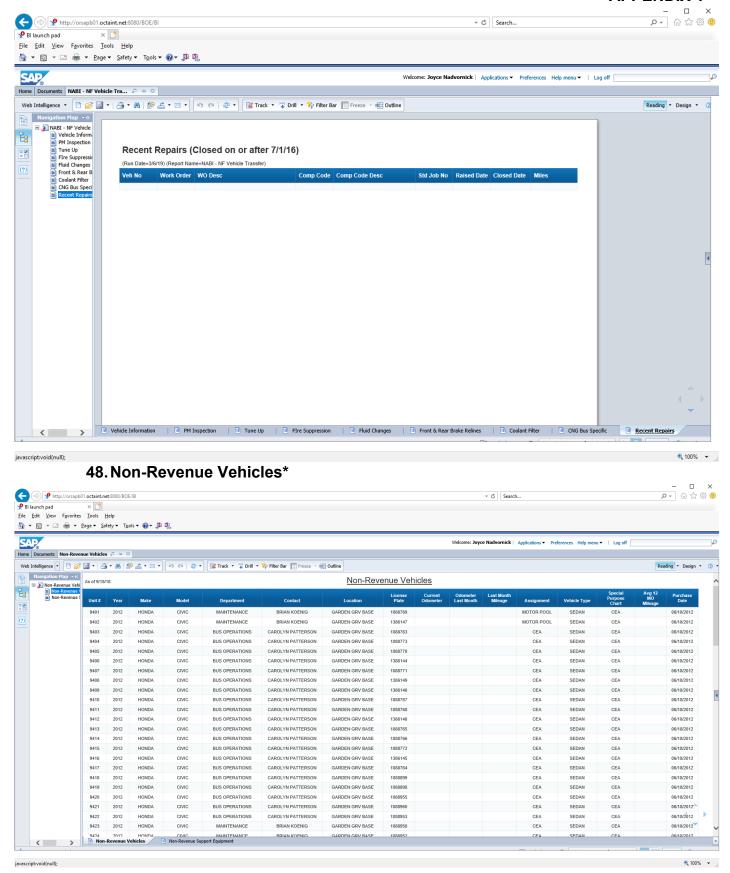


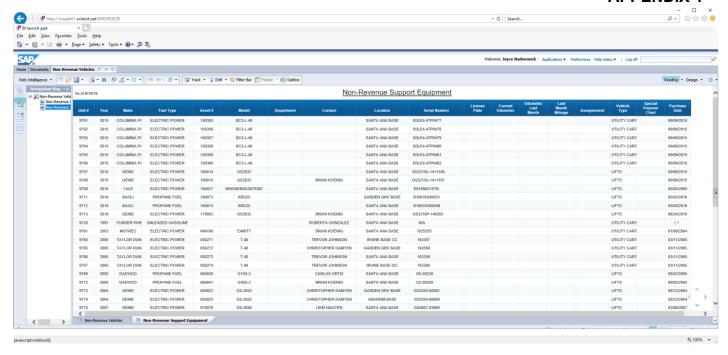




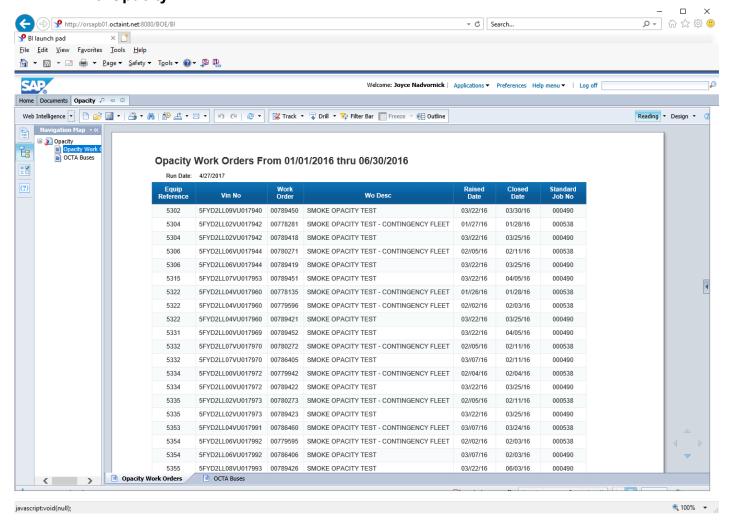


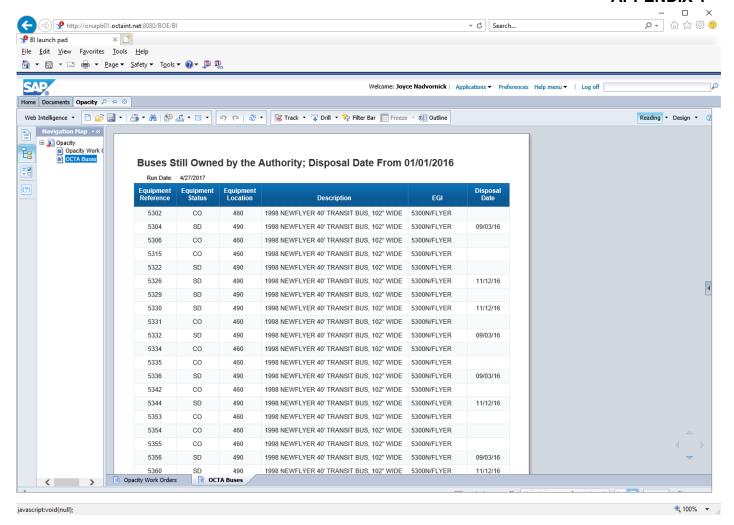




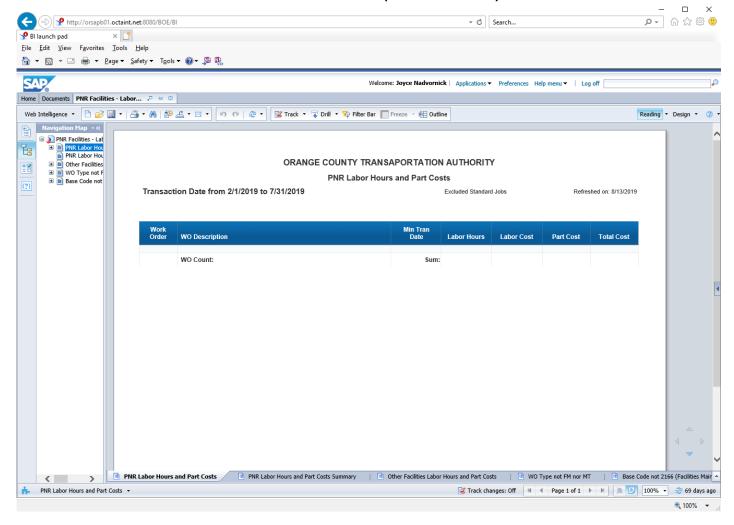


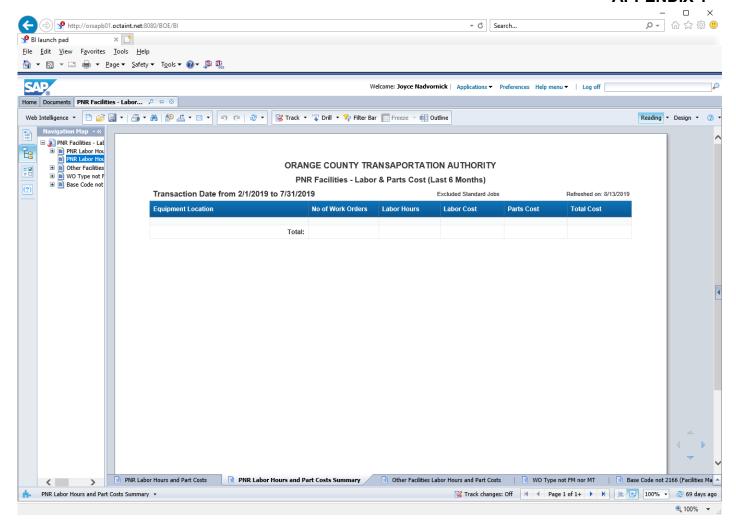
## 49. Opacity

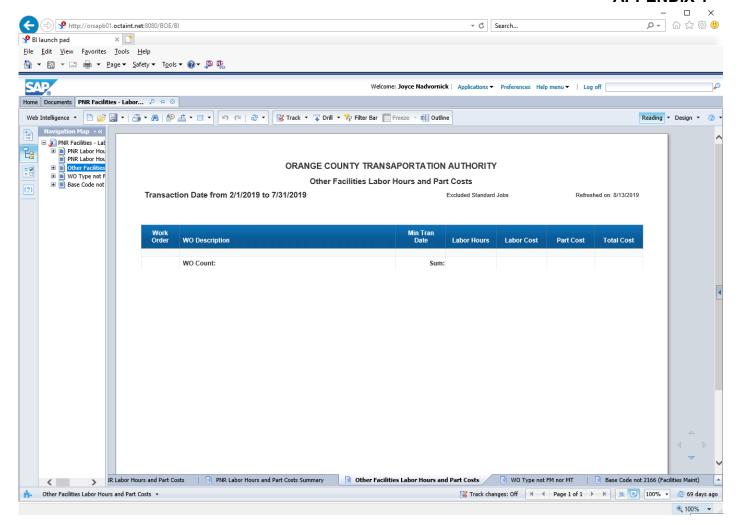


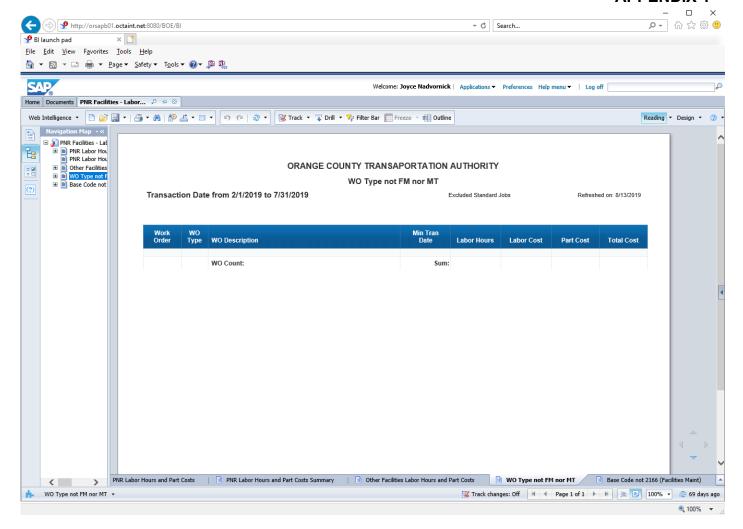


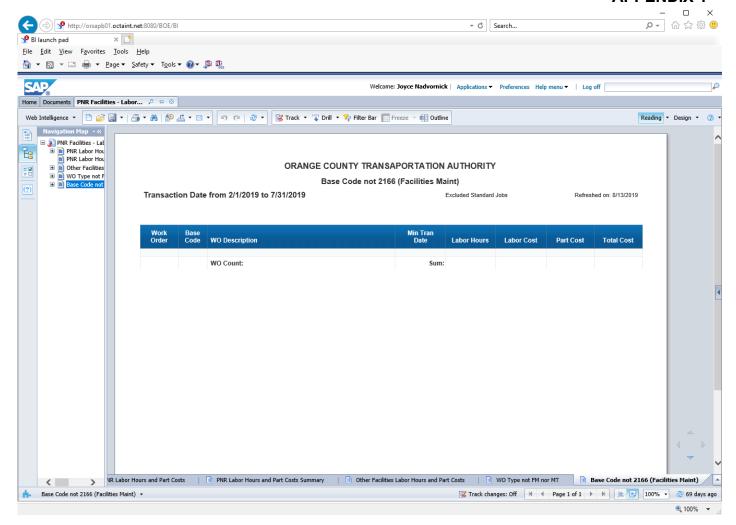
## 50. PNR Facilities - Labor & Parts Cost (Last 6 Months)



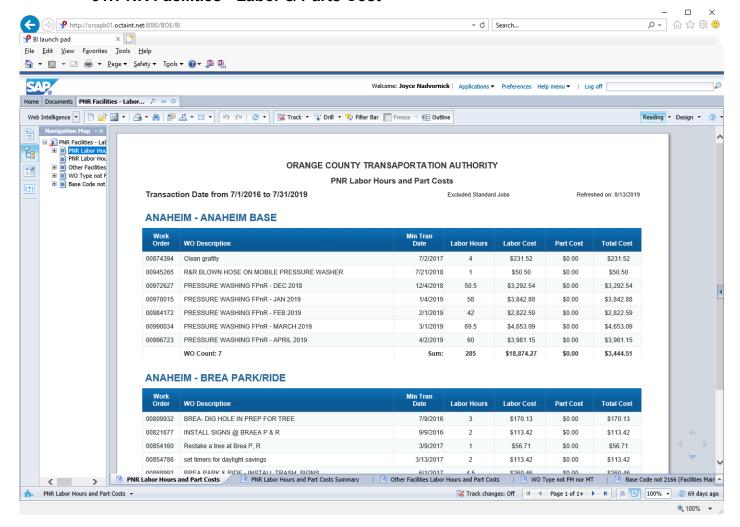


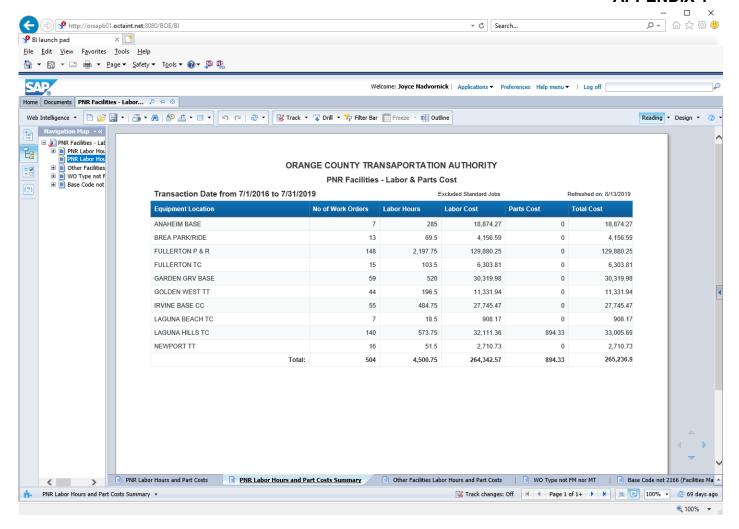


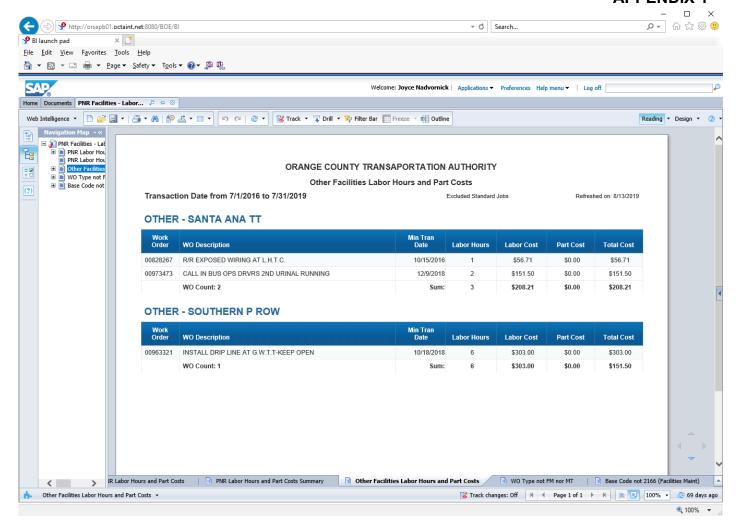


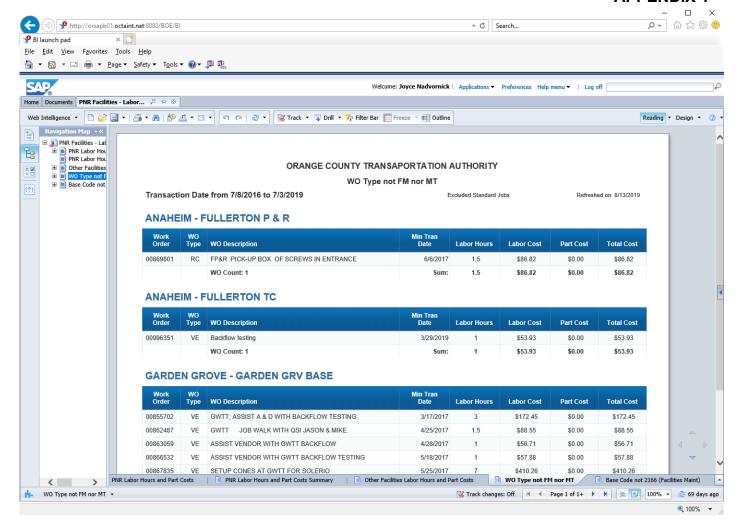


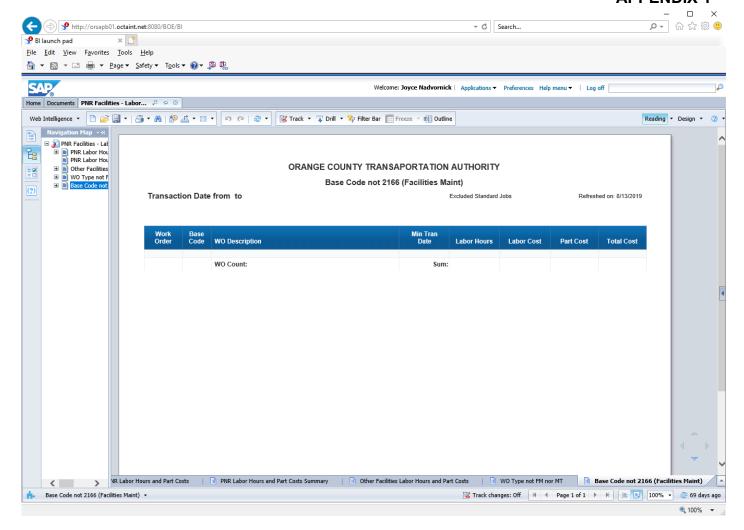
#### 51. PNR Facilities - Labor & Parts Cost\*



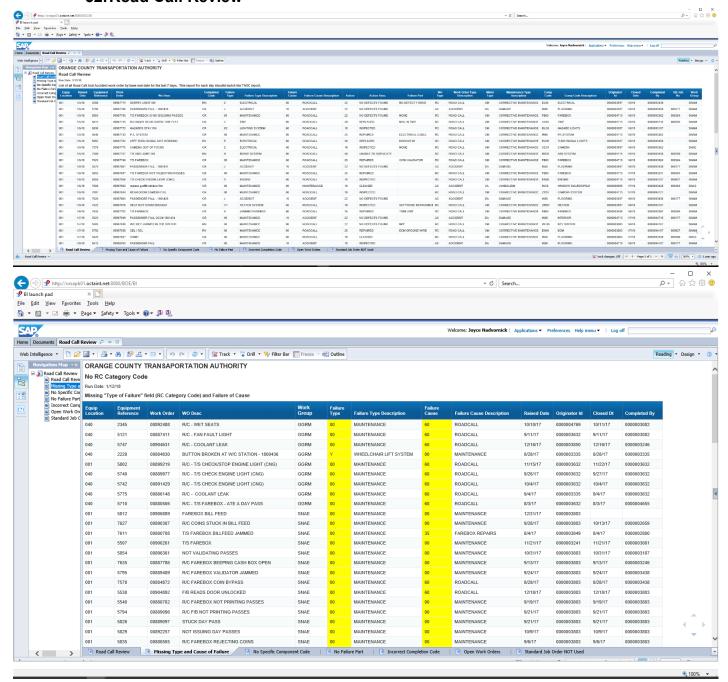


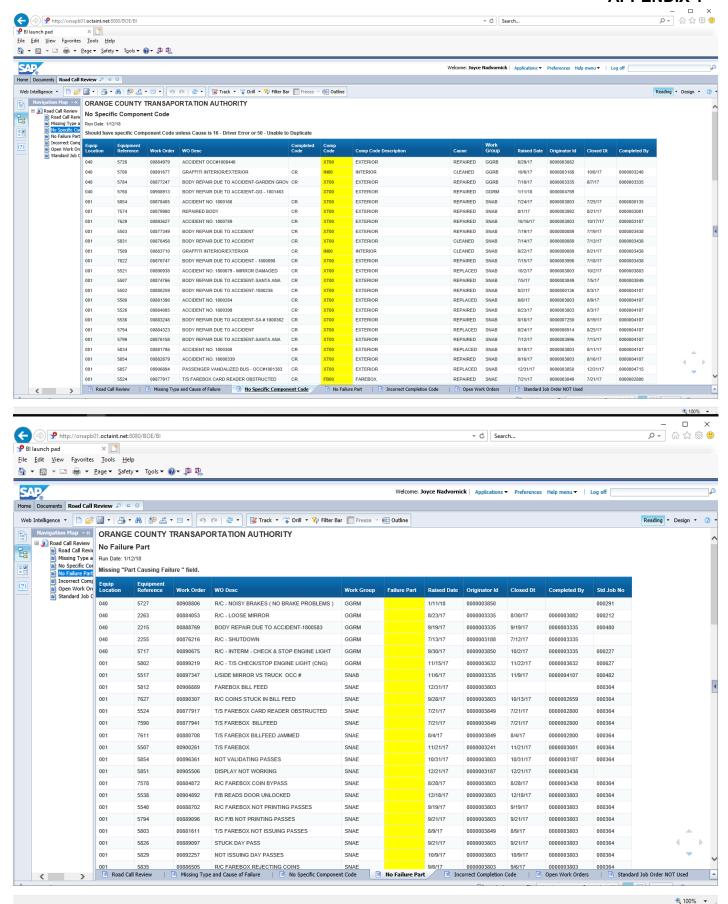


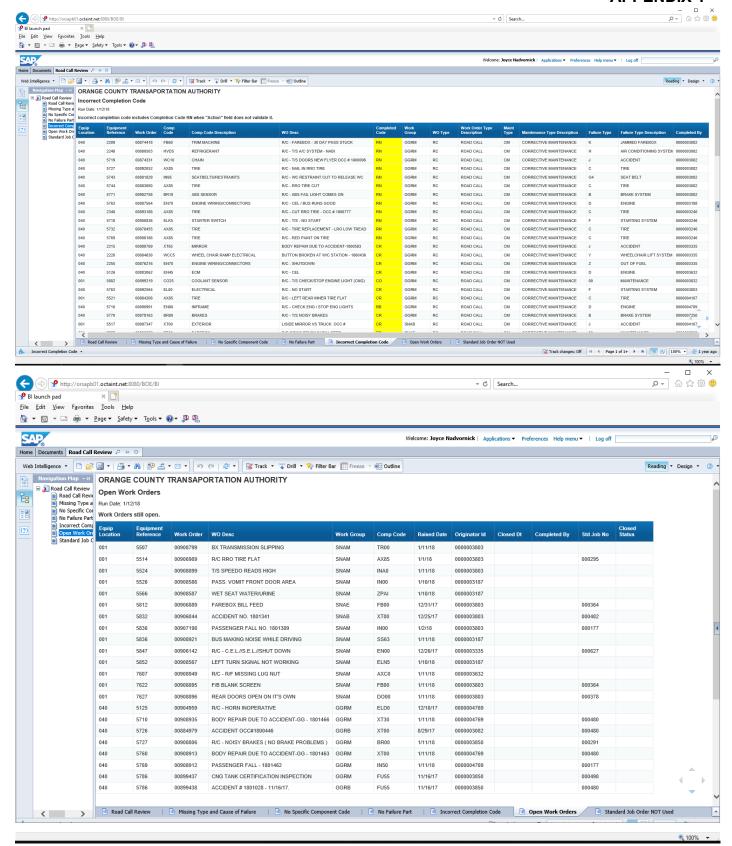


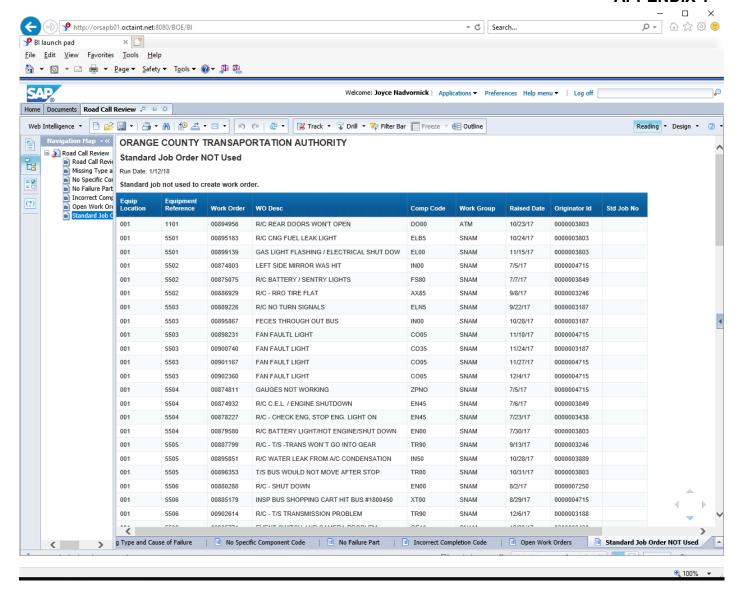


#### 52. Road Call Review

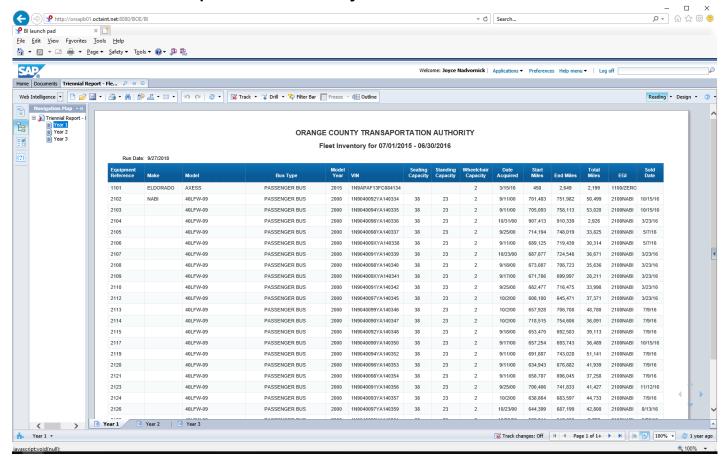


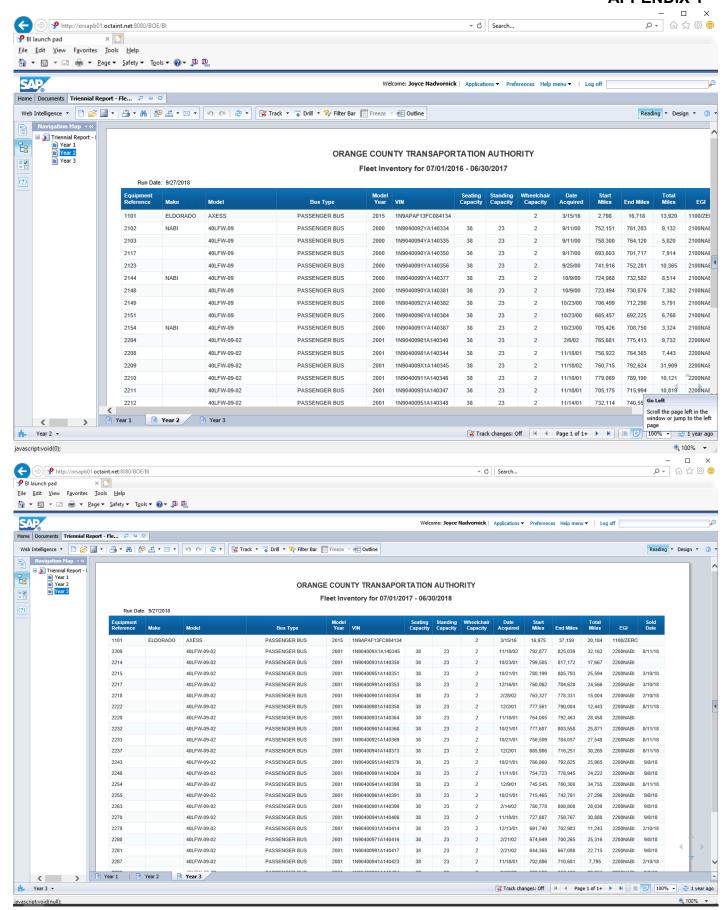




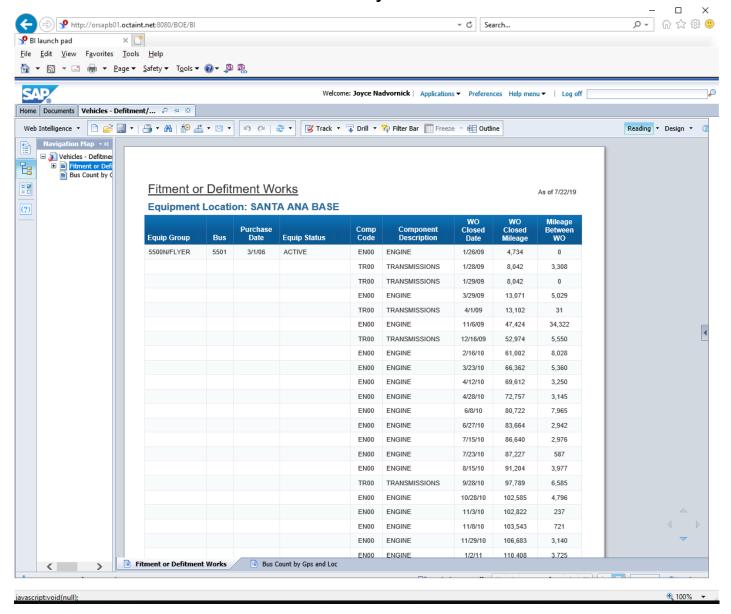


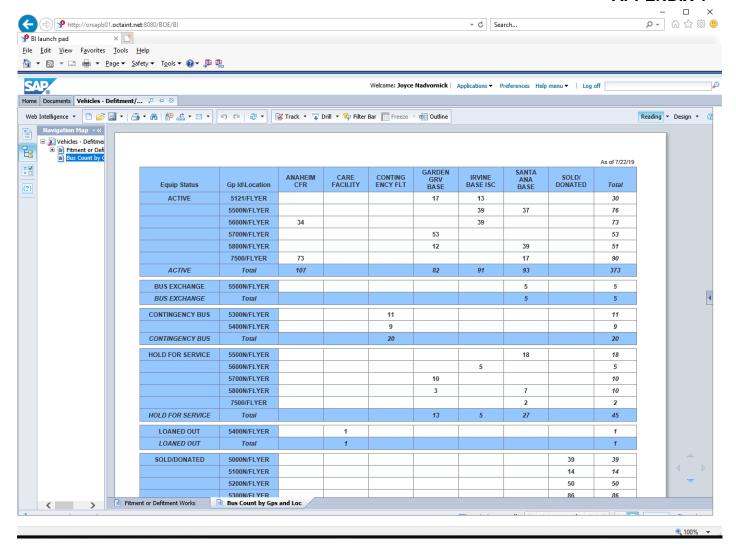
#### 53. Triennial Report - Fleet Inventory



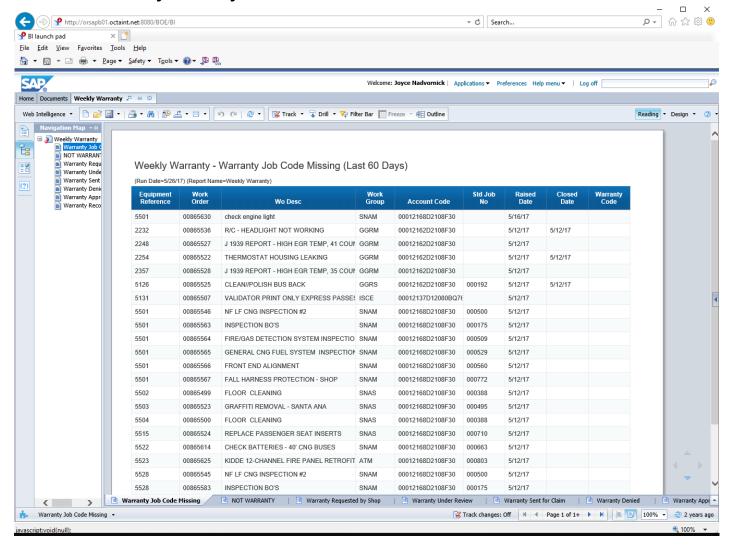


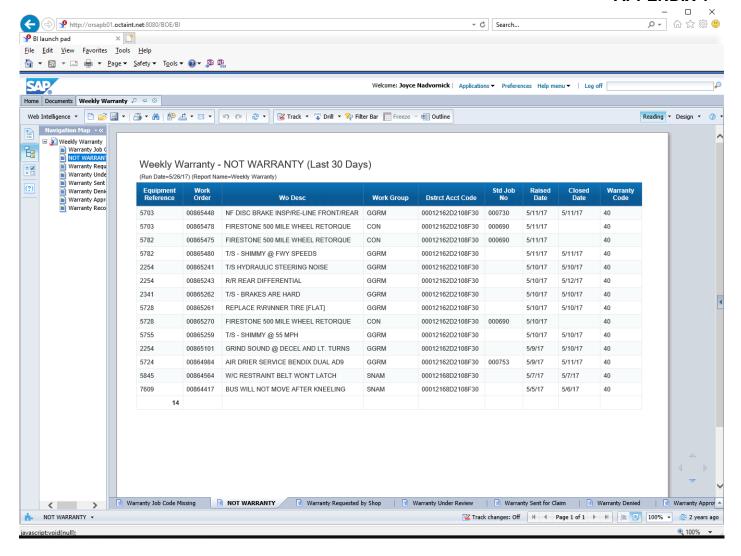
#### 54. Vehicles - Defitment/Fitment History\*

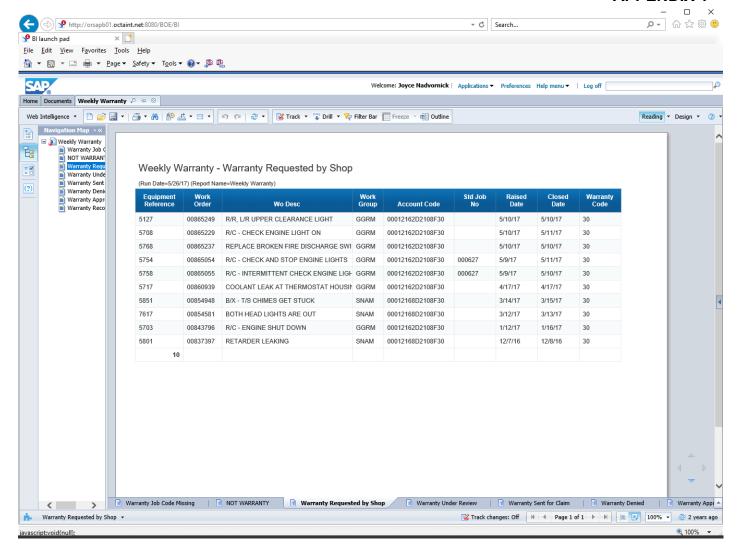


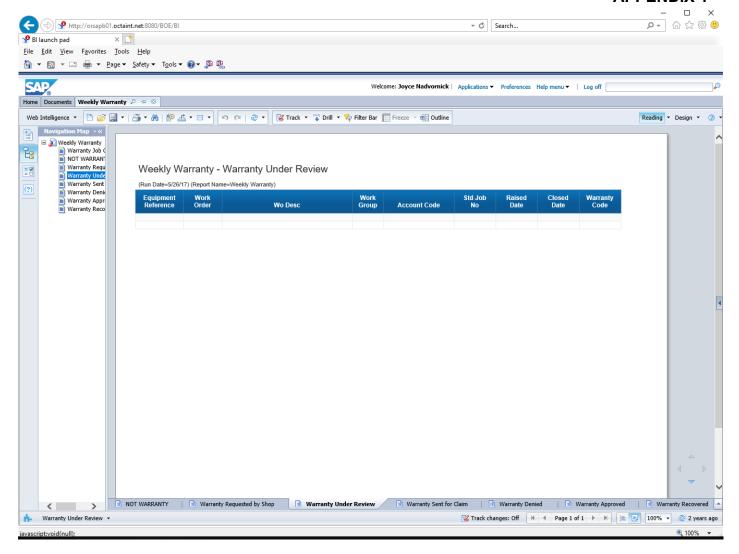


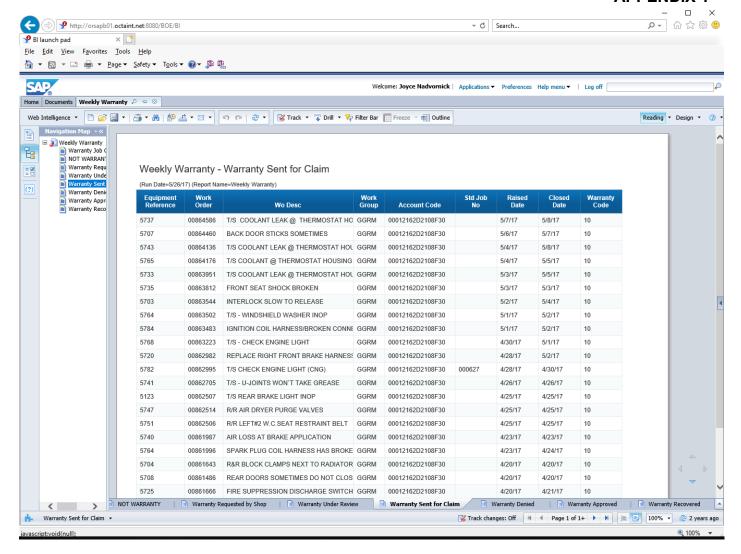
# 55. Weekly Warranty

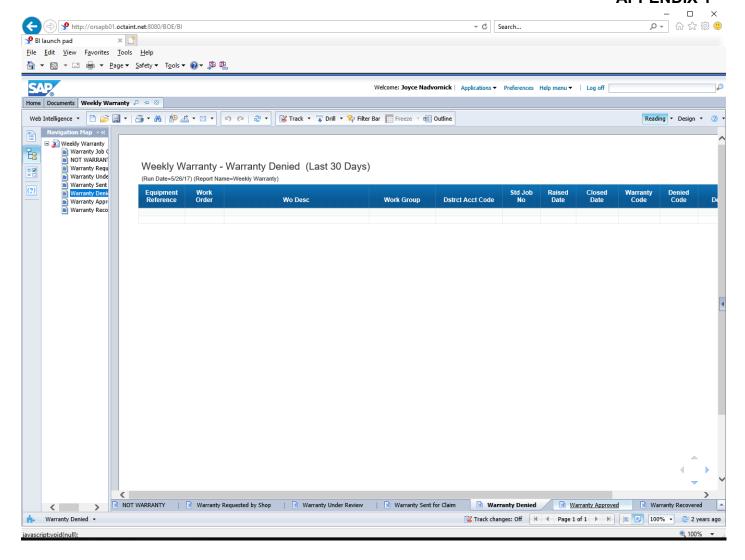


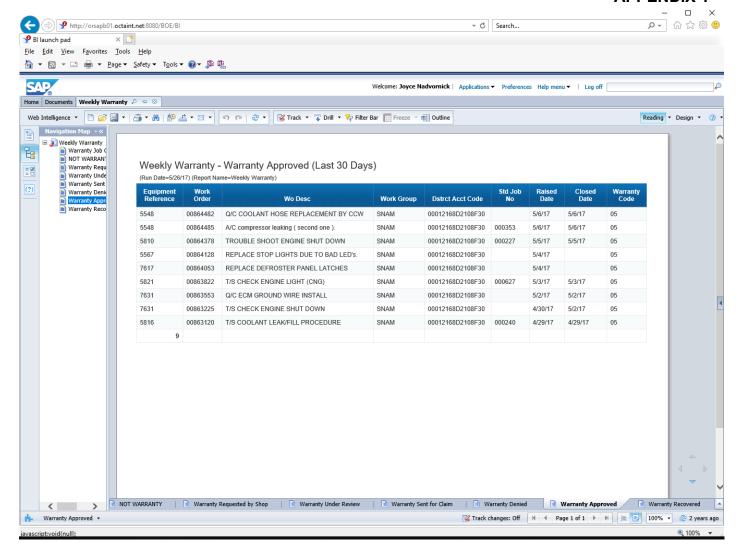


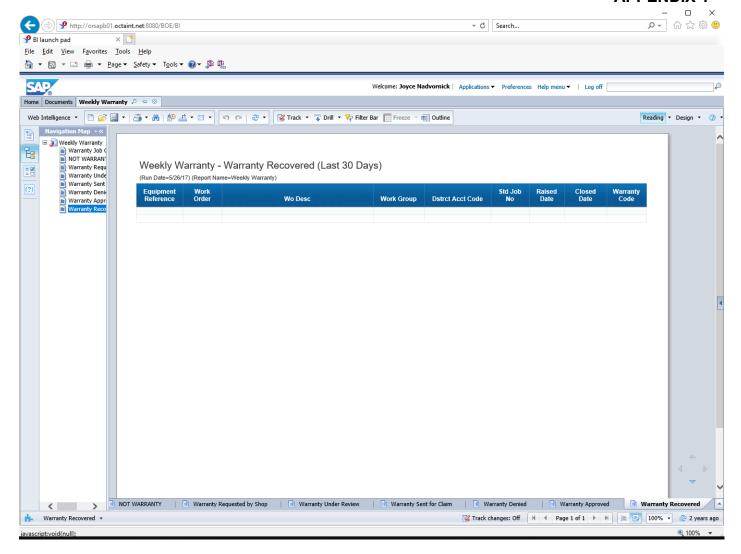




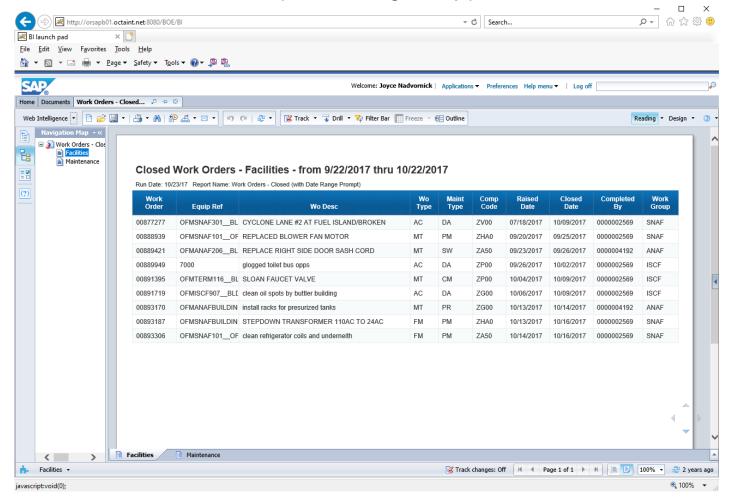




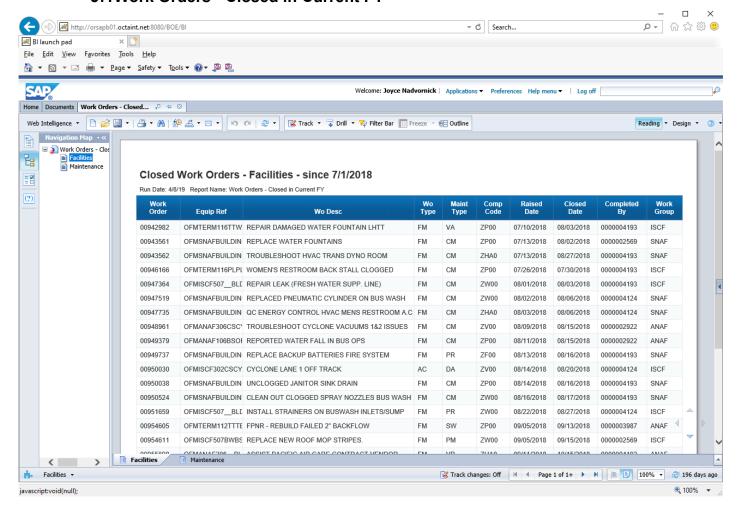


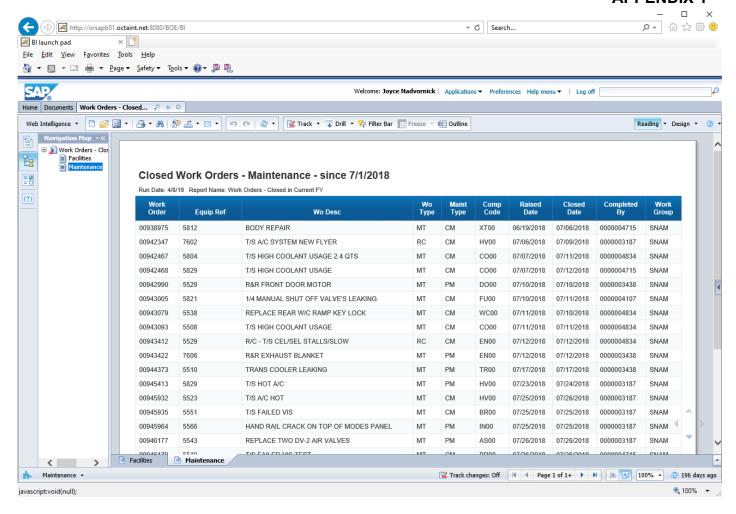


### 56. Work Orders - Closed (with Date Range Prompt)

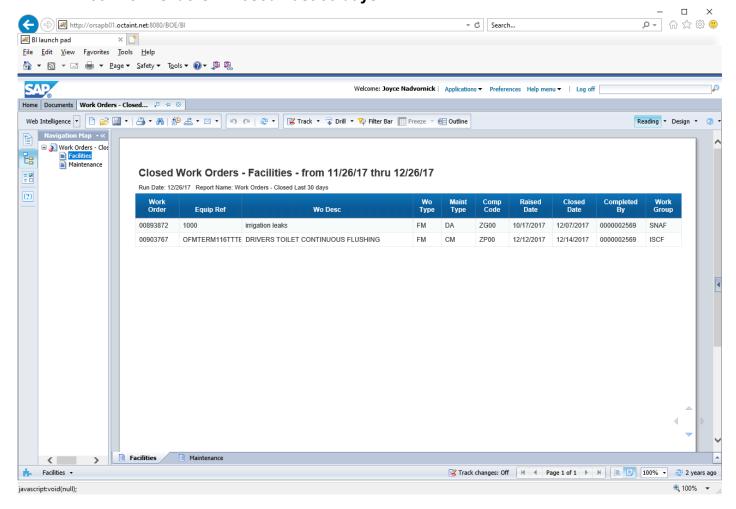


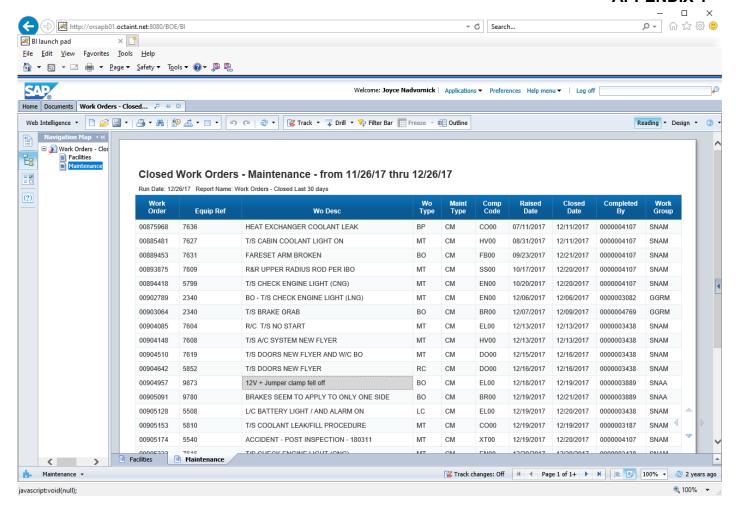
#### 57. Work Orders - Closed in Current FY\*



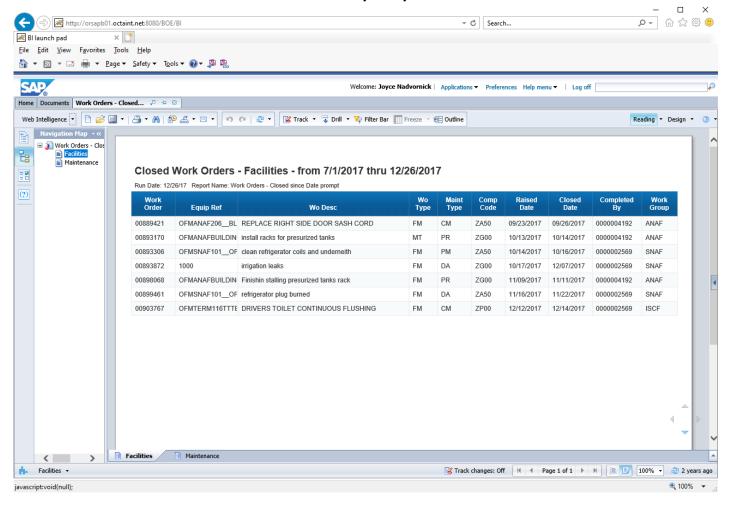


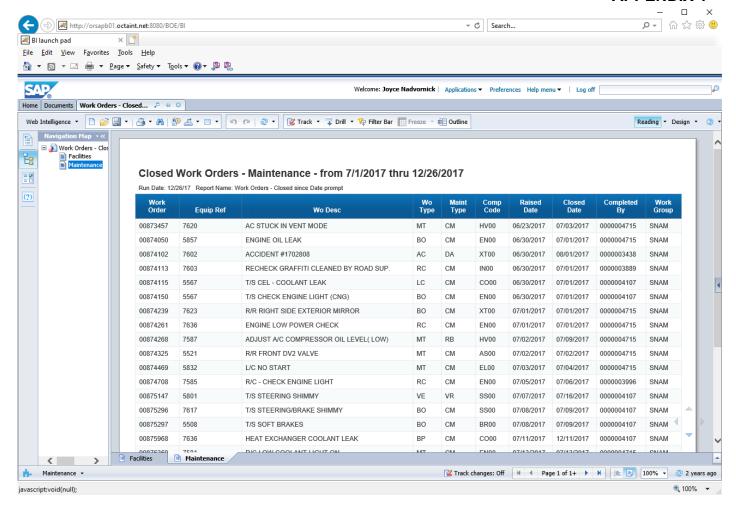
# 58. Work Orders - Closed Last 30 days\*



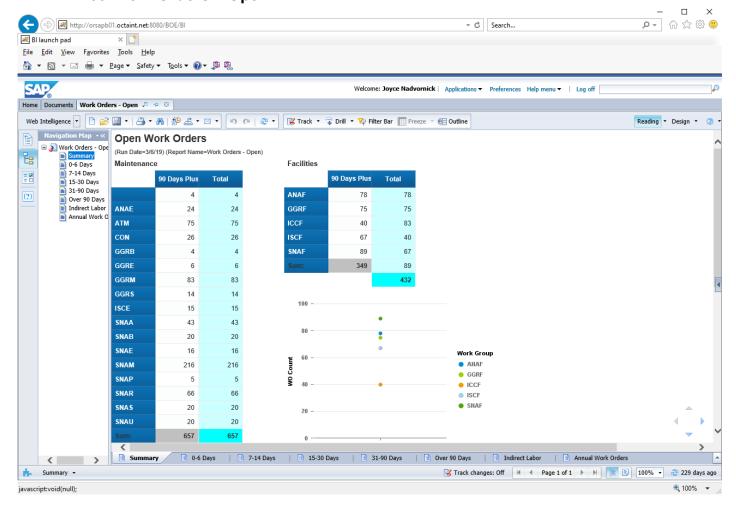


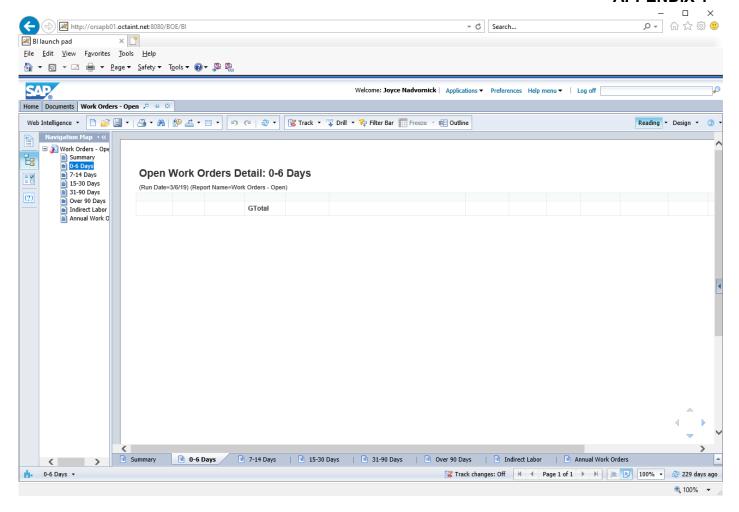
# 59. Work Orders - Closed since Date prompt\*

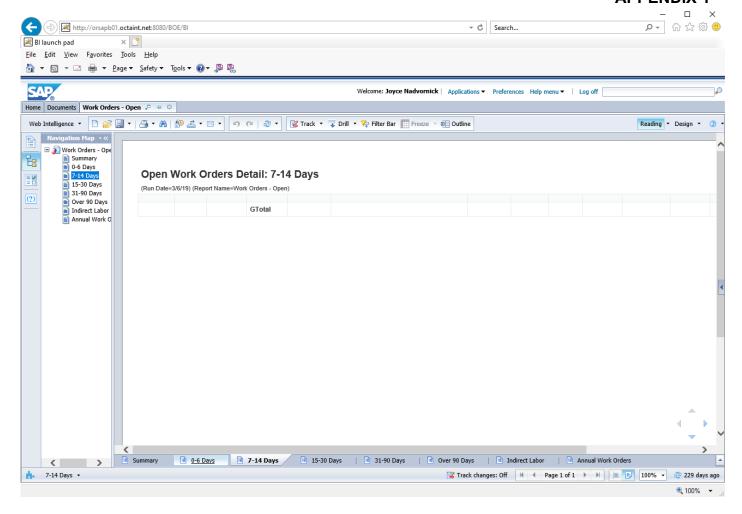


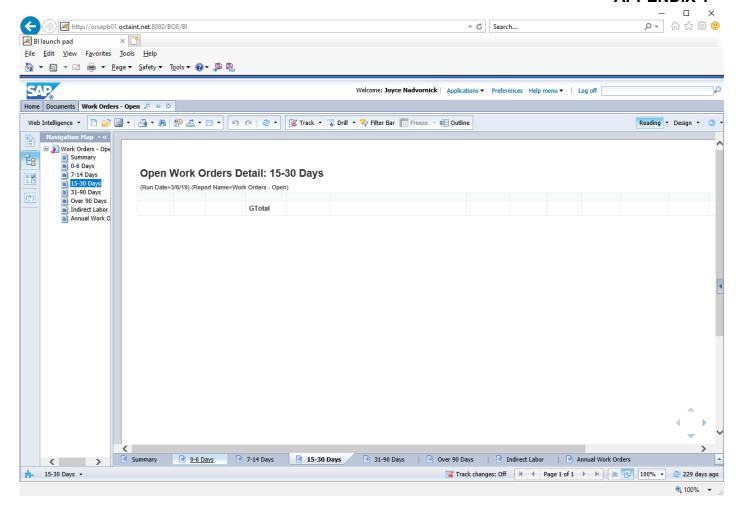


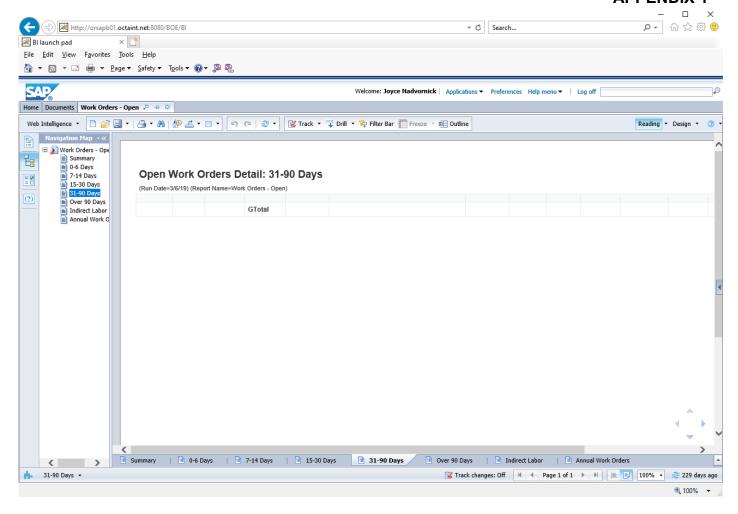
### 60. Work Orders - Open

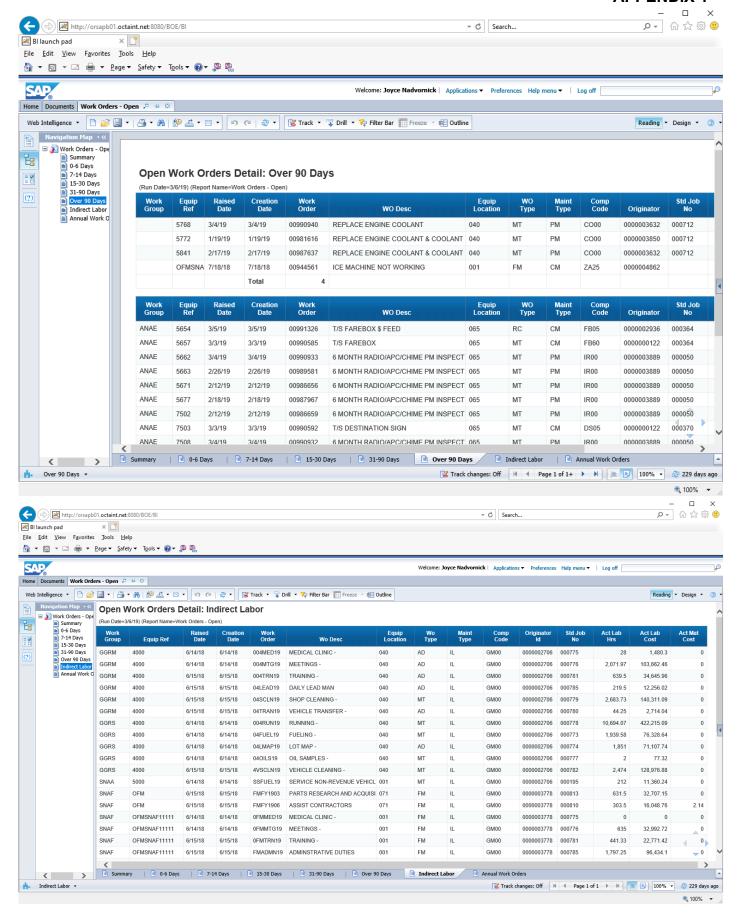


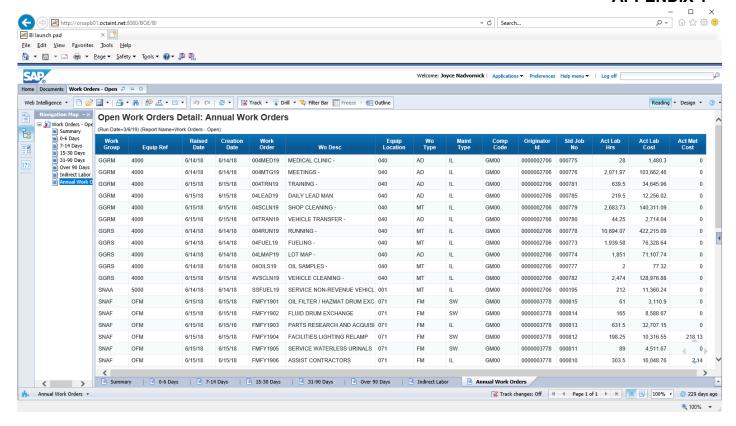




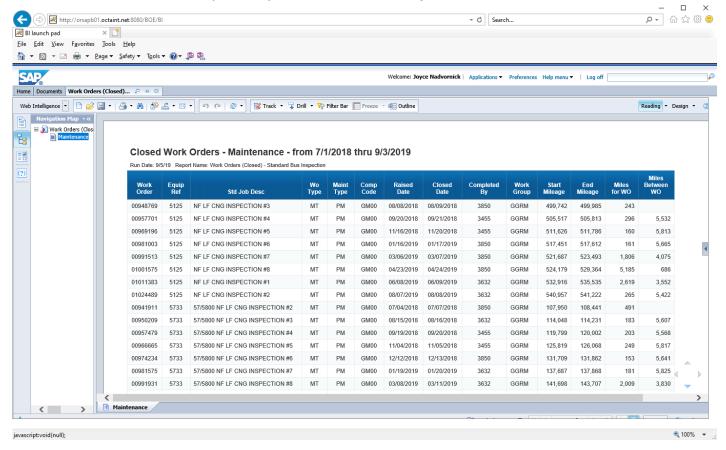




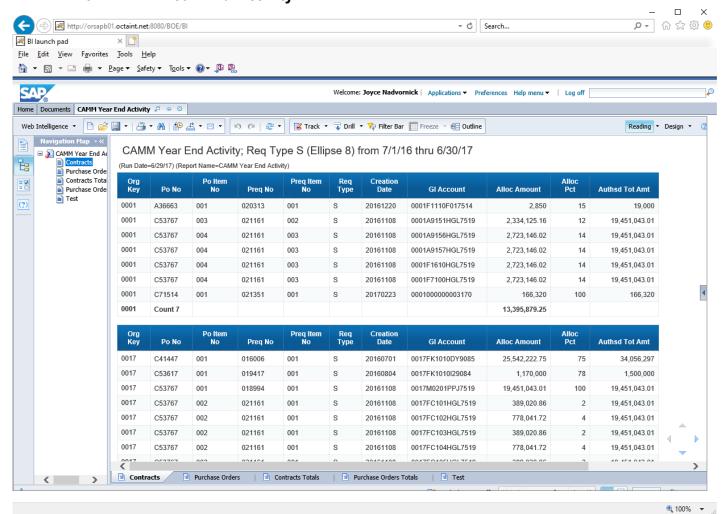


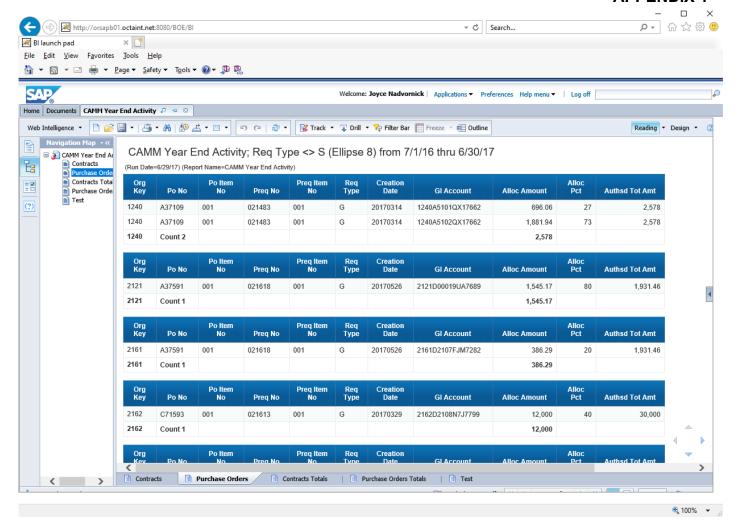


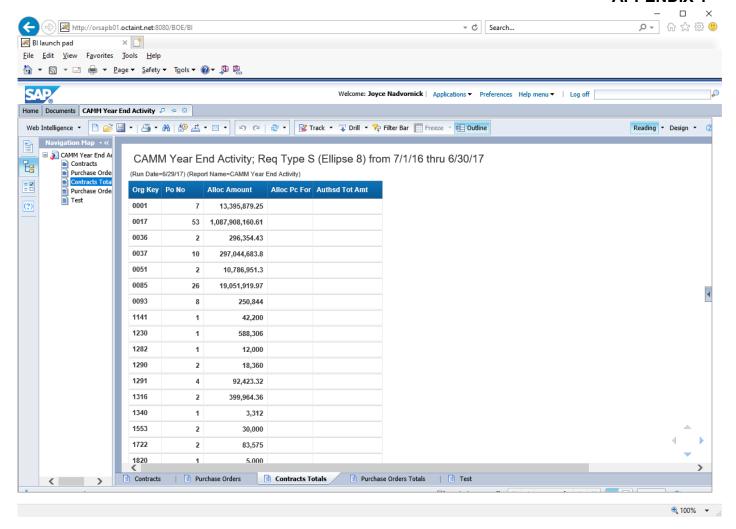
### 61. Work Orders (Closed) - Standard Bus Inspection\*

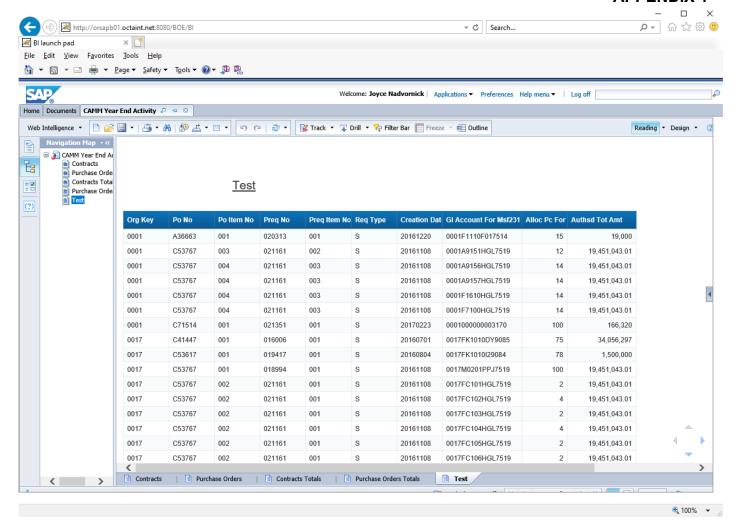


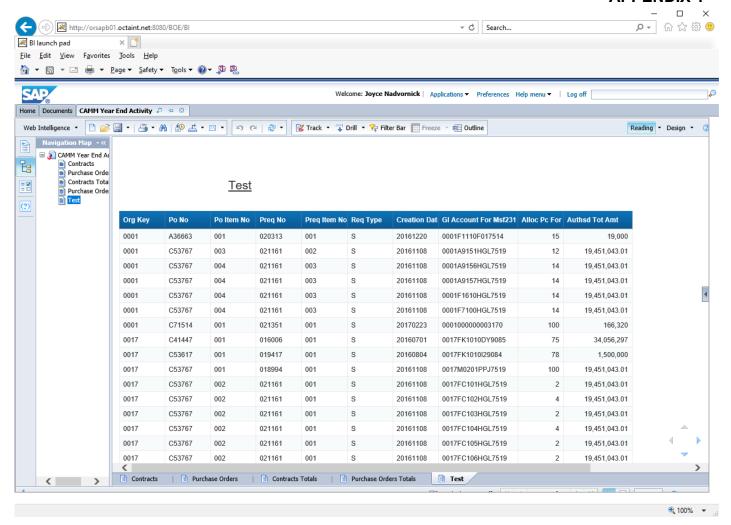
## **62. CAMM Year End Activity**



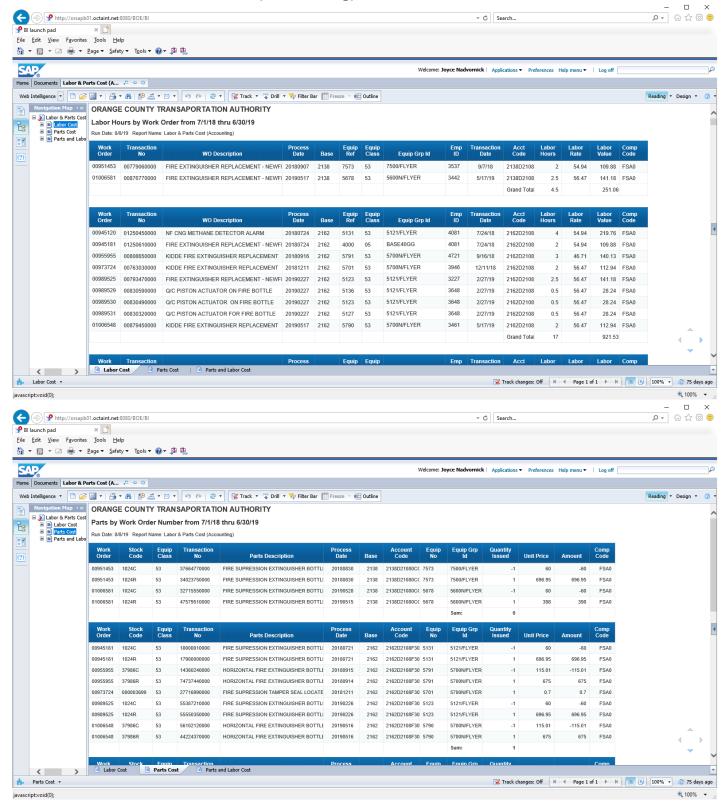


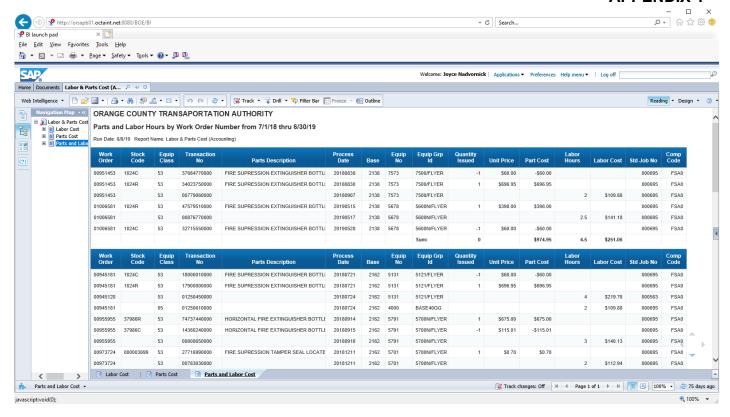




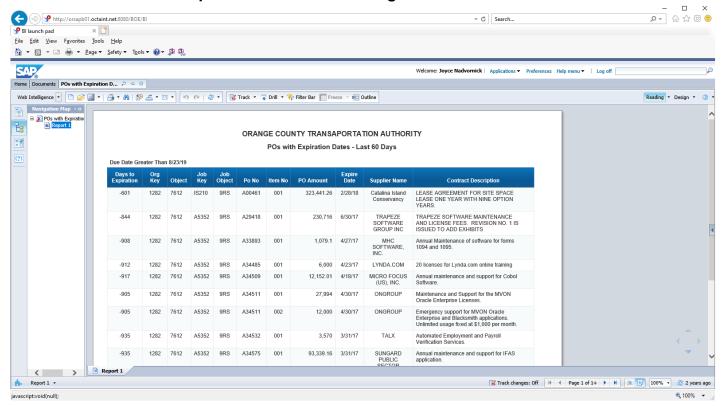


## 63. Labor & Parts Cost (Accounting)

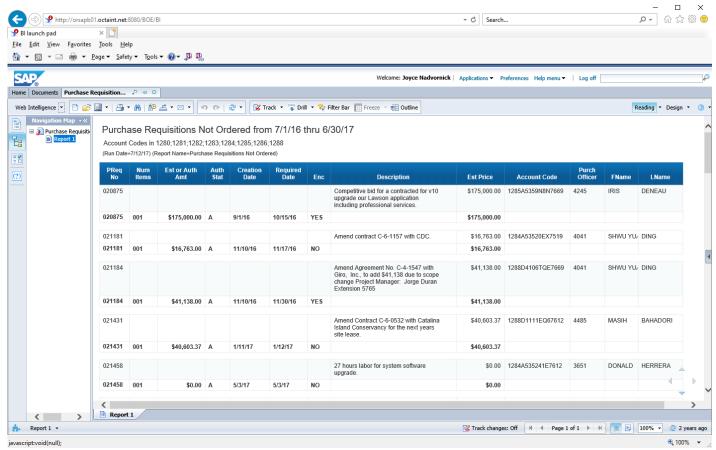




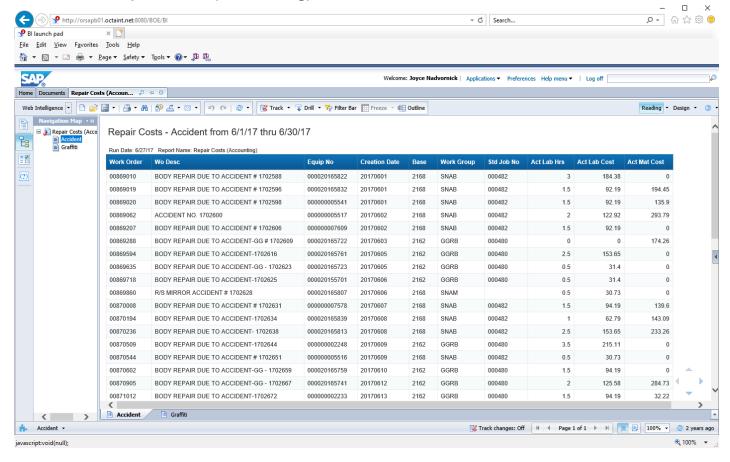
## 64. POs with Expiration Dates Purchasing

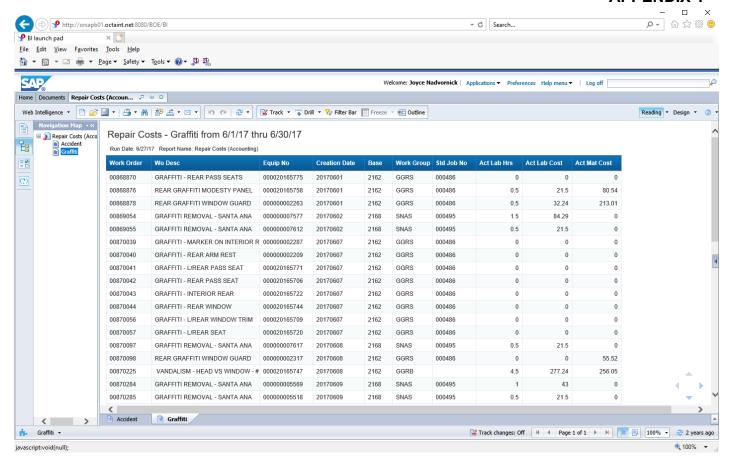


## 65. Purchase Requisition Not Ordered

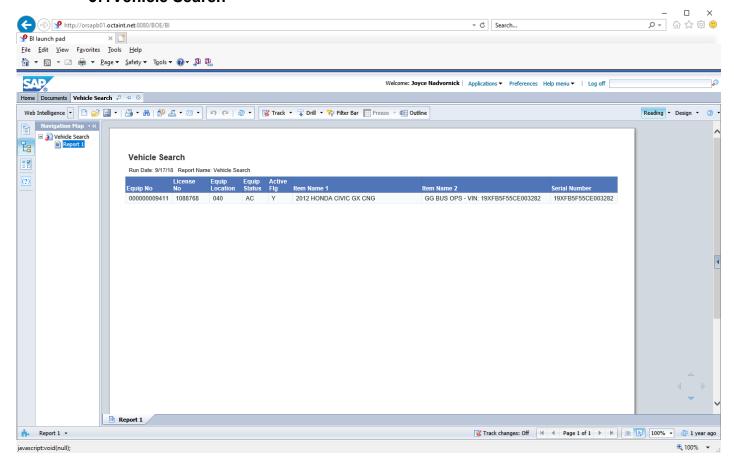


## 66. Repair Costs (Accounting)

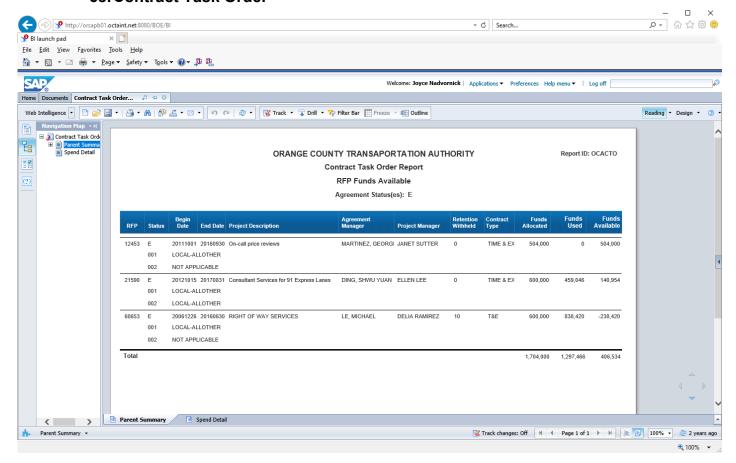


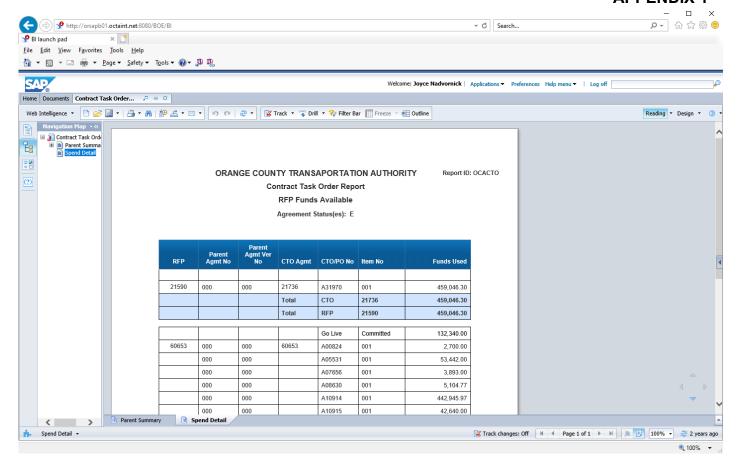


#### 67. Vehicle Search

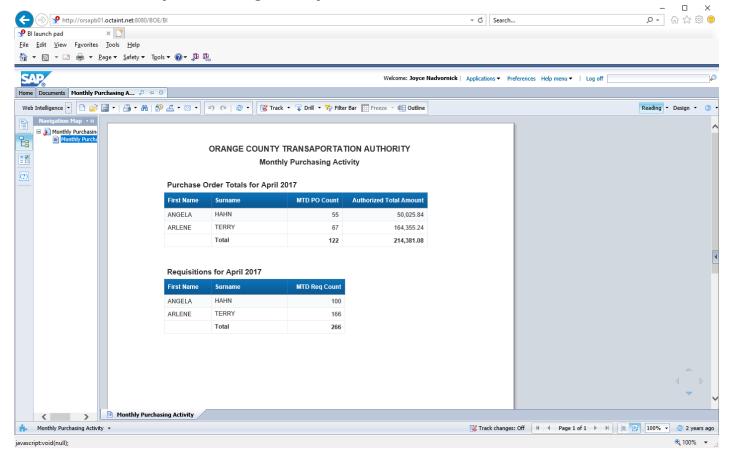


#### 68. Contract Task Order

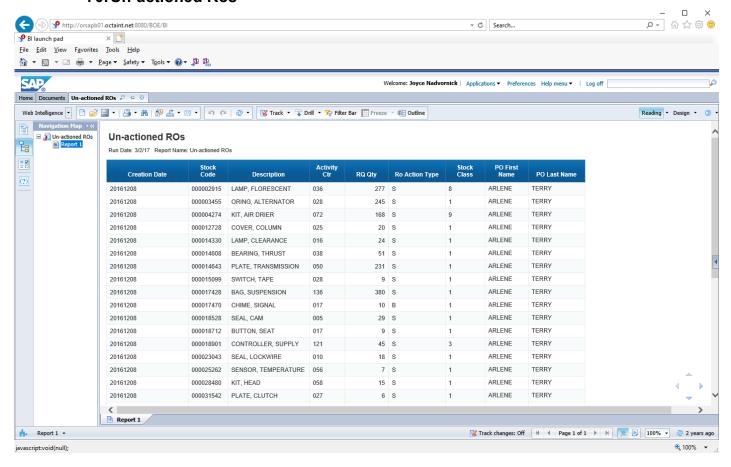




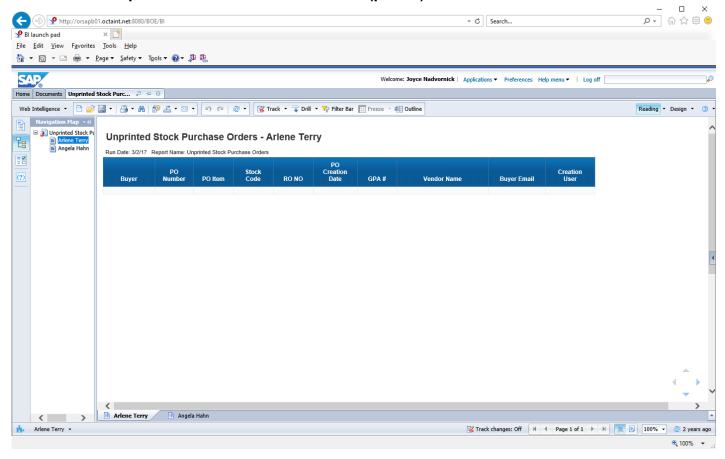
## 69. Monthly Purchasing Activity



#### 70. Un-actioned Ros



# 71. Unprinted Stock Purchase Orders (pause)



# 9. APPENDIX 2: VEHICLE INSPECTION SHEET

Below is a sample Vehicle Inspection Sheet	3e	low	is a	a sampl	e V	'ehic	le l	Inspect	ion	Sheet		
--------------------------------------------	----	-----	------	---------	-----	-------	------	---------	-----	-------	--	--

PREVENTIVE MAINTENANCE INSPECTION PMI# 1,2,3,4,5,6,7,8 1100 SERIES BUS 2018 NEW FLYER 40' H2	
***SAFETY INSTRUCTIONS***	
- USE PROPER SAFETY EQUIPMENT.	
- ALL MAINTENANCE DEPARTMENT POLICIES AND PROCEDURES SHALL BE OBSERVED.	
PERFORM THE FOLLOWING SERVICE ITEMS. DATES ARE REQUIRED ON ALL FILTERS.	
-AIR FILTER MANOMETER: TEST AND PROCESS AIR FILTER REPLACEMENT IF OVER 18 INCHES OF H2O.	
***NOTE: SECONDARY FILTER IN UPPER CANISTER IS REPLACED AT EVERY 3RD REPLACEMENT OF UPPER PRIMARY FILTER.	
-DRIVESHAFT SLIP JOINT & U-JOINTS: USE ONLY FUCHS RENOLIT LX-PEP 2 GREASE.	
-STEERING DRIVESHAFTS: USE ONLY FUCHS RENOLIT LX-PEP 2 GREASE.	
-POWER STEERING MITER BOX: USE ONLY PETRO CANADA GREASE. (PERFORMED EVERY 6 MONTHS)	
RECORDING OF INSPECTION DATA ON ITEMS REQUIRING READINGS:	
- AIR INLET RESTRICTION (MAXIMUM 18 INCHES)	
- FUEL TANK PRESSURE	
- FC H2O CONDUCTIVITY	
- INTERIOR TEMPERATURE	
- FIRE SUPPRESSION BOTTLE LEVEL	
ACTION ITEMS:	
A. VERIFY ALL VALID SUPPLEMENTAL INSPECTION WORK ORDERS HAVE BEEN GENERATED.	
B. ***CAUTION***STEAM CLEAN CHASSIS ONLY! DO NOT STEAM CLEAN INSIDE FUEL CELL COMPARTMENT AREA. USE AIR PRESSURE HOSE ONLY.	
C. POWER STEERING (HYDRAULIC) FILTER - CHANGE #1, #4, #7 ONLY.	
D. PERFORM DECEL TEST - USE VIS BRAKE/SUSPENSION SYSTEM WHERE APPLICABLE. PASS FAIL	

|--|

E. ROAD TEST BUS ON DESIGNATED ROAD TEST ROUTE.
====
PASS = INSPECTION FOUND TO BE IN WORKING ORDER AS DESIGNED.
FAIL = INSPECTION FOUND TO BE DEFECTIVE AND IN NEED OF REPAIRS OR OUT OF SERVICE.
***PRINT "N/A" FOR PASS/FAIL IF ITEM IS NOT APPLICABLE TO THIS TYPE OF BUS. ***
======================================
A. OPEN THE POWER STEERING ACCESS DOOR ON THE FRONT STREET SIDE OF THE VEHICLE. INSPECT HIGH VOLTAGE CABLES TO POWER STEERING PUMP MOTOR FOR EVIDENCE OF CHAFING, RUBBING, CUTS, OR OTHER DAMAGE. INSPECT ROUTING AND CLAMPING; THE CABLES SHOULD NOT BE IN DIRECT CONTACT WITH OTHER ADJACENT CABLES, SHARP OF HOT SURFACES.  PASS FAIL
B. INSPECT ACCESSIBLE ELECTRICAL CONNECTIONS FOR LOOSE OR CORRODED CONNECTIONS. CLEAN AND TIGHTEN CONNECTIONS AS REQUIRED.  PASS FAIL
C. INSPECT HOSES AND CHECK FOR ANY SIGNS OF LEAKAGE.  TIGHTEN HOSE CONNECTIONS AS REQUIRED.  PASS FAIL
D. CHECK FLUID CONDITION: FLUID SHOULD BE CLEAR RED.  IF FLUID IS DARKENED OR CONTAMINATED, REPLACE THE FLUID.  PASS FAIL
E. START VEHICLE AND OBSERVE READING ON THE POWER STEERING FILTER PRESSURE GAUGE LOCATED ON THE FILTER HEAD. IF THE GAUGE IS IN THE RED, THEN REPLACE THE FILTER.  PASS FAIL
F. INSPECT ALL MOUNTING HARDWARE FOR LOOSE OR MISSING HARDWARE.  PASS FAIL
G. INSPECT FRONT, CENTER, AND REAR SUSPENSION FOR WEAR, DAMAGE, OR CRACKS.  PASS FAIL

Н.	CHECK DRIVER'S HEATER CORE SHUT OFF VALVES, AND HOSES FOR LEAKS AND DAMAGE.  PASS FAIL
I.	INSPECT STEERING GEAR BOX, MOUNTING, AND MITER BOX FOR DAMAGE, LOOSENESS, AND LEAKS.  PASS FAIL
J.	VISUALLY INSPECT STEERING GEAR PITMAN ARM AND ENSURE RETAINING NUT IS PROPERLY LOCKED.  PASS FAIL
К.	INSPECT STEERING DRIVESHAFT FOR EXCESSIVE FREE PLAY, WORN U-JOINTS, LOOSE CLAMP NUTS, OR OTHER DAMAGE. LUBE UPPER AND LOWER STEERING DRIVESHAFTS.  PASS FAIL
L.	INSPECT THE STEERING SHAFT U-JOINTS TO ENSURE THAT ALL SNAP RINGS ARE INSTALLED AND FULLY SEATED WITHIN THE GROOVE ON THE BEARING CUP.  PASS FAIL
М.	INSPECT THE U-JOINT CROSS FOR ENDPLAY MOVEMENT WITHIN THE BEARING CUPS. HOLD THE END YOKE FROM MOVING AND APPLY LATERAL SIDE TO SIDE FORCE ON EACH U-JOINT. MAXIMUM ALLOWABLE MOVEMENT IS 0.012 IN (0.33MM). INSPECT U-JOINTS FOR WORN BEARINGS BY APPLYING BACK AND FORTH ROTATIONAL FORCE ON THE YOKES ON THE U-JOINT AND LOOK FOR ANY MOVEMENT BETWEEN THE U-JOINT CROSS AND THE BEARING CUPS. NO MOVEMENT IS ALLOWED.  PASS FAIL
N.	INSPECT THE STEERING SHAFT END YOKES FOR EXCESSIVE PLAY. APPLY SIDE TO SIDE FORCE. SPLINE MOVEMENT SHOULD BE MINIMAL.  PASS FAIL
0.	INSPECT FOR EXCESSIVE MOVEMENT OR BACKLASH IN THE TELESCOPING SLIP-JOINT. APPLY BACK AND FORTH TWISTING MOVEMENT. SPLINE MOVEMENT SHOULD BE MINIMAL.  PASS FAIL
P.	REMOVE THE CLAMPING BOLT ON ONE END OF THE STEERING DRIVESHAFT AND COMPRESS THE SHAFT COMPLETELY.  LOCATE GREASE FITTING ON TELESCOPING DRIVESHAFT AND APPLY 8 TO 10 PUMPS OF GREASE. FULLY EXTEND THE TELESCOPING SHAFT SEVERAL TIMES TO ENSURE GREASE IS APPLIED TO FULL LENGTH OF THE SPLINE. COMPLETELY REMOVE YOKE SHAFT AND CHECK THE SEAL OF THE DUST CAP. GREASE SHALL FILL BETWEEN BOTH LIPS OF THE SEAL. IF DUST CAP IN NOT COMPLETELY GREASED, REPEAT THE GREASING PROCESS.  PASS FAIL
Q.	INSPECT STEERING DAMPER, TIE ROD ENDS, STEERING ARM, DRAGLINK, AND PITMAN ARM FOR EXCESSIVE FREE PLAY.

	PASS FAIL
R.	INSPECT THE STEERING DAMPER FOR EXCESSIVE PLAY AT THE BALL JOINT ENDS.  PASS FAIL
S.	INSPECT FOR EXTERNAL DAMAGE TO STEERING DAMPER CYLINDER OR PISTON ROD. INSPECT FOR LEAKAGE AND REPLACE IF BENT OR DAMAGED.  PASS FAIL
т.	INSPECT CONDITION OF PROTECTIVE SLEEVE ON CYLINDER AND ENSURE IT CAN MOVE FREELY AND EXTEND APPROXIMATELY 2 INCHES FROM THE CYLINDER.  PASS FAIL
U.	INSPECT EXTERIOR SURFACES OF DAMPENER FOR EVIDENCE OF CORROSION. CLEAN LIGHT SURFACE RUST BUT REPLACE IF BADLY CORRODED.  PASS FAIL
V.	PERFORM A VISUAL TORQUE INSPECTION OF ALL THE STEERING COMPONENT FASTENERS, INCLUDING THE LOCKNUT ON THE STEERING STOP ADJUSTING BOLT. ENSURE THAT TORQUE WITNESS MARKS ARE IN ALIGNMENT. ANY FASTENER THAT IS MISSING THE WITNESS MARKS SHOULD BE RETORQUED AND TORQUE SEAL SHOULD BE REAPPLIED AFTER TORQUE IS APPLIED.  PASS FAIL
₩.	INSPECT FRONT STABILIZER BAR FOR DAMAGE, EXCESSIVE PLAY IN THE BUSHINGS, INSPECT FOR TORQUE WITNESS MARKS, AND TORQUE IF MISSING. PASS FAIL
х.	INSPECT FRONT SUSPENSION CROSS BRACE FOR DAMAGE, EXCESSIVE PLAY IN THE BALL JOINTS (MAX 0.079 INCHES), CHECK OVERALL PLAY IN CROSS BRACE ASSEMBLY (NO MORE THAN 0.5 INCHES UP AND DOWN MOVEMENT), ADJUST RODS TO REDUCE MOVEMENT, INSPECT FOR TORQUE WITNESS MARKS, AND TORQUE IF MISSING.  PASS FAIL
Υ.	CHECK FOR OVERALL PLAY IN CROSS BRACE ASSEMBLY BY GRASPING BOTH REAR BRACE RODS AND APPLY FORCE UPWARDS AND DOWNWARDS. IF TOTAL MOVEMENT EXCEEDS 0.5 INCHES (13 MM), THEN ADJUSTMENT OF THE ROD ENDS IS REQUIRED.  PASS FAIL
Ζ.	LUBE UPPER STEERING KNUCKLE BEARING ON EVERY 24K INSPECTION. USE FUCHS RENOLIT LX-OTP 2 ONLY.  PASS FAIL
AA.	LUBE ALL GREASE FITTINGS. PASS FAIL
BB.	INSPECT SHOCK ABSORBERS FOR LEAKAGE AND/OR

DAMAGE AND WORN RUBBER BUSHINGS.

	PASS	FAIL
CC.	INSPECT SECURITY. PASS	ALL WHEEL MUD FLAPS FOR DAMAGE AND
		LEVELING VALVES AND LEVELING VALVE AXLE FOR LEAKS, LOOSENESS, OR DAMAGE. FAIL
EE.	INSPECT FOR LEAKS AND, PASS	
GG.	BEAMS, AND FRA	AXLE HOUSINGS, SUPPORT BEAMS, AIR BAG AME MEMBERS FOR CRACKS, LOOSE D/OR OTHER DAMAGES. FAIL
нн.	EXCESSIVE CRAC	AIR BAGS ON ALL AXLES FOR LEAKAGE, CKING, OR DETERIORATION, CHAFING, OR OTHER DAMAGE. INSPECT MOUNTING
	CLEAN AN BREATHER VALVE PASS	
	INSPECT PASS	PINION SEAL FOR LEAKAGE. FAIL
	INSPECT PASS	AXLE SHAFT FLANGE FOR LEAKAGE. FAIL
LL.	CHECK DIFFEREN	DIFFERENTIAL OIL EVERY 72K MILES; NTIAL OIL LEVEL AT CARRIER PLUG ON ALL DIL IF REQUIRED. ***NOTE: USE ONLY HETIC 75W-90 GEAR OIL. FAIL
MM.	IT IS ATTACHEI DIFFERENTIAL F CLEAN ANY SLUI BREATHER MEMBF	
NN.	FOR DAMAGE, CH DRIVESHAFT GUA EXCESSIVE RADI	AND LUBE DRIVELINE, CHECK DRIVESHAFT HECK U-JOINTS AND YOKE FLANGES, ARD, CHECK FOR SPLINE WEAR AND TAL PLAY IN TRACTION MOTOR OUTPUT PERENTIAL PINION SHAFT. ***NOTE:

	LATERAL MOVEMENT OF THE U-JOINT CROSS SHOULD NOT EXCEED 0.006 INCHES WITHIN THE BEARING CAP.  VERTICAL MOVEMENT WITHIN THE SPLINE SHAFT SHOULD NOT BE MORE THAN 0.015 INCHES OF PLAY.  PASS FAIL
00.	PURGE AND LUBRICATE THE UNIVERSAL JOINT BY PUMPING GREASE INTO THE U-JOINT GREASE FITTING UNTIL GREASE EMERGES FROM ALL FOUR SEALING LIPS.  PASS FAIL
	INSPECT SEAL ON SLIP YOKE FOR DAMAGE AND REPLACE SLIP YOKE IF SEAL IS DAMAGED.  PASS FAIL
QQ.	INSPECT PRESSURE RELIEF VALVE (WELCH PLUG) ON CUP OF SLIP YOKE AND REPLACE SLIP YOKE IF PLUG IS MISSING OR DAMAGED.  PASS FAIL
	INSPECT DRIVESHAFT GUARD TO MAKE SURE IT IS SECURED AND NOT DAMAGED.  PASS FAIL
	INSPECT DRIVESHAFT ACCESS DOOR FROM INTERIOR OF VEHICLE TO ENSURE IT IS SECURELY LATCHED.  PASS FAIL
	INSPECT ALL RADIUS RODS FOR DAMAGE, VERTICAL MOVEMENT, BUSHING WEAR AND LOOSE CLAMPS.  PASS FAIL
UU.	PERFORM A VISUAL TORQUE INSPECTION OF ALL THE SUSPENSION COMPONENT FASTENERS. ENSURE THAT TORQUE WITNESS MARKS ARE IN ALIGNMENT. ANY FASTENER THAT IS MISSING THE WITNESS MARKS SHOULD BE RETORQUED TO SPECIFICATION AND HAVE TORQUE SEAL REAPPLIED.  PASS FAIL
VV.	INSPECT BRAKE PAD THICKNESS BY INSPECTING THE AMOUNT OF THE GUIDE PIN BUSHING IS SHOWING ON THE LOWER GUIDE PIN BUSHING. ***NOTE: A RETRACTED BUSHING WITH LESS THAN 1 MM SHOWING INDICATES A WORN BRAKE PAD CONDITION. INSPECT ALL CALIPERS. PASS FAIL
WW.	INSPECT BRAKE ADJUSTMENTS AND AIR HOSES FOR WEAR AND DAMAGE ON ALL AXLES.  PASS FAIL
XX.	INSPECT WHEEL SEALS ON ALL AXLES FOR LEAKAGE. PASS FAIL
YY.	INSPECT BRAKE CHAMBERS FOR AIR LEAKS, DAMAGE, AND SECURITY OF ATTACHMENT. PASS FAIL
	INSPECT AIR SYSTEM LINES FOR DAMAGE, CUTS, CRACKS, KINKS, TWISTING, DETERIORATION, DRYING OUT, AND OVERHEATING. EXAMINE HOSE SUPPORTS FOR

	SECUREMENT OF ATTACHMENTS. EXAMINE EXTERIOR OF METAL COMPONENTS FOR CORROSION, MECHANICAL DAMAGE, AND SECURITY OF ATTACHMENT. ENSURE FITTINGS ARE TIGHT. PASS FAIL
AAA	A. START FUEL CELL. CHECK ABS INDICATOR ON THE INSTRUMENT PANEL REMAINS ILLUMINATED FOR 4 SECONDS AFTER VEHICLE IS STARTED AND THEN EXTINGUISHES.  PASS FAIL
	INSPECT ALL TIRES FOR SMOOTH, CUTS/DAMAGE, AND CHECK TREAD DEPTHS. PASS FAIL
	STEM FUNCTION TESTS - CHECK THE FOLLOWING:
Α.	PERFORM AIR GOVERNOR CUT-OUT TEST. PASS FAIL
BEHINI DRAIN	TE*** FOR SAFETY, PLACE WHEEL CHOCKS IN FRONT OF AND WHEELS TO PREVENT THE VEHICLE FROM ROLLING BEFORE ING THE AIR TANKS. DRAIN ALL AIR TANKS AND REFILL BEFORE PERFORMING THE NEXT TESTS.
В.	AFTER REFILLING AIR TANKS, RELEASE PARK BRAKE AND DRAIN WET TANK. FRONT AND REAR TANK SHOULD HOLD PRESSURE.  PASS FAIL
С.	DRAIN FRONT BRAKE AIR TANK. LOW AIR WARNING ON FRONT BRAKE GAUGE SHOULD SOUND WHEN AIR PRESSURE DROPS BELOW 75 PSI. THE REAR AIR TANK SHOULD RETAIN FULL PRESSURE.  PASS FAIL
D.	WITH NO AIR PRESSURE IN THE FRONT BRAKE TANK, YOU SHOULD BE ABLE TO MAKE ONE REAR BRAKE APPLICATION. THE REAR STOP LIGHT SHOULD ILLUMINATE. PASS FAIL
Ε.	DRAIN THE REAR BRAKE TANK. THE LOW AIR BUZZER SHOULD SOUND WHEN THE TANK PRESSURE DROPS BELOW 75 PSI. THE FRONT BRAKE TANK SHOULD RETAIN FULL AIR PRESSURE. PASS FAIL
F.	WITH NO AIR PRESSURE IN THE REAR BRAKE TANK, MAKE A SERVICE BRAKE APPLICATION. THE FRONT BRAKES SHOULD APPLY AND RELEASE AT LEAST ONCE AND THE REAR BRAKE LIGHTS SHOULD ILLUMINATE.  PASS FAIL

G.	PERFORM A BRAKE APPLIED AIR LOSS TEST WITH THE PARKING BRAKE RELEASED. AIR LOSS SHOULD NOT EXCEED 5 PSI PER MINUTE. IF MORE THAN ALLOWED, PERFORM AN AIR LEAK CHECK.
Н.	CHECK THE LOW AIR WARNING AND AIR-GOVERNOR CUT-OUT TEST. DEPLETE AIR FROM TANKS UNTIL LOW AIR WARNING BUZZER SOUNDS. ALLOW AIR PRESSURE TO BUILD BACK UP. LOW AIR WARNING SHOULD STOP AT APPROXIMATELY 60 PSI. AIR GOVERNOR CUT-OUT SHOULD OCCUR BETWEEN 125-130 PSI.
I.	PASS FAIL  INSPECT ALL TIRES FOR EMBEDDED OBJECTS, CUTS, ABNORMAL WEAR PATTERNS, AND PROPER TREAD DEPTH. PASS FAIL
J.	INSPECT FOR ALL FLUID AND AIR LEAKS. IDENTIFY THE SOURCE OF THE LEAKS. PASS FAIL
	ST IS COMPLETE*** CLOSE ALL RESERVOIR DRAIN VALVES. FUEL CELL AND RECHARGE THE AIR SYSTEM TO CUT OUT URE.
====	CHECK PROTECTION PANEL. CONFIRM ALL WARNING LAMPS AND AUDIBLE ALARMS ARE OPERATIONAL BY PRESSING THE TEST/RESET BUTTON. PASS FAIL
В.	
	PASS FAIL
C.	CHECK PROTECTION PANEL AND VERIFY DISPLAY MODULE "POWER" LAMP IS SOLID GREEN AND THE LCD SCREEN DISPLAYS A TEXT MESSAGE INDICATING "FIRE & GAS LEAK SYSTEM OKAY." PASS FAIL
D.	CHECK THE TAMPER SEAL ON THE MANUAL DISCHARGE SWITCH IS INTACT AND ACCESS TO THE SWITCH IS UNOBSTRUCTED. PASS FAIL
E.	VERIFY THAT THE STATUS LAMP ON THE TSLE MODULE IS  ILLUMINATED SOLID GREEN.  PASS FAIL
F.	VERIFY THAT THE TLSE FIRE DETECTION CABLE IS IN THE ENGINE COMPARTMENT IS PROPERLY ROUTED AND CLAMPED AND NO DAMAGE IS EVIDENT. PASS FAIL

G.	VERIFY THAT THE ELECTRICAL CONNECTIONS BETWEEN THE TLSE MODULE AND ELEMENT HAVE NO VISIBLE DAMAGE AND ALL CONNECTIONS ARE SECURE.  PASS FAIL
Н.	CHECK THE OPTICAL FLAME DETECTORS. ENSURE STATUS LIGHT IS ILLUMINATED GREEN. PASS FAIL
I.	ENSURE OPTICAL DETECTORS FIELD OF VIEW IS NOT OBSTRUCTED.  PASS FAIL
J.	ENSURE WINDOWS ON FACE OF DETECTORS ARE FREE OF DIRT AND CONTAMINATION. ***NOTE: CLEAN WITH NON-ABRASIVE TOWEL AND WATER ONLY.  PASS FAIL
К.	VERIFY THAT THE STATUS LAMP ON THE FACE OF THE GAS SENSOR IS SOLID GREEN.  PASS FAIL
L.	VERIFY THAT THERE IS NO OBVIOUS DAMAGE TO THE GAS SENSOR UNIT AND THAT THE UNIT IS FREE OF EXCESS CONTAMINATION (DIRT, OIL, GREASE, ETC.). IF NECESSARY, CLEAN WITH A WATER SOAKED NON-ABRASIVE TOWEL.  PASS FAIL
М.	VERIFY THAT NO SILICONE-BASED MATERIALS HAVE BEEN USED NEAR THE GAS SENSOR.  PASS FAIL
Ν.	INSPECT ALL ELECTRICAL CONNECTORS AND WIRE HARNESSES FOR VISIBLE DAMAGE, AND ALL CONNECTORS ARE SEALED.  PASS FAIL
0.	VERIFY THAT THE EXTINGUISHER IS CORRECTLY ORIENTED AND SECURELY MOUNTED.  PASS FAIL
Р.	VERIFY THAT THE FIRE EXTINGUISHER PRESSURE GAUGE POINTER IS IN THE GREEN ZONE AT ROOM TEMPERATURE.  PASS FAIL
Q.	INSPECT DISTRIBUTION PIPING AND NOZZLES ARE INTACT AND UNOBSTRUCTED AND THE NOZZLE BLOW OFF CAPS ARE IN PLACE.  PASS FAIL
	VISUALLY INSPECT THE EXTINGUISHER CYLINDER FOR DAMAGE, PITS, GOUGES, OR CORROSION. PASS FAIL
FUEL (	CELL COOLANT SYSTEM - CHECK THE FOLLOWING:

====	
Α.	INSPECT FUEL CELL COOLING SYSTEM RADIATOR FOR LEAKS. PASS FAIL
В.	INSPECT ALL FUEL CELL COOLANT HOSES FOR LEAKS, DAMAGE, OR DETERIORATION. INSPECT ALL HOSE CLAMPS. PASS FAIL
С.	INSPECT ALL COOLANT HOSES AND CONNECTIONS TO FUEL CELL FOR LEAKS, DAMAGE, AND PROPER SECUREMENT.  PASS FAIL
D.	INSPECT FUEL CELL COOLANT PUMP FOR PROPER OPERATION, EXCESSIVE NOISE, OR LEAKS.  PASS FAIL
Ε.	INSPECT FUEL CELL COOLANT RESERVOIR FOR LEAKS. CHECK COOLANT LEVEL AND TOP OF WITH DEIONIZED COOLANT ONLY. PASS FAIL
F.	INSPECT AIR KIT FOR PROPER OPERATION. CHECK HOSES AND CONNECTS FOR LEAKS. PASS FAIL
G.	INSPECT FREEZE PROTECTION HEATER FOR LEAKS. PASS FAIL
Н.	INSPECT COOLANT TO COOLANT HEAT EXCHANGER FOR LEAKS AND CHECK ALL HOSES AND CONNECTIONS FOR LEAKS AND SERVICEABILITY.  PASS FAIL
====: ====	
	HEATING SYSTEM - CHECK THE FOLLOWING:
Α.	INSPECT THE CABIN HEATING RESERVOIR FOR LEAKS AND CHECK COOLANT LEVEL. TOP OFF WITH STANDARD COOLANT. PASS FAIL
В.	INSPECT COOLANT LINES AND HOSES FROM HEAT EXCHANGER TO THE ELECTRIC HEATER.  PASS FAIL
С.	INSPECT ELECTRIC HEATER FOR PROPER OPERATION AND LOOK FOR ANY LEAKS. PASS FAIL
D.	INSPECT COOLANT LINES AND CONNECTIONS FROM ELECTRIC HEATER TO THE REAR HVAC UNIT AND BACK TO THE RESERVOIR.  PASS FAIL

	INSPECT CABIN DEFROSTER FOR PROPER OPERATION AND COOLANT LEAKS.  PASS FAIL
	INSPECT COOLANT LINES AND CONNECTIONS FROM ELECTRIC HEATER TO THE DEFROSTER.  PASS FAIL
	INSPECT COOLANT LINES AND CONNECTIONS FROM DEFROSTER BACK TO RESERVOIR FOR LEAKS AND DAMAGE. PASS FAIL
==== TRACTI	ON MOTOR/HVAC INSPECTION - CHECK THE FOLLOWING:
=====	
VOLTAG	TION*** BEFORE PERFORMING MAINTENANCE ON HIGH E COMPONENTS, ENSURE THAT THE HIGH VOLTAGE OCK AND BATTERY DISCONNECT SWITCHES ARE SET TO OFF.
	INSPECT TRACTION MOTOR FOR ANY EVIDENCE OF EXTERNAL MECHANICAL DAMAGE. REPAIR OR REPLACE ANY DAMAGED PARTS. PASS FAIL
	VISUALLY INSPECT TRACTION MOTOR MOUNTS FOR ANY DAMAGE OR LOOSE FASTENERS. PASS FAIL
	REMOVE ANY COURSE DEBRIS SUCH AS LEAVES, TRASH, ETC. PASS FAIL
	CHECK ALL ELECTRICAL CONNECTIONS TO ENSURE THEY ARE IN GOOD CONDITION AND PROPERLY SECURED. REPLACE ANY DAMAGED CABLES. PASS FAIL
	VISUALLY INSPECT COOLANT HOSES FOR DAMAGE OR LEAKS. PASS FAIL
	VISUALLY INSPECT CONNECTION OF TRACTION MOTOR TO DRIVESHAFT FOR LOOSE OR MISSING FASTENERS.  PASS FAIL
	VISUALLY INSPECT COOLANT LINES FOR LEAKS AND CHECK ROOFTOP COOLANT RESERVOIR SIGHT GLASS.  PASS FAIL
=====	
==== AIR CC	MPRESSOR INSPECTION - CHECK THE FOLLOWING:
=====	
	E*** SHUT OFF FUEL BUS AND SET BATTERY DISCONNECT TO THE OFF POSITION.

Α.	CHECK BELT TENSION AND ADJUST AS NECESSARY.  ***NOTE: PROPER BELT TENSION IS 5 LBS. AT 0.019
	INCH DEFLECTION.
	PASS FAIL
В.	INSPECT BELT FOR CRACKS OR FRAYING. PASS FAIL
С.	INSPECT AIR COMPRESSOR AIR INTAKE FILTER. PASS FAIL
D.	INSPECT COMPRESSOR MOUNTING BOLTS FOR SECUREMENT. PASS FAIL
Ε.	INSPECT CHECK VALVE AND HOSE ROUTING. PASS FAIL
F.	REMOVE AIR INTAKE FILTER COVER BOLTS AND COVER. CLEAN FINS USING COMPRESSED AIR. CLEAN ALL THE PASSAGEWAYS OF ANY DIRT, OIL, AND DEBRIS THAT MAY HAVE ACCUMULATED. ***NOTE: MAKE SURE TO COVER THE COMPRESSOR AIR INTAKE WHEN BLOWING OFF DIRT FROM COMPRESSOR FINS. PASS FAIL
G.	REMOVE THE BLOWER FAN COVER ASSEMBLY AND CLEAN THE FAN USING COMPRESSED AIR. CLEAN THE COMPRESSOR FAN DUCT WITH A CLEAN CLOTH.  PASS FAIL
Н.	REMOVE PLASTIC DUST CAPS AND ROTATE COMPRESSOR PULLEY UNTIL GREASE FITTING IS VISIBLE THROUGH THE DUST CAP HOLE. PUMP GREASE INTO GREASE FITTING. REINSTALL DUST CAP. PASS FAIL
=====	
====	
_	AND DEFROSTER INSPECTION - CHECK THE FOLLOWING:
====	
Α.	INSPECT DEFROSTER AIR FILTER. CLEAN AND REPLACE AS REQUIRED. PASS FAIL
В.	CHECK DRIVER'S HEATER CORE SHUT OFF VALVES, AND HOSES FOR LEAKS AND DAMAGE. ENSURE ALL HOSES ARE PROPERLY TIGHTENED.  PASS FAIL
С.	INSPECT ELECTRICAL PLUGS FOR CLEAN CONTACTS. CHECK WIRING FOR PROPER ROUTING AND FOR ANY EVIDENCE OF RUBBING. PASS FAIL
D.	CLEAN AND REPLACE HVAC RETURN AIR FILTER AS REQUIRED. PASS FAIL

Ε.	CHECK REFRIGERANT CHARGE. PASS FAIL
F.	INSPECT CONDITION OF REFRIGERANT HOSES AND TUBING. PASS FAIL
G.	INSPECT FOR REFRIGERANT AND OIL LEAKS. PASS FAIL
Н.	CHECK THE "DRY EYE" IN THE LIQUID LINE SIGHT GLASS FOR MOISTURE CONTENT.  PASS FAIL
I.	INSPECT COMPRESSOR ALIGNMENT, MOUNTS, BUSHINGS & LINKS. PASS FAIL
J.	INSPECT DRIVE BELTS FOR EXCESSIVE WEAR AND TENSION. PASS FAIL
К.	INSPECT CONDENSER AND EVAPORATOR COILS FOR CLEANLINESS. PASS FAIL
L.	INSPECT THE UNIT FOR LOOSE, DAMAGED, OR BROKEN PARTS.  PASS FAIL
М.	CHECK INTERIOR TEMPERATURE SETTING ADJUST AS NECESSARY. PASS FAIL
Ν.	SET POINT TO 68 DEGREES A/C AND 72 DEGREES HEAT.  PASS FAIL
====	VOLT BATTERY SYSTEM - CHECK THE FOLLOWING:
=====	
Α.	CHECK THE EXTERNAL CONDITION OF THE BATTERIES, AND THE BATTERY CABLES. MAKE SURE HOLD DOWN NUTS ARE TIGHT.
	PASS FAIL
В.	CHECK THE BATTERY CABLE ENDS TO ENSURE GOOD CONTACT WITH THE BATTERY POSTS.  PASS FAIL
С.	CHECK FOR BATTERY POST OR CABLE END CORROSION. IF CORROSION EXISTS, DISCONNECT CABLES AND CLEAN WITH SODA SOLUTION AND A CLEAN WIRE BRUSH. INSTALL ENDS AND COAT WITH DIELECTRIC GREASE.  PASS FAIL
D.	CHECK BATTERIES FOR OBVIOUS DAMAGE, LEAKAGE, OR CRACKED/LOOSE TERMINAL POSTS.  PASS FAIL

Ε.	CHECK BATTERY STATE OF CHARGE AND CHARGING RATE.  PASS FAIL
	IOR DRIVER'S AREA - CHECK THE FOLLOWING:
Α.	CHECK INSTRUMENT PANEL FOR PROPER OPERATION AND CONDITION. PASS FAIL
В.	CHECK THROTTLE PEDAL OPERATION. IT SHOULD BE SMOOTH WITH NO BINDING. PASS FAIL
С.	CHECK DRIVER'S AUXILIARY FAN AND LIGHT FOR PROPER OPERATION. PASS FAIL
D.	CHECK DRIVER'S SUN VISORS FOR PROPER OPERATION. PASS FAIL
Ε.	CHECK DOOR INTERLOCK OPERATION. WITH INTERLOCK ENGAGED, THROTTLE SHOULD BE LOCKED OUT.  PASS FAIL
F.	CHECK THE AREA AROUND THE TREADLE TO ENSURE THAT NOTHING SHALL INTERFERE WITH TREADLE OPERATION.  PASS FAIL
G.	CHECK THE ENTIRE TREADLE ASSEMBLY FOR CLEANLINESS. PASS FAIL
Н.	CHECK ALL PIVOT POINTS FOR FREEDOM OF MOVEMENT, EXCESSIVE WEAR, AND CORROSION.  PASS FAIL
I.	CHECK ALL FASTENERS, FITTINGS, AND RETAINING CLIPS TO VERIFY THAT THEY ARE PROPERLY INSTALLED.  PASS FAIL
J.	ACTIVATE THE TREADLE VALVE BY OPERATING IT BY HAND. THE ACTION SHOULD BE SMOOTH WITHOUT BINDING. WHEN THE PEDAL IS RELEASED, IT SHOULD RETURN IMMEDIATELY WITHOUT STICKING OR SLUGGISH ACTION. PASS FAIL
К.	OPERATE THE PEDAL ADJUSTMENT SWITCH FULLY FORWARD, AND REARWARD. PEDAL SHOULD MOVE FREELY WITHOUT BINDING THROUGHOUT THE ENTIRE RANGE OF TRAVEL. PASS FAIL
L.	CHECK BRAKE PEDAL OPERATION. CHECK AIR PRESSURE GAUGE FOR A MINIMUM OF 115 PSI. DEPRESS AND RELEASE THE BRAKE PEDAL 2-3 TIMES. LISTEN FOR AIR BEING EXPELLED FROM THE QUICK RELEASE VALVE AS YOU RELEASE THE BRAKE PEDAL.

	PASS FAIL
М.	APPLY THE PARKING BRAKE. PUT THE BUS IN GEAR AND TRY TO MOVE THE BUS WITH THE BRAKE APPLIED.
	PASS FAIL
Ν.	CHECK FLOOR SWITCHES UNDER-PLATE FOR DEBRIS AND CLEANLINESS.
	PASS FAIL
0.	INSPECT STEERING WHEEL, TILT, AND TELESCOPIC ADJUSTMENT. PASS FAIL
Ρ.	CHECK HORN OPERATION. PASS FAIL
Q.	CHECK ABS INDICATOR LIGHT OPERATION. PASS FAIL
R.	CHECK KNEEL SYSTEM OPERATION PASS FAIL
S.	CHECK FIRE EXTINGUISHER FOR VALID DATE AND HOLDING BRACKET IS SECURE. PASS FAIL
Т.	CHECK THAT THE SAFETY TRIANGLES ARE COMPLETE AND PROPERLY SECURED.  PASS FAIL
U.	CHECK CHIMES OPERATION AT ALL STATIONS INCLUDING WHEELCHAIR POSITIONS.  PASS FAIL
===	THE PERSON OF THE POLICY THE
	INSPECTION - CHECK THE FOLLOWING:
Α.	CHECK FRONT DOOR OPERATION. CHECK THE FRONT DOOR
	CLOSING SPEED. THE DOORS SHALL FULLY CLOSE IN 2.5 TO 3.5 SECONDS. PASS FAIL
В.	CLOSING SPEED. THE DOORS SHALL FULLY CLOSE IN 2.5 TO 3.5 SECONDS.
	CLOSING SPEED. THE DOORS SHALL FULLY CLOSE IN 2.5 TO 3.5 SECONDS.  PASS FAIL  OPEN THE FRONT DOORS AND CHECK THE FULL OPEN DOORSTOP ADJUSTMENTS. THE DOOR ROLLERS SHOULD CONTACT THE STOPS ONLY WHEN THE DOORS ARE IN THE FULLY OPEN POSITION.

	CHECK THE FRONT DOOR OPEN OBSTRUCTION. THE DOOR SHALL STOP WHEN AN OBSTRUCTION IS DETECTED DURING OPENING. AFTER A 1 SECOND DELAY, IT SHALL ATTEMPT TO OPEN AGAIN. IF STILL OBSTRUCTED, IT SHOULD ATTEMPT TO OPEN A 2 <sup>ND</sup> TIME AFTER A 1 SECOND DELAY. IT SHOULD MAKE 3 ATTEMPTS TO OPEN. THE DOOR SHALL THEN ENTER A FAULT STATE.  PASS FAIL
F.	CHECK FRONT DOOR PIVOT PINS AND LUBE AS REQUIRED. PASS FAIL
G.	CHECK THE EXIT DOOR 5-DEGREE PROXIMITY SWITCH. ENSURE THAT THE SWITCH LED TURNS ON WHEN THE DOORS ARE APPROXIMATELY 5 DEGREES BEFORE THE FULLY CLOSED POSITION. PASS FAIL
Н.	VERIFY THAT THE 5-DEGREE DOOR PROXIMITY SWITCH GAP BETWEEN THE SWITCH AND THE END OF THE TEETER MECHANISM IS SET TO 0.08 INCHES +/- 0.005 INCHES.
	INCH:
I.	CHECK THE METAL TO METAL GAP BETWEEN THE 2 EXIT DOOR PANEL FRAMES. THE WHOLE LENGTH OF THE DOOR IS 4.15 INCHES.
	PASS FAIL
J.	CHECK THE REAR DOOR SENSITIVE EDGES. ***NOTE: TURN OFF THE CLASS SYSTEM BEFORE TESTING. CHECK REAR DOOR SENSITIVE EDGE IN 3 LOCATIONS (6 IN., 30 IN., AND 48 IN.) WITH A 1-INCH DIAMETER DOWEL ROD TO ENSURE THE DOORS REOPEN WHEN CLOSING ON THE ROD. PASS FAIL
	CHECK THE REAR DOOR SENSITIVE EDGES. ***NOTE: TURN OFF THE CLASS SYSTEM BEFORE TESTING. CHECK REAR DOOR SENSITIVE EDGE IN 3 LOCATIONS (6 IN., 30 IN., AND 48 IN.) WITH A 1-INCH DIAMETER DOWEL ROD TO ENSURE THE DOORS REOPEN WHEN CLOSING ON THE ROD.
к.	CHECK THE REAR DOOR SENSITIVE EDGES. ***NOTE: TURN OFF THE CLASS SYSTEM BEFORE TESTING. CHECK REAR DOOR SENSITIVE EDGE IN 3 LOCATIONS (6 IN., 30 IN., AND 48 IN.) WITH A 1-INCH DIAMETER DOWEL ROD TO ENSURE THE DOORS REOPEN WHEN CLOSING ON THE ROD. PASS FAIL  CHECK ROD ENDS, MOTOR MOUNTING PLATES, AND LUBE COMPONENTS AS REQUIRED.
K.	CHECK THE REAR DOOR SENSITIVE EDGES. ***NOTE: TURN OFF THE CLASS SYSTEM BEFORE TESTING. CHECK REAR DOOR SENSITIVE EDGE IN 3 LOCATIONS (6 IN., 30 IN., AND 48 IN.) WITH A 1-INCH DIAMETER DOWEL ROD TO ENSURE THE DOORS REOPEN WHEN CLOSING ON THE ROD. PASS

====	
Α.	INSPECT ALL DRIVER'S SEAT AIR SUPPLY CONNECTIONS. PASS FAIL
В.	INSPECT SEAT MOUNTING BOLTS FOR LOOSENESS. PASS FAIL
С.	CHECK HEIGHT ADJUSTMENT KNOB FOR PROPER OPERATION. PASS FAIL
D.	CHECK SEAT TILT KNOB FOR PROPER OPERATION. CHECK FOR EXCESSIVE ROCKING. REPLACE IF ROCKING EXCEEDS 8 MM WITH TILT KNOB IN THE FURTHER FORWARD POSITION.  PASS FAIL
Ε.	CHECK THE SEAT RECLINE ADJUSTMENTS AND ADJUSTMENT KNOBS FOR PROPER OPERATION.  PASS FAIL
F.	CHECK LUMBAR SUPPORT SWITCHES FOR PROPER OPERATION AND AIR SUPPLY TO THE AIR BAG.  PASS FAIL
G.	CHECK THE SIDE BOLSTER SWITCH FOR PROPER OPERATION.  CHECK AIR BAG CONDITION.  PASS FAIL
Н.	CHECK THE SEAT SLIDE OPERATION. IF PLAY EXCEEDS 1 MM (0.039 INCHES), REPLACE SLIDE. PASS FAIL
I.	CHECK AIR SLIDE OPERATION AND AUTO LOCK. PASS FAIL
J.	CHECK THE SEAT LOCKOUT LIMITER. CHECK LOCKOUT FOR PROPER OPERATION IN ALL POSITIONS.  PASS FAIL
К.	CHECK THE DRIVER'S SEAT BELT ASSEMBLY, LATCHES, AND THAT IT RETRACTS FREELY. CHECK BELT WEBBING FOR CUTS, FRAYS, WORN AREAS, OR LOOSE PARTS.  PASS FAIL
L.	INSPECT SEAT COVERS AND UPPER AND LOWER FOAM CONDITION. REPLACE ARE REQUIRED.  PASS FAIL
BE SEI	TE: IF SEAT REQUIRES REPLACEMENT, WORK ORDER SHALL NT WITH OLD SEAT FOR UPHOLSTERY MECHANIC MATION.
====	
	NGER SEATING INSPECTION - CHECK THE FOLLOWING:
====	

\_\_\_\_\_

Α.	INSPECT PASSENGER SEAT MOUNTS FOR LOOSE NUTS AND BROKEN BRACKETS. PASS FAIL
В.	CHECK FOR ANY LOOSENESS IN SEAT/WALL. PASS FAIL
С.	CHECK HYDRAULIC PROPS ON FLIP-UP SEATS FOR PROPER OPERATION. PASS FAIL
D.	INSPECT ALL PASSENGER SEATING COVERS AND FOAM. REPLACE ARE REQUIRED. PASS FAIL
=====	
WHEEL(	CHAIR RAMP INSPECTION - CHECK THE FOLLOWING:
====	
Α.	OPERATE RAMP THROUGH 2 COMPLETE CYCLES AND VERIFY PROPER OPERATION. PASS FAIL
В.	CHECK WHEELCHAIR RAMP ALARM WHEN OPERATING RAMP OR KNEELING SYSTEM. PASS FAIL
С.	INSPECT AND ADJUST CHAIN TENSION AS REQUIRED. PASS FAIL
D.	INSPECT RAMP PUMP ELECTRICAL CONNECTORS FOR CONDITION AND SECURITY.  PASS FAIL
E.	INSPECT ELECTRICAL HARNESSES AND HYDRAULIC HOSES FOR CONDITION AND SECURE ATTACHMENT.  PASS FAIL
F.	INSPECT FLUID LEVEL IN RESERVOIR AND TOP OFF AS REQUIRED. PASS FAIL
G.	INSPECT AND TIGHTEN MOUNTING HARDWARE AS REQUIRED. PASS FAIL
Н.	ENSURE STOWED PROXIMITY SWITCH IS FUNCTIONING AND IS POSITIONED TO ACTIVATE AT 15 DEGREES FROM THE STOWED POSITION.  PASS FAIL
I.	CLEAN AND LUBRICATE THE DRIVE CHAIN ROLLERS AND SIDE PLATES. PASS FAIL
J.	CLEAN AND LUBRICATE THE TEFLON SLEEVE BUSHINGS LOCATED ON THE TENSIONER BLOCKS.  PASS FAIL

К.	CLEAN AND LUBRICATE THE TEFLON SLEEVE BUSHINGS ON THE LH AND RH RAMP PIVOTS. PASS FAIL
L.	CLEAN AND LUBRICATE THE BRONZE BUSHING LOCATED ON THE IDLER SPROCKET. PASS FAIL
М.	CLEAN AND LUBRICATE THE HYDRAULIC CYLINDER PIVOT POINTS. PASS FAIL
Ν.	CLEAN AND LUBRICATE BETWEEN THE SLIDING SURFACES OF THE MECHANISM (SLOTS IN THE SUPPORT PLATES AND FLATS ON THE PUSH SHAFT AND CLEVIS SHAFT). PASS FAIL
Ο.	CHECK RAMP INTERIOR AREA AND REMOVE ACCUMULATED DIRT AND DEBRIS. PASS FAIL
Р.	CHECK OPERATION OF WHEELCHAIR SEATING. CHECK ALL BELTS AND RETRACTOR MOUNTS FOR SECUREMENT. CHECK RETRACTORS FOR PROPER OPERATION.  PASS FAIL
Q.	CHECK FOR ANY LOOSE OR MISSING HARDWARE.  PASS FAIL
R.	CHECK FOR NON-SLIP FLOORING FOR DAMAGE TO SURFACE.  PASS FAIL
S.	CHECK TO SEE THAT REQUIRED DECALS ARE IN PLACE.  PASS FAIL
==== INTER	IOR INSPECTION - CHECK THE FOLLOWING:
Α.	CHECK EMERGENCY HATCHES AND WINDOWS FOR PROPER OPERATION. PASS FAIL
В.	CHECK ALL UPPER DECK WINDOW LATCHES. THEY SHOULD BE LOCKED. PASS FAIL
С.	INSPECT HAND STRAPS AND GRAB RAILS. THEY SHOULD BE SECURED AND IN GOOD ORDER.  PASS FAIL
D.	INSPECT WHEELCHAIR RESTRAINT SYSTEM FOR DAMAGE, CLEANLINESS, AND OPERATES PROPERLY. PASS FAIL
E.	INSPECT COACH FOR GRAFFITI ON SEATS, WINDOWS, MODESTY PANELS, AND RAILS. PASS FAIL

F.	INSPECT FLOOR COVERINGS AND STEP TREADS.  PASS FAIL
G.	CHECK ALL INTERIOR LIGHTS AND MIRRORS FOR PROPER OPERATION. PASS FAIL
Н.	CHECK ALL ROOF INTERIOR PANELS FOR SECUREMENT. PASS FAIL
=====	
	RACK INSPECTION - CHECK THE FOLLOWING: 
==== A.	CHECK BIKE RACK OPERATION AND CONDITION. PASS FAIL
В.	CHECK THAT BIKE RACK SWINGS EASILY BETWEEN STOWED AND DEPLOYED POSITIONS. IF NOT, INSPECT HINGE PLATE AND PIVOT BOLTS FOR DAMAGE.  PASS FAIL
С.	CHECK TO MAKE SURE RELEASE HANDLE UNLOCKS THE BIKE RACK AND DOES NOT STICK.  PASS FAIL
D.	CHECK THAT THE LOCKING PIN AUTOMATICALLY LOCKS IN THE DEPLOYED AND STOWED POSITIONS.  PASS FAIL
Ε.	CHECK THE 2 END CAPS ON FRONT OF BIKE RACK ARE PRESENT AND NOT DAMAGED.  PASS FAIL
F.	CHECK ALL INSTRUCTION LABELS ARE PRESENT AND INTACT. PASS FAIL
G.	CHECK THE MAIN FRAME AND BIKE RAILS ARE UNDAMAGED AND STRUCTURALLY SOUND. PASS FAIL
==== EXTER	IOR INSPECTION - CHECK THE FOLLOWING:
=====	
Α.	CHECK WINDSHIELD WIPER AND WASHER OPERATION. TOP OFF WASHER FLUID. PASS FAIL
В.	CHECK HAZARD LIGHTS, TURN SIGNALS, AND BACKUP WARNING. PASS FAIL
C.	CHECK FRONT AND REAR BUMPERS FOR DAMAGE.

	PASS FAIL
D.	CHECK MIRRORS AND MOUNTING ARMS FOR DEFECTS AND GREASE ALL PIVOT ARMS WITH GREASE FITTINGS. APPLY GREASE UNTIL GREASE COMES OUT BETWEEN THE BRACKET AND THE ARM.  PASS FAIL
Ε.	CHECK FOR REQUIRED DECALS INCLUDING CH2 DECALS ON REAR OF BUS.  PASS FAIL
F.	CHECK COACH BODY FOR LOOSE PANELS/BODY DAMAGE. PASS FAIL
G.	CHECK FUEL TANK DOORS FOR PROPER OPERATION, CRACKS, AND DOOR PROP LEAKS AND FUNCTION.  PASS FAIL
Н.	CHECK FUEL CELL COMPARTMENT DOOR FOR CRACKS, AND DOOR PROP OPERATION AND LEAKS.  PASS FAIL
I.	VISUALLY CHECK REAR WHEEL VENT HOLES ARE ALIGNED. PASS FAIL
J.	CHECK RUBBER WHEEL WELL FLAPS FOR DAMAGE AND DEFECTS. PASS FAIL
К.	CHECK ALL EXTERIOR LIGHTS. PASS FAIL
L.	CHECK AND REMOVE DIRTY FINGERPRINTS, HANDPRINTS, SMUDGES, ETC. FROM EXTERIOR PANELS AND WINDOWS.  PASS FAIL
М.	RECORD AIR PRESSURE IN TIRES: RF: RRO:
	RRI: LRO: LRI:
N.	CHECK WHEEL LUG NUTS FOR PROPER TORQUE: ALL WHEELS ARE 550 LBS TORQUE.  PASS FAIL
MECHAI	NIC'S SIGNATURE:
	ID:

## 10. APPENDIX 3: EQUIPMENT ASSIGNMENT REPORT FOR 10/13/2019



## **EQUIPMENT ASSIGNMENT**

October 13, 2019 Base Assignments by Series

	FIXED ROUTE				
Series	Total	Garden Grove	GG#	Santa Ana	SNA#
		40	' Buse	s	
5121	18	5121, 5122, 5123, 5124, 5125, 5126, 5127, 5128, 5129, 5130, 5131, 5132, 5133, 5134, 5135, 5136, 5137, 5138	18		
5500	58			5501, 5502, 5503, 5504, 5505, 5506, 5507, 5508, 5509, 5510, 5511, 5512, 5513, 5514, 5515, 5516, 5517, 5518, 5519, 5520, 5521, 5522, 5523, 5524, 5525, 5526, 5527, 5528, 5529, 5530, 5531, 5532, 5533, 5534, 5535, 5536, 5537, 5538, 5539, 5540, 5541, 5542, 5543, 5544, 5545, 5546, 5547, 5548, 5549, 5550, 5553, 5565, 5566, 5567, 5568, 5569, 5570, 5571	58
5700	99	5701, 5702, 5703, 5704, 5705, 5706, 5707, 5708, 5709, 5710, 5711, 5712, 5713, 5714, 5715, 5716, 5717, 5718, 5719, 5720, 5721, 5722, 5723, 5724, 5725, 5726, 5727, 5728, 5729, 5730, 5731, 5732, 5733, 5734, 5735, 5736, 5737, 5738, 5739, 5740, 5741, 5742, 5743, 5744, 5745, 5746, 5747, 5748, 5749, 5750, 5751, 5752, 5753, 5754, 5755, 5756, 5757, 5758, 5759, 5760, 5761, 5762, 5763, 5764, 5765, 5766, 5767, 5768, 5769, 5770, 5771, 5772, 5773, 5774, 5775, 5776, 5777, 5778, 5779, 5780, 5781, 5782, 5783, 5784, 5785, 5786, 5787, 5788, 5789, 5790, 5791, 5792, 5793, 5794, 5795, 5796, 5797, 5798, 5799	99		
5800	44	5844, 5845, 5846, 5847, 5848, 5849, 5850, 5851, 5852, 5853, 5854, 5855, 5856, 5857, 5858	15	5815, 5816, 5817, 5818, 5819, 5820, 5821, 5822, 5823, 5824, 5825, 5826, 5827, 5828, 5829, 5830, 5831, 5832, 5833, 5834, 5835, 5836, 5837, 5838, 5839, 5840, 5841, 5842, 5843	29
7500	1			7575	1
Subtotal	220		132		88
		40' Hyd	rogen	Buses	
1100	3			1111, 1112, 1114	3
Subtotal	3				3
		40' BR	AVO I		
5500	2			5551, 5552	2
5800	20			5801, 5802, 5803, 5804, 5805, 5806, 5807, 5808, 5809, 5810, 5811, 5812, 5813, 5814, 5861, 5862, 5863, 5864, 5865, 5866	20
7500	17			7576, 7577, 7578, 7579, 7580, 7581, 7582, 7583, 7584, 7585, 7586, 7587, 7588, 7589, 7590, 7591, 7592	17
Subtotal	39				39
		60' Artic	ulated	Buses	
7600	20			7601, 7602, 7603, 7604, 7605, 7606, 7607, 7608, 7609, 7610, 7611, 7612, 7613, 7614, 7615, 7616, 7617, 7618, 7619, 7620	20
7621	16			7621, 7622, 7623, 7624, 7625, 7626, 7627, 7628, 7629, 7630, 7631, 7632, 7633, 7634, 7635, 7636	16
Subtotal	36				36
Total:	298		132		166



## **EQUIPMENT ASSIGNMENT**

October 13, 2019 Base Assignments by Series

	CONTRACTED FIXED ROUTE					
Series	Total	Irvine Sand Canyon	ISC#	Anaheim	ANA#	
		40' Bi	uses			
5121	12	5139, 5140, 5141, 5142, 5143, 5144, 5145, 5148, 5147, 5148, 5149, 5150	12			
5500	39	5554, 5555, 5556, 5557, 5558, 5559, 5560, 5561, 5562, 5563, 5564, 5572, 5573, 5574, 5575, 5576, 5577, 5578, 5579, 5580, 5581, 5582, 5583, 5584, 5585, 5586, 5587, 5588, 5589, 5590, 5591, 5592, 5593, 5594, 5595, 5596, 5597, 5598, 5599	39			
5600	78	5601, 5602, 5603, 5604, 5605, 5606, 5607, 5608, 5609, 5610, 5611, 5612, 5613, 5614, 5615, 5616, 5617, 5618, 5619, 5620, 5621, 5622, 5623, 5624, 5625, 5626, 5627, 5628, 5629, 5630, 5631, 5632, 5633, 5634, 5635, 5636, 5637, 5638, 5639, 5640, 5641, 5642	42	5843, 5844, 5845, 5848, 5847, 5848, 5849, 5850, 5851, 5852, 5853, 5854, 5855, 5858, 5857, 5858, 5859, 5860, 5861, 5862, 5863, 5884, 5885, 5886, 5887, 5888, 5889, 5870, 5871, 5872, 5873, 5874, 5875, 5876, 5877, 5878	36	
7500	74			7501, 7502, 7503, 7504, 7505, 7508, 7507, 7508, 7509, 7510, 7511, 7512, 7513, 7514, 7515, 7518, 7517, 7518, 7519, 7520, 7521, 7522, 7523, 7524, 7525, 7528, 7527, 7528, 7529, 7530, 7531, 7532, 7533, 7534, 7535, 7538, 7537, 7538, 7539, 7540, 7541, 7542, 7543, 7544, 7545, 7548, 7547, 7548, 7549, 7550, 7551, 7552, 7553, 7554, 7555, 7558, 7557, 7558, 7559, 7560, 7561, 7562, 7563, 7564, 7565, 7568, 7567, 7568, 7569, 7570, 7571, 7572, 7573, 7574	74	
Subtotal	203		93		110	
		Mid-size (	Cutawa	ay		
6321		8354, 8355, 6361	3			
6350		6351, 6363, 6364	3		$\square$	
Subtotal	6		6		0	
Total:	209		99		110	

	ACCESS SERVICE				
Series	Total	Irvine Construction Circle			
6800	2	6805, 6806			
6900	17	6911, 6912, 6913, 6914, 6915, 6916, 6917, 6918, 6919, 6920, 6921, 6922, 6923, 6924, 6925, 6926, 6927			
8500	98	8501, 8502, 8503, 8504, 8505, 8506, 8507, 8508, 8509, 8510, 8511, 8512, 8513, 8514, 8515, 8516, 8517, 8518, 8519, 8520, 8521, 8522, 8523, 8524, 8525, 8526, 8527, 8528, 8529, 8530, 8531, 8532, 8533, 8534, 8535, 8536, 8537, 8538, 8539, 8540, 8541, 8542, 8543, 8544, 8545, 8546, 8547, 8548, 8549, 8550, 8551, 8552, 8553, 8554, 8555, 8556, 8557, 8558, 8559, 8560, 8561, 8562, 8563, 8564, 8565, 8566, 8567, 8568, 8569, 8570, 8571, 8572, 8573, 8574, 8575, 8576, 8577, 8578, 8579, 8580, 8582, 8583, 8584, 8585, 8586, 8587, 8588, 8589, 8590, 8591, 8592, 8593, 8594, 8595, 8596, 8597, 8598, 8599			
8600	99	8601, 8602, 8603, 8604, 8605, 8606, 8607, 8608, 8609, 8610, 8611, 8612, 8613, 8614, 8615, 8616, 8617, 8618, 8619, 8620, 8621, 8622, 8623, 8624, 8625, 8626, 8627, 8628, 8629, 8630, 8631, 8632, 8633, 8634, 8635, 8636, 8637, 8638, 8639, 8640, 8641, 8642, 8643, 8644, 8645, 8646, 8647, 8648, 8649, 8650, 8651, 8652, 8653, 8654, 8655, 8656, 8657, 8658, 8659, 8660, 8661, 8662, 8663, 8664, 8667, 8668, 8669, 8670, 8671, 8672, 8673, 8674, 8675, 8676, 8677, 8678, 8679, 8680, 8681, 8682, 8683, 8684, 8685, 8686, 8687, 8688, 8689, 8690, 8691, 8692, 8693, 8694, 8695, 8696, 8697, 8698, 8699			
8700	32	8701, 8702, 8703, 8704, 8705, 8706, 8707, 8708, 8709, 8710, 8711, 8712, 8713, 8714, 8715, 8716, 8717, 8718, 8719, 8720, 8721, 8722, 8723, 8725, 8726, 8727, 8728, 8729, 8730, 8731, 8732, 8733			
Total:	248				



## **EQUIPMENT ASSIGNMENT**

October 13, 2019 Non-Revenue Vehicles

	CEA VEHICLES				
Series	Total	Garden Grove	GG#	Santa Ana	SNA#
9400	55	9401, 9402, 9403, 9404, 9405, 9406, 9407, 9408, 9409, 9410, 9411, 9412, 9413, 9414, 9415, 9416, 9417, 9418, 9419, 9420, 9421, 9422, 9423, 9424, 9425, 9431, 9432	27	9433, 9434, 9435, 9436, 9437, 9438, 9439, 9440, 9441, 9442, 9443, 9444, 9445, 9446, 9447, 9448, 9449, 9450, 9451, 9452, 9453, 9454, 9455, 9456, 9457, 9458, 9459, 9460	28
Total:	55		27		28

	MOTOR POOL VEHICLES				
			Base		
Series	Total	Garden Grove	GG#	Santa Ana	SNA#
9400	6	9480, 9482, 9485	3	9483, 9484, 9486	3
98/9900	3	9880 (Stakebed)	1	9922, 9929 (Cargo & Passenger Van)	2
		Main O	ffice, O	range	
94/9900	15	9489, 9470, 9471, 9472, 9473, 9474, 9475, 9476, 9477, 9478,	9479, 9	916, 9919, 9924, 9932	15
Total:	24				

	24-HOUR ASSIGNED				
Series	Total	Main Office, Orange	Adm#	Base	Base#
9400	2	9461 (Bus Ops, Dept Mgr)	1	9463 (Bus Ops, Base Mgr: GG)	1
9400	3	9467, 9468 (Security)	2	9462 (Bus Ops, Base Mgr: SA)	1
9400	2			9464, 9465 (Maint, Base Mgr: SA)	2
various	4			9466, 9640, 9927, 9928 (Ops Supp Mgr, Field Supvs: GGA)	4
Total:	11				

	SPECIAL PURPOSE ASSIGNMENTS				
		Main O			
Series	Total	Unit#	Loc	Assignment	#
9800	1	9872	Adm	Conservation	1
9800	2	9868, 9886		Safety	2
9800	2	9848, 9862	Adm	Stops & Zones	2
9800	1	9887		Right of Way	1
9900	1	9917		Marketing	1
9900	1	9926		General Services	1
9600	1	9658	Adm		1
		Garden			
9800	1	9896	GGA	Central Communications	1
9600	8	9647, 9648, 9649, 9650, 9651, 9653, 9654, 9655	GGA	Field Supervision	8
96/9800	15	9639, 9644, 9645, 9656, 9657, 9659, 9660, 9803, 9804, 9888, 9890, 9892, 9895, 9897, 9899	GGA	Transit Police Services	15
		Garden Gro			
9800	2	9860, 9873		Service Vehicles	2
		Santa An	a, Main	tenance	
9800	4	9855, 9857, 9865, 9898	SNA	Service Vehicles	4
9900	2	9918, 9920		Electronics	2
		Electr	ronics,	ČFR	
Series	Total	Irvine Sand Canyon	ISC#		
98/9900	1	9915	1		
		Facilities	s Maint		
Series	Total	Unit #		Location	#
9800	3	9802, 9851, 9852		Garden Grove	3
9800	3	9801, 9882, 9885		Santa Ana	3
9800	2	9884, 9914		Anaheim	2
9800	2	9854, 9864		Irvine Sand Canyon	2
9800	2	9856, 9883	Depart	Irvine Construction Circle	2
Series	Total	Garden Grove	GG#	Santa Ana	SNA#
9800	3	9881	1	9893, 9894	2
Total:	57	0001		0000, 0001	
rotal.	- 01				

		Si	PARE	<b>S</b>	
Series	Total	Unit#	Loc	Assignment	#
various	4	9481, 9646, 9861, 9930	SNA	Spares	4
Total:	4				

	NON-REVENUE VEHICLE FLEET SUMMARY		
Series	Total	Assignment	
9400	55	CEA Vehicles	
various	24	Motor Pool Vehicles	
various	11	24-Hour Assigned	
various	57	Special Purpose Assignments	
various	4	Spares	
Total:	151		



## **EQUIPMENT ASSIGNMENT**

October 13, 2019 Non-Revenue Buses

	NON-REVENUE BUSES				
Series	Total	Garden Grove	GG#	Santa Ana	SA#
n/a	1			100 (Old Yeller)	1
n/a	1			1201 (1973 Flexible)	1
3000	1	3001 (1980 RTS)	1		
Total:	3				

Total:	3	
		SPECIAL ASSIGNMENTS
Series	Total	Long Term Hold (CFR/DOFR Buses) Bas
6321	12	6321, 6322, 6323, 6331, 6339, 6340, 6352, 6353, 6356, 6357, 6358, 6360 Long Term Hold
Total	12	
Series	Total	Hydrogen Bas
1100	1	1101 (Demo Bus) SA
		Vehicle Acceptance In Progress
1100	7	1113, 1115, 1116, 1117, 1118, 1119, 1120 SA
Total	8	·
Series	Total	Training Bas
6800	3	6802, 6819, 6821 ICC
		Tours of Right-of-Way Bas
6800	4	6820, 6826, 6830, 6831 (Tours of Right-Of-Way) SA
Series	Total	OC Flex, Operated by Keolis Transit Bas
6000	4	6001, 6002, 6003, 6004 OC Flex OPERATED BY REGISTRANSITE BASE
0000	-	0001, 0002, 0003, 0004 OF Flex
Series	Total	Metrolink Bas
7500	0	Bravos SA
Series	Total	Project V Bas

	6350	2	8359, 8362 Mission Viejo	ISC
ĺ	Series	Total	Senior Mobility Program	Base
	6800	8	6803, 6807, 6808, 6810, 6818, 6823, 6832, 6833	ANA

Series	Total	Irvine iShuttle	Base
6321	12	6324, 6325, 6326, 6327, 6328, 6329, 6330, 6332, 6333, 6334, 6335, 6336	ISC
6340	5	6341, 6342, 6343, 6344, 6345	ISC
6370	7	8371, 6372, 6373, 6374, 6375, 6376, 6377	ISC
Total:	24		

	CONTINGENCY				
Series	Total	Emergency Contingency Fleet	Base		
5300	11	5302, 5306, 5331, 5335, 5342, 5353, 5354, 5362, 5376, 5387, 5388	GG		
5400	9	5401, 5403, 5406, 5408, 5409, 5410, 5411, 5412, 5416	GG		
Total:	20				

	OCTA FLEET PROFILE							
Туре	Garden Grove	Santa Ana	Anahelm	Sand Canyon	Construction Circle (ACCESS)	(OC FLEX)	Contingency (GG)	Totals
20' Gas						4		4
23' Gas					248			248
32' CNG				6				6
40' CNG	132	127	110	93				462
40' Diesel							20	20
40' H <sub>2</sub>		3						3
60' CNG		36						36
TOTAL:	132	166	110	99	248	4	20	779
	ACTIVE FIXED ROUTE ONLY:		507					

# **ATTACHMENT A: EAM SYSTEM HIGHLIGHTS TABLE**

Use the table to identify software and hardware requirements, as well as software support responses and upgrade schedules. This table shall be submitted as part of the Consultant's proposal.

ОСТА	Consultant Response	Comments
Model (SaaS, Cloud, On-Premise)		
If Cloud based type of platform (Microsoft, Amazon, etc.)		
Database and version required		
Is database SQL read only access allowed? (Y/N)		
Browsers (Indicate which is the preferred browser when more than one browser is available)		
Specific desktop requirements (Java, Flash, Visual Studio, etc.)		
Mobility (Browser, or direct application installed on device)		
Reporting (Business Objects, Jasper, Cognos, Proprietary)		
Inventory Optimization Tool (Oniqua, CIO, Other)		
Estimated Total Duration of Implementation – Start/End		
Support hours		
SLA's for P1 Issues		
SLA's for P2 Issues		
SLA's for P3 Issues		
SLA's for P4 Issues		
Software "Uptime" percentage		
Software updates/fixes – frequency		
Software updates/fixes – Level of Effort (High, Med, Low)		

## RFP 0-2272 EXHIBIT A ATTACHMENT A

Upgrades – frequency	
Upgrades – Level of Effort (High, Medium, Low)	
Upgrades – included or additional cost	
Interfaces/Integration – programming or tools used (Webservices, XML, groovy, java, etc.)	
Interfaces/Integration - are these included in level of effort for an upgrade (Y/N)	
Interfaces/Integration - is ongoing support available or are these items under a warranty? If under warranty what is the warranty period.	
List of software systems with successful interfaces to the solution	
Customizations and/or Personalization of system's screens/UI - does this move over in an upgrade or does it need to be re-done/re-configured?	
Software Licenses (Perpetual or Annual Fees)	
Headquarters location of Software Consultant	
Office location of Implementation Team	
Office location of Support Team	

## ATTACHMENT B: PROJECT TASK DELIVERABLES TABLE

Use table to indicate a clear response to the project implementation tasks and deliverables under Section 7 of the SOW. This table shall be submitted as part of the Consultant's proposal. Consultant may respond to deliverable with three options:

- W- Shall be delivered per SOW description
- **E** Shall be delivered, with exception (Please add comments to describe the exception)
- N Shall Not be delivered (Please add comments to explain why deliverable cannot be met)

Task 1 - Project Planning & Management			
Deliverable	Consultant Response (W/E/N)	Consultant Comments	
Project Schedule			
Roles and Responsibilities Matrix			
Change Orders			
Project Status Reports			
Meeting Agendas			
Meeting Minutes			
Documentation			
Task 2 - Requirements Gathering			
Deliverable	Consultant Response (W/E/N)	Consultant Comments	
Requirements Documentation			
Requirements Traceability Matrix			
System Documentation			
Task 3 - Design			
Deliverable	Consultant Response (W/E/N)	Consultant Comments	
Design Documentation (all phases)			
Back-up and Recovery Plan			
Systems Integration Design (SID) document			
Release Management Plan			

Task 4 – Construct / Build			
Deliverable	Consultant Response (W/E/N)	Consultant Comments	
System Configurations			
Technical Documentation			
Task 5 – Test			
Deliverable	Consultant Response (W/E/N)	Consultant Comments	
Test Plan			
Test Cases / Scripts			
Testing Results			
Defect Logs			
Stakeholder Sign-Off / UAT Sign-Off			
Task 6 – Pilot			
Deliverable	Consultant Response (W/E/N)	Consultant Comments	
Pilot Plan			
Pilot Acceptance			
Task 7 – Pilot			
Deliverable	Consultant Response (W/E/N)	Consultant Comments	
Training Plan			
Training Documentation	Training Documentation		
Task 8 – Deploy			
Deliverable	Consultant Response (W/E/N)	Consultant Comments	
Readiness Assessment Report			

Implementation (Deployment) Plan		
Documented (Go-Live) Schedule		
Deployment Checklist		
Production Validation Tests		
Support Plant		
Change Control Documentation		
Approved Validation Test scripts		
Updated System Documentation		
Updated Items Log w/ open defects		
Deployment Acceptance		
Task 9 – Post Deployment Support		
Deliverable	Consultant Response (W/E/N)	Consultant Comments
Help Desk contact information		
Web-based tracking tool		
Help Desk services/software fixes		

Lessons Learned document

## ATTACHMENT C: EAM SYSTEM REQUIREMENTS LIST

Consultant shall submit this EAM Requirements List with the Consultant's proposal. Please provide a response for each individual requirement relevant to how the Consultant's EAM system meets the respective requirement.

The figure below is a screenshot of the EAM Requirements List Microsoft Excel file. OCTA's requirements are organized by Category/Department, Sub-category/Process, and Priority. The Consultant is expected to review these requirements in detail and indicate their understanding by populating the proposed EAM system's capability, method to implement, costs for customizations and third-party software, and any relevant comments and assumptions (columns F through K of the EAM Requirements List Microsoft Excel file).

- a) Proposed Solution's Capability: Does the solution meet the requirement?
- b) Method to Implement: How is the requirement achieved?
- c) Costs shall be provided if the requirement shall be accomplished by implementing a software customization or third-party software. If a software customization or a piece of third-party software is software is proposed to satisfy multiple requirements, then the cost by line item is not required. Instead, the Consultant shall reference the customization, or third-party software in their requirements response (with a designation, example: "A", "B" "C",...), and include the customization or third-party software and interface development costs in the "List of Software and Technical Components table".
- d) Consultant Comments may be added to the Consultant's response for any requirement. If customization or partial customization is indicated, then the Consultant should explain level of effort and risk. If future release is expected, the Consultant should indicate target release number and date within project timeline. If third-party software is proposed, the Consultant should indicate which software.
- e) Consultant Assumptions should be identified and included, as applicable.

#### INFORMATION PROVIDED BY OCTA 3rd Party Category / Departn Sub-category / Process OCTA's Priority Proposed Software Cost Cost Provide functionality that supports Defect Management **Bus Maintenance** Defect Management 1 - Required Reporting and Analytics (MKI Report) a.Standard System Reporting (OCTA currently has about 60 If the Requirement will be Business Objects reports) accomplished by software b Performance Reporting c.Asset Reporting d.Lifecycle cost tracking (TCO) customization, or by 3rd Party software, include cost e.What does it cost to maintain the asset (at the part-level) estimates. Track Total Cost of Ownership (TCO) System reports that are required are provided in the EAM Provide functionality that supports Preventive (Scheduled) Maintenance Management using Work Plans and Work Orders, Reporting and Analytics 1 - Required **Bus Maintenance** Maintenance which include: Job Plan details (step to do job, materials), What Drop-down Unscheduled Maintenance Bus Maintenance 1 - Required 1 - Required options for a.Maintenance Mobility: show work details, defect management responses. access work order to log time and materials, and show progress b.Materials Management Mobility: Receiving, Issuing, Cycle

## (Screen shot of Requirements List Response Sheet)

The proposed solution's capability, and the method to implement columns (F and G) contain drop-down responses for each requirement. These are defined as follows:

## **Requirement Drop-down Responses**

Proposed Solution's Capability	Method to Implement
Yes	OOtB with configurations.
Future Enhancement	Software customization.
Not Available	3rd party software.
	Software customizations and 3rd party software.
	Not available.
	SELECTION DEFINITIONS
W 2 11 21	SELECTION DEFINITIONS
Yes: available with	OOtB with configurations: the "Out-Of-the-
current version of	Box" product has this capability using system
software.	configuration(s).
Future	Software customization: requirement can be
Enhancement:	met when software is customized.
approved on product	
roadmap, timeframe	
is published.	
Not Available: not	3rd party software: other customers
currently on the	accomplish this requirement using 3rd party
product roadmap.	software.
	Software customization and 3rd party
	software: both a product customization and 3rd
	party software would be required to meet this
	requirement.
	Not available: requirement is not met; there are
	no plans to support this requirement.

## RFI 9-1711 OCTA Enterprise Asset Management Requirements List - Instructions

The additional sheets within this Excel file (Location Demographics, Software Performance SLA, Interfaces and Data Exchanges, Printers, Users) are provided as supplementary information.

Category / Department	OCTA's Priority	Proposed Solution's Capability	Method to Implement
Bus and Facilities Maintenance	1 - Required	Yes	OOtB with configurations.
Bus Maintenance	2 - Preferred / Nice to Have	Future Enhancement	Software customization.
Materials Management	3 - Required, if solution is hosted (cloud-based)	Not Available	3rd party software.
Mobility	4 - Required, if recommending on-prem environment		Software customizations and 3rd party software.
CAMM		_	Not available.
Finance			
Rail			
Non-functional / technical			

	SELECTION DEFINITIONS
Yes: available with	OOtB with configurations: the "Out-Of-the-Box"
current version of	product has this capability using system
software.	configuration(s).
Future	Software customization: requirement can be met
Enhancement:	when software is customized.
approved on product	
roadmap, timeframe	
is published.	
Not Available: not	3rd party software: other customers accomplish
currently on the	this requirement using 3rd party software.
product roadmap.	
	Software customization and 3rd party software:
	both a product customization and 3rd party
	software would be required to meet this
	requirement.
	Not available: requirement is not met; there are no
	plans to support this requirement.

	INFORMATION PR	EVERDBY OCTA		_		TOBEUP	ario iv	DIE PROPI	OSER / VENC
Augustination de la tipo, format de para artificar desse de l'article de la tipo de l'article de la tipo de l'article de l	Reguly Repairment or any names	No. copy France	merenny Autor	Sales of the last	Bettertopeus	tarameter tar	ANTHON SHIP	Territoria.	American
Commence of the State of the St	to activate to accomp	-	Anna						
	marana marana	-	Name of Street						
Apparate persons  The part of the Partie Stages Service Stage or parallel Statement and Service	Actions Actions		-	_				-	
Topic rap at the depth of a transmit for all the same	Branca Branca	marite aproxi	-						
	ALCOHOL:	and the second	Name of Street						
	Service Service		- Augusta	_			_	_	
And the section of th	de acrosmo	Action to be produced	Report .						
Forgott harp starting the analysis (Michael Starting Star	marana marana	Service Strapper	Name of Street						
	Carana Carana		Marca .	_			_	_	
NO. (C. C.) (C. C.) (C. C.)	ereva	444.00.000	No.						
	No. dell'accioni	NATIONAL PROPERTY.	- Napola						
Annual transmission of the property of the same of the	Service Service	man,	- Augusta	_			_	_	
Topic comments and the state of	de acrosmo		Report .						
Tropie napisal desarbitation forced appellar span; is to be a per repetitor of activities.  Tribusius del bedes producer activity any server to deliver a fin-	Marketon .	east,	- Napola						
	Actions Actions		-	_				-	
Company and the controlled an even on regard \$1.60 kg.	ereva	and,	No.						
	to acrosso	and a	Name of Street						
Service to another posteroper to country and the another to service	-		-	_				-	
di patrimonina anteriori di discolori di fassi fina di fini di senseny all'alter già	Service Contraction	enery.	- Augusta						
A copies traction to add process than the experience and a copies the experience of a copies group Copies traction to adjust consistency actions place i, the bij add its	to arreine	many many	Name of Street						
Topic services are properly deposited to the party of the services and the services are properly as a service a	-	ann,	New	_					
Company and a few states of the states of th	ereva	and,	No.						
Topic hay said any transcribe an exact again pages.  See Topic and Service and See or Any any Security Topic and	Marketon .	east,	- Napola						
Angle  Comparison of the series who should be to the questions, to being the continuent to the  Comparison of the series of the continuent to the Comparison of the  Comparison of the comparison of the continuent to the continuent to the  Comparison of the continuent to the continue	to account	-	April 1	_					
the part to the control of the contr	to acroma teresia	energy .	******						
	ACTION A	many many	- Majorial - Majorial						
epini administrativa del productiva	TO ANTION A	-	April	Н		-	-	-	
The second second second second second second	NATION AND ADDRESS OF THE PARTY	estri,	April						
Committee of the Commit	Name of Street		April 1	Ľ		Ξ	Ξ	Ξ	E
Carrier Section Control Con	Lane	-	-	H		$\vdash$	H	$\vdash$	$\vdash$
	no acrosmo minerale		August .						
Control of the Control of	No activities No activities	manny manny	- Name of Street	Ľ		F	F	F	F
		-	Maria	H				-	
Topolar and the second	Security Sec	ann,	Maria						
per har any of the River Works State	Name of Street,		April	Ľ		F	F	F	F
Transaction of the second of t	- Total	-	Maria	H				-	
Total State Conference and Section School	Name and Address of the Owner, where the Owner, which is the Owner, where the Owner, which is the Owner, where the Owner, which is the Owner, whic	100,	-						
tende derived for the season probabilist and properly after purpoper reporting in the probabilist formula space.  The contract of the contract	to arrente terano	east,	- Majorial - Majorial						
Tokania maraka kepipan pine Papar angal di mara Kabula maraka kepipan pine Papar angal di marak Kapatan maraj ayang marakan marakan bang marak banasar	Carana Carana		Marca .	_			_	_	
Maragan spile to photogram, apartic dust a sector of the appear to be seen and appearing the sector of the sector of construction and expenditures of the sector of the	ereva	and,	No.						
Commence and an extended local local local	marana marana	April and April	Name of Street						
	Actions Controlled		-	_				-	
STREET, STREET	NATION.	to all the age cont	April						
Miles and the control of the control		****	- Augusta	_			_		
			Marca .	_			_	_	
Security and successive and heavy	-								
Control of the second section of the second section of the second second second section of the second second second section second sec		anacha.	- Marine	_			_		
Control of any producting apportunity afficial from the first first wife, and a first series.	-	Services .	-	Н					
Topic formation of the first separate has a contract of the co	-	anacha.	No.						
Principally selection to except according to a principal period. To	-		- August	_					
	-		Name of Street						
But the last further from the print part of the last of the further to have their further from the start of the contract open contract the first further obtained in the first of the further open of the further to the further obtained to the first of the further open of the further to the further open of the first of the further open of the further open of the further to the further open of the first open of the further open open open open open open open open		April and April appril	Name of Street						
	-	and the same	-	_		_	_	_	
British Spations, Plantes	-	and the same of	Name of Street	_					
I span to tak helps to brighte a the state that the brightest state and the part of the span to the state that the brightest white and the part of the span to the state and the state and the	-	and the same of	No.						
	-	Angelong .	- August	_					
		Name and	- Augusta	Н					
		Acquire to a							
	-								
Company of the St. of	-	equitary equitary	No.						
Programa years is not a fire point or or or qualitation and a constitution of the point of the p									
The second secon			Annua Annua Annua						
			Annual Annual Annual Annual						
The second secon		Angelong  Continues  C	Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Company Compan						
Constitution of the consti		Separation of the second of th	September 1 Septem						
		Empirically  Electronically  Electronically  Electronically  Electronically  Electronical  Electroni	Salahan Salaha						
	STATE OF THE PROPERTY OF THE P	Registrating  Registrating  Self-Armstrag  Self-Arm	- Majorial - Majo						
		Property of the Control of the Contr							
		Equations of the control of the cont	Marie Control of Contr						
		Equations of the control of the cont	A STATE OF THE PARTY OF T						
		Equations of the control of the cont							
		Application of the control of the co							
		Registering  Francisco  Francisco							
		Experience of the control of the con							
		Republished  Proposed of the control							
		Report State  Francisco  Francisc							

April 19

Representati

		INFORMATION PR	OVERDBY OCTA				TO BE UP:	MATERIA BY	THE PROP	CORR / VEN
1	Control of the second section of the second section of	Requip Repairment	Managay France Name of Parties	same many majoral		Betatanpene	turningto turningto	NATION OF	Teaments.	Bearing
		Name and Administration	Najarik satrinajan	- Augusta	-			_		
	The control of the second of	Maria Sengara	lejia Ningria I	Name of Street						
Ė	regiment from the filter of the probabilities from the filter of the fil	Maria Magazi	practically	Name of Street	_					
	Manager and contraction		414.50,	Marca .	-			_		
	parties a contraction and accuracy representation of the contract of the contr		na Man	No.	Ш					
Ė		*****	norther artis	- Napolar	_					
F	NAME OF THE PARTY		-	- Augusta	Н					
ŀ	Openia representationes	*****	www.	440						
1				-	_					
ŀ	NAMES OF TAXABLE PARTY		-	Control (Control	Н					
1			-	Chapter Control						
ŀ	AND THE RESIDENCE OF THE PROPERTY OF THE PROPE	*****	Name of Street	, Reported Passageria (Marie (Passageria)	-					
	nade tak nyak eleki arkandika is alambi di angapa njan kulpidenagana ka na makapi tang makhawi ngapan arkan			Report .	Ш					
ŧ	arraphic harboard for substance and the translation for the second second second second second second second second second second second sec		State Servery	Maria Pateria	_					
ł	CONTROL CONTROL OF THE CONTROL OF TH		man tanan	Charles Faller	-			_		
	anno, talang sampra jing samat sama		State Servery	Maria Paramet						
Ė			man tana)	AND THE SAME	_					
ŧ	the second section of the sect		teachers,	Control Control	Н					
	the of which has a second or the spirit and the spi	*****	materials	Charles Common						
ŀ	TO constitute the second secon	NAME OF STREET	State Street,	CONTRACTOR	-					
t	entigraphistrages designs have been as a second of the second associated in the second of the second of the second transplants.		Territoria di	Majoria Palatina Marie (Palatina)	Т					
ŧ	Charge to the Charles of the Charles of the control to the Charles of the Charles		-	Maria Pateria	_					
ł	era. Di fondat gipa ki i gran propi di fonda y posta altri di iga e di sala Propinsi gipa ki i sindi di kapitan kalimi salami ki i salami di sarati.	NAME OF STREET	and the same	Color (Colorado)	-					
f			and the same of	Communication of the Communica						
ſ				Annua Antonio	H		-	H	$\vdash$	$\vdash$
f	The same of the sa			Maria Andrea	H		$\vdash$	Н	H	$\vdash$
Ī				Company Common						
ĺ				AND PARTIES.	H		-	H	$\vdash$	$\vdash$
f			-	China Carre	Е	E	L	Е	L	L
ľ	The same of the sa		and the same of th	Majoria Fallació Majoria Fallació						
ĺ	security to a the harm faller placeging to have seed the security of high common and the harm faller placeging to have seed the content of the parties of the property for the security for harm a series to the content of the security of the content of the parties of the place security.		_	Annual Contract	H		$\vdash$	H	$\vdash$	$\vdash$
İ				Majoria Palabora Natio (Palabora)						
	and the last of th	******	THE REAL PROPERTY.	Marie (Francisco)						
1			-	THE PERSON	H		$\vdash$	H	$\vdash$	$\vdash$
f	.,		-	-	Е	E	L	Е	L	L
	THE REPORT OF THE PROPERTY OF	******	THE REAL PROPERTY.	Majoria Passaria Majoria Passaria						
+	Contract point the Sandard Contract	*****	rannan	Color (Colored)	-			_		
٠	ang dataphakan a farijin jawa sharawanan		and the same of	Majorial Publishers (Male (Male Male)	Ш					
Ē	And the second section of the second		-	Name and	_					
ł				April Care	-			_		
÷	Programme speciments and programme			Majorial Followsky	Ш					
1			-	Charles Calenda	_					
Ŧ	Production and the first parameters in the contract of the first of the contract of the contra		record	Charles Cassers	_					
ŀ		*****	and the same of	Color (Colores)						
-			-	September	_					
	The part out to prove the province of the part of the		and the same of	Contraction (	Н					
I			THE REAL PROPERTY.	Secret Control						
		NAME OF STREET	and the same	Control Control	-					
٠			and the same of	Majorial Publishers (Male (Male Male)	Ш					
ŧ	The second section of the second section section section section sec		and the same of	September 1	_					
+	Company of the Company of the Company	NAME OF STREET	and the same	CONTRACTOR	-					
·	Andrewson approximately and a second approximately and a second approximately a second appr		and the same of	Maria Paramet						
1			-	September	_					
ł				Charles France	-			_		
1			and the same of	September 1						
			-	Marie (Carlosse)	_					
t				Name of Street	т					
	processing and the second seco	******	THE REAL PROPERTY.	Marie (Francisco)						
ł			and the same of	Control Control	_					
÷	and the same of th	COLUMN STREET	and the same of	Committee of the commit	Т					
F	urinaktirak dan di beranda k 100 kilon kepabangan di Rep ar panyi K Madaritan beranda urinak albamata beranda Milk Photos persaik panyik		-	- Applie Telepina Heliophia Telepina - Applie Telepina	Ε			Ξ	F	F
ŧ	The second secon		-	- Annual Colors	H			H	-	-
ŧ	and the same of the street that the same		and a	Maria Asses						
É	per year manager to be also as a service of the second contract of t		_		H		<u> </u>	Ë	<u> </u>	<u> </u>
ŧ	the special control from places, the experience of control con			April 1	H		$\vdash$	Н	H	$\vdash$
ĺ				Applications of the control of the c						
ŧ			_		H		$\vdash$	H	$\vdash$	$\vdash$
f	THE RESERVE THE PERSON NAMED IN THE PERSON NAMED IN			August	E		L	Г	L	L
Į			Contract Section	April 1						
								1	_	_
ĺ	THE RESIDENCE OF THE PROPERTY OF THE PARTY O		Second Seals	No.	H					
			Carried Seals	April 1						
				April						
			content body content body content body content body	Manual Manual Manual Manual						
			Control State  Contro	Colored						
			Control Starty	Company Compan						
			Comment Service  Commen	- Majorial - Majorial - Majorial - Majorial - Majorial - Majorial - Majorial - Majorial - Majorial						
			Control Section Sectio	- Majorial - Majorial - Majorial - Majorial - Majorial - Majorial - Majorial - Majorial - Majorial - Majorial						
			Control Section  Contro	The second secon						
			Control Scrip  Contro	Tables  Advanta						
			Control Scrip  Contro							
			Control Scrip  Contro							
			Committee Secretary Commit							

Name of the least 
No. or other lands of the lands

MI S. T. S. T. S. SANDON SANDO	

		INFORMATION PR	IDVERDIBY OCTA				TOBEUP	SATED BY	THE RECA	SHEET VENDO
	- Contract	Respoy Repairment	<b>М</b> . опроужения	mentury		Ballack Supposed	į	MATERIAL TOPING	-	ł
F	terms of contral agricular furnishing commenced, as a term has transmit to the type for copies that with a self-or different contraling		eren,	- Naparal	Π				1 -	_
	fraction of production from the first and an artifact of the second of t	*****	man,	Maria						
-	CONTRACTOR OF THE PARTY OF THE		au,	Maria						
-	Charles and the Control of the Contr		444	Maria			-	_		
-			440	Ages	_					
-	anne, te transcription									
-			-							
	parties of the series of the s		444	Majoria						
	A CONTRACTOR OF THE PARTY OF TH	4-70-704-W-14-4	444	August						
_	Named appear have put an interest to the tempty of the quality opens.	*****	dian,	Majorial						
-	Authors martistra for mote have our floated martin martin format active distributed distribuye at 154 at her of adoption format agents a	*****		Mend			_	_		
-			444	Maria	_		_	_	_	_
-	and the second of the second s									
	-									
-	***************************************	Name and Address		- Napara						
	Mark St. (E. M.), A September of Market M.	4-70-704-W-14-4	444	August						
-	Make Service Advanced to Associate the Appendict of Appen		44,400	Maria	_		-	-		
-	State of the state		en.	- Name of	-		-	-	-	-
			-	- Named	-		_	_	-	
					_					
	Annual and all entire transfer terminates and a security of the con-		and the same	- Majorial	L		Ш.	ш	Щ.	Щ.
-	The second secon	-	-	- marine	Г				ľ	
-	AND REAL PROPERTY AND ADDRESS OF THE PARTY AND		Windows.	- Name of						
-			and the same	Name of Street	Η-	_	-	-		-
	And the same the same of the control of the same of th		_	- Name of the last	-		_	-	-	_
-	print April 10 Print Street				_					
-	Springer See Assessment See				ĺ					
-	Special Section of the Section of th		T-properties	Name of Street						
	The system territory and to be stated and the state of th		Tarrage and	Majoria						
-	THE SALES OF THE S	*****	Name and Address	Anna	_					_
-	MIN. CO. C THE R. R. S. LOW SHIP THE T. P. STORE	*****	Name and Address	- Name of	-		-	-	-	-
				-	_			_	_	
-					ட		ш.	ш.	ш.	Щ.
-	Marie Barris Mily committee on Addition 27 carbon and finance from	W-000-00-00-00-00-00-00-00-00-00-00-00-0	NAME OF TAXABLE	- Newson	1 -				1 -	1 .
~	State of the second		April and April	- Name						
	Market Market Market And Andrews Market Mark			Maria	_			-		
~	THE RESIDENCE OF THE PERSON NAMED IN COLUMN 2 IS NOT THE PERSON NA		NAME OF TAXABLE PARTY.	- Name of	-		-	-	-	-
•	No. of Concession, Name and Post of Concession, Name and Post of Concession, Name and Post of Concession, Name and			-	_			_	_	
~	The desired state of the state			_	_					
~	Trade to desprise that the product of our establishments of a	******	NAME OF PERSONS	- Name of	1 -	_			1	
	Contract of the Contract of th	*****	Name and Address	Majoria						
-	Control of the party and party and the control of t		April of Capital	- Name of the last						
-			apa araga	Name of Street	-		-	-		_
	The second state of the second		NAME OF PERSONS	- Name of the last	-		_	_	-	_
~	the annual artist their sections of the section in the section of				_					
-			The second		1 -	_			1	
-	Marketing and the second secon	4000 WILL	April Market	Maria						
	THE STREET SCHOOL STREET STREET, STREE		444.000.000	Majoria						
		*****	Name and Address	Anna	_					_
_		******	Name and Address	- Name of	-		-	-	-	-
				-	_			_	_	
	Mile Title Sandright II, profe Marc Agents, antiquipment, for desire and months for all parties for Mile To Mile II and the professional agents activate and formation and company and				L		Ш.	ш	Щ.	Щ.
			-	- Name						
	And the state of t		photosis.	- Name of the last						
-			and the same	Name of Street	Η-	_	-	-		-
_			March,	- Name of the last	-		_	_	-	_
	to a transfer and the set figure to the temporary through				_					
			_		1 -	_			1	
•	No. of the Contract of the Con	4000 WILL	tan,	Maria						
u1	Name and Administration of the Control of the Contr		manny	- Majorial						
**	Number of the particular and appear to a party of the par	*****	name;	Majorial	-		-	-		_
					_				_	
"	THE REAL PROPERTY.	-								
	Topic resident and the second second second second	-	nant,	- marine	Г				ľ	
	Topical of English (State Artist Light State List, St.		en.	- Name of						
	-			Name of Street	-		_	-		_
	AN ESTIMATION OF STANDARD PRODUCTIONS SHOW		Sec.	- Name of the last	-		_	_	-	_
**		-								
-	Appear of the despite of the last of the l	W-000-00-00-00-00-00-00-00-00-00-00-00-0	the to	- Newson	1 -				1 -	1 .
n	Service and the service of the servi	*****	nen .	- Address Sections						

Interface	Application Description	Name	Interface Description	Desc	Direction	Schedule
CAMMNet	Contracts and Materials Management System		Award data is sent from the CAMMNET database to the EAM system which updates the Requisition/Inventory Requests with awarded vendor number, price, lead-time and other award data	CAMMNet Bid Award to Ellipse	inbound	x10 mins; 5:10am-8:10pm; 7 days
CAMMNet	Contracts and Materials Management System		A complete extract of global purchase agreement data is sent from the legacy  EAM application to OCTA's CAMMNet database for reporting purposes.		outbound	x4 hrs; 5:00am-5:00pm; weekday
CAMMNet	Contracts and Materials Management System		Purchase Order and Contract summary data for purchase order creation, modification, completion, and cancellation is sent from the legacy EAM application to OCTA's CAMMNET database for reporting purposes.	Ellipse Purchase Order Summary to CAMMNet, Neal	outbound	x10 mins; 5:00am-8:00pm; weekday
CAMMNet	Contracts and Materials Management System		New and modified Purchase Requisition and Inventory Replenishment data is sent rom the legacy EAM to OCTA's CAMMNET e-Procurement system which is used o post solicitations on the CAMMNET Website.		outbound	x30mins; 5:00am-6:00pm; weekday
CAMMNet	Contracts and Materials Management System	OCBSUP			inbound	x1 hour; 5:10am-8:10pm; 7 days
FleetWatch	Vehicle Statistic System	turned off	Bulk material usage for items such as diesel fuel and mileage for leased tires is being sent from the Fleetwatch system to the legacy EAM system where usage sheets are created and the usage is recorded via an accounting transaction for the associated vehicle/material.	xxxFleetwatch Bulk Materials to Ellipse, PaulB	inbound	Aug 2019 turn off; x1 day; @after OCBFWS; 7 days
FleetWatch	Vehicle Statistic System	OCBFWS	Operating statistics including bus mileage, bus engine hours, and other various bus statistics are sent from the Fleetwatch system to the legacy EAM system.	Webservice FleetWatch OpStat to Ellipse	inbound	x1 day; @5:45am; 7 days
FleetWatch	Vehicle Statistic System	OCBFWV	Active Revenue and Non-revenue Vehicle information is being sent from the legacy EAM system to the Fleetwatch system.	Ellipse Vehicle to FleetWatch	outbound	x1 day; @12:20am; 7 days
Hastus	Bus Scheduling System		Vehicle information including the creation, update, and deletion of the vehicle itself, as well as the creation or deletion of a withdrawal for a vehicle is sent from the legacy EAM system to the Hastus system.	Ellipse Vehicles to Hastus, WebService	outbound	Aug 2019 turn off; x5 mins; all day; 7 days
Hastus	Bus Scheduling System	OCBHSTxxx - turned off	Status changes are sent from Hastus to the legacy EAM system. The legacy EAM system then creates a work request for vehicles that have been put on hold.	xxxHastus to Ellipse Equipment Status, WebService	inbound	x15 mins; all day; 7 days
Kronos	Employee Time Keeping System	OCBKRO	New and updated Crew, Work Group, and Shift Rotation information for an Employee is sent from Kronos to the legacy EAM system.	Crew Shift Rotation Kronos to Ellipse	inbound	x1 day; @12:30am; 7 days
Lawson	Human Resources System	OCBLAW	Limited employee information including name, union code, Lawson position and account code, hire date, termination date, etc. are sent to the legacy EAM system where an employee is created, terminated, or reinstated. Certain service employees are assigned a position all others are placed in positions upon external requests.	Lawson Employees to Ellipse	inbound	x1 day; @12:20am; 7 days
AnaLabs	Enterprise Asset Management System		Fluid analysis levels are sent from AnaLabs into the legacy EAM system in the	xxxLab Condition Monitoring Data to Ellipse, AnaLabs	inbound	Aug 2019 turn off;
(independent Access database)	Enterprise Asset Management System		External service costs associated with work orders and/or equipment are sent from an access database into the legacy EAM system which are then recorded as manual journal vouchers against the work order/equipment.	Ellipse Work Order Closure	inbound	x1 day; @12:05am; 7 days
ONESolution	Accounting System		The chart of accounts is sent from ONESolution to the legacy EAM system where it is translated into the appropriate cost center/expense elements for use in the legacy EAM system.	IFAS COA TO Ellipse (Chart of Accounts)	inbound	x1 day; @12:00am; weekday
ONESolution	Accounting System	OCBPOC	ONESolution sends fully paid/closed goods Purchase Orders to the legacy EAM system where the purchase order is checked and if all conditions are met the purchase order header and items are marked as complete.	Purchase Order Close	inbound	
ONESolution	Accounting System	OCBPUR		Ellipse Purchase Order to ONESolution	outbound	x1 day; @12:10am; 7 days
ONESolution	Accounting System	OCBRCV	The legacy EAM system sends purchase order line item receipts to the ONESolution system	Ellipse Purchase Order Receipt to ONESolutions	outbound	x1 day; @12:10am; 7 days
ONESolution	Accounting System	OCBTRN	The legacy EAM sends a select set of balanced financial transaction information to the ONESolution system.	Ellipse Journal to ONESolution	outbound	x1 day; @12:20am; 7 days

#### RFI 9-1711 OCTA Enterprise Asset Management Requirements List - Interfaces and Data Exchanges

Interface	Application Description	Name	Interface Description	Desc	Direction	Schedule
Budbar	Budgeting System	Data Extract to Budbar PARSS	BUDPAR/PARSS uses dynamic queries to extract requisition data from the the ellcld database which is a copy of the legacy EAM database which is refreshed nightly.	Data Extract to Budbar PARSS, from ellcld database	outbound	
CAMMNet	Contracts and Materials Management System	Data Extract to CAMMNet	A direct update by use of stored procedures to move employee ID and name and part number/mnemonic information from the legacy EAM to the CAMMNET system.	Data Extract to CAMMNet	outbound	
Data Warehouse	Data Warehouse	Data Extract to Data Warehouse	The Data Warehouse utilizes queries which are used to extract catalog, equipment, work order, and associated transactional data from the ellcld database which is a copy of the legacy EAM database which is updated nightly.	Work Order Data Extract from ellold database	outbound	Daily once a day at 6AM
Transit Database	Database	Data Extract to Transit Database	Vehicle specification data within the legacy EAM system is made available for use via a SQL view to the Transit database for use by various in house programs.	Data Extract to Transit Database	outbound	

<b>General Performance Metric Performance</b>	Expected Timing	Specific / Exceptions Performance Metric	Comments
Criteria			
Log On Process	3-5 seconds		
Screen/page Display from Menu Pick	< 3 seconds		
System Table Update	3-5 seconds		
Simple Transaction Update (time entry)	< 3 seconds		
Complex Transaction Update	< 10 seconds		
	not to exceed 3 seconds		
Work Orders	not to exceed 3 seconds		
Material Request	not to exceed 3 seconds	approximately 15,000 active bus stock numbers inventory items in database	
Clock On and Off	not to exceed 3 seconds	simultaneous all shifts at all facilities (refer to location demographics table).	
Job On and Off	not to exceed 3 seconds	simultaneous all shifts at all facilities (refer to location demographics table). 220 mechanics/specialists/maintenance personnel	
Simple Query/ Report	< 5 seconds		
Complex Query/ Report	< 10 seconds		
View Item Catalog record	not to exceed 3 seconds	approximately 15,000 active bus stock numbers inventory items in database	
Vehicle Availability	not to exceed 5 seconds	Online real-time query, across all divisions 515 buses, 4 streetcars	
Print Request	< 5 seconds		Online printing
Batch Job Processing / Execution Request	< 2 minutes		_
Mobile Tablets	3-5 seconds	30 tablets, ramping up to 75	
Maintenance Activities	under 2 hours	Backups, etc	
Dashboard Display Request	< 10 seconds (with real-time updates while displayed if appropriate)		
Log Out Process	< 3 seconds (includes time to Save current operation)		

Row Labels	Count of MakeModel
HP 600 M601	
GG Base Maint. Bldg Electronic Shop	
GG Base Maint. Rm 193	
Santa Ana Base – Fuel Island Rm 101	
Santa Ana Base - Maint Bldg Electronic Shop R. 122	
Santa Ana Base – Maint Bldg Parts Receiving R. 135	
Santa Ana Base – Maint. Bldg R. 180	
HP M2727 mfp	
4th fl - R. 415	
HP M2727nf	
OR - 9th floor Room 956	
HP M425dn	
5th fl - F&A R. 525	•
Anaheim Base Facility Maint. R. 110	•
HP M426 mfp	
1st Fl. R OC Store	•
GG Base Facility Maint. Rm 173	•
Irvine Base Electronic Shop Sup. Office	•
Irvine Base Facility Bldg.	
HP M426fdn	
7th fl Rm 712	•
HP M4345 mfp	<u> </u>
10th Floor Outside R. 1024	•
HP M4555f mfp	
12th fl. R. 1241	•
HP M500mfp M525	<u> </u>
Irvine Circle – Facility	
HP M601	
4th fl Center , Rm 440A	
GG Base Annex R. 124 – Radio	•
GG Base Maint Bldg. 2nd fl Clerk Rm 201	•
Santa Ana Base - Maint Bldg 2nd fl R. 207	•
HP M606	
GG Base Fuel island Rm 172	•
HP M606X	1;
12th fl. R. 1221	•
2nd fl Outside R. 243	•
2nd fl West next to R. 204	
2nd fl. R. 213	
4th fl – CAMM , Mail Rm 453	
4th fl Rm 420	
5th fl Center, R. 541A	
6th fl R. 627	
6th fl Center, Rm 641A	
7th fl Center, R. 733A	
8th fl. Center - outside R. 841	
GG Base Ops Bldg – R. 120	
OR - 9th floor Room 934	
HP M630 mfp	
1st Fl. R. 114	
HP M630f mfp	:
5th fl R. 555, H63OR502, copy apchk, copy lschk	
GG Base Maint Building Parts area Rm 109	
HP M750 color	;
10th Floor R. 1011	
8th fl. R. 821	
HP P2055dn	
8th fl. R. 813	
HP P3005	
4th fl - R. 427	
HP P4014dn	
Santa Ana Base – Maint Bldg Warranty R. 134	
HP P4015x	
Anaheim Base Fuel island R. 671	
HP3390-all 4th fl – R. 414	
HP4015	1

Row Labels	Count of MakeModel
HP4250	
Santa Ana Base - Maint Bldg R. 122	
HP4300	
4th fl - Center CAMM , Rm 456	
5th fl - Acctg Next to Rm 514	
6th fl West, next to Rm 619	
HP4345mfp	
12th fl. R. 1219	
HP4350	
5th fl Rm 542A Center	
GG Base Annex – Radio R. 126	
HP4555f mfp	
GG Base Annex Central Comm – R. 124	
HP5200	
10th Floor R. 1035	
HP521dn mfp	
Santa Ana Base –Maint. Bldg Parts Warranty R. 132	
HP5550hdn	
GG Base Maint 2nd fl R. 200	
HPCP6015	
Santa Ana Base - Maint Bldg 2nd fl R. 216	
HPLJ M601	
1st FI R. 114	
5th fl R. 554	
HPM2727 mfp	
4th fl – R. 405	
HPM426fdn	
Santa Ana Base – Next to R. 163	
HPM426fsdn	
Santa Ana Base – Fac Maint Bldg R. 167	
HPM426mfp	
Santa Ana Base – Maint Bldg Fac.Shop R. 149	
Santa Ana Base – Maint Bldg Rebuild R. 140	
HPM4345mfp	
Santa Ana Base – Warranty Cage	
HPM4555f mfp	
3rd fl West next to rm 346	
GG Base Maint. Bldg down stair Rm 106	
GG Base Ops R. 128 Extra Board	
Santa Ana Base – OPS – R. 121	
HPM5035	
Santa Ana Base - Maint Bldg 2nd fl R. 216	
HPM601	
GG Base Annex Bldg. 2nd fl Rm 212	
HPM606	
Santa Ana Base - Maint Bldg 2nd fl R. 210	
HPM630f mfp	
Santa Ana Base - Maint Bldg Supervisor R. 126	
Santa Ana Base – Maint Bldg Gupervisor N. 120 Santa Ana Base – Maint Bldg Parts Win Counter Rm 135	
HPM750xh	
GG Base Ops R. 117	
HPP4014dn	
Santa Ana Base – OPS – R. 134	
HPP4015	
5th fl – Outside R. 509A	
HPP4015x	
8th fl. West, next to R. 823	
Kyocera 5002i	
4th fl - R. 401	
Kyocera 5500i	
3rd floor R. 328	
411 G D 450	
4th fl - R. 453 Grand Total	8

LOCATIONS
OCTA ADMINISTRATION FACILITY
550 South Main Street, Orange, CA 92863
600 South Main Street, Orange, CA 92863
OCTA BUS BASES
Santa Ana, CA
Garden Grove, CA
CONTRACTED SERVICES BUS BASES
Construction Circle, Irvine, CA
Sand Canyon, Irvine, CA
Anaheim, CA
WAREHOUSES
Garden Grove, CA
Santa Ana, CA
Anaheim, CA

**EXHIBIT B: COST AND PRICE FORMS** 

## **PRICE SUMMARY SHEET**

## **REQUEST FOR PROPOSALS (RFP) 0-2272**

Enter below the proposed price for the tasks described in the Scope of Work, Exhibit A. Prices shall include direct costs, indirect costs, profits, and tax. The Authority's intention is to award a firm-fixed price contract for a seven-year initial term and two, two-year option terms.

## Initial Seven-Year Term: Effective through December 31, 2027

	Cost	Comments
Application Software/Licensing*	\$	(This is the cost for the core EAM software, SaaS Subscriptions, and/or Licensing.)
Third Party Software*	\$	(This includes third party software.)
Project Implementation Effort  Task 1 \$ Task 2 \$ Task 3 \$ Task 4 \$ Task 5 \$ Task 6 \$ Task 7 \$ Task 8 \$ Task 9 \$	\$	(The total cost for the project implementation effort should be the sum of the costs of all Tasks 1-9. Please see Section 7 of the Scope of Work in Exhibit A of this RFP for detailed description of Tasks 1-9. OCTA expects a 24-month schedule for completing the project implementation effort.)
Support, Maintenance, Warranty	\$	(OCTA expects this solution to be used as a production system for at least five (5) years after completion of the implementation effort.)
Environment	\$	(Hosting Services, or On-Premise)
Travel and Expenses	\$	(Shall be budgeted as a firm-fixed amount based on a calculated number of trips. Please provide the number of trips.)
Other Costs (if applicable)	\$	(If there are other costs, please identify what such costs would be for.)
GRAND TOTAL	\$	(This amount should reflect the Grand Total for the expected 24-month implementation, plus five (5) years as a production system, for a total of seven-year initial term.)

<sup>\*</sup>Provide the EAM software, third party software, and any unique technical components that are necessary to support the solution in the "List of Software and Technical Components" table below.

## **Professional Services Rate Schedule**

Resource	Fully-Burdened Hourly Rate*	Comments
Program Manager	\$	
Project Manager	\$	
Architect	\$	
Engineer / Developer	\$	
Business Analyst	\$	
Trainer	\$	
	\$	
	\$	

<sup>\*</sup>These rates would be used for approved change requests.

# **List of Software and Technical Components**

Ref	Software or Technical Component Name	Software or Component Consultant	High-level Purpose		Use or Acquisition Costs (for software, include Installation & Interface Development costs)
	Application Software: core EAM Software licensing				\$
В	(example: 3 <sup>rd</sup> Party Software ABC)				\$
С	(example: 3 <sup>rd</sup> Party Software XYZ)				\$
D					\$
					\$
	TOTAL for SOFTWARE and TECHNICAL COMPONENTS \$				\$

## **List of Consultant Offered Enhancements**

Enhancement Item	One-time Cost (if any)	Comments*
(Enhancement 1)	\$	
(Enhancement 2)	\$	

<sup>\*</sup>Please include in comments the future path of R&D (What are the features of the next substantial release/upgrade and when is it happening?)

## First Two-Year Option Term: January 1, 2028 through December 31, 2029

	Cost	Comments
Application Software/Licensing	\$	(This is the cost for the core EAM software, SaaS Subscriptions, and/or Licensing.)
Third Party Software	\$	(This includes third party software.)
Support, Maintenance, Warranty	\$	(Additional Two Years)
Environment	\$	(Hosting Services, or On-Premise)
Travel and Expenses	\$	(Shall be budgeted as a firm-fixed amount based on a calculated number of trips. Please provide the number of trips.)
Other Costs (if applicable)	\$	(If there are other costs, please identify what such costs would be for.)
GRAND TOTAL	\$	(This amount should reflect the Grand Total for first two-year option term.)

## **Professional Services Rate Schedule**

Resource	Fully-Burdened Hourly Rate*	Comments
Program Manager	\$	
Project Manager	\$	
Architect	\$	
Engineer / Developer	\$	
Business Analyst	\$	
Trainer	\$	
	\$	
	\$	

<sup>\*</sup>These rates would be used for approved change requests during the first two-year option term.

## Second Two-Year Option Term: January 1, 2030 through December 31, 2031

	Cost	Comments
Application Software/Licensing	\$	(This is the cost for the core EAM software, SaaS Subscriptions, and/or Licensing.)
Third Party Software	\$	(This includes third party software.)
Support, Maintenance, Warranty	\$	(Additional Two Years)
Environment	\$	(Hosting Services, or On-Premise)
Travel and Expenses	\$	(Shall be budgeted as a firm-fixed amount based on a calculated number of trips. Please provide the number of trips.)
Other Costs (if applicable)	\$	(If there are other costs, please identify what such costs would be for.)
GRAND TOTAL	\$	(This amount should reflect the Grand Total for second two-year option term.)

## **Professional Services Rate Schedule**

Resource	Fully-Burdened Hourly Rate*	Comments
Program Manager	\$	
Project Manager	\$	
Architect	\$	
Engineer / Developer	\$	
Business Analyst	\$	
Trainer	\$	
	\$	
	\$	

<sup>\*</sup>These rates would be used for approved change requests during the second two-year option term.

The undersigned, upon acceptance, agrees to provide the service in accordance with the terms, conditions, and requirements as contained in RFP 0-2272 and the supporting documents for all prices proposed.

1. I acknowledge receipt of RFP 0-2272 and Addenda No.(s) \_\_\_\_\_

2. This offer shall remain firm for \_\_\_\_\_\_ days from the date of proposal. (Minimum 160)

1. Tacknowledge receipt of RFP 0-2272 and Addenda No.(s)
2. This offer shall remain firm for days from the date of proposal. (Minimum 160)
COMPANY NAME
ADDRESS
TELEPHONE
SIGNATURE OF PERSON AUTHORIZED TO BIND OFFEROR
SIGNATURE'S NAME AND TITLE
DATE SIGNED

**EXHIBIT C: PROPOSED AGREEMENT** 

### PROPOSED SOFTWARE LICENSE AGREEMENT

THIS AGREEMENT is effective this	day of	, 20 ("Effective Date"), by and
between the Orange County Transportation Auth	ority, 550 South Main Street,	P.O. Box 14184, Orange, California
92863-1584, a public corporation of the Sta	te of California (hereinafter	referred to as "Customer") and
located at	(hereinafter referred to as "L	censor"), each individually known as
"Party" and collectively known as the "Parties."		,

### WITNESSETH:

**WHEREAS**, Customer requires assistance from Licensor to provide an Enterprise Asset Management (EAM) system; and

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

**WHEREAS**, Licensor has represented that it has the requisite personnel, experience and software solution and is capable of licensing certain software products and performing such services; and

WHEREAS, Licensor wishes to license certain software products and perform these services;

NOW, THEREFORE, it is mutually understood and agreed by Customer and Licensor as follows:

## 1.0 Definitions

- "Customer Data" means all information processed or stored on computers or other electronic media by Customer or on Customer's behalf, or provided to Licensor for such processing or storage, as well as any information derived from such information. Customer Data includes, without limitation: (a) information on paper or other non-electronic media provided to Licensor for computer processing or storage, or information formerly on electronic media; (b) information provided to Licensor by customer's customers or other users or by other third parties; and (c) personally identifiable information from such customers, users, or other third parties.
- "Data Breach" means (1) the failure by Licensor to properly handle, manage, store, destroy or otherwise control, or the unauthorized disclosure by Licensor of: (a) Customer Data or (b) third party corporate information in any format specifically identified as confidential and protected under a confidentiality agreement or similar contract; (2) an unintentional violation of Licensor's privacy policy or misappropriation that results in the violation of any applicable data privacy laws or regulations; or (3) any other act, error, or omission by Licensor in its capacity as such which is reasonably likely to result in the unauthorized disclosure of Personal Data.
- 1.3 "Documentation" means the user manuals and any other materials in any form or medium customarily provided by Licensor to the users of the Software which will provide to Customer sufficient information to operate, diagnose, and maintain the Software properly, safely and efficiently.
- "Maintenance" means (i) the provision of all generally available improvements, new functions and additions to the functionality of the Software, (ii) maintenance of the Software so that it operates in conformance with all Specifications, (iii) detection and correction of any software errors discovered by Customer or otherwise made known to Licensor, (iv) the implementation of all program changes, updates, upgrades, and installation of additional programs provided under this Agreement, and (v) prompt response to Customer inquiries regarding the use and functionality of the Software.
- 1.5 "Personal Data" means any information that identifies or describes an individual, including, but not limited to, his or her name, social security number, physical description, home address, home telephone number, education, financial matters, and medical or employment history.
- **1.6** "Product" means any deliverable including, but not limited to, all Software and Software-related items provided by Licensor to Customer.
- **1.7** "Customer Information" means all of Customer's plans, processes, products, business information, proprietary information, data, technology, computer programs and documentation and the like.

- **1.8** "Recommended Hardware Configuration" means the data processing hardware (including all terminals, auxiliary storage, communication, and other peripheral devices) to the extent utilized by Customer as recommended by Licensor.
- **1.9** "Services" means the services described in Exhibit A.
- **1.10** "Specifications" means the Software operating parameters and performance capabilities as represented to Customer by Licensor in the Documentation, sales proposals or otherwise.
- **1.11** "Software" includes any and all Software and Documentation to which Customer obtains or is granted any rights under this Agreement.
- **1.12** "Warranty Period" means period of 12 months from Final Acceptance.

### 2.0 License

### 2.1 Grant of License

On the terms and conditions set forth herein, Licensor hereby grants to Customer a fully paid-up, irrevocable, non-exclusive, worldwide, perpetual, royalty-free license to use the Software and Documentation, on an enterprise-wide basis, including all modifications and enhancements thereto, plus any Software which shall be added during the term of this Agreement, on or in connection with any Central Processing Unit (CPU) utilized by Customer. The license granted also includes (i) the right to permit third parties to use the Software and Documentation for Customer's operations so long as the use is in accordance with the terms of this Agreement, and (ii) the right to use the Software in connection with the offering of services to third parties, specifically bundled applications hosting, management and/or monitoring.

Except as permitted in this Agreement, Customer shall not: (a) modify, create derivative works from, or sub-license the software; or (b) reverse engineer, decompile, disassemble, or otherwise attempt to derive any of the Software's source code.

## 2.2 Copies

Customer is permitted to make a reasonable number of copies of the Documentation and written materials for distribution to employees using the Software, and to make and retain a copy of the Software for disaster recovery, backup and archival purposes.

## 3.0 Services

Licensor agrees to provide the Services described in Exhibit A, entitled "Scope of Work," attached to and, by this reference, incorporated in and made a part of this Agreement.

## 4.0 Maintenance

### 4.1 Maintenance Response Times

Licensor shall provide Maintenance on-call 24 hours a day, seven days per week. Qualified support personnel shall provide maintenance with expertise in software. Unless Maintenance response times are already addressed in the Scope of Work under Exhibit A, the first response to a malfunction shall be within two (2) hours of notification by telephone or other means that shall be mutually agreed upon. A temporary program fix or work around shall be provided within twenty-four (24) hours of such notification. A permanent fix or work around shall be provided within three (3) days of such notification. Customer shall furnish reasonable assistance in completing any of the above described fixes or work arounds.

#### 4.2 Maintenance Fees/Cap

The cost for each renewal term Licensor agrees that rate increases in subsequent terms will not exceed three percent (3%) of the then current year rate or the Consumer Price Index for all Urban Consumers ("CPI-U") using the rate for all items as reported by the U.S. Department of Labor on their web site at www.bls.gov/cpi, whichever is less. Any such price increase shall occur at a

maximum of once per calendar year and a minimum of twelve (12) months since the last increase and shall in no event be more than Licensor's published price.

### 4.3 Revision Levels

Customer is not obligated to implement updates, changes, modifications, or enhancements if said revisions interfere with Customer's level of intended usage or operating system environment. However, Licensor and Customer shall work together with mutual best efforts in order to implement and install all revisions so that they function properly at the level of Customer's intended usage and within Customer's operating system environment.

## 4.4 Periods of Inoperability

In the event that the Software, or a material function of the Software, becomes inoperable for a period of up to five (5) days, the Maintenance period may, at Customer's option, be suspended for the period of the inoperability, and the amount of time that such period is suspended shall be added to the end of the then-current Maintenance period. Such temporary suspension shall not relieve Licensor of any obligations of this Agreement.

### 4.5 Reinstatement

If Customer elects to discontinue Maintenance at any time, and subsequently elects to reinstate Maintenance, the Maintenance Renewal Fee shall not exceed ten percent (10%) of the then-current License Fee, with no additional cost or penalty, except to reimburse Licensor for its direct distribution costs necessary to supply Customer with one copy of the current version of all Software, plus any intermediate versions required by virtue of Licensor's maintenance strategy that may be required to migrate Customer's programs and data from the versions under which Customer is running to the then current versions.

#### 5.0 Compensation

### 5.1 License Fee

In consideration of the license granted to Customer hereunder and the performance of the Services, Customer shall pay to Licensor for each purchase made under this Agreement, which will be invoiced as specified below:

Application Software/Licensing Third Party Software	\$ \$	
Project Implementation Effort:		
Task 1 – Project Planning and Management Task 2 – Requirements Gathering Task 3 – Design Task 4 – Construct/Build Task 5 – Test Task 6 – Pilot Task 7 – Train Task 8 – Deploy Task 9 – Post-Deployment Support	\$ \$ \$ \$ \$ \$	
Support, Maintenance, Warranty Environment Travel and Expenses Other Costs	\$ \$ \$	
GRAND TOTAL	\$	

The schedule shall not include any Licensor expenses not approved by Customer, including, but not limited to reimbursement for local meals.

## 5.2 Invoice and Payment

At the conclusion of each Payment Event indicated above, Licensor will invoice Customer for the appropriate amount, and Customer shall remit payment within thirty (30) calendar days of the receipt and approval of each invoice. Licensor shall also furnish such other information as may be requested by Customer to substantiate the validity of an invoice. At its sole discretion, Customer may decline to make full payment for any services until such time as Licensor has documented to Customer's satisfaction that Licensor has fully completed all work required.

As partial security against Licensor's failure to satisfactorily fulfill all of its obligations under this Agreement, Customer shall retain ten percent (10%) of the amount of each invoice submitted for payment by Licensor. All retained funds shall be released by Customer and shall be paid to Licensor within thirty (30) calendar days of payment of final invoice, unless Customer elects to audit Licensor's records in accordance with Section 16 of this Agreement. If Customer elects to audit, retained funds shall be paid to Licensor within thirty (30) calendar days of completion of such audit in an amount reflecting any adjustment required by such audit.

Invoices shall be submitted in duplicate to Customer's Accounts Payable office. Licensor may also submit invoices electronically to Customer's Accounts Payable Department at vendorinvoices@octa.net. Customer shall remit payment within thirty (30) calendar days of the receipt and approval of each invoice. Each invoice shall include the following information:

- a. Agreement No. C-0-2272;
- b. Specify the task for which payment is being requested;
- c. The time period covered by the invoice;
- Total monthly invoice (including project-to-date cumulative invoice amount);
- e. Certification signed by the Licensor or his/her designated alternate that a) The invoice is a true, complete and correct statement of reimbursable costs and progress; b) The backup information included with the invoice is true, complete and correct in all material respects; c) All payments due and owing to subcontractors and suppliers have been made; d) Timely payments will be made to subcontractors and suppliers from the proceeds of the payments covered by the certification and; e) The invoice does not include any amount which Licensor intends to withhold or retain from a subcontractor or supplier unless so identified on the invoice.
- f. Any other information as agreed or requested by Customer to substantiate the validity of an invoice.

### 6.0 Proprietary Information

#### 6.1 Licensor shall:

- a. Not use or disclose Customer Information to any third party except as is clearly necessary to provide the Services with prior written approval from Customer.
- b. Not attempt to access any portion of Customer Information, without authorization of Customer. If unauthorized access is nevertheless obtained, whether inadvertently or otherwise, Licensor shall have a duty to promptly report to Customer, in writing, each instance thereof, setting out the extent and circumstances of such access.
- c. Not attempt to defeat any security provisions maintained by Customer for the protection of Information Resources or information contained therein.
- d. Not remove, copy, alter, or install any software or information or data on any Customer computer unless specifically authorized by Customer in connection with the Services or make any attempt to learn or document passwords or other information, which could facilitate unauthorized access to Customer Information.
- e. Require each of its employees, contractors and agents needing access to Customer Information to obtain passwords from Customer's authority responsible for the security of

Customer Information, to use and protect passwords as required by Customer, and to follow such protocols governing access as may be set out by Customer.

- 6.2 Customer agrees it shall not, during the term of this Agreement or thereafter, disclose, make commercial or other use of, give or sell to any person, firm, or corporation, any information of Licensor that is treated and identified in writing to Customer by Licensor as confidential, except Customer can disclose such information if (i) required to do so pursuant to applicable law; (ii) it was rightfully in the possession of Customer from a source other than Licensor prior to the time of disclosure of said information to Customer hereunder; (iii) it was in the public domain prior to the time of receipt; (iv) it became part of the public domain after the time of receipt by any means other than an unauthorized act or omission on the part of Customer; (v) it is supplied to Customer after the time of receipt without restriction by a third party who is under no obligation to Licensor to maintain such information in confidence; (vi) it was independently developed by Customer prior to the time of receipt; or (vii) it was developed by Licensor at Customer's expense.
- 6.3 Licensor hereby acknowledges and agrees that Customer's remedies at law for a breach by Licensor of its obligations under this Article may be inadequate and Customer shall, in the event of any such breach, be entitled to equitable relief (including without limitation preliminary and permanent injunctive relief and specific performance) in addition to all other remedies provided hereunder or available at law.

#### 6.4 Licensor Modifications

Error corrections and/or modifications to the Software by Licensor may result in the creation of a new version(s) of the Software, under the same or one or more different names (collectively, "Licensor Modifications"). Licensor Modifications shall in all cases be new versions of existing Products, and not new Products.

In the event that Licensor deletes functions from the Software and offers those functions in other or new Products, the portion of those other or new Products which contain the functions in question, or the entire Product, if the functions cannot be separated out, shall be provided to Customer under the terms of this Agreement, at no cost to Customer and shall be covered under Maintenance at no cost to Customer.

As long as the Software is under Maintenance provided by Licensor, Licensor shall make available to Customer, at no extra charge, a copy of the modified object code for any Licensor Modifications not later than thirty (30) days following general availability of such Licensor Modifications. Customer shall not be obligated to use any Licensor Modifications. In the event that Customer determines to use any Licensor Modifications, it shall be deemed Software for purposes of this Agreement. Licensor shall promptly amend the Specifications to reflect any Licensor Modifications, and promptly deliver to Customer all related revisions to the Documentation.

Licensor warrants that the Software as modified by a Licensor Modification shall operate free from defect in the manner described in the Documentation for the greater of ninety (90) days from the date of installation of such modification or the Warranty Period. Warranted defects in such modifications will be corrected promptly by Licensor without charge, but not later than five (5) business days from notice from Customer.

## 7.0 Data Security

- 7.1 Licensor shall exercise commercially reasonably efforts to prevent unauthorized exposure or disclosure of Customer Data. In addition, and without limiting the generality of the preceding sentence. Licensor shall:
  - a. Maintain, implement, and comply with a written data security program (the "DataSec Program") that requires commercially reasonable policies and procedures to ensure compliance with this Section 8.0 (Data Security). The DataSec Program's policies and procedures shall contain administrative, technical, and physical safeguards, including

without limitation: (a) guidelines on the proper disposal of Customer Data after it is no longer needed to carry out the purposes of the Agreement; (b) access controls on electronic systems used to maintain, access, or transmit Customer Data; (c) access restrictions at physical locations containing Customer Data; (d) encryption of electronic Customer Data; (e) dual control procedures; (f) testing and monitoring of electronic systems; and (g) procedures to detect actual and attempted attacks on or intrusions into the systems containing or accessing Customer Data. Licensor shall review the DataSec Program and all other Customer Data security precautions regularly, but no less than annually, and update and maintain them to comply with applicable California and Federal laws, regulations, technology changes, and best practices.

- b. Implement and maintain a program for managing unauthorized disclosure or exposure of Customer Data stored by or accessible through the Software ("Data Breaches"). In the event of a Data Breach, or in the event that Licensor suspects a Data Breach, Licensor shall (a) promptly notify Customer by telephone and (b) cooperate with Customer and law enforcement agencies, where applicable, to investigate and resolve the Data Breach, including without limitation by providing reasonable assistance to Customer in notifying injured third parties. In addition, Licensor shall provide one (1) year of credit monitoring service to any affected individual, unless the Data Breach resulted from Customer's act or omission. Licensor shall give Customer prompt access to such records related to a Data Breach as Customer may reasonably request; provided such records shall be Licensor's proprietary information, and Licensor shall not be required to provide Customer with records belonging to, or compromising the security of, its other customers. The provisions of this Subsection (d) do not limit Customer's other rights or remedies, if any, resulting from a Data Breach.
- 7.2 To the extent a Data Breach is caused by the fault of Licensor, the limits set forth in Section 10 ("Limitation of Liability") shall not apply to amounts incurred by Licensor resulting from its compliance with Section 8.1 above regarding data protection and responding to, and remediating a Data Breach, where Licensor shall be liable up to the scope of the coverage amount of its cyber security liability policy.
- 7.3 For purchased customized applications, (1) outsourced software development shall be supervised and monitored for security policy compliance, (2) purchased software applications shall possess the capability to validate the system input for acceptable values, (3) Information Systems Operations shall require that validation checks are incorporated into custom applications that can detect information corruption due to processing errors or deliberate acts, and (4) software application shall require the ability to guarantee message authenticity and integrity.

### 8.0 Indemnification

#### 8.1 General

Licensor agrees to indemnify, hold harmless and defend Customer and its employees, directors, agents, successors, and assigns ("Indemnified Parties") from and against any and all claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature; including investigation costs and expenses, settlement costs, and attorney fees and expenses ("Claims"), sustained by or asserted against Indemnified Party arising out of, resulting from, or attributable to the willful misconduct, negligence, errors, or omissions of Licensor, its employees, subcontractors, consultants, representatives, and agents; provided, however, such indemnification shall not apply to the extent that such Claim results from the sole negligence or willful misconduct of an Indemnified Party.

## 8.2 Intellectual Property

Licensor will defend, indemnify and hold Indemnified Parties harmless from and against any Claims arising out of or in connection with any claim that the Software infringes or violates any intellectual property right of any third party. Customer agrees to promptly notify Licensor of the Claim and give Licensor control of the defense of the Claim and negotiations for its settlement or compromise. If a

final judgment prohibits Customer from continued use of any Software, or if at any time Licensor is of the opinion that any Software is likely to become the subject of a claim, Licensor shall: (a) obtain for Customer the right to use the Software; (b) replace or modify such Software so that it is no longer subject to the Claim but performs the same functions in an equivalent manner as determined by Customer; or (c) in the event that Licensor is unable or determines, in its reasonable judgment, that it is commercially unreasonable to do either of the aforementioned, Licensor shall recover such Software from Customer, in which event in addition to the foregoing indemnification: (i) the license of such Software shall be void as between Licensor and Customer as of the date Licensor retakes possession; and, (ii) Licensor shall reimburse to Customer the full cost for such Software and shall, if applicable, cancel Customer's then current Maintenance service, if any, for such Software so returned and issue to Customer a prorated refund of any Maintenance fees paid, if any, to Licensor with respect to such Software.

## 8.3 Exclusion from Intellectual Property Indemnification

Licensor's obligations set forth in Section 9.2 (Intellectual Property Indemnification) do not apply to the extent that an Indemnified Claim regarding intellectual property infringement arises out of:

- Customer's breach of this Agreement.
- b. Use of the Software in combination with hardware or software not provided by Licensor, unless the Specifications refers to a combination with such hardware or software (without directing the user not to perform such combination) or such combination achieves functionality described in the Specifications.

### 9.0 Warranties

Licensor warrants the following:

### 9.1 Media Defects

The media on which the Software is provided shall be free of defects in material and workmanship.

## 9.2 Function and Features

The Software shall possess all material functions and features as described in the Specifications.

### 9.3 Performance

The Software shall operate in conformance with the Specifications for the Warranty Period. If Customer shall give Licensor oral or written notice or nonconformance during the Warranty Period, Licensor shall investigate such nonconformance as soon as possible but not later than two (2) hours after receipt of such notice and will classify the problem with concurrence by Customer as either a problem preventing normal operations (Category A), or other problem (Category B). Licensor will provide a temporary fix or work around for all Category A problems within four (4) hours of receipt of such notice and provide a permanent fix or work around within twenty-four (24) hours unless Customer agrees in writing to a longer time. Category B problems will be corrected within five (5) days. At any time during the first one hundred eighty (180) days of the Warranty Period, if Licensor has failed to correct any nonconformance within thirty (30) days of notification thereof, Customer may elect to terminate the Agreement and request a refund of all fees paid to Licensor pursuant to this Agreement, provided Customer returns to Licensor all software licensed hereunder after Customer has had a reasonable time to procure substituted software from a third party. The provisions of Response Times, Service Tracking and Reporting, Revision Levels, and Periods of Inoperability as described in the Maintenance Article shall also apply to the warranty services provided by Licensor during the Warranty Period.

### 9.4 Compatibility

The Software shall be compatible with Customer's Operating System, application programs, CPUs, and networks specified in the Documentation.

#### 9.5 Ninety-Day Return

Customer shall have the right for ninety (90) days after execution of this Agreement to return the Software and receive a refund of all license and maintenance fees paid to Licensor pursuant to this Agreement in the event the Products do not meet the programming requirements of Customer in its sole discretion.

## 9.6 Hardware Configuration

The Recommended Hardware Configuration shall be adequate in all aspects for the Software to function in accordance with the Specifications and to fulfill the current and reasonably anticipated future information processing needs of the Software.

#### 9.7 Free and Clear Title

Licensor has and will continue to have free and clear title (including all proprietary rights) to any Products delivered to Customer and the right to license, transfer, or assign any and all Software.

#### 9.8 No Infringement

Licensor represents and warrants that it is not aware of any copyright, patent or other intellectual property right infringed by the Software, and that it is not aware of any claim of intellectual property infringement related to the Software.

#### 9.9 Good and Workmanlike Manner

All services performed under this Agreement will be performed in a good and workmanlike manner.

#### 9.10 Illicit Code

Licensor warrants that (a) unless authorized in writing by Customer, or (b) necessary to perform valid duties under this Agreement, all Software shall: (i) contain no hidden files; (ii) not replicate, transmit, or activate itself without control of a person operating computing equipment on which it resides; (iii) not alter, damage, or erase any data or computer programs without control of a person operating the computing equipment on which it resides; (iv) contain no key, node lock, time-out or other function, whether implemented by electronic, mechanical, or other means, which restricts or may restrict use or access to any programs or data developed under this Agreement, based on residency on a specific hardware configuration, frequency or duration of use, or other limiting criteria; (v) contain no virus malware, or similar items, whether known or unknown to Licensor. At the request of Customer, Licensor must remove any Illicit Code from the Software at Licensor's expense.

#### 9.11 Disclaimer of Warranties

EXCEPT FOR THE EXPRESS WARRANTIES MADE OR REFERENCED IN THIS AGREEMENT, NEITHER PARTY MAKES ANY OTHER WARRANTIES, EXPRESS OR IMPLIED, CONCERNING THE SUBJECT MATTER OF THIS AGREEMENT, INCLUDING WITHOUT LIMITATION ANY IMPLIED WARRANTIES OR MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

#### 10.0 Terms and Termination

#### 10.1 Term

- a. This Agreement shall commence upon execution by both Parties and shall continue in full force and effect through December 31, 2027, unless earlier terminated or extended as provided in this Agreement.
- b. Customer, at its sole discretion, may elect to extend the term of this Agreement for an additional twenty-four (24) months commencing January 1, 2028 and continuing through December 31, 2029 ("First Option Term"), and thereupon require Licensor to continue to provide services, and otherwise perform, in accordance with Exhibit A and at the rates set forth in Article 5, "Payment."
- c. Customer, at its sole discretion, may elect to extend the term of this Agreement for an additional twenty-four (24) months commencing January 1, 2030 and continuing through

December 31, 2031 ("Second Option Term"), and thereupon require Licensor to continue to provide services, and otherwise perform, in accordance with Exhibit A and at the rates set forth in Article 5, "Payment."

d. Customer's election to extend this Agreement beyond the Initial Term shall not diminish its right to terminate the Agreement for Customer's convenience or CONSULTANT's default as provided elsewhere in this Agreement. The "maximum term" of this Agreement shall be the period extending from commencement through December 31, 2031, which period encompasses the Initial Term, First Option Term and Second Option Term

#### 10.2 Termination for Cause

Either Party may terminate this Agreement if the other Party breaches any provision of this Agreement and fails to cure such breach within thirty (30) days after notice of the breach from the non-breaching Party.

#### 10.3 Termination for Convenience

Customer may terminate this Agreement for any reason at any time with thirty (30) days written notice. Upon such termination, Customer shall have no claim for return of any license fees paid to Licensor.

### 11.0 Survival Upon Termination

The terms, provisions, representations, and warranties contained in this Agreement including but not limited to the following Articles, <u>License</u>, <u>Advertising and Publicity</u>, <u>Warranties</u>, <u>Proprietary Information</u>, <u>Equitable Relief and Survival of Restrictions and Obligations</u>, <u>Indemnification</u>, <u>Illicit Code</u>, <u>Assignment</u>, <u>Taxes</u>, and <u>Miscellaneous</u>, shall so survive the completion of performance and termination of this Agreement, including the making of any and all payments due hereunder, the Secrecy and Nondisclosure agreements, insurance, any rights and obligations conveyed by Licensor, and any cause of action that accrued prior to termination.

#### 12.0 Dispute Resolution

Except as otherwise provided in this Agreement, when a dispute arises between Licensor and Customer, the project managers shall meet to resolve the issue. If project managers do not reach a resolution, the dispute will be decided by Customer's Director of Contracts Administration and Materials Management (CAMM), who shall reduce the decision to writing and mail or otherwise furnish a copy thereof to Licensor. The decision of the Director, CAMM, shall be the final and conclusive administrative decision.

Pending final decision of a dispute hereunder, Licensor shall proceed diligently with the performance of this Agreement and in accordance with the decision of Customer's Director, CAMM. Nothing in this Agreement, however, shall be construed as making final the decision of any Customer official or representative on a question of law, which questions shall be settled in accordance with the laws of the State of California.

#### 13.0 Notice

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

censor:

Orange County Transportation Authority 550 South Main Street P.O. Box 14184 Orange, CA 92863-1584 ATTENTION: Masih Bahadori

ATTENTION: Masih Bahadori ATTENTION: Phone: (714) 560 - 5841 Phone: Email: mbahadori@octa.net Email:

#### 14.0 Order of Precedence

Conflicting provisions hereof, if any, shall prevail in the following descending order of precedence: (1) the provisions of this Agreement, including all exhibits; (2) the provisions of RFP 0-2272; (3) Licensor's proposal dated \_\_\_\_\_\_; (4) all other documents, if any, cited herein or incorporated by reference.

#### 15.0 Audit and Inspection of Records

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

#### 16.0 Prohibited Interest

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

## 17.0 Users

There shall be no limit on the number of machines, number of users, number of locations or size of CPU on which Customer can operate the Software. Customer shall have the right to receive free of charge additional copies of the Software as required by Customer for use on additional or alternate computers for Customer's business operations.

#### 18.0 Platform Specifications

Customer shall have the right, at no additional cost, to operate simultaneously on, move, or upgrade the Software to other hardware or software platforms on which the software may operate.

#### 19.0 Insurance

- 19.1 Licensor shall procure and maintain insurance coverage during the entire term of this Agreement. Coverage shall be full coverage and not subject to self-insurance provisions. Licensor shall provide the following insurance coverage:
  - a. Commercial General Liability, to include Products/Completed Operations, Independent Contractors', Contractual Liability, and Personal Injury Liability, and Property Damage with a minimum limit of \$1,000,000.00 per occurrence and \$2,000,000.00 general aggregate;
  - b. Automobile Liability Insurance to include owned, hired and non-owned autos with a combined single limit of \$1,000,000.00 each accident;
  - c. Workers' Compensation with limits as required by the State of California including a waiver of subrogation in favor of Customer, its officers, directors, employees or agents;
  - d. Employers' Liability with minimum limits of \$1,000,000.00;
  - e. Professional Liability with minimum limits of \$1,000,000.00 per claim; and
  - f. Cyber Liability with minimum limits of \$2,000,000 per claim. Coverage by this insurance this insurance policy shall include without limitation: (a) costs to notify individuals whose Personal Data was lost or compromised; (b) costs to provide credit monitoring and credit restoration services to individuals whose Personal Data was lost or compromised; (c) costs associated with third party claims arising from the Data Breach or loss of Personal Data, including litigation costs and settlement costs; and (d) any investigation, enforcement or similar miscellaneous costs.
    - a. Such insurance must address all of the foregoing without limitation if caused by an employee of Licensor or an independent contractor working on behalf of Licensor in performing services under this contract. Policy must provide coverage for wrongful acts, claims, and lawsuits anywhere in the world. Insurer must have a A.M. Best rating of

"A- VII" or better. Any material change in the policy or cancellation must be reported to the Client with not less than thirty (30) days prior written notice with ten (10) days notice for non-payment. The policy must be kept in force during the life of the contract and for five (5) years (either as a policy in force or extended reporting period) after contract termination.

- 19.2 Proof of such coverage shall be provided to Customer, in the form of a certificate of insurance, that names Customer, its officers, directors, employees and agents, designated as additional insureds as required by this Agreement. In addition, provide an insurance policy blanket additional insured endorsement. Both documents must be received by Customer prior to commencement of any work. Proof of insurance coverage must be received by Customer within ten (10) calendar days from the effective date of this Agreement. Such insurance shall be primary and non-contributive to any insurance or self-insurance maintained by Customer. Furthermore, Customer reserves the right to request certified copies of all related insurance policies.
- **19.3** Licensor shall include on the face of the Certificate of Insurance the Agreement No. C-0-2272; and, the Principal Contract Administrator's Name, Masih Bahadori.
- **19.4** Licensor shall also include in each subcontract the stipulation that subcontractors shall maintain insurance coverage in the amounts required from Licensor as provided in this Agreement.
- **19.5** Licensor shall be required to immediately notify Customer of any modifications or cancellation of any required insurance policies.

## 20.0 Escrow Agreement

Licensor agrees to place in escrow with an escrow agent copies of the most current version of the source code for the applicable Software, including all updates, improvements, and enhancements thereof from time to time developed by Licensor necessary to internally support (i.e. maintain and / or repair) the Software for the benefit of Customer. Licensor agrees that upon the occurrence of any event or circumstance which demonstrates with reasonable certainty the inability or unwillingness of Licensor to fulfill its obligations to Customer under this Agreement, Customer shall be able to obtain the source code of the then-current Software from the escrow agent. The provisions of this Section shall survive the termination of this Agreement.

## 21.0 Assignments and Subcontracts

- 21.1 Neither this Agreement nor any interest herein nor claim hereunder may be assigned by Licensor either voluntarily or by operation of law, nor may all or any part of this Agreement be subcontracted by Licensor, without the prior written consent and endorsement of Customer, which consent shall not be unreasonably withheld. Consent by Customer shall not be deemed to relieve Licensor of its obligations to comply fully with all terms and conditions of this Agreement.
- 21.2 Customer hereby consents to Licensor's subcontracting portions of the Scope of Work to the parties identified below for the functions described in Licensor's proposal. Licensor shall include in the subcontract agreement the stipulation that Licensor, not Customer, is solely responsible for payment to the subcontractor for the amounts owing and that the subcontractor shall have no claim, and shall take no action, against Customer, its officers, directors, employees or sureties for nonpayment by Licensor.

Subcontractor Name/Addresses

Subcontractor Amounts \$0.00

#### 22.0 Time is of the Essence

Time is of the essence with regard to Licensor's deadline for delivering the Software. Any failure of Licensor to deliver the Software by the due date constitutes a material breach of this Agreement.

#### 23.0 Miscellaneous

#### 23.1 Amendment

This Agreement shall not be amended except by an instrument in writing signed by both Parties.

### 23.2 Governing Law; Choice of Forum and Attorney's Fees

Any dispute arising out of or relating to this Agreement or the breach thereof shall be governed by the laws of the State of California without regard to or application of choice of law rules or principles. Both Parties hereby consent to the exclusive jurisdiction of the Orange County Superior Court and expressly waive any objections or defense based upon lack of personal jurisdiction or venue. The prevailing Party shall be entitled to recover its reasonable attorney's fees incurred in connection with any action or proceeding arising out of this Agreement.

#### 23.3 Independent Contractor

- a. Licensor's relationship to Customer in the performance of this Agreement is that of an independent contractor. Licensor 's personnel performing services under this Agreement shall at all times be under Licensor 's exclusive direction and control and shall be employees of Licensor and not employees of Customer. Licensor shall pay all wages, salaries and other amounts due its employees in connection with this Agreement and shall be responsible for all reports and obligations respecting them, such as social security, income tax withholding, unemployment compensation, workers' compensation and similar matters.
- b. Should Licensor's personnel or a state or federal agency allege claims against Customer involving the status of Customer as employer, joint or otherwise, of said personnel, or allegations involving any other independent contractor misclassification issues, Licensor shall defend and indemnify Customer in relation to any allegations made.

#### 23.4 Cumulative Remedies

Except as specifically provided, no remedy made available to Customer hereunder is intended to be exclusive of any other remedy, and each and every remedy shall be cumulative and shall be in addition to every other remedy provided hereunder or available at law or in equity.

#### 23.5 Waiver

Performance of any obligation required of a Party hereunder may be waived only by a written waiver signed by the other Party, which waiver shall be effective only with respect to the specific obligation described therein. Failure by either Party to insist in any one or more instances upon the performance of any terms of conditions of this Agreement shall not be construed as a waiver or relinquishment of that Party's right to such performance or future performance of such terms or conditions.

#### 23.6 Entire Agreement

This Agreement constitutes the entire understanding and contract between the Parties and supersedes any and all prior or contemporaneous oral or written representations or communications with respect to the subject matter hereof.

## 23.7 Severability of Provisions

In the event any provision hereof is found invalid or unenforceable pursuant to a final judgment or judicial decree of a court of competent jurisdiction, the remainder of this Agreement shall remain valid and enforceable according to its terms.

#### 23.8 Licensor Bankruptcy

All rights and licenses granted under or pursuant to this Agreement by Licensor to Customer are, and shall otherwise be deemed to be, for the purposes of Section 365(n) of the United States Bankruptcy Code, or replacement provision therefore (the "Code"), licenses to rights to "intellectual property" as defined in the Code. The Parties agree that Customer, as licensee of such rights under this Agreement, shall retain and may fully exercise all of its rights and election under the Code. The Parties further agree that, in the event of the commencement of bankruptcy proceedings by or

against Licensor under the Code, Customer shall be entitled to retain all of its rights under the Agreement.

#### 23.9 Conflict of Interest

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

#### 23.10 Advertising and Publicity

Licensor shall not use the name of or refer to Customer directly or indirectly in any advertisement, news release, or professional or trade publication without prior written approval from Customer. Licensor shall not use the Customer's logo directly or indirectly in any advertisement, news release, or professional or trade publication. Licensor may include Customer on its customer lists upon receipt of Customer's written consent.

#### 23.11 Code of Conduct

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

## 23.12 Force Majeure

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

#### 23.13 Health and Safety Requirement

Licensor shall comply with all the requirements set forth in Exhibit , Level Safety Specifications.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement No. C-0-2272 to be executed as of the date of the last signature below.

CONSULTANT	ORANGE COUNTY TRANSPORTATION AUTHORITY
By:	By: Darrell E. Johnson Chief Executive Officer
	Date:
	APPROVED AS TO FORM:
	By: James M. Donich General Counsel
	APPROVED:
	By:  Jennifer L. Bergener  Deputy Chief Executive Officer and Chief Operating Officer, Operations
	Date:

R	F	Р	N	-2	2.	72

**EXHIBIT D: STATUS OF PAST AND PRESENT CONTRACTS FORM** 

## STATUS OF PAST AND PRESENT CONTRACTS FORM

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

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

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

Project city/agency/other:	
Contact Name: Phone:	
Due in at Accord Date:	tue of Malue.
Project Award Date: Original Con	tract value:
Term of Contract:	
(1) Litigation, claims, settlements, arbitrations, or in	vestigations associated with contract:
(0) 0	
(2) Summary and Status of contract:	
(3) Summary and Status of action identified in (1):	
(o) canimally and catalog of decion identified in (1).	
(4) Reason for termination, if applicable:	
By signing this Form entitled "Status of Past and Presinformation provided is true and accurate.	sent Contracts," I am affirming that all of the
Nama	Cignoture
Name	Signature
Title	Date

Page 25

Revised. 03/16/2018

R	F	Р	N	-2	2.	72

**EXHIBIT E: CAMPAIGN CONTRIBUTION DISCLOSURE FORM** 

## CAMPAIGN CONTRIBUTION DISCLOSURE FORM

#### Information Sheet

#### ORANGE COUNTY TRANSPORTATION AUTHORITY

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

#### **IMPORTANT NOTICE**

Basic Provisions of Government Code Section 84308

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

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

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

# ORANGE COUNTY TRANSPORTATION AUTHORITY CAMPAIGN CONTRIBUTION DISCLOSURE FORM

RFP Number: R	CFP Title:	
Was a campaign contribution made to any OC regardless of dollar amount of the contribution by ei agent/lobbyist?  Yes		
If no, please sign and date below.		
If yes, please provide the following information:		
Prime Contractor Firm Name:		
Contributor or Contributor Firm's Name:		
Contributor or Contributor Firm's Address:		
Is Contributor:		
The Prime Contractor	Yes	No
<ul><li>Subconsultant</li><li>Agent/Lobbyist hired by Prime</li></ul>	Yes	No
to represent the Prime in this RFP	Yes	No
Identify the Board Member(s) to whom you, your contributions, the name of the contributor, the dates amount of the contribution. Each date must include	subconsultants, s of contribution(s e the exact month	and/or agent/lobbyist made campai s) in the preceding 12 months and dol n, day, and year of the contribution.
Name of Board Member:		
Name of Contributor:		
Date(s) of Contribution(s):		
Amount(s):		
Name of Board Member:		
Name of Contributor:		
Date(s) of Contribution(s):		
Amount(s):		
Date:	Ciara atoma	-f O - mbrill - d - m
	Signature	of Contributor
Print Firm Name	Print Nam	ue of Contributor

# ORANGE COUNTY TRANSPORTATION AUTHORITY AND AFFILIATED AGENCIES

# **Board of Directors**

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

**EXHIBIT F: SAFETY SPECIFICATIONS** 

#### PART I – GENERAL

#### 1.1 GENERAL HEALTH, SAFETY & ENVIRONMENTAL REQUIREMENTS

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

#### 1.2 REGULATORY

A. Injury/Illness Prevention Program

The Contractor shall comply with CCR Title 8, Section with California Code of Regulations (CCR) Title 8, Section 3203. The intent and elements of the IIPP shall be implemented and enforced by the Contractor and its sub-tier contractors, suppliers, and vendors. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

B. Substance Abuse Prevention Program

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

C. Heat Illness Prevention Program

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

D. Hazard Communication Program

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

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

The Contractor shall protect property and water resources from fuels and similar products throughout the duration of the contract. Contractor shall comply with Storm Water Pollution Prevention Plan (SWPPP) requirements. The program or plan if required by scope shall be provided to the Authority's Project Manager, upon request, within 72 hours.

## 1.3 INCIDENT NOTIFICATION AND INVESTIGATION

- A. The Authority shall be promptly notified of any of the following types of incidents including but not limited to:
  - 1. Damage incidents of property (incidents involving third party, contractor or Authority property damage);
  - 2. Reportable and/or Recordable injuries (as defined by the U. S. Occupational Safety and Health Administration), a minor injury, and near miss incidents;
  - 3. Incidents impacting the environment, i.e. spills or releases on Authority projects or property.
  - Outside Agency Inspections; agencies such as Cal/OSHA, DTSC, SCAQMD, State Water Resources Control Board, FTA, CPUC, EPA, USACE and similar agencies.

- B. Notifications shall be made to Authority representatives, employees and/or agents. This includes incidents occurring to contractors, vendors, visitors, or members of the public that arise from the performance of Authority contract work. An immediate verbal notice followed by an initial written incident investigation report shall be submitted to the Authority's Project Manager within 24 hours of the incident.
- C. A final written incident investigative report shall be submitted within seven (7) calendar days and include the following information. The Current Status of anyone injured, photos of the incident area, detailed description of what happened, Photos of the existing conditions and area of the injury/incident, the contributing factors that lead to the incident occurrence, a copy of the company policy or procedure associated with the incident and evaluation of effectiveness, copy of task planning documentation, copy of the Physician's first report of injury, copy of Cal/OSHA 300 log of work related injuries and illnesses, the Cal/OSHA 301 Injury Illness Incident Report, and corrective actions initiated to prevent recurrence. This information shall be considered the minimum elements required for a comprehensive incident report provided to OCTA.
- D. A Serious Injury, Serious Incident, OSHA Recordable Injury/Illness, or a Significant Near Miss shall require a formal incident review at the discretion of the Authority's Project Manager. The incident review shall be conducted within seven (7) calendar days of the incident. This review shall require a company senior executive, company program or project manager from the Contractors' organization to participate and present the incident review as determined by the OCTA Project Manager. The serious incident presentation shall include action taken for the welfare of the injured, a status report of the injured, causation factors that lead to the incident, a root cause analysis (using 5 whys and fishbone methods), and a detailed recovery plan that identifies corrective actions to prevent a similar incident, and actions to enhance safety awareness.
  - 1. <u>Serious Injury:</u> includes an injury or illness to one or more employees, occurring in a place of employment or in connection with any employment, which requires inpatient hospitalization for a period in excess of twenty-four hours for other than medical observation, or in which an employee suffers the loss of any member of the body, or suffers any serious degree of physical disfigurement. A serious injury also includes a lost workday or reassignment or restricted injury case as determined by the Physician's first report of injury or Cal/OSHA definitions.
  - 2. <u>Serious Incident:</u> includes but not limited to property damage of \$500.00 or more, an incident requiring emergency services (local fire, paramedics and ambulance response), news media or OCTA media relations response, and/or incidents involving other agencies (Cal/OSHA, EPA, AQMD, DTSC, Metrolink, FTA, FRA etc.) notification or representation.
  - 3. OSHA Recordable Injury / Illness: includes and injury / illness resulting in medical treatment beyond First Aid, an injury / illness which requires restricted duty, or an injury / illness resulting in days away from work.

4. <u>Significant Near Miss Incident;</u> includes incidents where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred.

## 1.4 DESIGNATED HEALTH AND SAFETY REPRESENTATIVE

- A. Upon contract award, the contractor within 10 business days shall designate a health and safety representative and provide a resume and qualifications to the Authority project manager, upon request, within 72 hours.
- B. This person shall be a competent or qualified individual as defined by the Occupational, Safety, and Health Administration (OSHA), familiar with applicable CCR Title 8 Standards (Cal/OSHA) and has the authority to affect changes in work procedures that may have associated cost, schedule and budget impacts.

#### 1.5 PERSONAL PROTECTIVE EQUIPMENT

- A. The Contractor, its subcontractors, suppliers, and employees are required to comply with applicable personal protective equipment (PPE) requirements while performing work at any Authority project or property. Generally minimum PPE requirements include eye protection; hearing protection, head protection, class 2 or 3 safety reflective vests, and appropriate footwear.
- B. The Contractor, its subcontractors, suppliers, and employees are required to provide their own PPE, including eye, head, foot, and hand protection, safety vests, or other PPE required to perform their work safely on Authority projects or property. The Authority requires eye protection on construction projects and work areas that meet ANSI Z-87.1 Standards.

#### 1.6 REFERENCES

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

**END OF SECTION** 

Ì	P	F	D	Λ.	2	7	2
ı	г.	_	_	u.	 _	•	Z

**EXHIBIT G: PROPOSAL EXCEPTIONS AND/OR DEVIATIONS** 

#### PROPOSAL EXCEPTIONS AND/OR DEVIATIONS

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

Offeror:		
RFP No.:	RFP Title:	
Deviation or Exception No	o.:	
<ul><li>Check one:</li><li>Scope of Work (Te</li><li>Proposed Agreem</li></ul>	•	
Reference Section/Exhibi	t:	Page/Article No
Complete Description of I	Deviation or Exception:	
Rationale for Requesting	Deviation or Exception:	
Area Below Reserved for Au	thority Use Only:	

EXHIBIT H: PUBLIC RECORDS ACT INDEMNIFICATION – PROPOSAL DOCUMENTS

#### PUBLIC RECORDS ACT INDEMNIFICATION - PROPOSAL DOCUMENTS

Offeror is required to submit one copy of the completed and signed form as part of its proposal and it should be included only in the original proposal. Offeror shall complete either Option 1 or Option 2 which ever applies.

## Option #1: Public Records Act Indemnification Agreement

By signing below, the Proposer agrees as follows regarding its Proposal:

If Authority receives a Public Records Act request (Government Code sections 6250 et seq.) which seeks any portion of Proposer's proposal that the Proposer has marked as "confidential", "trade secret", "proprietary", "not subject to disclosure", or similar designation (the "PRA Documents"), the Authority will notify the Proposer of the request. The Proposer shall, within three business days of such notification from the Authority, inform the Authority as to whether it desires the PRA Documents to be withheld, and shall thereafter timely provide a legal basis for each such requested withholding. If the Authority determines to withhold the PRA Documents, Proposer shall indemnify and defend Authority from any and all costs or liabilities resulting from such withholding including, but not limited to, attorney fees and court costs.

Proposer shall pay all costs, immediately as they come due, pertaining to any action under the Public Records Act related to any portion of Proposer's proposal marked or designated as described above, and withheld by Authority. If the Proposer fails to notify the Authority in writing within three business days, or to timely provide a legal basis for the withholding of documents, Proposer agrees that Authority shall release and disclose Proposer records, notwithstanding any marking or designation of the PRA Documents.

In no case shall Authority be liable for any inadvertent disclosure of any Proposer proposal documents, or any disclosure made by Authority upon a good faith belief that disclosure is required by law, or in the event Proposer has failed to notify the Authority in writing of its desire to withhold the PRA Documents within three business days and/or to timely provide a legal basis for the withholding of documents, regardless of any marking or designation of such PRA Documents, and Proposer waives any claims it may have had related to such disclosure.

Official, legal name of Proposing Firm (Type or Prir	nt)
Contact Name:	(Print Name)
Title:	
Signed by:	
Date:	

# Option #2: Non-Applicability

This Proposer has not marked any portion of its proposal as "confidential", "trade secret", "proprietary", "not subject to disclosure", or similar designation.

Official, legal name of Proposing Firm (Type or Print	)
Contact Name:	_ (Print Name)
Title:	
Signed by:	
Date:	





## June 8, 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 5 Widening Project Between

Interstate 405 and State Route 55

Regional Planning and Highways Committee Meeting of June 1, 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**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2317 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$1,200,000, to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the Interstate 5 widening project between Interstate 405 and State Route 55, Segments 1 and 2.



## June 1, 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 5 Widening Project Between

Interstate 405 and State Route 55

#### 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 5 widening project between Interstate 405 and State Route 55.

#### Recommendation

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2317 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$1,200,000, to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the Interstate 5 widening project between Interstate 405 and State Route 55, Segments 1 and 2.

## **Discussion**

The Interstate 5 (I-5) widening project between Interstate 405 (I-405) and State Route 55 (SR-55) (Project) is Project B 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, state, and federal funding.

The Project will add one general purpose lane in both directions on the I-5 freeway between I-405 and SR-55. The Project will reestablish existing auxiliary lanes and provide new auxiliary lanes where necessary and provide continuous access to

the high-occupancy vehicle lanes. The final environmental document was signed on January 7, 2020, and build alternative 2B was identified as the preferred alternative by the Project development team. The Project is being developed as two separate design and construction projects to enhance the participation and competitive bidding of consultants and contractors, with the following Project limits:

- Segment 1 extends from I-405 to Yale Avenue
- Segment 2 extends from Yale Avenue to SR-55

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 \$1,200,000, for the direct support costs associated with the final contract document packaging, advertisement, and award of both segments of the Project. The construction phase roles, responsibilities, and funding will be the subject of a separate future cooperative agreement.

A separate item on June 22, 2020, will seek Board approval to release a request for proposals to procure a consultant for the PS&E services for Segment 2 of the Project, the first segment to proceed to design, and separately in December 2020 for Segment 1 of the Project.

## Fiscal Impact

As part of this cooperative agreement, funding for Caltrans' services for Segment 1 will be in SB 1 (Chapter 5, Statutes of 2017) Local Partnership Program Formula funds, which was approved by the Board September 23, 2019. Funding for Caltrans' services for Segment 2 will be in Surface Transportation Block Grant funds, which was approved by the Board on January 13, 2020.

# Summary

Staff requests the Board of Directors authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2317 with the California Department of Transportation, in the amount of \$1,200,000, to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the Interstate 5 widening project between Interstate 405 and State Route 55, Segments 1 and 2.

#### Attachment

None.

Prepared by:

Niall Barrett, P.E. Program Manager

(714) 560-5879

Virginia Abadessa

Directo, Contracts Administration and

Materials Management

(714) 560-5623

Approved by:

James G. Beil, P.E.

Executive Director, Capital Programs

Since

(714) 560-5646





## June 8, 2020

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

From: Laurena Weinert, Clerk of the Board

Subject: Consultant Selection for On-Call Right-of-Way Support Services for

**Capital Improvement Projects** 

Regional Planning and Highways Committee Meeting of June 1, 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 Recommendations**

- A. Approve the selection of Epic Land Solutions, Inc., as the firm to provide on-call right-of-way support services for capital improvement projects.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1613 between the Orange County Transportation Authority and Epic Land Solutions, Inc., in the amount of \$3,500,000, for an initial term of three years, with two, one-year option terms to provide on-call right-of-way support services for capital improvement projects.



## June 1, 2020

**To:** Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Consultant Selection for On-Call Right-of-Way Support Services

for Capital Improvement Projects

#### Overview

On December 9, 2019, the Orange County Transportation Authority Board of Directors authorized the issuance of a request for proposals to procure a consultant to provide on-call right-of-way support services for capital improvement projects. Board of Directors' approval is requested for the selection of a firm to perform the required work.

#### Recommendations

- A. Approve the selection of Epic Land Solutions, Inc., as the firm to provide on-call right-of-way support services for capital improvement projects.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-9-1613 between the Orange County Transportation Authority and Epic Land Solutions, Inc., in the amount of \$3,500,000, for an initial term of three years, with two, one-year option terms to provide on-call right-of-way support services for capital improvement projects.

#### **Discussion**

The Orange County Transportation Authority (OCTA) is seeking an experienced consulting firm to perform right-of-way (ROW) support services for public transportation projects involving roadways, highways, freeways, railroad corridors, commuter rail, transit services, OCTA-owned facilities, and land conservation for environmental mitigation on an as-needed basis. These services include various disciplines such as ROW acquisition and negotiation, relocation assistance, utility coordination, title and escrow, environmental site assessment, mitigation studies, lease preparation and negotiation, market surveys, and property management services, as well as expert witness testimony.

ROW services will be needed to support current and future projects in OCTA's Capital Programs Division and to support Next 10 Delivery Plan freeway projects where the California Department of Transportation (Caltrans) is the lead implementing agency for the ROW phase, in addition to those projects for which OCTA is the lead agency for the ROW phase. Large-scale ROW projects with complex scopes and longer terms may be procured under separate procurements specific to each project.

# **Procurement Approach**

This procurement was handled in accordance with OCTA's Board of Directors (Board)-approved procedures for professional and technical services. Award is recommended to the firm offering the most comprehensive overall proposal, considering such factors as qualifications, prior experience with similar projects, staffing and project organization, work plan, as well as cost and price.

On December 9, 2019, the Board authorized the release of Request for Proposals (RFP) 9-1613 which was issued electronically on CAMM NET. The project was advertised on December 9 and December 16, 2019, in a newspaper of general circulation. A pre-proposal conference was held on December 19, 2019, with ten attendees representing seven firms. Three addenda were issued to make available the pre-proposal conference presentation and registration sheets, provide responses to questions, and handle administrative issues related to the RFP.

On January 21, 2020, eight proposals were received. An evaluation committee consisting of staff from OCTA's Contracts Administration and Materials Management, Real Property, and Rail Program departments, and a representative from Caltrans met to review all proposals submitted. The proposals were evaluated based on the following Board-approved evaluation criteria and weights:

•	Qualifications of Firm	30 percent
•	Staffing and Project Organization	30 percent
•	Work Plan	20 percent
•	Cost and Price	20 percent

The evaluation criteria are consistent with weightings developed for similar professional and technical services procurements. In developing the criteria weights, staff assigned the greatest importance to qualifications and staffing and project organization of the firm. The qualifications of the firm are important because a firm's corporate experience in a broad range of ROW functions is essential to the effective performance of services. Staffing and project organization is important as the qualifications and experience of the staff in each

of the technical disciplines is critical to the success of the overall intent of the project to provide comprehensive ROW support services. The work plan criterion was weighted lower as the task orders assigned will define the specific scope of work and to review the firm's understanding of the potential projects and challenges in performing the required work. The cost and price were reviewed to ensure competitive pricing and that OCTA receives value for the work provided.

The evaluation committee reviewed and discussed all proposals received based upon the evaluation criteria and short-listed the three most qualified firms to be interviewed, listed below in alphabetical order:

## Firm and Location

Epic Land Solutions, Inc. (Epic)
Torrance, California

HDR Engineering, Inc. (HDR)
Irvine, California

Interwest Consulting Group (ICG) Rancho Santa Margarita, California

On April 3, 2020, the evaluation committee interviewed the three firms via Skype video conference. The interviews consisted of a presentation allowing each firm to present its qualifications, highlight its proposal, and respond to evaluation committee questions. Questions were asked relative to the firms' experience with various types of ROW support services and complexities of past projects, quality assurance and quality control processes, availability and adequacy of staff resources, and approach to the scope of work, with focus on procedural understanding of both OCTA and Caltrans policies and requirements. Each firm was also asked specific questions pertaining to its proposal. The evaluation committee adjusted the final proposal scores for all three firms as a result of the interviews; however, Epic remained the top-ranked firm with the highest cumulative score and most qualified to deliver the work.

Based on the evaluation of written proposals, information obtained from the interviews, and cost and price, staff recommends Epic as the firm to provide on-call ROW support services for capital improvement projects. The team proposed by Epic includes qualified key personnel staff and subconsultants that have prior experience with public agencies and are familiar with Caltrans requirements. The firm demonstrated a sound and thorough understanding of the scope of work and is capable of supporting OCTA's needs. The following is a brief summary of proposal evaluation results.

#### Qualifications of Firm

Epic was established in 2000 and is a full-service ROW and real property management firm that demonstrated appropriate qualifications and relevant experience in the type of services required by the scope of work. The firm has prior experience working with OCTA and is knowledgeable about OCTA and Caltrans ROW requirements. Epic's previous experience in providing public sector ROW support services in Orange County and throughout California includes OCTA's 17<sup>th</sup> Street Grade Separation Alternatives Assessment and Interstate 5 Improvement from North of Interstate 405 to State Route 55, Los Angeles County Metropolitan Transportation Authority (LA Metro) State Route 710 Sound Wall, Riverside County Transportation Commission Real Estate Acquisition Management Plan-91/Perris Valley Line, and State of California High-Speed Rail Environmental Site Assessments, Burbank to Anaheim segment. Epic has well-established project experience with nine of the 13 proposed subconsultants to support various disciplines of work.

ICG is an experienced ROW services consultant that was established in Orange County in 2002. The firm's ROW experience includes several widening and grade separation projects with various municipalities and agencies throughout California that includes City of Brea State Route 57 Lambert Road Interchange Project, City of Santa Ana Bristol Street Widening Project, City of Modesto State Route 132 West Freeway/Expressway Project, and OCTA Tustin/Rose Grade Separation Project. ICG has well-established relationships with several of its proposed subconsultants.

HDR has 45 years of experience in Southern California and currently provides ROW services as part of the current bench of ROW contracts for OCTA. HDR and its proposed list of experienced subconsultants demonstrated relevant ROW knowledge and experience with OCTA and other agencies throughout Orange County that includes OCTA's State Route 55 Improvement Project and Regional Rail Program Management Consultant Services, San Gabriel Valley Council of Governments Montebello Grade Separation Project, and LA Metro Union Station Link Technical Project.

# Staffing and Project Organization

Epic's proposed key personnel have relevant experience as well as the professional credentials needed to ensure effective project management and execution required for the scope of work. The proposed multi-disciplinary staff and subconsultants have expertise in all aspects of the required ROW services, including acquisition and negotiation, relocation assistance, utility coordination, and property management which make up a majority of the project scope. The proposed project manager has 11 years of ROW experience

with both public and private companies in transportation, housing and utility projects, as well as ROW experience with Caltrans procedures, Federal Highway Administration (FHWA), and Federal Transit Administration (FTA)-funded projects. The proposed ROW acquisition lead, utility coordination lead, relocation assistance lead, and project development lead each has over ten years ROW experience with Caltrans processes and FHWA-funded projects. All key personnel have indicated appropriate levels of availability to OCTA as other existing projects are in the final stages of completion. Epic submitted a comprehensive organizational chart that clearly identified the responsibilities of each team member. Epic's proposed key staff participated in the interview process which validated qualifications and experience.

ICG's proposed key personnel have relevant ROW experience and appropriate certifications that includes a designated quality manager. The proposed project manager has over 25 years of ROW experience with all other key personnel each having over ten years' industry experience. ICG provided detailed organizational and project responsibility charts that also identified each team member's project availability. All of ICG's proposed key personnel participated in the interview process.

HDR's proposed key personnel and subconsultants have extensive experience and demonstrated ROW knowledge of prior OCTA contract task order and Caltrans procedures. The proposed project manager has 18 years of industry experience. The proposed document controls lead, several ROW agents, and the utility coordinator have over 15 years industry experience combined. All of the proposed subconsultants have experience with HDR on past and current ROW projects. All of HDR's proposed key personnel participated in the interview process.

## Work Plan

Epic's work plan addressed all the requirements of the scope of work identified in the RFP. The work plan presented a sound understanding of the requirements to provide the various disciplines of the ROW support services for OCTA's projects. The firm provided a detailed work plan that addressed all of the tasks in the scope of work with clear descriptions and an organized task allocation table. Epic proposed two proprietary web-based mobile tools, ArcGIS, that will be utilized for parcel mapping, cost estimation and property and project management, and Epic Project Manager for acquisition file management. Epic demonstrated an understanding of OCTA policies and procedures and the various Caltrans procedures and requirements to deliver ROW support services.

ICG's work plan also provided a detailed breakdown for each task that demonstrated a clear understanding of the scope of work. ICG's proposal demonstrated its knowledge of the activities and deliverables that are required to fulfill the requirements of the scope of work, including all Caltrans requirements. ICG will utilize MS Project for project monitoring and schedule control in addition to commercially available Sanborn Maps and United States Geological Survey Topographic Maps for historical land-use analysis.

HDR proposed a well-developed work plan approach that addressed all elements of the scope of work that demonstrated a clear understanding of OCTA and Caltrans ROW policies and procedures. The work plan included a comprehensive project management plan with the use of ROW tools, such as MS Project and Primavera P6, to monitor project schedules and budgets, KMZ Files for detailed parcel information, and ProjectWise for document control.

## Cost and Price

Cost was weighted 20 percent of the overall score. All firms submitted labor pricing for type of work identified in the scope of work for the entire term of the contract. Pricing scores were based on a formula which assigned the highest score to the lowest proposed average weighted hourly rates, and scored the remaining average weighted hourly rates in relation to the lowest proposed average weighted hourly rates. The firms' average weighted hourly rates ranged from \$111 to \$146. Epic's calculated weighted hourly rate of \$127 is considered fair and reasonable in comparison to the independent cost estimate of \$137.

## **Procurement Summary**

Based on the evaluation of the written proposals, the team's qualifications, information obtained during the interviews, and cost and price, the evaluation committee recommends award of contract to Epic. The recommended firm has the required experience in ROW support services and is capable of meeting the requirements of the RFP. The team included qualified staff and subconsultants that have prior experience in providing ROW support services to public agencies. The selected firm demonstrated a comprehensive understanding of the scope of work and has the capacity to support OCTA's project needs.

# Fiscal Impact

Funding for this project is included in OCTA's Fiscal Year 2020-21 Budget, Capital Programs Division, Account 0017-7514-M0201-F17, and utilizes a combination of FHWA, FTA, and Measure M2 funds.

# Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Agreement No. C-9-1613 with Epic Land Solutions, Inc., in the amount of \$3,500,000, as the firm to provide on-call right-of-way support services, for a three-year initial term, with two, one-year option terms.

#### **Attachments**

- A. Review of Proposals, RFP 9-1613 On-Call Right-of-Way Support Services for Capital Improvement Projects
- B. Proposal Evaluation Criteria Matrix (Short-Listed), RFP 9-1613 On-Call Right-of-Way Support Services for Capital Improvement Projects
- C. Contract History for the Past Two Years, RFP 9-1613 On-Call Right-of-Way Support Services for Capital Improvement Projects

Prepared by:

Joe Gallardo

Manager, Real Property

(714) 560-5546

Virginia Abadessa

Director, Contracts Administration and

Materials Management

(714) 560-5623

Approved by:

James G. Beil, P.E.

**Executive Director, Capital Programs** 

2 space

(714) 560-5646

# Review of Proposals RFP 9-1613 On Call Right-of-Way Support Services for Capital Improvement Projects PRESENTED TO THE RP&H COMMITTEE - June 1, 2020 8 proposals were received, 3 firms were interviewed, 1 firm is being recommended.

Panking	Proposal Score	Firm and Location	Subcontractore	Fusication Committee Comments	Weighted Average Hourly Rate
	82	Epic Land Solutions. Inc.	VCS Environmental	Highest-ranked firm overall.	
		Torrance, California	Diaz Yourman & Associates	Established in 2000 with an Orange County-based office in Anaheim.	\$127.14
			BESS Testlab. Inc.	Prior experience with several Orange County Transportation Authority (OCTA) projects, including the Orangethorpe, 17th Street. Kraemer Boulevard, and State College grade separation projects.	
				Project manager has 11 years right-of-way (ROW) experience and all other key personnel have over 10 years ROW	
			od pojvozaniO \$0000	experience with several other local transportation agencies, California Department of Transportation (Caltrans), and with	
			Coast Surveying inc.	treder any-futness projectives and extension to the interview and reconfirmed ruralifications commitment and sunnort	
			Guida Surveying, Inc.	An proposed key personner participated in the riter view and reconnitied qualifications, committeely, and support technology.	
				Provided a detailed sample ROW work plan and schedule with elements that included quality control best practices with	
			Keith Settle & Company, Inc.	detailed procedural and technical enhancement charts.	
			Santulocito Dore Group	ROW technical tools included two proprietary programs, ArcGIS and Epic Project Manager.	
			Psomas	Proposed a competitive weighted average hourly rate.	
			TLC Interpreting & Translation Services, LLC		
			Commonwealth Land Title Company		
			Golden State Escrow Integra Realty Resources -		
2	77	Interwest Consulting Group	Orange County and Los Angeles Keith Settle & Company Inc	Established in 2002 with seven Southern California offices	
		cianopia Contractor Contractor		Transfer or with the continue of the continue	4
		Kancho Santa Magarita, California	Натт	Experience with various municipal KOVV capital public projects.	\$1.11.¢
			MD Specialists	Seven of the proposed subconsultants have past experience with OCTA.	
				Project manager has 25 years of ROW experience with other key staff having ROW experience on a number of public	
			Ninyo & Moore	nighway projects in Southem California.	
				All key personnel participated in the interviews and provided responses that demonstrated a clear understanding of the	
			Rincon Consulting Inc.	scope of work.	
			R.P. Laurain & Associates	Comprehensive work plan provided.	
			Commonwealth Land Title Company	ROW tools include QuickBase, MS Project, and Google Drive.	
			Desmond. Marcello & Amster	Proposed lowest weighted average hourly rate.	
			Donna Desmond Associates		
			Monday State Escrow		
			Guida Suraaving Inc		
			Hennessey & Hennessey LLC		
೮	9/	HDR Engineering, Inc.	Leighton Consulting, Inc.	incumbent on the current ROW bench of contracts and familiar with the contract task order process.	
		Irvine, California	Civil Works Engineering Inc.	Established in 1917 with 45 years of experience in Southem California.	\$145.76
				Project manager has 18 years ROW experience with other key staff having experience with Caltrans and various other	
			Cal Pacific Land Services, Inc.	local transportation projects.	
			Golden State Escrow	All key personnel participated in the interviews and confirmed their proposed commitment.	
			S Demosty Solutions	The work plan addresses all of the tasks in the scope of work with brief narrative descriptions and an organized task	
			SLS Flobelty Solutions	anocation table.	
			Coast Surveying Inc.	ROW technical tools that includes MS Project and KMZ Files for parcel information and parcel sheets.	
			Hodges Lacey & Associates LLC	Proposed nignest weignted nouny rate.	
			Psomas		
			Proactive Engineering Consultants, Inc.		
			Hennessey & Hennessey LLC		
			Donna Desmond Associates		
			Integra Realty Resources - Orange County		
			Commonwealth Land Title Company		

Weight Factors	30%	30%	20%	20%
Proposal Criteria	Qualifications of Firm	Staffing and Project Organization	Work Plan	Cost and Price
Evaluation Panel:	Real Property (3) Capital Projects (1)	Califomia Department of Transportation (1)		

# PROPOSAL EVALUATION CRITERIA MATRIX (SHORT-LISTED) RFP 9-1613 ON CALL RIGHT-OF-WAY SUPPORT SERVICES FOR CAPITAL IMPROVEMENT PROJECTS

FIRM: Epic Land Solutions, Inc						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.0	4.0	4.5	4.0	4.0	6	24.6
Staffing/Project Organization	4.0	4.0	3.5	4.0	4.0	6	23.4
Work Plan	4.0	4.5	4.5	4.0	4.0	4	16.8
Cost and Price	4.4	4.4	4.4	4.4	4.4	4	17.6
Overall Score	81.6	83.6	83.6	81.6	81.6		82
FIRM: Interwest Consulting Gre	oun					Weights	Overall Score
Evaluator Number	<u> 1</u>	2	3	4	5	vveignts	- Overall Score
Qualifications of Firm	3.5	4.0	4.0	3.5	3.5	6	22.2
		_	-			_	
Staffing/Project Organization	3.0	3.0	3.0	3.5	3.5	6	19.2
Work Plan	3.5	3.5	4.0	4.0	4.0	4	15.2
Cost and Price	5.0	5.0	5.0	5.0	5.0	4	20.0
Overall Score	73.0	76.0	78.0	78.0	78.0		77
FIRM: HDR Engineering, Inc.						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	3.5	4.0	4.5	4.0	4.0	6	24.0
Staffing/Project Organization	3.5	4.0	3.5	3.5	3.5	6	21.6
Work Plan	3.5	4.0	3.5	4.0	3.5	4	14.8
Cost and Price	3.8	3.8	3.8	3.8	3.8	4	15.2
Overall Score	71.2	79.2	77.2	76.2	74.2		76

The range of scores for the non-short-listed firms was 47 - 72.

# CONTRACT HISTORY FOR THE PAST TWO YEARS

RFP 9-1613 On-Call Right-of-Way Support Services for Capital Improvement Projects

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Prime: Epic Land Solutions, Inc.						
Contract Type:		No contracts awarded				•
Subconsultants:						
				Subtotal		80
Prime: HDR Engineering, Inc.						
Contract Type: Firm Fixed Price	C-0-1587	Environmental document and project report for State Route 55 between Interstate 405 and Interstate 5	March 21, 2011	December 31, 2019		\$ 6,508,026
Subconsularis:					00 813 00	
Guida Surveving Inc					\$ 507 106 00	
Leighton Consulting, Inc.						
VS7					<del>_</del>	
Mts Engineers					\$ 402,443.00	
The Wild Horse Group					\$ 72,505.00	
Transystems Rmc, Inc.					\$ 275,356.00	
Contract Type: Time & Expense	C-4-1854	Project management consultant services for the Santa Ana - Garden Grove Streetcar Project				\$ 29.026.290
Subconsultants:						
Arellano Associates						
Boothe Transit Consulting, Llc						
Civilsource						
HDR   MDG						
IBI Group						
Intueor Consulting Inc						
Mott Macdonald, LLC						
Nossaman, LLP						
Shiels Obletz Johnsen						
Atkins						
Sperry Capital Inc.						
Steve Greene & Associates						
Contract Type: Time & Expense	C-6-1003	Consultant services for freeway study needs	Anril 27 2016	30 2018		866 66
Subconsultants:	2			, ,		
Fehr & Peers					\$ 819.00	
Contract Type: Firm Fixed Price	C-7-0938	Improvements to State Route 57 northbound between Katella Avenue and Lincoln Avenue	April 10, 2018	December 31, 2018		\$ 4,658,888
Subconsultants:						
Fehr & Peers					\$ 89,904.00	
Guida Surveying Inc.						
Leighton Consulting, Inc.						
7SA						
PMK, Inc.					\$ 140,333.00	

Prime and Subconsultants	Contract Description No.	Ē	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Tatsumi and Partners, Inc.					\$ 225,347.00	
Contract Type: Time and Expense Subconsultants: None	Consultant for geographic information systems (GIS) Support	ion systems (GIS)	June 9, 2017	December 31, 2018		\$ 42,932
Contract Type: Time & Expense Subconsultants:	widening project between Oso Parkway and Alicia C-8-1418 Parkway	kway and Alicia	March 27, 2019	February 29, 2024		\$ 12,168,767
Coast Surveying Ghirardelli Associates Jacobs Project Management Co S2 Engineering						
Contract Type: Time and Expense Subconsultants:	Program management consulting services for regional rail C-8-1512 programs	services for regional rail	March 28, 2019	November 7, 2019		\$ 7,500,000
AP Engineering and Testing B A Inc. Civil Works Engineers						
Cogstone Resource Management Db Engineering & Consulting Usa Inc.						
Mott Macdonald, Llc Prescience Corporation Project Design Consultants						
Tri County Drilling Inc VSCE, Inc						
Contract Type: Time and Expense Subconsultants: None	C-8-1840 GIS technical support consultant services	ervices	November 15, 2018	September 30, 2019		\$ 50,000
Contract Type: Time and Expense Subconsultants:	C-9-1121 South Orange County multimodal study	study	September 19, 2019	August 31, 2021		\$ 749,969
Placeworks Nelson/NYGAARD Consulting Associates System Metrics Group Inc. Alta Planning + Design Land CM Corp. Urbantrans North America						
Contract Type: Time and Expense Subconsultants: None	C-9-1580 Professional services for GIS section	no	January 28, 2020	October 31, 2021		\$ 55,000
Contract Type: Time and Expense Subconsultants: APA Engineering, Inc.	C-4-1786 On-call right-of-way and property management services	nanagement services	March 1, 2015	August 31, 2020		\$ 1,569,025
Cal Pacific Land Services, Inc.  Coast Surveying						

Prime and Subconsultants	Contract	Description	Contract Start	Contract End	Subconsultant Total Contract	Total Contract
	NO.		Date	Dale	AIIIOUIII	AIIIOUIII
Commonwealth Land Company	_					
Desmond, Marcello & Amster, LLC						
Donna Desmond Associates						
Environmental Resources Management, Inc.						
Golden State Escrow						
Hennessey & Hennessey						
Hodges Lacey & Associates						
Integra Realty Resources-Orange County						
Lazaar Translation						
MJL Environmental Inc.						
Pacific Real Estate Consultants, Inc.						
Real Estate Consulting & Services, Inc.						
Stewart Title						
VA Consulting Inc.						
Wiggans Group Inc.						
				Subtotal		\$62,428,896
Prime: Interwest Consulting Group						
Contract Type: Contract Task Order	C-6-1212	C-6-1212 On-call GIS services	August 15, 2016	August 31, 2019		\$ 225,000
Subconsultants: None						
				Subtotal		\$225,000





#### June 8, 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 5 Improvement Project Between

Avenida Pico and San Diego County Line

Regional Planning and Highways Committee Meeting of June 1, 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**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2334 between the Orange County Transportation Authority and the California Department of Transportation, at no cost, for preparation of the project report and environmental document for the Interstate 5 improvement project between Avenida Pico and the San Diego County Line.



#### June 1, 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 5 Improvement Project Between

Avenida Pico and San Diego County Line

#### Overview

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation to provide independent quality assurance and approvals for preparation of the project report and environmental document for the Interstate 5 improvement project between Avenida Pico and the San Diego County Line.

#### Recommendation

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2334 between the Orange County Transportation Authority and the California Department of Transportation, at no cost, for preparation of the project report and environmental document for the Interstate 5 improvement project between Avenida Pico and the San Diego County Line.

#### **Discussion**

The Transportation Corridor Agencies (TCA) and the California Department of Transportation (Caltrans) are concluding efforts on the South County Traffic Relief Effort (SCTRE). Based on technical work, public feedback, and policy direction, three alternatives are proposed to move forward into project development. On March 12, 2020, the TCA Board of Directors approved recommendations to proceed with project development of a non-tolled extension of Los Patrones Parkway, widening of State Route 74 between Calle Entradero and Reata Road, and the extension of high-occupancy vehicle (HOV) lane improvements between Avenida Pico and the San Diego County Line. On April 13, 2020, the Orange County Transportation Authority (OCTA) Board of Directors (Board) also approved recommendations to proceed with these

projects. Caltrans and TCA will provide a final project report (PR) for SCTRE that will formalize these recommendations.

The Interstate 5 (I-5) improvement project between Avenida Pico and San Diego County Line (Project) would complete the HOV lane network in Orange County and complements the HOV improvements that were recently completed as part of Project C in the Measure M2 freeway program. The Project proposes to construct one HOV lane in each direction on I-5 between Avenida Pico and the San Diego County Line, reestablish existing auxiliary lanes, and modify interchange ramps.

OCTA proposes to enter into a cooperative agreement with Caltrans to define the roles and responsibilities of both agencies. The proposed cooperative agreement with Caltrans specifies the roles and responsibilities of the parties as well as the process for preparation of the PR and environmental document (ED). Caltrans will be the lead agency under the National Environmental Policy Act and the California Environmental Quality Act, and, at no cost, provide quality control/quality assurance on the ED, and independent quality assurance on the PR produced by the OCTA consultant. It is anticipated that the PR/ED phase work will begin in early 2021 after consultant services have been procured. The Project anticipates being environmentally cleared by 2024 so it is shelf-ready for potential advancement as additional funds become available. A separate item will seek OCTA Board approval to release a request for proposals to procure a consultant for the PR/ED services.

#### Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2334 with the California Department of Transportation, at no cost, for preparation of the project report and environmental document for the Interstate 5 improvement project between Avenida Pico and the San Diego County Line.

#### Attachment

None.

Prepared by:

Josue Vaglienty, P.E. Senior Project Manager (714) 560-5852

Virginia Abadèssa

Director, Contracts Administration and

Materials Management

(714) 560-5623

Approved by:

James G. Beil, P.E.

Executive Director, Capital Programs

(714) 560-5646





#### June 8, 2020

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

2w

From: Laurena Weinert, Clerk of the Board

**Subject:** Membership Appointments for the Measure M2 Environmental

Cleanup Allocation Committee

#### Executive Committee Meeting of June 1, 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. Approve the reappointment of current committee members serving on the Measure M2 Environmental Cleanup Program Environmental Cleanup Allocation Committee for an additional three-year term.
- B. Appoint two committee members to replace outgoing members on the Measure M2 Environmental Cleanup Program Environmental Cleanup Allocation Committee.



#### June 1, 2020

**To:** Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

**Subject:** Membership Appointments for the Measure M2 Environmental

Cleanup Allocation Committee

#### Overview

As part of the Measure M2 Environmental Cleanup Program, the Measure M2 Ordinance requires a 14-member Environmental Cleanup Allocation Committee to make recommendations to the Orange County Transportation Authority Board of Directors on the allocation of revenues for transportation-related water quality programs (The current three-year terms for all members will expire on June 30, 2020). Twelve of the existing committee members have expressed their desire to continue to serve, and replacements are recommended for two open seats.

#### Recommendations

- A. Approve the reappointment of current committee members serving on the Measure M2 Environmental Cleanup Program Environmental Cleanup Allocation Committee for an additional three-year term.
- B. Appoint two committee members to replace outgoing members on the Measure M2 Environmental Cleanup Program Environmental Cleanup Allocation Committee.

#### Background

The Environmental Cleanup Program (ECP), Project X, provides Measure M2 (M2) revenues to local jurisdictions to help improve overall water quality in Orange County from transportation-generated pollution. Funds are allocated on a countywide competitive basis and are intended to supplement, not supplant, existing transportation-generated water quality programs. These grants are awarded to priority projects improving water quality that have a nexus to transportation-related pollution, consistent with the Orange County Transportation Authority's (OCTA) M2 Ordinance No. 3.

The ECP was launched in fall 2007 with the creation of the Environmental Cleanup Allocation Committee (ECAC). The ECAC is responsible for developing the program and making funding recommendations for consideration and approval by the OCTA Board of Directors (Board). The M2 Ordinance defines the role and composition of the ECAC, a 14-member committee that includes one representative from the County of Orange, the California Department of Transportation, the development industry, the scientific/academic community, and a private or non-profit organization involved in environmental and water quality protection/enforcement matters (Attachment A). The ECAC also includes a city representative from each of the five supervisorial districts and two representatives from a water or wastewater public entity. In addition, a representative from the Santa Ana Regional Water Quality Control Board and the San Diego Regional Water Quality Control Board are designated to serve on the ECAC as non-voting members.

#### **Discussion**

The M2 Ordinance requires the Board to appoint ECAC members. Two current members have chosen not to seek reappointment for the ECAC and candidates have been recommended. Terms of service are three years, with no term limits.

Applications were reviewed by OCTA staff and the ECAC Chair, as has been the case for all past recruitments. Current ECAC Chair Garry Brown, President of Orange County Coastkeeper, has recommended two applicants for Board approval.

One of the vacant seats includes a representative from a water or wastewater public entity. Marilyn Thoms from the East Orange County Water District (EOCWD) has been recommended as the water or wastewater member (Attachment B). Ms. Thoms, EOCWD's Water Resource consultant, serves as the Project Manager for the proposed Foothill Runoff Environmentally Sustainable Habitat Stormwater Management Project and manages the preparation of the Local Hazard Mitigation Plan. Before consulting, Ms. Thoms was a Manager of the Watershed Management Division for the Orange County Environmental Resources Service Area.

For the second vacant seat, Danny H. Kim, Ph.D. has been recommended as the scientific/academic representative (Attachment C). Dr. Kim, Associate Professor, California State University, Fullerton Department of Public Health, teaches various courses in environmental health, which include water quality protection and cleanup.

A total of 12 existing ECAC members have expressed a desire to continue to serve on the committee for an additional three-year term. The recommended ECAC Roster is enclosed (Attachment D).

#### Summary

The three-year term for members of the M2 Environmental Cleanup Allocation Committee will end on June 30, 2020. There are no term limits. Twelve existing committee members have expressed interest in serving another term and are being recommended for reappointment, and replacements are recommended for two open seats.

#### **Attachments**

- A. Orange County Local Transportation Authority Ordinance No. 3 July 24, 2006. Pages B-17 and B-18
- B. Marilyn Thoms Recommendation Letter and Resume
- C. Danny H. Kim, Ph.D. Curriculum Vitae
- D. Recommended Environmental Cleanup Allocation Committee 2020 Roster

Prepared by:

Marissa Espino

Community Relations Specialist,

Principal

714-560-5607

Approved by:

Maggie McJilton

Interim Executive Director, External

Affairs

714-560-5824

Orange County Local Transportation Authority Ordinance No. 3 July 24, 2006. Pages B-17 and B-18.

# ORANGE COUNTY LOCAL TRANSPORTATION AUTHORITY ORDINANCE NO. 3 JULY 24, 2006

Orange County Local Transportation Authority
550 South Main Street
P.O. Box 14184
Orange, CA 92863-1584
Tel: (714) 560-6282

designing Community Based Transit/Circulators projects to provide effective and userfriendly transit connections to countywide bus transit and Metrolink services.

- 2. To be eligible to receive Net Revenues for Community Based Transit/Circulators projects, an Eligible Jurisdiction must execute a written agreement with the Authority regarding the respective roles and responsibilities pertaining to construction, ownership, operation and maintenance of the Community Based Transit/Circulators project.
- 3. Allocations of Net Revenues shall be determined pursuant to a countywide competitive procedure adopted by the Authority. This procedure shall include an evaluation process and methodology applied equally to all candidate Community Based Transit/Circulator projects. Eligible Jurisdictions shall be consulted by the Authority in the development of the evaluation process and methodology.
- 4. An Eligible Jurisdiction may contract with another entity to perform all or part of a Community Based Transit/Circulators project.

## VII. <u>ALLOCATION OF NET REVENUES; ENVIRONMENTAL CLEANUP PROGRAMS/PROJECTS.</u>

- A. An Eligible Jurisdiction may contract with any other public entity to perform all or any part of an Environmental Cleanup project.
  - B. Allocation Committee.
- 1. The Allocation Committee shall not include any elected public officer and shall include the following twelve (12) voting members:
  - (i) one (1) representative of the County of Orange;
- (ii) five (5) representatives of cities, subject to the requirement for one (1) representative for the cities in each supervisorial district;
  - (iii) one (1) representative of the California Department of
  - (iv) two (2) representatives of water or wastewater public
    - (v) one (1) representative of the development industry;

entities:

Transportation:

(vi) one (1) representative of the scientific or academic community;

(vii) one (1) representative of private or non-profit organizations involved in environmental and water quality protection/enforcement matters;

In addition, one (1) representative of the Santa Ana Regional Water Quality Control Board and one (1) representative of the San Diego Regional Water Quality Control Board shall be non-voting members of the Allocation Committee.

- 2. The Allocation Committee shall recommend to the Authority for adoption by the Authority the following:
- a. A competitive grant process for the allocation of Environmental Cleanup Revenues, including the highest priority to capital improvement projects included in a Watershed Management Area. The process shall give priority to cost-effective projects and programs that offer opportunities to leverage other funds for maximum benefit.
- b. A process requiring that Environmental Cleanup Revenues allocated for projects and programs shall supplement and not supplant funding from other sources for transportation related water quality projects and programs.
- c. Allocation of Environmental Cleanup Revenues for proposed projects and programs.
- d. An annual reporting procedure and a method to assess the water quality benefits provided by completed projects and programs.

#### **ATTACHMENT B**



185 N. McPherson Rd. Orange, Ca 92869

**P**: 714-538-5815 **F**: 714-538-0334

eocwd.com

#### **BOARD OF DIRECTORS**

Douglass S. Davert President

Richard B. Bell Vice President

April 30, 2020

John Dulebohn **Director** 

George A. Murdoch **Director** 

John L. Sears **Director** 

Lisa Ohlund **General Manager**  Ms. Marisa Espino
Community Relations Officer
Orange County Transportation Authority
550 S. Main Street
Orange, CA 92868

Subject: Applicant for OCTA Water Quality Committee

Dear Ms. Espino:

Per your email of Tuesday, April 14, 2020 seeking applicants from water and/or wastewater agencies to fill a vacancy on the OCTA Water Quality Committee, East Orange County Water District (District) is submitting this letter, application and resume of Marilyn Thoms to serve as our Agency Representative.

East Orange County Water District provides wholesale water and retail water and sewer service to a population of between 5,500 and 85,000 (depending on the service) located in Central Orange County. Ms. Thoms' is the District's Water Resource Consultant, and should she be selected for this Committee would serve solely representing the District and no other interests.

Please feel free to contact me should you have any questions.

Sincerely,

Lisa Ohlund

General Manager

#### MARILYN T. THOMS 13341 Ethelbee Way, North Tustin, CA 92705 (714) 679-9999

Marilynthoms1@gmail.com

#### PROFESSIONAL SUMMARY

Talented, results-producing Project Manager with a proven record of accomplishment in planning, funding and constructing a variety of public work projects. Solid leadership skills with the ability to lead top-performing teams while completing projects on schedule and within budget.

#### PROFESSIONAL EXPERIENCE

Principal, Solutions Project Management, North Tustin, CA

March 2018 – Present

Collaborate with engineering and construction teams to plan, develop, finance and implement infrastructure, water resource and environmental projects. Managed a septic to sewer conversion project for a sewer agency, prepared and were awarded grants for water agencies, and prepared preliminary documents for a stormwater capture and reuse project. Currently working on preparing a Local Hazard Mitigation Plan and compliance documents for the America's Water Infrastructure Act of 2018.

Public Works Division Manager, County of Orange, CA

July 2003 – March 2018

As Manager of the Watershed Management Division for the Orange County Environmental Resources Service Area, was responsible for selection, training, supervision and leading a multi-disciplinary staff of 14 professional Engineers, Scientists and Administrative staff comprising the Environmental Engineering, Watershed Management, Mitigation and Administrative units.

The Environmental Engineering Unit was responsible for planning, design and construction oversight for water quality projects such as surface water quality treatment plants, stormwater capture and reuse projects, sustainable landscaping for County of Orange buildings, and channel trash capture systems.

The Watershed Management Unit was responsible for coastal and watershed Corps of Engineers projects including: planning, funding, coordination and construction oversight of the \$50M Upper Newport Bay Ecosystem Restoration Project and feasibility studies for the San Juan Creek, Aliso Creek, Westminster Channel and Coyote Creek. Unit also served as the

Integrated Regional Watershed Management lead for California Proposition 50, 84 and 1, responsible for securing nearly \$100M in grant funding.

The Compensatory Mitigation Program was responsible for managing the OC Public Works Capital Improvement Program assets to ensure permit compliance as well as anticipated future needs. The County is currently responsible for the performance and maintenance of over 50 sites throughout Orange County and works closely with all regulatory/permitting agencies on compliance and annual report submittals.

The Administrative Unit was responsible for managing the Environmental Resources Service Area annual budget as well as building maintenance and personnel matters.

Previous Experience for Architect, Engineering and Construction firms

1980 - 2003

- Project Management for land entitlement, grading, residential and commercial developments throughout Orange County
- Experienced working with Federal, State, local and Non-governmental organizations
- Business Development
- Strategic and Succession Planning
- Acquisition and Mergers
- Governmental Affairs
- Grant Identification and Preparation
- Proposal Development
- Stakeholder Outreach
- Project Permitting
- Training
- Mentorship

#### **EDUCATION AND ACTIVITIES**

Bachelor of Science, California Polytechnic State University, San Luis Obispo, California Business Law (30 units), Western State College of Law, Fullerton, California Certificate in Project Management, American Strategic Management Institute State of California Adult Education and Training Teaching Certificate Graduate, Orange County Leadership Academy

Orange County Emergency Operations Center Public Information Officer (retired)

Board Member, Orange County Historical Commission (appointed by OC 3<sup>rd</sup> District Supervisors Campbell, Spitzer and Wagner)

President, Orange County Academic Decathlon Foundation, OC Department of Education Former Chair and Current Member, Assistance League of Tustin

#### Curriculum Vitae

#### Danny H. Kim, Ph.D.

Associate Professor, Department of Public Health California State University, Fullerton P.O. Box 6870 Fullerton, CA 92834-6870 (657) 278-5649 voice (657) 278-5317 fax dannykim@fullerton.edu

#### **EDUCATION**

**Post-Doctoral Fellow**, University of California, Los Angeles (UCLA), CA, Environmental Health Sciences, 2006

**Ph.D.**, UCLA, CA, Environmental Health Sciences, 2005 **B.S.**, University of California, Berkeley, CA, Chemistry, 1998

#### ACADEMIC EXPERIENCE

#### **Teaching Experience**

Associate Professor, Public Health, CSUF, Fullerton, California (2014 – current)

Assistant Professor, Public Health, CSUF, Fullerton, California (2008 – 2014)

Visiting Research Assistant, UCLA (2009)

Part-time Instructor, Chemistry, Azusa Pacific University, Azusa, California (2007 – 2008)

Part-time Instructor, Chemistry, Cerritos College, Cerritos, California (2007 – 2008)

Part-time Instructor, Chemistry, Coastline Community College, Garden Grove, California (2007 – 2008)

Part-time Instructor, Environmental Health Sciences, UCLA, Los Angeles, California (2006y – 2007)

#### **Courses Taught**

### California State University, Fullerton (CSUF). Department name changed from Health Science (HESC) to Public Health (PUBH) in 2019.

PUBH 115: Introduction to Environmental Health and Safety

PUBH 415: Environmental Health

PUBH 416: Global Issues in Environmental Health

PUBH 421: Infectious Disease Epidemiology

PUBH 462: Environmental Toxicology and Health

PUBH 515: Advanced Environmental Health

ENST 595T: Special Topics (Environmental Toxicology)

ENST 595T: Special Topics (Atmospheric Pollution)

#### University of California, Los Angeles (UCLA)

EHS 100: Environmental Health Sciences

#### Azusa Pacific University (APU), CA

CHEM 201: Introduction to Chemistry

CHEM 151: General Chemistry, Lab

CHEM 152: General Chemistry II, Lab

#### Cerritos College, CA

CHEM 110: Elementary Chemistry, Lab

#### Coastline Community College, CA

CHEM 180: General Chemistry A

CHEM 185L: General Chemistry B, Lab

#### Awards

2018: Faculty Advisor of Distinction, California State University, Fullerton (CSUF)

2015: Outstanding Teaching Award at the College of Health and Human Development, CSIF

#### Course Development at CSUF

2019: PUBH 467 – Food Safety

2018: PUBH 466 - Hazardous Materials, Regulations, and Emergency Response

2015: PUBH 115 - Introduction to Environmental Health and Safety

2010: PUBH 416 - Global Issues in Environmental Health

2010: PUBH 462 – Environmental Toxicology and Health

2010: PUBH 463 – Atmospheric Pollution and Health

#### **SCHOLARLY ACTIVITY**

#### Grants, Fellowships, Contracts, Research

2017-2018 - Faculty Enhancement and Instructional Development grant, CSUF, \$4000

2012-2013 - Faculty Enhancement and Instructional Development grant, CSUF, \$4000

2010-2011 - Jr./Sn. Faculty Research Grant, CSUF, \$5000

2004-2005 – Dissertation Year Fellowship, UCLA, \$17,500

2000-2004 – UC Toxic Substance Research and Teaching Program student fellowship, UCLA, \$100,000

#### **Journal Publications**

- \*Meh, C., Gill, J., & **Kim, D. H. (2013).** A comparison of skin cancer knowledge, attitude, and protective behavior in African American students in east and west coasts. *Californian Journal of Health Promotion*, 11 (3), 25-35.
- \*Haines, M. S., & **Kim**, **D. H.** (2013). A study of the effects of physical activity on asthmatic symptoms and obesity risk in elementary school–aged children. *American Journal of Health Education*, 44 (3), 156-161.
- **Kim, D. H.,** Faull, K. F., & Eckhert, C. D. (2011). Utilization of negative ion ESI-MS and tandem mass spectrometry to detect and confirm the NADH-boric acid complex. *Journal of Chemical Education*, 88 (1), 106-110.
- Barranco, W. T., **Kim, D. H.**, Stella, S. L. jr., & Eckhert, C. D. (2009). Boric acid inhibits stored Ca(2+) release in DU-145 prostate cancer cells. *Cell Biology and Toxicology*, 25(4), 309-320.
- Kim, D. H., Que Hee, S., Norris, A. J., Faull, K. F., & Eckhert, C. D. (2006). Boric acid inhibits adenosine diphosphate-ribosyl cyclase non-competitively. *Journal of Chromatography A*, 1115(1-2), 246-252.
- Kim, D. H., Faull, K. F., Norris, A. J., & Eckhert, C. D. (2004). Borate-nucleotide complex formation depends on charge and phosphorylation state. *Journal of Mass Spectrometry*, 39(7), 743-751.
- **Kim, D. H.**, Marbois, B. N., Faull, K. F., & Eckhert, C. D. (2003). Esterification of borate with NAD<sup>+</sup> and NADH as studied by electrospray ionization mass spectrometry and <sup>11</sup>B NMR spectroscopy. *Journal of Mass Spectrometry*, 38(6), 632-640.

#### Books

Kim, D. H., & McMahan, S. (2012). DDT and Environmental Health. In R. H. Friis (Ed.) *The Praeger Handbook of Environmental Health* (Volume 2, Chapter 17, pp. 427-451). Santa Barbara, CA: Praeger Eckhert, C. D., Barranco, W. T., & Kim, D. H. (2007). Boron and prostate cancer a model for understanding boron biology. In Xu, F. et al. (Eds.), *Advances in plant and animal boron nutrition : proceedings of the 3rd International Symposium on all Aspects of Plant and Animal Boron Nutrition* (pp. 297-297). New York, NY: Springer.

#### **Conference Presentations**

**Kim, D. H.**, & \*Hakimi, J. A. (2018). *The effect of simple house cleaning on management of indoor mold spores*. Anaheim, CA: National Environmental Health Association 2018 Conference (Oral presentation).

- Kim, D. H., & \*Choe, J. Y. (2017). Sun protection behaviors of Southern California athletically active students. Las Vegas, NV: International Organization of Social Sciences and Behavioral Research (IOSSBR)/
- \*Bui, P., & **Kim, D. H.** (2012). Knowledge, Risk Perception, and Barriers Related To Tuberculosis Screening and Treatment among Foreign Born Vietnamese in Orange County. San Francisco, CA: American Public Health Association's (APHA) 140th Annual Meeting and Exposition.
- \*Meh, C., Gill, J. & Kim, D. H. (2012). *Melanin: A Friend or Foe? A comparison of skin cancer knowledge, attitude, and protective behavior in African American students in East and West Coasts.* National Harbor, Maryland: 2012 Science of Eliminating Health Disparities Summit (NIH/NIMHD).
- \*Haines, M. S., & **Kim, D. H.** (2011). Promoting physical activity for children with moderate persistent asthma can reduce asthmatic symtoms and obesity. Los Angeles, CA: Southern California Public Health Association Winter 2011 Conference.
- \*Haines, M. S., & **Kim, D. H.** (2011). Promoting physical activity for children with moderate persistent asthma can reduce asthmatic symtoms and obesity. Las Vegas, NV: International Organization of Social Sciences and Behavioral Research (IOSSBR) Winter 2011 Conference.
- \*Meh, C., Gill, J., & **Kim, D. H.** (2011). *Melanin: A friend or foe? A comparison of skin cancer knowledge attitude, and protective behavior in African American students in east and west coast.* Las Vegas, NV: International Organization of Social Sciences and Behavioral Research (IOSSBR) Winter 2011 Conference.
- **Kim, D. H.,** Eckhert, C. D., Faull, K. F. (2010). *Investigating the Complex Formation between Boron and Riboflavin using Electrospray Ionization Mass Spectrometry and Fluorescence Spectroscopy*. Experimental Biology Conference. FASEB J. 24:537.13.
- \*Hadorn, J., & **Kim, D. H.** (2010). *College Students Misconceptions Between Knowledge and the Appropriate Use of Antibiotic*. Orange, California: Southern California Public Health Association (SCPHA) 2010 Annual Conference.
- \*Li, J.-T., Fu, L.-M., & Kim, D. H. (2009). Acupuncture for Children's Disorders: A Review of Randomized Control Trials. Santa Barbara, California: Extravaganza 2009 Discover and Experience the Benefits of Complementary and Alternative Health.
- **Kim, D. H.**, Faull, K. F., & Eckhert, C. D. (2004). *Association constants of cyclic ADP-ribose (cADPR) and nicotinic acid adenine dinucleotide phosphate (NAADP) with borate were determined by electrospray ionization mass spectrometry (ESI-MS)*. Washington D.C: Experimental Biology Conference, FASEB J. 18, 351.4, Boron and Chromium Minisymposium, oral presentation by Danny Kim.
- **Kim, D. H.**, Faull, K. F., & Eckhert, C. D. (2004). Association constants of cyclic ADP-ribose (cADPR) and nicotinic acid adenine dinucleotide phosphate (NAADP) with borate were determined by electrospray ionization mass spectrometry (ESI-MS). San Diego, CA: TSR&TP 17th Annual Research Symposium: Abstract number 56.
- Kim, D. H., Faull, K. F., & Eckhert, C. D. (2003). *Boron adduction to nucleotides is determined by charge and phosphorylation state*. San Diego, CA: Experimental Biology conference, FASEB, J. 17, 434.7, Boron and Chromium Minisymposium, oral presentation by Danny Kim.
- **Kim, D. H.**, Faull, K. F., & Eckhert, C. D. (2003). *Characterization of borate binding to nucleotides using electrospray ionization mass spectrometry (ESI-MS) and 11B NMR*. Santa Fe, NM: UC TSR&TP Toxic Mechanisms Workshop on Genomics/Proteomics/Metabolomics and Annual Meeting, oral presentation by Danny Kim.
- **Kim, D. H.**, Faull, K. F., & Eckhert, C. D. (2003). *Investigation of relative bindings of boron adduction to nicotinamide nucleotides using electrospray ionization mass spectrometry (ESI-MS) coupled with selective ion monitoring (SIM) and multiple reaction monitoring (MRM). Oakland, CA: TSR&TP 16th Annual Research Symposium, Abstract number 60.*
- **Kim, D. H.**, Faull, K. F., & Eckhert, C. D. (2002). *Boron addition to NAD+/NADH as studied by mass spectrometry and 11B NMR*. Long Beach, CA: TSR&TP 15th Annual Research Symposium, Abstract number 100.
- **Kim, D. H.,** Marboise, B. N., Faull, K. F., & Eckhert, C. D. (2002). *Boron addition to NAD+/NADH as studied by mass spectrometry and 11B NMR*. Berkeley, CA: 11th International Symposium on Trace Elements in Man and Animals.
- **Kim, D. H.,** Eckhert, C. D., & Faull, K. F. (2001). *Investigation of boron addition to NAD+/NADH using mass spectrometry*. Lake Tahoe, CA: TSR&TP 14th Annual Research Symposium, Abstract number 85.

- **Kim, D. H.,** Faull, K. F., Marbois, B. N., & Eckhert, C. D. (2001). *Investigation of boron addition to nucleotides using electrospray ionization-mass spectrometry (ESI-MS)*. Santa Fe, NM: UC TSR&TP Toxic Mechanisms Workshop on Genomics/Proteomics/Metabolomics and Annual Meeting, oral presentation by Danny Kim.
- Kim, D. H., Marbois, B. N., Faull, K. F., & Eckhert, C. D. (2001). *Detection of NAD+/NADH boration by mass spectrometry* Orlando, FL: Experimental Biology Conference, FASEB, 15(5), 745.3.
- **Kim, D. H.,** Marbois, B. N., Faull, K. F., & Eckhert, C. D. (2001). *Investigation of boron addition to nucleotides using electrospray ionization-mass spectrometry (ESI-MS)*. San Francisco, CA: 40th Annual Meeting of Society of Toxicology, Journal of the Society of Toxicology Supplement, 60(1), 1715.

#### **SERVICE ACTIVITIES**

#### **Professional Service**

#### Member

- 2017 Present: National Environmental Health Association (NEHA); Member
- 2014 Present: Society of Toxicology (SOT); Associate Member
- 2001 Present: Delta Omega, Iota chapter-honorary society in public health; Member
- 2009 2014: American Chemical Society (ACS); Member
- 2011 2012: American Public Health Association (APHA); Member
- 2011 2011: International Organization of Social Sciences and Behavioral Research; Member
- 2009 2010: Southern California Public Health Association; Member

#### **Publication Reviewer/Editor**

- 2009 Present: The Californian Journal of Health Promotion (Section editor)
- 2017 2019: The Journal of Public Health Issues and Practices (Editorial board member).
- 2009 2011: California Journal of Environmental Health (Reviewer)

#### **Professional Committees/Boards**

- 2009 Present: Advisory Board Member of Health Promotion Research Institute (HPRI), CSUF
- 2010 Present: Faculty Member of Center for Cancer Disparities Research, CSUF
- 2008 2009: University Representative to California Conference of Directors of Environmental Health (CCDEH), Region IV

#### **Other Professional Activities**

- 2015 Present: Faculty Advisor of American Society Safety Professionals (ASSP) student section
- 2018: Keynote speaker/presenter at California Environmental Health Association (CEHA), Citrus Chapter
- 2014: Presenter at UEE international Presentation for Hubei Public Health Program, CSUF
- 2011: Presenter at UEE International Presentation for Jingzhou Municipal Health Department, CSUF
- 2010 2011: Organizer of H1N1 vaccine clinic, CSUF
- 2009: Media interview "Swine Flu What is the Danger?" by Valerie Orleans for INSIDE, CSUF

#### **University Service**

#### **University Committees**

- 2012 Present: Member of the University Alcohol & Drugs Committee
- 2008 Present: Council Member of Environmental Studies Program
- 2019 Present: Member of the University General Education Committee
- 2016: Member of the University IT Committee
- 2016: Search committee member for the University librarian
- 2013 2014: Search committee member for the University librarian
- 2012 2013: Chair of the University Library Committee
- 2011 2012: Member of the University Library Committee
- 2011 2012: Advisory Board Member for the University Extended Education Healthcare Information Technology

- 2009 2010: Member of the University General Education Committee
- 2009: Member of the ad hoc University Pandemic H1N1 Group Committee

#### College Committees

- 2012 2015: Member of the HHD College Information Technology Committee
- 2011: Intramural Awards Reviewer for HHD
- 2008 2011: Member of the HHD College Information Technology Committee

#### **Department Committees**

- 2008 Present: **Track/Concentration Coordinator** of the Environmental and Occupational Health and Safety (EOHS) in the Department of Health Science/Public Health
- 2016 Present: Member of the Undergraduate Committee
- 2011 2019: Member of the MPH Program Committee
- 2017: Chair of the Faculty Search Committee (Requisition ID: 9712BR)
- 2011 2017: Member of the MPH Comprehensive Exam Committee
- 2016: Chair of Department Personnel Committee
- 2016: Chair of the Faculty Search Committee (Requisition ID: 8860BR)
- 2014 2015, 2017: Member of the Department Personnel Committee
- 2013 to 2015: Chair of the MPH Admission Committee
- 2012 to 2014: Member of the Space and Equipment Committee
- 2012: Member of the Full-Time Lecturer Search Committee
- 2011 2013: Member of the MPH Colloquia/Workshop Committee
- 2011 2013: Member of the MPH Admissions Committee
- 2011 2012: Member of the MPH Awards and Scholarship Committee
- 2011: Member of the Undergraduate Assessment Committee
- 2010: Chair of the Faculty Search Committee (Requisition ID: 23603G-11-017)
- 2009: Member of the Faculty Search Committee

#### **Community Service**

#### **Community Presentations**

- 2014: "Facts & Myths about OC's Drinking Water," Orange County Nutrition & Physical Activity Collaborative (NuPAC), May 15th, 2014
- 2010: "Rethink your Drink," Orange County Nutrition & Physical Activity Collaborative (NuPAC), December 3<sup>rd</sup>, 2010.



# Recommended Environmental Cleanup Allocation Committee 2020 Roster

#### **Chairman Garry Brown**

Executive Director & Chief Executive Officer Orange County Coastkeeper

#### Marc Brown

Environmental Scientist Regional Planning Programs Section 401 Coordinator Santa Ana Regional Water Quality Control Board

#### Dan Kim\*

Associate Professor California State University, Fullerton Department of Public Health

#### Jill Ingram

City Manager City of Seal Beach

#### **Keith Linker**

Principal Civil Engineer, Dept. of Public Works City of Anaheim

#### Hector B. Salas

Associate Environmental Planner, NPDES/ Storm Water Unit Caltrans

#### **Grant Sharp**

Manager of the Environmental Monitoring Division of OC Public Works County of Orange

#### Mark Tettemer

Recycled Water Development Manager Irvine Ranch Water District

#### **Jeff Thompson**

Vice President Development Engineering Rancho Mission Viejo, LLC

#### **Marilyn Thoms\***

Water Resource Consultant East Orange County Water District

#### **Alex Waite**

Senior Management Analyst, Public Works and Engineering City of Tustin

#### Helen Yu

Water Resources Control Engineer Storm Water Management Unit, California Regional Water Quality Control Board, San Diego Region

#### **Dennis Wilberg**

City Manager
City of Mission Viejo

#### Marwan N. Youssef

Public Works Director/City Engineer City of Westminster

<sup>\*</sup>Recommended New Members





#### June 8, 2020

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

From: Laurena Weinert, Clerk of the Board

**Subject:** Environmental Mitigation Program Endowment Fund Investment

Report for March 31, 2020

#### Finance and Administration Committee Meeting of May 27, 2020

Present: Directors Do, Hennessey, Hernandez, Jones, Muller, R. Murphy,

and Steel

Absent: None

#### **Committee Vote**

Following the roll call vote, this item was declared passed 7-0 by the Members present.

#### **Committee Recommendation**

Receive and file as information item



#### May 27, 2020

**To:** Finance and Administration Committee

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

Subject: Environmental Mitigation Program Endowment Fund Investment

Report for March 31, 2020

#### Overview

The Orange County Transportation Authority has developed a Natural Community Conservation Plan/Habitat Conservation Plan, acquired conservation properties, and funded habitat restoration projects to mitigate the impacts of Measure M2 freeway programs. The California Community Foundation manages the non-wasting endowment required to fund the long-term management of the conservation properties. Each quarter, the California Community Foundation publishes a comprehensive report detailing the composition of the pool and its performance.

#### Recommendation

Receive and file as an information item.

#### Background

On September 26, 2016, the Board of Directors approved the selection of the California Community Foundation (CCF) as an endowment fund manager for the Measure M2 Freeway Environmental Mitigation Program. Annually, approximately \$2.9 million will be deposited in the endowment. As of March 31, 2020, the Orange County Transportation Authority has made four deposits to the CCF Endowment Pool, each in the amount of \$2,877,000. These annual deposits are expected to continue for ten to 12 years, or until the fund totals approximately \$46.2 million.

#### **Discussion**

Per Attachment A, as of March 31, 2020, total pool assets in the CCF Endowment Pool were \$1.06 billion. Total foundation assets were \$1.74 billion. Performance for the CCF Endowment Pool was -9.1 percent for the month, 1.2 percent above the benchmark; -14 percent for the quarter, 1.2 percent above the benchmark. The one-year return was -7.2 percent, 0.2 percent above the benchmark.

Per Attachment B, the balance as of March 31, 2020, was \$11,137,651. The balance is below the June 30, 2020, target of \$12,440,408, due to capital markets experiencing sharp declines due to the novel coronavirus (COVID-19), and its adverse effects on economic activity. As of March 31, 2020, the CCF Endowment Pool is down -14 percent for the first quarter of this year. In April, markets continued to experience various price swings with United States stocks ending the month positive, partially reversing any losses from March. Based on preliminary data, the CCF Endowment Pool is estimated to be up between 6 percent to 7 percent in April. The CCFs Endowment Pool portfolio is well diversified, with various asset classes that can handle changes in market volatility. Staff will continue to monitor the CCF Endowment Pool investment information and will bring the results for the period ending June 30, 2020, to the Finance and Administration Committee in August.

#### Summary

The Orange County Transportation Authority is submitting a copy of the California Community Foundation Investment Report to the Board of Directors. The report is for the quarter ending March 31, 2020.

#### **Attachments**

- A. California Community Foundation Fund Statement 1/1/2020 3/31/2020
- B. California Community Foundation Endowment Pool Investments March 31, 2020

Prepared by:

Robert Davis

Department Manager, Treasury and Public Finance

714-560-5675

Approved by:

Andrew Oftelie

Chief Financial Officer

Finance and Administration

tapul

714-560-5649

#### **ATTACHMENT A**



Fund Name OCTA - Measure M2 Environmental

Mitigation Program Fund

Fund Start Date 2/28/2017

Investment Pool(s) Endowment Pool

#### **FUND STATEMENT**

#### OCTA - Measure M2 Environmental Mitigation Program Fund (V398)

1/1/2020 - 3/31/2020

#### **Fund Summary**

Report Period 1/1/2020 - 3/31/2020	Calendar YTD 1/1/2020 - 3/31/2020
\$13,034,838.42	\$13,034,838.42
0.00	0.00
(1,862,739.04)	(1,862,739.04)
(34,448.33)	(34,448.33)
(1,897,187.37)	(1,897,187.37)
\$11,137,651.05	\$11,137,651.05
	1/1/2020 - 3/31/2020 \$13,034,838.42 0.00 (1,862,739.04) (34,448.33) (1,897,187.37)

#### Investment Pool Performance as of 3/31/2020

	This Qtr.	1-Year	3-Years	5-Years	10-Years
Endowment Pool	-14.0%	-7.2%	1.9%	2.5%	4.8%
Social Impact Endowment Pool	-12.5%	-1.3%	4.2%	4.1%	6.2%
Conservative Balanced Pool	-6.2%	0.0%	3.2%	3.3%	n/a
<b>Short Duration Bond Pool</b>	2.2%	5.4%	3.0%	2.2%	n/a
Capital Preservation Pool	0.2%	1.9%	1.7%	1.1%	0.7%

**Endowment Pool** - invested for long-term growth and appreciation while providing a relatively predictable stream of distributions that keeps pace with inflation over time. The target asset allocation is 50% equities, 14% hedge funds, 22% fixed income and 14% real assets. Investment management fees are 66 basis points.

Social Impact Endowment Pool - invested in a diversified pool aiming for capital growth for long-term grantmaking; underlying instruments undergo rigorous environmental and social analysis, with an asset allocation of approximately 60%-75% equities and 25%-40% fixed income. Investment management fees are 68 basis points.

Conservative Balanced Pool - designed to aim for moderate growth and to offer diversified exposure to the U.S. equity market and to investment grade fixed income with maturities from one to five years and an asset allocation of 70% fixed income and 30% equities investments. Investment management fees are 9 basis points.

Short Duration Bond Pool - invested to offer diversified exposure to investment grade fixed income with maturities from one to five years for the purposes of grants over a near-term one to four year horizon. Investment management fees are 5 basis points.

Capital Preservation Pool - designed to preserve principal and provide liquidity for present grantmaking needs through investment in short-term fixed income and cash instruments. Investment management fees are 10 basis points.





### Endowment Pool March 2020

The Endowment Pool returned -9.1% for the month of March 2020, 120 basis points ahead of its benchmark. For the trailing year, the pool returned -7.2%, 20 basis points ahead of its benchmark.

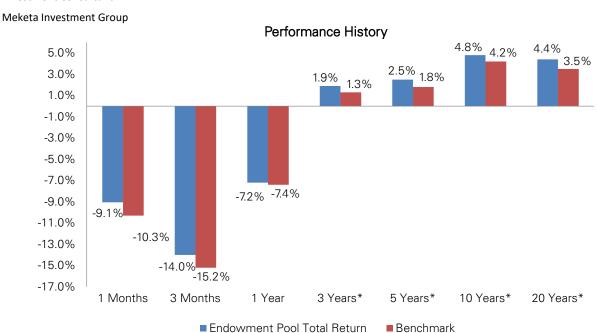
#### **Total Pool Assets**

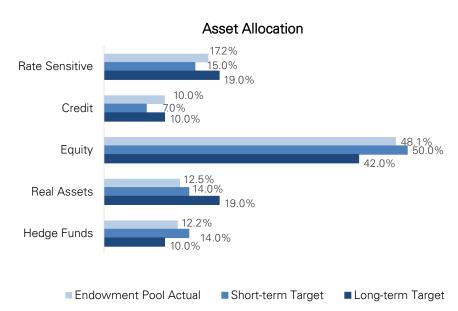
\$1.06 billion (Endowment Pool), \$1.74 billion (total foundation assets) as of March 31, 2020.

#### **Pool Objective**

Preserve the real (i.e., inflation-adjusted) purchasing power of the investment pool net of annual distributions for grants and expenses. An additional objective is to provide a relatively predictable, stable stream of distributions for grants and expenses that keep pace with inflation over time.

#### **Investment Consultant**





<sup>\*</sup>Represents annualized returns.

<sup>1)</sup> Investment expense ratio approximates 0.65%, excluding fund manager incentive fees.

<sup>2)</sup> Investment performance is presented net of investment expenses, inlcuding fund manager incentive fees.

<sup>3)</sup> Total Fund Benchmark is a combination of: 48% MSCI ACWI - 2% Cambridge PE Index 1-Qtr Lag / 14% HFR FOF / 5% ODCE - 5% S&P Global Large Mid NR - 4% S&P Global Infrastructure / 9% Barc Agg. - 3% Barc 1-5 Yr. Gov/Cr - 3% Barc 0-5 Yr. US Treasury TIPs / 2% Barc High Yield - 2% S&P/LSTA Leveraged Loan - 3% JP Morgan EMBI Global Diversified.

<sup>4)</sup> Short-term target allocation is over 1-4 years, long-term target allocation is over 4-9 years.





#### June 8, 2020

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

From: Laurena Weinert, Clerk of the Board

**Subject:** Measure M2 Eligibility Review Recommendations for Fiscal Year 2018-19

**Expenditure Reports** 

Regional Planning and Highways Committee Meeting of June 1, 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 Recommendations**

- A. Find all 35 Orange County local agencies eligible to receive net Measure M2 revenues.
- B. Direct staff to solicit from the City of Anaheim a restated fiscal year 2018-19 expenditure report to address miscategorized maintenance of effort expenditures identified in M2 Agreed Procedures Reports, Fiscal Year Ended 2019.



#### June 1, 2020

**To:** Regional Planning and Highways Committee

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

Subject: Measure M2 Eligibility Review Recommendations for

Fiscal Year 2018-19 Expenditure Reports

#### Overview

The Measure M2 Ordinance requires that all Orange County local agencies annually satisfy eligibility requirements in order to receive net Measure M2 revenues. As part of this requirement, fiscal year 2018-19 expenditure reports and resolutions were submitted by all local agencies. In May 2020, the Orange County Transportation Authority Taxpayer Oversight Committee affirmed that all expenditure reports were received and reviewed consistent with Measure M2 requirements. Board of Directors' approval is requested to find Orange County local agencies eligible to continue to receive net Measure M2 revenues.

#### Recommendations

- A. Find all 35 Orange County local agencies eligible to receive net Measure M2 revenues.
- B. Direct staff to solicit from the City of Anaheim a restated fiscal year 2018-19 expenditure report to address miscategorized maintenance of effort expenditures identified in M2 Agreed Procedures Reports, Fiscal Year Ended 2019.

#### **Background**

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

Per the M2 Ordinance, the Taxpayer Oversight Committee (TOC) is responsible for the review of five of the 13 eligibility requirements<sup>1</sup>. These include the Congestion Management Program (CMP), Mitigation Fee Programs (MFP), Local Signal Synchronization Plans (LSSP), Pavement Management Plans (PMP), and Expenditure Reports (ER). The CMP, MFPs, LSSPs, and PMPs are due on June 30, 2020, and are typically approved by the OCTA Board of Directors (Board) in December. The ERs are due on December 31, 2020, six months after the close of the fiscal year (FY) and are typically approved by the Board in late spring. The ERs include all M2 and related transportation expenditures including maintenance of effort (MOE) spending levels. MOE is the amount the local jurisdiction's spending of discretionary funds (e.g., general fund revenues) for streets and roads purposes. The intent is to ensure that local jurisdictions do not replace discretionary transportation spending with M2 revenues.

In December 2019, the Board approved 33 local agencies as eligible to continue receiving M2 revenues. However, due to a previous finding of ineligibility, the Board only received and filed the initial eligibility packages for the cities of Santa Ana and Stanton. In April 2020, the Board reinstated the cities' eligibility to receive net M2 revenues and thereby placed these cities back on the same eligibility review cycle as all other local agencies.

Per the M2 Ordinance, the TOC is responsible for the receipt and review of ERs. To assist with this responsibility, the TOC has designated an Annual Eligibility Review (AER) Subcommittee to initially vet required M2 eligibility submittals prior to review by the TOC. Both the AER Subcommittee and TOC have now completed their respective reviews of these materials and their findings are discussed below.

#### **Discussion**

Due to the novel coronavirus (COVID-19) pandemic, the April 7, 2020 AER Subcommittee meeting was cancelled. However, in order to keep these final components of this FY's eligibility process moving, AER Subcommittee members were given eligibility review materials including FY 2018-19 ERs, resolutions, and review checklists to complete, sign, and return to OCTA. Upon receipt of these materials, AER Subcommittee members reviewed and confirmed that all 35 Orange County local agencies had submitted appropriate documentation to satisfy M2 eligibility ER requirements and made one audit recommendation.

On May 12, 2020, the TOC convened remotely and affirmed, consistent with the AER Subcommittee's conclusions, that they had received and reviewed the FY 2018-19 M2 ERs for all 35 local agencies consistent with M2 requirements. As such, the TOC's findings (Attachment B) are now being advanced to the Board for a final finding that all 35 Orange County local agencies be deemed eligible to continue to receive net M2 revenues.

<sup>1</sup> Note: The other eight M2 eligibility components required are reviewed by OCTA.

Additionally, staff is recommending that OCTA solicit from the City of Anaheim (City) a restated FY 2018-19 ER. During a recent audit of local agencies' MOE expenditures, auditors found that the City had included ineligible MOE expenditures in its FY 2018-19 ER. When these expenditures were removed, the City fell below its minimum MOE requirement. When discussing this finding with the City, it became apparent that the City had expended sufficient MOE expenditures but had recorded the expenses against their M2 Local Fair Share (LFS) fund. As such, the City asked to restate their FY 2018-19 ER to replace the ineligible MOE expenditures with eligible MOE expenditures that were included as LFS expenditures. In restating these expenditures, the City would also transfer an equal amount of the ineligible MOE expenditures into the appropriate LFS categories. Given that this proposal places expenditures into correct categories, staff is supportive of the City's request and is requesting Board approval to proceed with this approach.

If the Board approves this approach and the recommendations described in the previous paragraphs, this will conclude the FY 2019-20 M2 eligibility process and will result in all Orange County local agencies being deemed fully eligible to continue to receive net M2 revenues.

#### Summary

In May 2020, the Orange County Transportation Authority Taxpayers Oversight Committee convened remotely and affirmed that they had received and reviewed the required Measure M2 expenditure reports for all 35 Orange County local agencies. The Board of Directors is now asked to find all 35 local agencies eligible to continue to receive net Measure M2 revenues. Staff is also supportive of the City of Anaheim's request to restate its fiscal year 2018-19 expenditure report to remedy an audit finding and correct a miscategorized expenditure.

### **Attachments**

- A. Measure M2 Eligibility Requirements and Submittal Schedule Summary, Fiscal Year 2019-20
- B. FY 2019-20 Measure M2 Eligibility Review of FY 2018-19 Expenditure Reports Summary

Prepared by:

Kelsey Imler

Transportation Funding Analyst,

Associate

(714) 560-5397

Approved by:

Kia Mortazavi

Executive Director, Planning

(714) 560-5741

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

Compliance Category	Frequency (submitted)	Status
Capital Improvement Program	Annual (June 30, 2019)	✓
Circulation Element/Master Plan of Arterial Highways Consistency	Biennial (June 30, 2019)	✓
Congestion Management Program	Biennial (June 30, 2019)	✓
Expenditure Report	Annual (December 31, 2019)	Submitted, pending Board approval
Local Signal Synchronization Plan	Every Three Years (i.e., June 30, 2020)	N/A – next cycle
Maintenance of Effort	Annual (June 30, 2019)	✓
Mitigation Fee Program (MFP)	Biennial (June 30, 2019) <sup>1</sup>	✓
No Supplanting of Developer Fees	Annual (June 30, 2019)	✓
Pavement Management Plan (PMP)	Biennial (June 30, 2019) <sup>2</sup>	✓
Timely Submittal of Project Final Reports	Within Six Months of Project Completion	Ongoing
Timely Use of Net Revenues	Annual (June 30, 2019)	✓
Traffic Forum Participation	Annual (June 30, 2019)	✓
Transit and Non-Motorized Transportation Land Use Planning Strategies	Annual (June 30, 2019)	✓

Board – Board of Directors N/A – Not applicable

<sup>&</sup>lt;sup>1</sup> A jurisdiction must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their MFP and/or nexus study.

<sup>&</sup>lt;sup>2</sup> 14 agencies update their PMPs on odd-numbered fiscal years, while 21 agencies update their PMPs on even-numbered fiscal years.

# FY 2019-20 Measure M2 Eligibility Review of FY 2018-19 Expenditure Reports Summary

Local Jurisdiction	Expenditure Report Received by Deadline	Resolution Received by Deadline	MOE Benchmark Met	Received and Reviewed
Aliso Viejo	Yes	Yes	Yes	Yes
Anaheim	Yes	Yes	Yes <sup>1</sup>	Yes
Brea	Yes	Yes	Yes	Yes
Buena Park	Yes	Yes	Yes	Yes
Costa Mesa	Yes	Yes	Yes	Yes
County of Orange <sup>2</sup>	Yes	Yes	N/A	Yes
Cypress	Yes	Yes	Yes	Yes
Dana Point	Yes	Yes	Yes	Yes
Fountain Valley	Yes	Yes	Yes	Yes
Fullerton	Yes	Yes	Yes	Yes
Garden Grove	Yes	Yes	Yes	Yes
Huntington Beach	Yes	Yes	Yes	Yes
Irvine	Yes	Yes	Yes	Yes
La Habra	Yes	Yes	Yes	Yes
La Palma	Yes	Yes	Yes	Yes
Laguna Beach	Yes	Yes	Yes	Yes
Laguna Hills	Yes	Yes	Yes	Yes
Laguna Niguel	Yes	Yes	Yes	Yes
Laguna Woods	Yes	Yes	Yes	Yes
Lake Forest	Yes	Yes	Yes	Yes
Los Alamitos	Yes	Yes	Yes	Yes
Mission Viejo	Yes	Yes	Yes	Yes
Newport Beach	Yes	Yes	Yes	Yes
Orange	Yes	Yes	Yes	Yes
Placentia	Yes	Yes	Yes	Yes
Rancho Santa Margarita	Yes	Yes	Yes	Yes
San Clemente	Yes	Yes	Yes	Yes
San Juan Capistrano	Yes	Yes	Yes	Yes
Santa Ana	Yes	Yes	Yes	Yes
Seal Beach	Yes	Yes	Yes	Yes
Stanton	Yes	Yes	Yes	Yes
Tustin	Yes	Yes	Yes	Yes
Villa Park	Yes	Yes	Yes	Yes
Westminster	Yes	Yes	Yes	Yes
Yorba Linda	Yes	Yes	Yes	Yes

<sup>1.</sup> Expenditure report indicated, as reviewed, that the City of Anaheim had sufficient expenditures for MOE. However, a recent audit found that there were eligible LFS items listed under MOE and MOE items listed under LFS. As part of this item, Board of Directors direction is requested to allow staff to solicit a restated expenditure report in order to address the audit finding and allow the City to correct these miscategorization of funds.

Acronyms

FY - Fiscal Year

LFS - Local Fair Share

MOE - Maintenance of Effort

N/A - Not Applicable

<sup>2.</sup> MOE was established in 1991 with the first Measure M Program using a five-year average of the level of funding local jurisdictions spent on streets and roads between 1985 and 1990. However, Orange County Public Works and their predecessor agencies received sufficient gas tax subventions and other transportation specific funding from state, federal, and other local sources, which were required to be used for transportation. They did not and do not use discretionary funds for transportation purposes. The County uses a number of fund sources for transportation including gas tax subvention or Highway User Tax Account, federal grants, assessment districts, developer impact fees, and other transportation specific fund sources.





## June 8, 2020

To: Members of the Board of Directors

Sw

From: Laurena Weinert, Clerk of the Board

Subject: Measure M2 Quarterly Progress Report for the Period of

January 2020 Through March 2020

## Executive Committee Meeting of June 1, 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**

Receive and file as an information item.



## June 1, 2020

**To:** Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Measure M2 Quarterly Progress Report for the Period of

January 2020 Through March 2020

#### Overview

Staff has prepared the Measure M2 quarterly progress report for the period of January 2020 through March 2020, for consideration by the Orange County Transportation Authority Board of Directors. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

#### Recommendation

Receive and file as an information item.

#### Background

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

OCTA is committed to fulfilling the promises made in M2. This means not only completing the projects described in the Plan but adhering to numerous specific requirements and high standards of quality called for in the measure, as identified in the ordinance. Ordinance No. 3 requires that quarterly status reports regarding the major projects detailed in the Plan be brought to the OCTA Board of Directors (Board). On September 25, 2017, the Board approved externally rebranding M2 to OC Go to promote OCTA's Measure M awareness and public perception, as well as to avoid confusion with the similarly named

Los Angeles County Metropolitan Transportation Authority's "Measure M." M2 progress is summarized in these quarterly progress reports, which are posted online for public review.

#### **Discussion**

This quarterly report reflects current activities and progress across all M2 programs for the period of January 1, 2020 through March 31, 2020 (Attachment A). The quarterly report is designed to be easy to navigate and public friendly. The report includes budget and schedule information provided from the Capital Action Plan, Local Fair Share and Senior Mobility Program payments made to cities during the quarter, as well as total distributions from M2 inception through March 2020.

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

## Future Outlook

At the Board's direction, OCTA contracts with two local economists to monitor and analyze key early warning indicators affecting the construction market. The information is incorporated in a cost pressure index model to identify potential cost risk factors on M2 project delivery. The results of the analysis were presented to the Board on October 28, 2019, and identified that OCTA will potentially experience a moderate cost environment of two to six percent inflation during 2020 through 2022. To reduce the potential risk of cost pressures, information from this analysis was incorporated into the M2 cashflow for the 2019 updated Next 10 Delivery Plan.

During the quarter, the consultant team completed an update of the cost pressure index model. The report was finalized prior to the novel coronavirus (COVID-19) being declared a pandemic by the World Health Organization on March 11, 2020. The update indicates reduced cost pressures from a range of two to six percent inflation to one to two percent inflation in 2021 and 2022.

There is a great deal of uncertainty regarding the extent of COVID-19 impacts on the construction market. Staff will continue to monitor impacts closely and update the Board as appropriate. A discussion of COVID-19 impacts to M2 can be found on page 7.

## Ordinance Safeguards

The PMO annually reviews and updates an M2 ordinance Compliance Matrix, which is created to ensure that OCTA tracks compliance with all requirements in Ordinance No. 3. During the quarter, the annual review for January 1, 2019 to December 31, 2019, was completed by the PMO in coordination with the responsible OCTA points of contact. The matrix was shared with the Taxpayers Oversight Committee (TOC) Audit Subcommittee and with the full TOC on May 12, 2020 as an information item.

Ordinance No. 3 includes a requirement for a performance assessment to be conducted at least once every three years to evaluate OCTA's efficiency and effectiveness in delivery of M2 as promised to the voters. The fourth of these performance assessments, covering the period of July 1, 2015 through June 30, 2019, was completed and presented to the Board on March 11, 2019. The final report on the status of action items from the eight recommendations for enhancements identified in the performance assessment was provided to the Regional Planning and Highways (RPH) Committee on January 6, 2020, and to the Board on January 13, 2020. There are no outstanding action items.

## Progress Update

The following provides an overview of M2 accomplishments to date by mode, as well as highlights of activities that occurred during the third quarter of fiscal year (FY) 2019-2020.

### Freeway Program

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

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

Interstate 5 (I-5), between Interstate 405 (I-405) and State Route 55 (SR-55) The final environmental document was approved on January 7, 2020,
and the final project report was approved on February 28, 2020.

This project has been split into two segments for delivery purposes and is being advanced through construction as approved in the updated 2019 Next 10 Delivery Plan. The request for proposals (RFP) for design of Segment 1 (I-405 to Yale Avenue) is anticipated to be released in late 2020 and the RFP for Segment 2 (Yale Avenue to SR-55) is anticipated to be released in mid-2020. (Project B)

- I-5/El Toro Road Interchange Project update was provided to the RPH Committee on March 2, 2020, and to the Board on March 9, 2020.
   OCTA 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. (Project D)
- SR-55 between I-5 and State Route 91 (SR-91) The environmental phase was completed on March 30, 2020. Based on funding availability, the design of this project is anticipated to begin in early 2022. (Project F)
- SR-91 project segment between Acacia Street and La Palma Avenue -RFP for design was approved for release by the Board on March 9, 2020. This is the westernmost of three segments of the SR-91 between State Route 57 and SR-55. It is anticipated that all three segments will be in the design phase by the end of 2020. (Project I)
- I-405 between State Route 73 (SR-73) and Interstate 605 (I-605) Construction on the project is proceeding and a full project update was
  provided to the RPH Committee on January 6, 2020, and to the Board on
  January 13, 2020. (Project K)

#### Streets and Roads

Since 2011, approximately \$814 million¹ has been allocated to local jurisdictions for transportation improvements through the streets and roads competitive and formula funding programs. Additionally, M2 provided \$144 million, a portion of the \$664 million total project cost, to grade separate seven street and rail crossings, leveraging the majority of the funds (\$520 million) from local, state, and federal sources.

<sup>&</sup>lt;sup>1</sup> Excludes suspended funds. On May 13, 2019, the Board determined the City of Santa Ana and City of Stanton ineligible to receive all net M2 revenues. An item was brought to the Board on April 13, 2020, sharing audit results finding the cities in compliance, and the Board determined the cities eligible to receive net M2 revenues again.

Regional Capacity Program (RCP) and Regional Traffic Signal Synchronization Program (RTSSP) 2020 call for projects (call) resulted in eight applications received for the 2020 RCP and seven applications for the 2020 RTSSP. During the quarter, staff reviewed the applications for eligibility, consistency, and adherence to guidelines and overall program objectives. Programming recommendations for 14 projects totaling \$35.5 million were presented to the RPH Committee on May 4, 2020, and to the Board on May 11, 2020. (Project O and Project P).

#### **Transit**

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

Since 2011, M2 has provided competitive multi-year funding commitments for bus and station van extension services connecting to Metrolink (\$483,133 to date), local community-based transit circulators and planning studies (\$32.6 million to date), bus stop improvements (\$1.9 million to date), and funding to support specific programs to meet the needs of seniors and persons with disabilities (\$77.6 million<sup>2</sup> to date). Key transit project activities taking place this quarter are highlighted below.

- OC Streetcar quarterly update was provided to the Transit Committee on March 12, 2020, and to the Board on March 23, 2020. The update included information on status of construction activities and vehicle delivery. (Project S)
- Community-Based Transit Circulator Program fourth call and updated program guidelines were approved by the Board on October 14, 2019, providing \$9 million in competitive funding. A total of 18 applications were received by the December 12, 2019 deadline. During the quarter, OCTA staff scored the applications consistent with revised program guidelines. Programming recommendations for six capital and operating reserves and three planning studies, totaling \$9.2 million, were presented to the Transit Committee on April 9, 2020, and to the Board on April 13, 2020. (Project V)

\_

<sup>&</sup>lt;sup>2</sup>Excludes suspended funds. On May 13, 2019, the Board determined the cities of Santa Ana and Stanton ineligible to receive all net M2 revenues. An item was brought to the Board on April 13, 2020, sharing audit results finding the cities in compliance, and the Board determined the cities eligible to receive net M2 revenues again.

## **Environmental Programs**

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

Since 2011, the ECP has allocated approximately \$49.9 million to local jurisdictions through a competitive process, which funded 170 projects for trash removal devices (Tier 1), and 19 projects for large scale water quality best management practices projects (Tier 2). It is estimated that nearly eight million gallons of trash are captured annually, which is the equivalent of filling 50 Olympic-size swimming pools since inception of the program.

Additionally, the Board previously authorized \$55 million for the EMP to acquire conservation lands, fund habitat restoration projects, and to develop the Conservation Plan. OCTA has acquired more than 1,300 acres and funded 12 restoration projects across Orange County to fulfill the necessary freeway program mitigation needs. The wildlife and habitat on the acquired lands are protected in perpetuity, and long-term management of the properties will be funded by an established endowment. It is estimated that it will take approximately 12 years to fully fund the endowment with annual deposits, or until the fund totals \$46.2 million. As of March 31, 2020, the balance of the endowment was \$11,137,651.

 ECP's tenth Tier 1 call was authorized by the Board on March 9, 2020, for approximately \$2.8 million. Applications were originally due on May 7, 2020; however, due to COVID-19 impacts and requests from local jurisdictions for additional time, the deadline was pushed to June 25, 2020.

M2 Eligibility - City of Santa Ana and City of Stanton

On April 13, 2020, the cities of Santa Ana and Stanton were found by the Board to be eligible again to receive M2 net revenues. All suspended payments have been disbursed. This concluded the action taken on May 13, 2019, when the Board found the cities ineligible (first time in the history of Measure M1 and M2) and suspended M2 funding allocations and disbursements until confirmation by audit of compliance and subsequent Board action. OCTA expedited the review efforts and on March 23, 2020, OCTA staff presented FY 2018-19 audit results for the cities of Santa Ana and Stanton, which verified that both cities met their

FY 2018-19 maintenance of effort (MOE) requirement including the additional MOE expenditures to make up for the shortfall identified in the FY 2017-18 audit.

## Challenges

## COVID-19 Pandemic

On February 27, 2020, OCTA activated its Emergency Operations Center and implemented its Emergency Operations Plan in response to potential impacts from COVID-19. On March 19, 2020, the Governor issued a stay-at-home order to protect the health and well-being of all Californians and slow the spread of COVID-19. Public transportation and infrastructure projects were designated by the state and federal governments as essential. OCTA has continued operations while following best practices and health guidance from local, state, and federal officials to help ensure the health of the public and OCTA employees. The PMO is proactively monitoring COVID-19 impacts to M2 to ensure projects and programs continue to be delivered as promised to voters. Pandemic implications on the individual M2 program areas and revenues are discussed further below.

# Freeways

Traffic volume reduction on freeways due to the stay-at-home order have allowed for increased productivity of construction work on essential projects. Construction crews are working under direction from OCTA and Caltrans to take advantage of more daytime lane closures and extended nighttime work windows. On the I-405 project between SR-73 and I-605, it is estimated that these extended closures have provided more than 5,000 additional work hours for contractor productivity. Staff is collecting information from other construction projects as available.

To date, no substantial COVID-19 risks 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.

Risks are beginning to surface as schedule-critical right-of-way (ROW) acquisition processes and utility relocation are impacted by COVID-19. ROW acquisition offers to owners, associated discussions, negotiations, and meetings are being impacted by business closures and availability of owners and attorneys. There are also additional COVID-19-related ROW impacts due to court closures, filing and service delays, potential temporary easement timeline expirations, land and business valuation challenges, and appraisal and site

inspection issues. Utility relocations have also been affected as utility companies are unable to schedule energy shut off during this pandemic.

#### Streets and Roads

Due to COVID-19, OCTA staff reopened and extended the timeline for the routine semi-annual review period in late March. This allowed local jurisdictions an additional opportunity to review and assess their local projects and funds to submit requests for project adjustments and timely use of funds extensions due to COVID-19. Eligible timely use of funds requests, including other eligible requests related to COVID-19 will be presented at the August Board meeting.

#### Transit

Travel patterns have also affected Metrolink operations with ridership down by 90 percent as of April 2020, when compared to April 2019. Metrolink implemented a 30 percent service reduction on March 26, 2020, and continues to provide vital transportation services for essential trips. Metrolink is working with partner agencies to develop a recovery plan framework and ridership recovery scenarios.

The stay-at-home order has allowed for increased productivity for the Laguna Niguel to San Juan Capistrano Passing Siding Project and OC Streetcar Project. The reduced rail service and cancelled weekend services has allowed the contractor to work on reconstruction of the private railroad crossing site near Saddleback Church. The OC Streetcar Project has also taken advantage of lower traffic volumes to use daytime street closures for storm drain and water line installation while many downtown businesses are closed.

M2 also provides funding to local jurisdictions to identify and develop transportation programs to best meet the needs of seniors in their communities through the Senior Mobility Program. Due to COVID-19, services provided have been altered or suspended. In addition, OCTA staff was notified that one transit service provider serving multiple cities will cease operations in Orange County effective May 31, 2020. An item was presented to the Board on May 22, 2020, to allow for service continuity in the short-term.

The Community-Based Transit Circulator Program has also been affected by COVID-19. Services provided have been suspended as stay-at-home orders are in place.

As mentioned in the streets and roads section, the timely use of funds requirement to expend M2 funds may also affect M2 transit programs that are delayed or temporarily suspended. Staff will monitor the situation and report to the Board as appropriate.

## M2 Eligibility - MOE

To proactively address impacts that COVID-19 will have on local jurisdiction general fund revenue sources, an amendment to Ordinance No. 3 was initiated on May 11, 2020. To receive M2 net revenues, local jurisdictions need to maintain eligibility. A component of eligibility is an MOE requirement, which is the amount the local jurisdictions spend in general fund revenues 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 amendment will temporarily adjust the MOE requirement for local jurisdictions for FY 2019-20 and FY 2020-21. A public hearing at which the Board will consider adopting the amendment to Ordinance No. 3 has been set for June 22, 2020.

#### Sales Tax Revenue Forecast

Through the first eight months of FY 2019-20, revenues were growing by approximately two percent. Due to the impact of COVID-19, it is estimated that sales tax collections will decrease by 33 percent from mid-March through the end of the fourth quarter of FY 2019-20. Total FY 2019-20 M2 sales tax collection is estimated at \$303 million or a decrease of 8.8 percent from FY 2018-19. Prior to COVID-19, M2 sales tax revenue for FY 2020-21 was projected at \$354 million based on MuniServices' forecasts. MuniServices recently updated their FY 2020-21 forecast to \$283 million based on lower than projected FY 2019-20 revenue coupled with a projected 6.6 percent decline in the upcoming year. OCTA's FY 2020-21 budget assumption matches MuniServices estimate of \$283 million.

The full magnitude of COVID-19 impacts to the economy is unknown at this time. The California Department of Tax and Fee Administration normally disburses sales tax two months in arrears, with trued up numbers in the following quarter. A factor that adds more uncertainty is that the State of California has provided relief to businesses to allow a 90-day delay of sales tax remittance to some and a one-year delay to small business. Due to this, OCTA will not have a complete understanding of the true impacts of COVID-19 on sales tax revenues for several months.

OCTA is closely monitoring trends and forecasts to ensure M2 remains deliverable as promised to voters. The M2 cashflow included an allowance for economic uncertainties based on OCTA's conservative approach to financial planning. As a result, all M2 projects that are currently underway are anticipated to continue as planned in the FY 2020-21 budget. OCTA staff has initiated a strategic review and assessment of timing of projects and programs for future years. Staff will continue to monitor COVID-19 impacts to M2 and provide updates to the Board as appropriate.

M2 program delivery is monitored closely, and progress, as well as challenges, are presented to the Board through these quarterly staff reports. The Board also is provided with individual project staff reports and overall reports on the status of the capital programs by the Capital Programs Division.

## Summary

As required by Ordinance No. 3, a quarterly report covering activities from January 2020 through March 2020, is provided to update progress in implementing the Plan. The above information and the attached details indicate significant progress on the overall M2 Program despite facing challenges. To be cost-effective and to facilitate accessibility and transparency of information available to stakeholders and the public, the M2 Quarterly Progress Report is made available through the OCTA website. Hard copies are available by mail upon request.

#### Attachment

A. Measure M2 Progress Report, Third Quarter Fiscal Year 2019-20, January 1, 2020 through March 31, 2020

Prepared by:

Tamara Warren Manager, Program Management Office (714) 560-5590 Kia Mortazavi Executive Director, Planning (714) 560-5741

Approved by:





# MEASURE M2 PROGRESS REPORT

Third Quarter of Fiscal Year 2019 – 20 January 1, 2020 through March 31, 2020

# Third Quarter Highlights:

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





### **SUMMARY**

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

As required by the Measure M2 (M2) Ordinance No. 3, a quarterly report covering activities from January 1, 2020, through March 31, 2020, is provided to update progress in implementing the Measure M2 Transportation Investment Plan. On September 25, 2017, the Board of Directors (Board) approved externally rebranding M2 to OC Go to promote OCTA's Measure M awareness and public perception and to avoid confusion with Measure M in Los Angeles County.

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



The cover photo shows the completed construction of a stormwater collection basin at a popular Santa Ana park, funded through the Measure M Environmental Clean Up Program (Project X). A Tenth Project X Tier 1 call for projects was released in March 2020 to help improve overall water quality in Orange County from transportation-generated pollution.



# TABLE OF CONTENTS

Section	Project	Page
Abbreviations		<u>i</u>
Project Schedules		<u>iii</u>
M2 Delivery Risk Update		<u>1</u>
Next 10 Plan Update		<u>3</u>
Freeway Program (Projects A-N)		<u>7</u>
Interstate 5 (I-5) Projects	[A-D]	<u>7</u>
State Route 22 (SR-22) Projects	[E]	<u>11</u>
State Route 55 (SR-55) Projects	[F]	<u>11</u>
State Route 57 (SR-57) Projects	[G]	<u>12</u>
State Route 91 (SR-91) Projects	[H-J]	<u>13</u>
Interstate 405 (I-405) Projects	[K-L]	<u>16</u>
Interstate 605 (I-605) Projects	[M]	<u>17</u>
Freeway Service Patrol	[N]	<u>17</u>
Streets and Roads (Project O, P and Q)		<u>18</u>
Regional Capacity Program	[O]	<u>18</u>
Regional Traffic Signal Synchronization Program	[P]	<u>21</u>
Local Fair Share Program	[Q]	<u>21</u>
Transit Programs (Projects R, S, T, U, V and W)		<u>23</u>
High Frequency Metrolink Service	[R]	<u>23</u>
Transit Extensions to Metrolink	[S]	<u>27</u>
Metrolink Gateways	[T]	<u>29</u>
Expand Mobility Choices for Seniors and Persons with Disabilities	[U]	<u>29</u>
Community Based Transit/Circulators	[V]	<u>30</u>
Safe Transit Stops	[W]	<u>31</u>
Environmental (Project X and Freeway Mitigation Program)		<u>32</u>
Environmental Cleanup	[X]	<u>32</u>
Freeway Mitigation Program (part of Projects A - M)		<u>33</u>
Program Management Office		<u>36</u>
M2 Financing and Schedule of Funding		<u>40</u>
Local Fair Share - M2 Funding by Agency		<u>49</u>
Capital Action Plan - Capital Project Status		<u>51</u>



Americans with Disabilities Act	ADA
Annual Eligibility Review	AER
Board of Directors	Board
Burlington Northern Santa Fe	BNSF
California Department of Fish and Wildlife	CDFW
California Department of Tax and Fee Administration	CDTFA
California Department of Transportation	Caltrans
California Transportation Commission	CTC
Capital Action Plan	CAP
Capital Investment Grant	CIG
Chief Executive Officer	CEO
Cost Estimate Review	CER
Congestion Mitigation and Air Quality	CMAQ
Draft Environmental Document	DED
Draft Project Report	DPR
Environmental Cleanup Allocation Committee	ECAC
Environmental Cleanup Program	ECP
Environmental Document	ED
Environmental Impact Report	EIR
Environmental Impact Statement	EIS
Environmental Mitigation Program	EMP
Environmental Oversight Committee	EOC
Federal Highway Administration	FHWA
Federal Transit Administration	FTA
Federal Transportation Improvement Program	FTIP
Freeway Service Patrol	FSP
Full Funding Grant Agreement	FFGA
High Occupancy Vehicle	HOV
Interstate 15	I-15
Interstate 405	I-405
Interstate 5	I-5
Interstate 605	I-605
Invitation for Bids	IFB
Local Faire Share Program	LFSP
Los Angeles – San Diego – San Luis Obispo	LOSSAN
Los Angeles County Metropolitan Transportation Authority	LA Metro
Measure M2 or Renewed Measure M	M2
Memorandum of Understanding	MOU
Metrolink Service Expansion Program	MSEP



Next 10 Delivery Plan	Next 10
Natural Community Conservation Plan/Habitat Conservation Plan	Conservation Plan
Orange County Transportation Authority	OCTA
Orange County Unified Transportation Trust	OCUTT
Pacific Coast Highway	PCH
Plans, Specifications and Estimates	PS&E
Program Management Office	PMO
Project Development Team	PDT
Project Study Report	PSR
Ready to List	RTL
Request for Proposals	RFP
Resource Management Plan	RMP
Right-of-Way	ROW
Riverside County Transportation Commission	RCTC
Santa Ana Regional Transportation Center	SARTC
Senate Bill 1	SB 1
Senior Mobility Program	SMP
Senior Non-Emergency Medical Transportation	SNEMT
Southern California Association of Governments	SCAG
State Route 133	SR-133
State Route 22	SR-22
State Route 241	SR-241
State Route 55	SR-55
State Route 57	SR-57
State Route 71	SR-71
State Route 74	SR-74
State Route 91	SR-91
State Transportation Improvement Program	STIP
State Water Resources Control Board	SWRCB
Southern California Regional Rail Authority	SCRRA
Taxpayer Oversight Committee	TOC
To Be Determined	TBD
Trade Corridors Improvement Funds	TCIF
Transportation Infrastructure Finance and Innovation Act	TIFIA
United States Army Corps of Engineers	ACOE
United States Fish and Wildlife Service	USFWS
United States Department of Transportation	USDOT















Conceptual

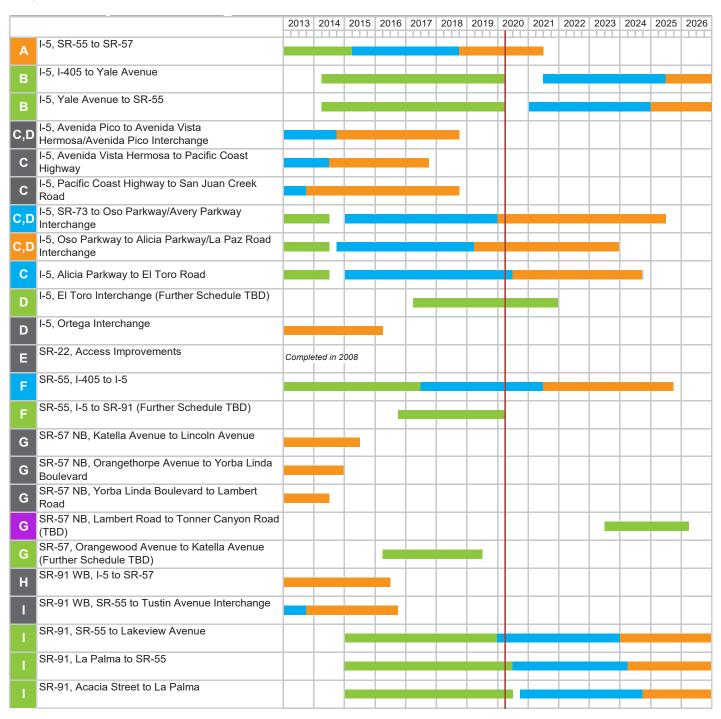
Environmental

Design, Advertise, & Award

Design-Build

Construction

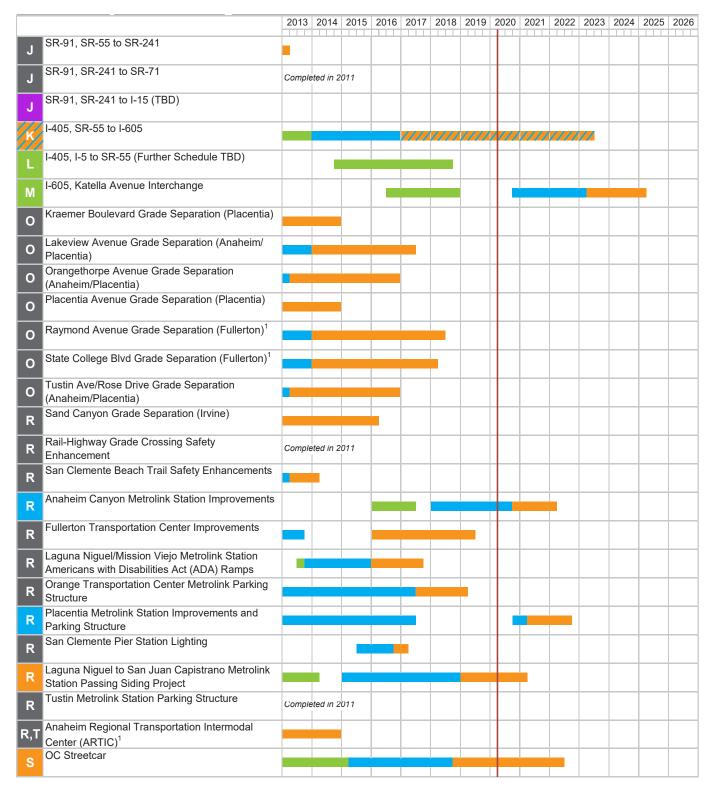
Complete



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

<sup>&</sup>lt;sup>1</sup> Projects managed by local agencies





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

<sup>&</sup>lt;sup>1</sup>Projects managed by local agencies



# M2 DELIVERY RISK UPDATE ▼

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

	Delivery Risk	Explanation	Proposed Action	
Fina	Financial			
1	The 2019 updated M2 revenue forecast estimate presented in October 2019 was \$13.4 billion. However, due to the unprecedented novel coronavirus (COVID-19) pandemic, the revenue forecast estimate is anticipated to be lower and timing of projects and funding program allocations may need to be reevaluated.	COVID-19 has introduced a new risk to the program. The extent of the economic impacts of COVID-19 are unknown at this time and will require a review of capital project and competitive funding program cash flows as updated revenue forecasts become available.	OCTA will work with the entities that prepare sales tax forecasts for OCTA to update M2 revenue estimates to assess COVID-19 impacts. The revised forecast will likely change in response to how the economy rebounds. Yet, this assessment will provide insight on how the Next 10 may need to be revised given the inevitable financial implications. Staff will update the Board as new information becomes available.	
2	Inability to scale the Freeway Program to available revenue and still deliver the promise.	The freeway program includes set project scopes leaving limited flexibility in what is delivered.	OCTA will work closely with Caltrans to apply value engineering strategies on projects to manage costs.	
3	Schedule and scope changes on critical capital projects impacting delivery and project costs.	Changes as a result of updated highway standards or issues identified in the field regularly impact scope and schedule and ultimate costs.	Work closely with Caltrans and project contractors to limit changes in scope and schedule to a minimum. With lower traffic volumes from the COVID-19 stay-at-home order, Caltrans has approved additional lane closures and longer work windows allowing for increased productivity.	
4	Sustain Metrolink train service, as an attractive alternative to driving in Orange County with the limits of available revenue.	Operational cost of Metrolink service continues to grow as the system ages, track-sharing arrangements with BNSF are revised, and new air quality requirements are implemented. COVID-19 has introduced new risks as ridership and revenue has been greatly impacted in Orange County.	In light of COVID-19, Metrolink is working with member agencies on a "new normal" campaign to develop a recovery plan and ridership recovery scenarios. Staff will work closely with Metrolink and our partners to ensure cost increases are minimized, while seeking external revenue. Metrolink received \$65 million in one-time federal funds through the Coronavirus Aid, Relief and Economic Security (CARES) Act while fare revenues are down.	



	Delivery Risk	Explanation	Proposed Action
5	The Next 10 Market Conditions Forecast and Risk Analysis showed a cooling of the prior increasing-cost environment. Current events may cause this to further change during the Next 10 delivery years.	OCTA's economic consultants forecasted a cooling of cost pressures over the next two fiscal years. The economic impacts from COVID-19 may further affect cost pressures.	OCTA will continue to monitor market conditions affecting project costs. If cost pressures significantly decline, this could provide an opportunity to address potential COVID-19 related revenue impacts.
Res	ource		
6	Substantial work underway in the region, has resulted in significant demand for professional and skilled labor which can impact delivery given the volume of the M2 capital program.	The economic impacts of COVID-19 and changes in unemployment may change the availability of key talent. If shortages continue project delivery costs could rise but if addition labor resources are available if may temper costs and reduce delivery risk.	OCTA will monitor impacts of COVID-19 on the labor market. Expert and timely coordination between OCTA and Caltrans are imperative to manage this risk. Staff is currently working with Caltrans to ensure resource needs are met.
7	New operational responsibilities with the OC Streetcar.	With the implementation of the OC Streetcar service, OCTA will be increasing its overall role in operations. OCTA holds a successful track record in operating various transportation systems including both a fixed and demand-based bus network.	To ensure success of the OC Streetcar, OCTA hired a streetcar operations manager with proven start-up experience to oversee start-up and daily operations. OCTA is also on the verge of retaining a contractor with extensive experience in operations of rail systems to handle the startup and revenue operations phases of the OC Streetcar.
Reg	ulatory		
8	New federal and statewide directives create additional limitations for use of transportation dollars which could affect freeway projects.	New directives with greenhouse gas reductions and managed lane corridors focus, as well was an emphasis on transit provides new hurdles that eliminate some sources of funding for M2 freeway improvements.	OCTA is tracking the new directives to ensure that M2 projects stay true to the voter commitment and compete for funding as appropriate.



# Next 10 Delivery Plan ▼

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

On November 14, 2016, the Board approved the Next 10 Delivery Plan (Next 10), providing guidance to staff on delivery of M2 projects and programs between 2017 and 2026. On November 11, 2019, the Next 10 was updated to incorporate the 2019 sales tax revenue forecast of \$13.4 billion. The 2019 updated Next 10 includes updated project costs and schedules, bonding assumptions, and adjustments ensuring continued delivery of the complete M2 Program by 2041 as promised.

#### **Next 10 Plan Deliverables**

The Next 10 Plan is based on ten deliverables intended to provide guidance on program and project delivery during the ten-year period. With three years of the ten-year plan complete, progress on the ten deliverables and accomplishments to date is provided. Significant progress has been made, with projects completing construction, projects in and advancing towards construction, as well as regular funding allocations to local jurisdictions through local programs. Staff is monitoring the effects of the novel coronavirus (COVID-19 pandemic) related stay-at-home order on the Next 10 Plan delivery commitments and report to the Board as appropriate.

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

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

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

The final nine remaining project segments (of the 30 total) are environmentally cleared or on track to be environmentally cleared by 2026, making them shelf-ready for further advancement. Using Board adopted guiding principles, the 2019 updated Next 10 identified five projects to be advanced through construction: I-605/ Katella Interchange (Project M), SR-57 Northbound from Orangewood Avenue to Katella Avenue (Project G), I-5 between I-405 and Yale Avenue (Project B), I-5 between Yale Avenue and SR-55 (Project B) and SR-55 between I-5 and SR-91 (Project F). The remaining four projects have specific reasons related to the application of the guiding principles that require additional time prior to being advanced. In all, during the Next 10 time-period, approximately \$4.3 billion in freeway improvements promised to the voters in M2 will be completed or underway by 2026. For more details, see pages iii-iv (Project Schedules) and the project updates contained in the following pages.



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

Since the adoption of the Next 10 Plan in November 2016, OCTA has awarded approximately \$91 million in competitive funding through the Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P). Additionally, \$198 million¹ in Local Fair Share (Project Q) funds have been distributed to local agencies. This brings the total allocation to date to \$289 million.

On August 12, 2019, the Board approved the release of the 2020 Call for Projects with a target of approximately \$32 million for Project O and \$8 million for Project P funding. Final programming recommendations will be presented to the Board in May 2020. Additionally, all seven bridges included in the OC Bridges program are complete. For more details, see the project updates on page 18.

<sup>1</sup>Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive net M2 revenues. Disbursement of net M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter. Update - An item will be brought to the Board on April 13, 2020 sharing audit results finding the cities in compliance and is expected to find the cities eligible to receive net M2 revenues.

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

In October 2019, three weekday intracounty round trips operating between Laguna Niguel/Mission Viejo and Fullerton were replaced with two roundtrips between Laguna Niguel/Mission Viejo (extended from Fullerton) into Los Angeles. Schedules for the extended service were developed consistent with existing schedules. Additional service changes were scheduled to be implemented in April 2020, however, due to the COVID -19 pandemic, it has now been postponed until full service is reinstated.

Within this program, funding is provided for rail corridor and station improvements to accommodate increased passenger train service - including station upgrades, parking expansions, and safety enhancements. The Next 10 Plan identifies six projects to be completed by 2026: 1) Laguna Niguel/Mission Viejo Metrolink Station ADA ramps (completed September 2017), 2) Orange Metrolink Station Parking Structure (completed February 2019), 3) Placentia Metrolink Station (is ready to begin construction, however, it is contingent on a BNSF Construction and Maintenance Agreement being in place), 4) Anaheim Canyon Metrolink Station Improvement Project (construction to begin in November 2020 with completion anticipated in late 2021), 5) Fullerton Transportation Center elevators (completed May 2019), and 6) San Clemente Pier Metrolink/Amtrak Station Lighting Project (completed March 2017). For more details, see the project updates on page 23.



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

#### OC Streetcar

Activities continue to move forward, including coordination with third parties on utility relocation, finalizing the scope of services for the operations and maintenance request for proposals released on November 12, 2018, and continued coordination with the Federal Transit Administration (FTA). The streetcar vehicle manufacturing contract has been executed and the notice to proceed has been issued. The streetcar construction contract has been executed and Notice to Proceed was issued on March 4, 2019, and construction activities are underway. With strong FTA support for the project, a FFGA was executed in November 2018. Construction is anticipated to be complete in early 2022. See page 27 for more information.

#### **Bristol Street Transit Corridor Study**

The study is focused on Bristol Street between West 17th Street and Sunflower Avenue (South Coast Metro); and will also evaluate connections to the John Wayne Airport and the Santa Ana Regional Transportation Center. The study will analyze and develop up to six conceptual transit alternatives for the Bristol Street Corridor. During the quarter, the team focused on developing the transportation forecast model and completing the technical evaluation work on the four bus alternatives. The OCTA Board has placed any further evaluation of the two streetcar alternatives on pause until the Board has an opportunity to review the Transit Master Plan short-term action plan.

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

Approximately \$39 million<sup>2</sup> has been provided for the Senior Mobility Program (SMP), the Senior Non-Emergency Medical Transportation Program (SNEMT), and the Fare Stabilization Program since the Next 10 Plan adoption. See <u>page 29</u> for more information.

<sup>2</sup>Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive net M2 revenues. Disbursement of net M2 revenues have been suspended until the cities achieve compliance and the Board reconsiders the matter. Update - An item will be brought to the Board on April 13, 2020 sharing audit results finding the cities in compliance and is expected to find the cities eligible to receive net M2 revenues.

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

The Board has authorized four calls for projects in total since Measure M2 inception, with two occurring since the adoption of the Next 10 Plan in November 2016. During the Next 10 period, the Board has awarded six projects for a total of \$6.04 million and has authorized a fourth Project V call for projects for FY 2019-20 for up to \$9 million. Programming recommendations for this call for projects are anticipated in April 2020.

Staff continues to work with local jurisdictions through letters of interest requests, workshops, CTFP Guidelines revisions, and calls for projects, to fine tune this program and facilitate successful project implementation. For additional details and information on current project program performance and service see <u>page 30</u>.



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

Through two calls for projects, the Board has approved Project W funds to support 79 city-initiated improvements to busy bus stops on the OCTA transit system. Since Next 10 Plan adoption, the Board has made \$3 million available of which \$872,300 was allocated to eligible local agencies. The program is designed to ease transfers between bus lines and provide passenger amenities such as installation of bus benches or seating, shelters, improved lighting, and other passenger related amenities. For additional details see <a href="mailto:page-24">page 31</a>.

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

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

To ensure ongoing preservation of the open space, an endowment was established to pay for the long-term management of the Preserves. Approximately \$2.9 million will be deposited annually. To date, OCTA has made four endowment deposits. Quarterly investment reports are provided to the Board, with the most recent one in November 2019. As of March 31, 2020, the endowment balance is \$11,137,651. A reassessment of the M2 revenue stream as well as the current Conservation Plan endowment balance will need to be completed due to the COVID-19 pandemic. For more details, see the project updates on page 33.

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

Since adoption of the Next 10 Plan in November 2016, OCTA has issued four calls for Tier 1 ECP projects. With three calls complete, the Board has awarded approximately \$7.6 million funding 39 projects. The fourth call for projects is currently open and programming recommendations to the Board are anticipated in Fall 2020.

Due to the recent COVID-19 pandemic, staff will be analyzing M2 revenue projections to determine if there is sufficient revenue to continue with annual Tier 1 calls for projects of \$2.8 million moving forward. Staff will also be determining the timing of a future Tier 2 call for projects. It was anticipated, prior to the most recent events, that a Tier 2 call could take place in fiscal year 2021 or 2022. For more details, see the project updates on page 32.



# INTERSTATE 5 (I-5) PROJECTS ▼

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

Status: Construction Underway – 60% complete

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

**Summary:** This project will increase high occupancy vehicle (HOV) capacity by adding a second HOV lane in both directions along I-5 between SR-55 and SR-57 for approximately 3 miles in Santa Ana. Construction began on February 20, 2019. During the quarter, activities included electrical, signage, drainage and construction of roadway base under the median space vacated by the HOV ramp bridge at Main Street. The project is expected to be completed in early 2021. OCTA has been working with Caltrans to extend lane closure hours and work windows where possible due to significantly less traffic on freeways and streets from the stay-at-home order as a result of the COVID-19 pandemic.

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

Status: Environmental Phase Complete

efforts are anticipated to begin in early 2021.

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

improved interchanges in the area between just north of I-405 to SR-55 in the cities of Tustin and Irvine. Additional features include the addition of auxiliary lanes in some areas and re-establishment in other areas within the project limits. The Draft Environmental Document (DED) was circulated in May 2018 and two open house format public hearings were held in late May 2018. To limit community and business impacts, design variations were recommended to address tight ROW constraints in the project area. Due to a lack of agreement over design variations recommended, the completion of the environmental document was delayed 15 months. Following discussions and further study, agreement was reached, and the Project Development Team recommended a preferred alternative in mid-March 2019. The Final Environmental Document was approved on January 7, 2020. The Design Standard Decision Document (formerly Fact Sheet) was approved on February 19, 2020, addressing the agreed upon design variations and the Final Project Report was approved on February 28, 2020. This project was approved by the Board in the updated 2019 Next 10 Delivery Plan to advance through construction. The

Segment 1 limit is from I-405 to Yale Avenue and the Segment 2 limit is from Yale Avenue to SR-55. Design

Summary: This project studied the addition of one general purpose lane in each direction of the I-5 corridor and

**PROJECT A** 

PROJECT B



PROJECT C AND PART OF PROJECT D

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

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

Status: PROJECT COMPLETE

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

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

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

Status: PROJECT COMPLETE

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

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

March 2014 and all three segments of the I-5 between Avenida Pico to San Juan Creek were opened to traffic

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

Status: PROJECT COMPLETE

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

Summary: This segment added one carpool lane in each direction of the I-5 between PCH and San Juan Creek Road for approximately 2.5 miles in the Cities of San Clemente, Dana Point, and San Juan Capistrano. Project improvements also reconstructed the on and off ramps at PCH/Camino Las Ramblas. Construction began in

on March 13, 2018. The project was officially completed on July 3, 2018, and the one-year plant establishment period for this segment was completed in March 2019.





I-5, SR-73 to El Toro Road is one project broken into three segments in early 2018, as described below. With a cost estimate for this project of \$557.11 million, the project was above the \$500 million threshold for a "Major Project" designation, as determined by the Federal Highway Administration (FHWA). Major projects require a Cost Estimate Review (CER) workshop, and a CER was conducted by the FHWA, Caltrans, and OCTA in February 2018 and resulted in an estimated project cost of \$612.6 million. The OCTA cost estimate for the three segments is currently \$595.6 million.

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

Status: Design Complete. Construction contract awarded.

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

**Summary:** This project will make improvements along I-5 between SR-73 and Oso Parkway in the cities of Laguna Hills, Laguna Niguel, and Mission Viejo. The improvements include the addition of a 2.2-mile general-purpose lane in each direction and reconstruction of the Avery Parkway Interchange (part of Project D). Due to extended ROW coordination, this project is marked "red" in the CAP, with delay of 12 months beyond the original schedule. During the quarter, the consultant continued working on ROW acquisition and coordination with utility agencies. The project was awarded on December 19, 2019, and the first working day was March 10, 2020. Staff continues coordination with Caltrans on ROW and utility relocations.

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

Status: Construction Underway – 10% Complete

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

Summary: This project will make improvements along I-5 between Oso Parkway and Alicia Parkway in the cities of Mission Viejo, Laguna Hills, and Lake Forest. The proposed improvements include the addition of a 2.6-mile general-purpose lane in each direction and reconstruction of the La Paz Road Interchange (Part of Project D). The construction contract was awarded on April 4, 2019 with the first working day for construction beginning on May 29, 2019. Activities this quarter include beginning construction of three retaining walls, grading of slopes on north bound I-5, and pile driving for the north bound off ramp bridge. Staff continues coordination of the service contract with SCRRA/Metrolink, and with Caltrans on ROW and utility relocations. OCTA has been working with Caltrans to extend lane closure hours and work windows where possible due to significantly less traffic on freeways and streets from the stay-at-home order as a result of the COVID-19 pandemic.

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

Status: Design Complete. Construction bid package preparation underway

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

**Summary:** This project will make improvements along I-5 between Alicia Parkway to El Toro Road in the Cities of Lake Forest, Laguna Hills and Laguna Woods. The proposed improvements include the extension of the second HOV lane between El Toro Road and Alicia Parkway in both northbound and southbound directions. This quarter,



the project was listed for ROW certification and is expected to achieve Ready-to-List status on April 2, 2020. Consultant selection to provide construction management support services was completed this quarter with staff recommendation scheduled for Board approval on April 13, 2020. Due to extended ROW coordination with Caltrans and delayed design start date, this project is marked "red" in the CAP, with a delay of over 15 months beyond the original schedule. The Board has approved \$49.9 million in federal funding and OCTA has received \$9.4 million in state funding.

PROJECT D

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

Segment: I-5, Ortega Highway Interchange

Status: PROJECT COMPLETE

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

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

Segment: I-5, El Toro Interchange

Status: Environmental Phase In Review

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

Summary: Caltrans is the lead in the environmental phase of this project which included the study of four build alternatives that consider modifications to the existing interchange, ranging from an I-5 southbound direct connector to El Toro Road to modifications in how existing on and off ramp intersections operate. The project area includes the cities of Laguna Hills, Laguna Woods and Lake Forest who are direct stakeholders of the project improvements. The study began in April 2017 and the Draft Initial Study/Environmental Assessment (IS/ EA) was completed in March 2019. The public comment review period was from April 2, 2019, through May 20, 2019, and a public hearing was held on April 18, 2019, in the City of Lake Forest. The three stakeholder cities are not in consensus on a preferred alternative and costs identified for the remaining alternatives are significantly higher than the assumed cost in the Next 10 Plan which creates additional challenges. The environmental phase was anticipated to be completed in late 2019, however without the cities' consensus, OCTA will not support finalization of the document. OCTA has requested Caltrans put completion of the environmental document on hold. Major activities this quarter included a fourth meeting with the three stakeholder cities to request that the cities work together to determine if they can jointly support an alternative. At this meeting it was agreed that further analysis of the alternatives would be conducted to help facilitate reaching agreement on a preferred alternative. Also, Caltrans completed preparing responses to comments received during the Public Review period.

# STATE ROUTE 22 (SR-22) PROJECTS ▼

**Segment:** SR-22 Access Improvements

Status: PROJECT COMPLETE

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

PROJECT E

**PROJECT F** 



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

# STATE ROUTE 55 (SR-55) PROJECTS ▼

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

Status: Design Phase Underway - 95% Complete

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

Summary: This project will widen SR-55 between I-405 and I-5 in the cities of Irvine, Santa Ana, and Tustin. The improvements will include a 4-mile general purpose lane and a second HOV lane in both directions between the I-405 and I-5. Auxiliary lanes will be added and extended in some segments, within the project limits. Through a cooperative agreement, Caltrans and OCTA's consultant initiated the design together and on July 19, 2019 the 95 percent design was completed. The 100 percent design will be submitted in April 2020. Caltrans originally agreed to be responsible for developing and gaining approval of the required Supplemental Fact Sheet addressing necessary design variations on the project; however, OCTA was notified that Caltrans will not complete the work. On December 9, 2019, OCTA Board approved an amendment to the Caltrans cooperative agreement and amendment to the OCTA consultant contract to transfer the Supplemental Fact Sheet task to OCTA. The

Supplemental Fact Sheet will be submitted next quarter to Caltrans for review and approval. The project is anticipated to be ROW Certified and ready to list (RTL) by December 2020. The Board has approved \$103 million in federal funds and OCTA has received \$80 million in state funds through the 2018 STIP. Caltrans has originally committed \$46.8 million in SHOPP funds but that amount was reduced to \$45 million and OCTA will

seek to capture another \$75 million in future SB1 funding to fully fund the carpool elements of the project.

11



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

Status: Environmental Phase Complete

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

**Summary:** This project is studying approximately 7.5 miles of SR-55 between I-5 and SR-91 in the cities of Santa Ana, Tustin, Orange and Anaheim. The environmental study is looking at the addition of one general purpose lane in each direction between SR-22 and the I-5 and providing operational improvements between SR-22 and SR-91. This quarter, the environment phase of the project was completed with the approval of the Design Standard Decision Document (formerly Fact Sheet), the Final ED, and the Final PR documents on March 30, 2020. This project was approved by the Board in the updated 2019 Next 10 Delivery Plan to advance through construction. Based on funding availability, the design of this project is anticipated to begin in early 2022.

# STATE ROUTE 57 (SR-57) PROJECTS ▼

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

Status: PROJECT COMPLETE

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

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

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

Status: PROJECT COMPLETE

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

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

PROJECT G



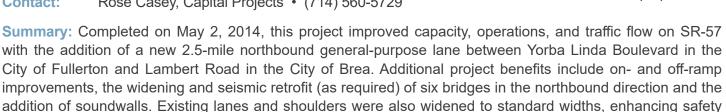




Segment: SR-57 Northbound, Yorba Linda Boulevard to Lambert Road

**PROJECT COMPLETE** Status:

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



for motorists. The new general purpose lane was opened to traffic on September 23, 2013. The project was

completed on May 2, 2014.

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

Status: **Environmental Phase Schedule TBD** 

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

Summary: Caltrans previously completed a Project Study Report (PSR)/Project Development Support document for the Lambert Road to Tonner Canyon Road segment, which would add a northbound truck-climbing lane (approximately 2.5 miles) in the City of Brea. The project will require coordination with LA Metro on planned improvements or related work across the county line. The mainline project includes interchange and ramp improvements at Lambert Road. Through the SB 1 Trade Corridor Enhancement Program, funds were allocated to initiate the construction phase for interchange improvements at Lambert Road which will complement and serve as a first phase to the freeway improvement project. Construction began in mid-2019 and is anticipated to be complete at the end of 2021. Phase 2, which is the mainline improvements, was initially approved for STIP funding in March 2018 to initiate the environmental phase. However, due to the 2019 STIP reduction, funding was shifted to cover projects already underway. The schedule for this project will be updated during the annual M2 cash flow review and Next 10 update.

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

Status: **Environmental Phase Complete** 

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

Summary: This project studied the addition of a new one mile northbound general purpose lane on SR-57 from Orangewood Avenue to Katella Avenue in the Cities of Anaheim and Orange. The northbound general-purpose lane would join the northbound general purpose lane which was opened to traffic in 2014 between Katella Avenue and Lincoln Avenue. The Final Environmental Document and Final Project Report were approved on March 29, 2019. This project was approved by the Board in the updated 2019 Next 10 Delivery Plan to advance through construction. The design phase is scheduled to begin in late 2021.

# STATE ROUTE 91 (SR-91) PROJECTS ▼

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

Status: PROJECT COMPLETE

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



**PROJECT H** 

**Summary:** This project increased capacity in the westbound direction of SR-91 by adding an additional 4.5-mile general purpose lane in the westbound direction between Anaheim and Fullerton and provided operational improvements at on and off-ramps between Brookhurst Street and State College Boulevard. The general purpose lane was opened to traffic on March 7, 2016, and the project was complete on June 23, 2016.

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

Status: PROJECT COMPLETE

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

**PROJECT I** 

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

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

Status: Environmental Phase Underway - 96% Complete

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

Summary: This project will improve traffic flow and operations along SR-91 in the cities of Anaheim, Fullerton, Orange and Placentia in the approximately 6-mile study area. 91 Express Lanes excess revenue is designated to pay for the mainline freeway improvements included in M2, as approved by the Board. The study is looking at the addition of one general purpose lane eastbound between SR-57 and SR-55, and one general purpose lane westbound from the NB SR-57 connector to State College Boulevard. Additional features of this project include improvements to various interchanges, added auxiliary lanes in some segments and re-established lane in others within the project limits. Due to Caltrans requiring extra work to study interchange improvements outside of the completed PSR and the M2 promised project, the project is marked "red" in the CAP signifying a delay of 20 months from its original schedule. The finalization of the Environmental Document was delayed due to a requirement by Caltrans that required OCTA to provide a site investigation in the landscape area of the former landfill operating as a metals recycling facility in order to consider approval of necessary design exceptions. The site investigation was completed in January 2020 with the Phase II Investigation Report and the Design Standard Decision Document (formerly Fact Sheet) under Caltrans review. The final ED is anticipated to be complete in June 2020. This project will be split into three segments for the design phase. The design for segment 1 (SR-55 to Lakeview Avenue) was initiated on March 30, 2020, contract negotations for design of segment 2 (Acacia Street to La Palma) are underway and proposals for segment 3 (Acacia Street to La Palma) are due next quarter with design anticipated to begin in late 2020.



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

Status: PROJECT COMPLETE

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

**Summary:** This completed Project J segment added six miles in the westbound and eastbound direction to a key stretch of SR-91 between SR-55 and SR-241 in the Cities of Anaheim and Yorba Linda. In addition to adding 12 lane miles to SR-91, the project also delivered a much needed second eastbound exit lane at the Lakeview Avenue, Imperial Highway and Yorba Linda Boulevard/Weir Canyon Road off-ramps. Beyond these capital improvements, crews completed work on safety barriers, lane striping and soundwalls. Completion of this project in March 2013 means a total of 18 lane miles have been added to SR-91 since December 2010. The lanes opened to traffic in December 2012, and construction completed on March 5, 2013.

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

Status: PROJECT COMPLETE

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

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

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

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

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

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

PROJECT J



support, RCTC has been developing the 91 Corridor Operation Project to initiate construction and the project is anticipated to be complete in late 2021. In addition, OCTA and RCTC will be jointly conducting a feasibility study to determine how best to implement the 6th general-purpose lane while minimizing environmental and construction impacts in the eastbound direction between SR-241 and SR-71. On October 10, 2019, the Request for Proposals was released for the SR-91 (SR-241 to SR-71) Eastbound Geometric and Design Alternatives Analysis. The consultant recommendation was approved by the Board on February 10, 2020, and Notice to Proceed is anticipated in April 2020.

# INTERSTATE 405 (I-405) PROJECTS ▼

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

Status: Design-Build Underway

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

**Summary:** OCTA and Caltrans are working together to widen I-405 through the Cities of Costa Mesa, Fountain Valley, Garden Grove, Huntington Beach, Los Alamitos, Seal Beach, and Westminster in the approximately 16 mile project area. These improvements will add one general purpose lane, add a second lane to be combined with the existing HOV lane to provide a dual express lanes facility, and improve the local interchanges along the corridor from SR-73 to I-605.<sup>3</sup>

During the quarter, work continued on ROW acquisition, utility coordination and public outreach. OCTA is in possession of 99 percent of the property necessary for construction with the remaining one percent on schedule. Other work included review of design-builder submittals along with design and construction submittals. OCTA's toll lanes system integrator, Kapsch, is under contract and working with OCTA and the design-builder. Significant roadway construction activities including installation of drainage systems, retaining walls, and paving are underway. Additionally, over 42 walls are under construction or completed. Significant bridge construction continued on Fairview Road, Magnolia Street, Goldenwest Street, Bolsa Chica Road and Westminster Boulevard bridges. These are two-stage bridges, which means traffic is maintained on the remaining portion of the existing bridge while the first half of the new bridge is constructed. Construction continued at the McFadden Avenue, Talbert Avenue and Bushard Street bridges, which are one-stage bridges that are closed to traffic during construction. Construction also continued at the Beach Boulevard, Bolsa railroad crossing, old Navy railroad crossing, Santa Ana River and Harbor Boulevard bridges which consists of widening the existing freeway bridges over those facilities. OCTA also continued targeted public outreach through neighborhood meetings in anticipation of construction activities. Construction is scheduled to be completed in 2023. OCTA and Caltrans to extend lane closure hours / work windows where possible due to significantly less traffic in the construction area as a result of the Governor's stay-at-home order. These longer work windows provide the contractor (at their discretion), the opportunity to potentially complete some activites sooner than originally anticipated.

**PROJECT K** 

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



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

**PROJECT L** 

Status: Environmental Phase Complete

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

**Summary:** This project studied the addition of general purpose lanes for approximately 8.5-miles along the I-405 corridor between I-5 and SR-55 in Irvine. The project development team reviewed the alternatives and public comments received during public circulation and as a result of the effort, recommended adding one general purpose lane in each direction. The final Project Report (PR) and Environmental Document (ED) were completed in August 2018. The Next 10 Plan sets direction through 2026 and is reviewed annually. As projects listed are completed, schedules and revenues are reviewed, the Board adopts an updated delivery plan providing direction on project advancement. To ensure coordination with other projects planned for construction and to avoid unreasonable impacts to the public, this project is currently scheduled to be constructed beyond 2026.

# INTERSTATE 605 (I-605) PROJECTS ▼

Segment: I-605, Katella Interchange Improvements

Status: Environmental Phase Complete

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

**Summary:** This project will improve freeway access and the arterial connection to I-605 at Katella Avenue in the City of Los Alamitos and the County of Orange. Improvements under this project will include enhancements at the on-ramps and off-ramps in addition to operational improvements on Katella Avenue at the I-605 Interchange. The final ED was approved in October 2018 and the final PR was approved in November 2018. This project was approved by the Board in the updated 2019 Next 10 Delivery Plan to advance through construction. Approval of the Request for Proposals for design services is scheduled for the April 13, 2020 Board Meeting, with design efforts anticipated to begin in late 2020.

# FREEWAY SERVICE PATROL ▼

Status: Service Ongoing

**Contact:** Cliff Thorne • (714) 560-5975

**PROJECT N** 

**PROJECT M** 

**Summary:** Freeway Service Patrol (FSP) provides assistance to motorists whose vehicles have become disabled on Orange County freeways and removes congestion-causing debris from traffic lanes to reduce freeway congestion and collisions. In June 2012, M2 began supporting FSP with local funds to maintain existing service levels and expand services through 2041. During the quarter, FSP provided 13,403<sup>4</sup> services. Since June 2012, FSP has provided a total of 534,152<sup>4</sup> services on the Orange County freeway system.

<sup>&</sup>lt;sup>4</sup>Service calculations are based on all services provided as FSP is funded by M2 and external sources.



## REGIONAL CAPACITY PROGRAM ▼

Status: 2020 Call for Projects in Progress

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

**Summary:** This program, in combination with required local matching funds, provides funding for improvements on Orange County's Master Plan of Arterial Highways. Since 2011, 147 projects totaling more than \$296<sup>5</sup> million, including \$24 million in external funding, have been awarded through nine calls for projects by the Board. On August 12, 2019, the Board approved the release of the 2020 Call for Projects. The application deadline for the tenth call closed on October 24, 2019. Eight applications were received and are currently under review. Award recommendations are anticipated to go to the Board in May 2020.

<sup>5</sup>To date, 15 of the 183 phases awarded by OCTA totaling approximately \$21.2 million have been cancelled by the awarded local jurisdictions.

## **OC Bridges Railroad Program**

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

Segment: Kraemer Boulevard Grade Separation

Status: PROJECT COMPLETE

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

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

**PROJECT O** 



Segment: Lakeview Avenue Grade Separation

Status: PROJECT COMPLETE

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

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

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

**Segment:** Orangethorpe Avenue Grade Separation

Status: PROJECT COMPLETE

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

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

Segment: Placentia Avenue Grade Separation

Status: PROJECT COMPLETE

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

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





**Segment:** Raymond Avenue Grade Separation

Status: PROJECT COMPLETE

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

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

**Segment:** State College Boulevard Grade Separation

Status: PROJECT COMPLETE

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

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

**Segment:** Tustin Avenue/Rose Drive Grade Separation

Status: PROJECT COMPLETE

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



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



## REGIONAL TRAFFIC SIGNAL SYNCHRONIZATION PROGRAM ▼

Status: 2020 Call for Projects in Progress

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

PROJECT P

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

To date, OCTA and local agencies have synchronized more than 2,800 intersections over more than 739 miles of streets (83 completed projects). Through a competitive process, there have been nine rounds of M2 funding which awarded a total of 95 projects a total of more than \$95 million. Overall, the program has funded 111 projects<sup>6</sup> totaling more than \$106 million, including \$13.6 million in leveraged external funding.

On August 12, 2019, the Board approved the release of the 2020 Call for Projects. The application deadline for the tenth call closed on October 24, 2019 with eight applications received and currently under review. Award recommendations are anticipated to go to the Board in May 2020.

# LOCAL FAIR SHARE ▼

Status: Ongoing

Contact:

Ben Torres, Finance • (714) 560-5692

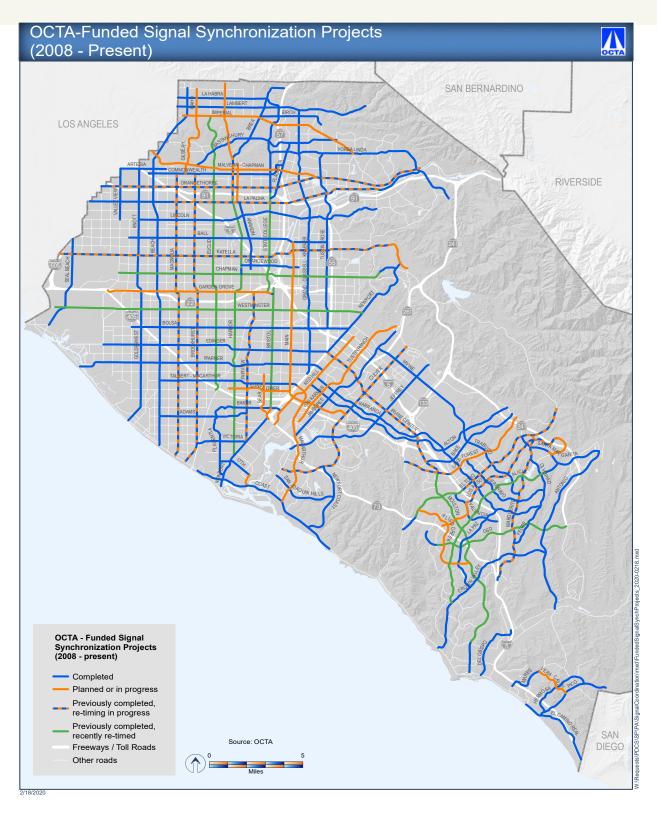
PROJECT Q

**Summary:** In order to help cities and the County of Orange keep up with the rising cost of repairing the aging street system, this program provides flexible funding intended to augment, not replace, existing transportation expenditures by the cities and the County. Annually, all local agencies are reviewed to determine eligibility to receive M2 funds. All local agencies except the City of Santa Ana and City of Stanton have been found eligible to receive Local Fair Share funds. On a bi-monthly basis, 18 percent of net revenues are allocated to local agencies by formula. Approximately \$434 million<sup>7</sup> in Local Fair Share payments have been provided to local agencies as of the end of this quarter.

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

<sup>&</sup>lt;sup>6</sup>To date, three projects totaling approximately \$1.6 million have been cancelled by the awarded local jurisdictions.

<sup>&</sup>lt;sup>7</sup>Only includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton were ineligible to receive net M2 revenues. Disbursement of net M2 revenues have been suspended until the cities achieve compliance and the Board reconsiders the matter. Update - An item will be brought to the Board on April 13, 2020 sharing audit results finding the cities in compliance and is expected to find the cities eligible to receive net M2 revenues.





# HIGH FREQUENCY METROLINK SERVICE ▼

**PROJECT R** 

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

**Project:** Metrolink Grade Crossing Improvements

Status: PROJECT COMPLETE

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



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

**Project:** Metrolink Service Expansion Program

Status: Service Ongoing

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

**Summary:** Following the completion of the MSEP improvements in 2012, OCTA deployed a total of ten new Metrolink intra-county trains operating between Fullerton and Laguna Niguel/Mission Viejo, primarily during the midday and evening hours.

In October 2019, several intra-county trains were extended to Los Angeles to increase ridership through a redeployment of the trains without significantly impacting operating costs. The changes consisted of:

- Orange County (OC) Line: Three weekday intra-county round trips operating between Fullerton and Laguna Niguel/Mission Viejo were replaced with two round trips between Laguna Niguel/Mission Viejo and Los Angeles. Average daily passenger boardings on the intra-county trains extended to Los Angeles increased by 413 percent from implementation to February 2020.
- 91/Perris Valley (91/PV) Line: Three round trips within Riverside County between Perris—South and Riverside— Downtown were replaced with one roundtrip between Perris—South and Los Angeles Union Station, via Fullerton. The new round trip has averaged 339 daily boardings as of February 2020.



Metrolink reported a significant decrease in ridership as a result of the stay-at-home order due to the COVID-19 pandemic. As of Friday, March 20, Metrolink rail ridership was down over 80 percent compared to the same day the previous year, with 7,139 riders using the system compared to 37,004 on March 20, 2019. Effective Thursday, March 26, Metrolink temporarily reduced service by 30 percent in response to the COVID-19 pandemic, while still providing vital transportation services for essential workers. Plans to implement the addition of two round trips in April 2020 have been postponed until full service is reinstated.

The postponed April service changes will include the addition of one evening weekday round trip from Oceanside to Los Angeles on the OC Line. Additional changes to the OC Line include the discontinuation of two intra-county trains due to low ridership levels. To offset the termination of the two intra-county trains, an evening train that currently travels between Los Angeles and Laguna Niguel/Mission Viejo will be extended to Oceanside. Along the 91/PV Line, one weekday round trip will be added between Los Angeles and Perris, south via Fullerton. The abovementioned changes are in alignment with OCTA's redeployment plan.

# **Rail Corridor and Station Improvements**

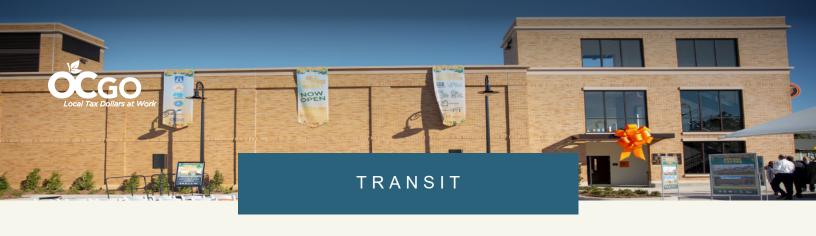
Additionally, under MSEP, funding is provided for rail line and station improvements to accommodate increased service. Rail station parking lot expansions, better access to platforms, among other improvements have been made or are underway. For schedule information on station improvement projects, please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

Segment: Anaheim Canyon Metrolink Station Improvements

Status: Design Underway – 99% Complete

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

**Summary:** This OCTA-led project will include construction of a second main track and platform, lengthening the existing platform, and improved pedestrian circulation. The project will also include the addition of benches, shade structures, and ticket vending machines. The design plans have been completed to 98 percent. Plans were expected to be complete and ready to bid in March 2020, but permanent access to railroad signal equipment for maintenance purposes as well as access to the railroad right of way during the construction phase needs to be resolved. It is anticipated that these issues will be resolved and the project will be bid in August 2020. FTA grants provide approximately \$13 million to support rehabilitation and replacement of capital improvements which are not impacted by the COVID-19 pandemic. Construction of the project is expected to begin in November 2020 with completion anticipated in late 2021.



**Segment:** Fullerton Transportation Center Improvements

Status: PROJECT COMPLETE

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

**Summary:** Completed early on, a new 5-level parking structure was constructed to provide additional transit parking at the Fullerton Transportation Center for both intercity rail service and commuter rail passengers. This City-led project was completed on June 19, 2012. After completion, an elevator upgrade project was initiated with leftover savings. The elevator project modified the existing pedestrian bridge to add two new traction elevators, one on each side. The City of Fullerton was the lead on this project which was completed May 1, 2019.

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

(ADA) Ramps

Status: PROJECT COMPLETE

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

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

**Segment: Orange Transportation Center Metrolink Parking Structure** 

Status: PROJECT COMPLETE

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

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

Segment: New Placentia Metrolink Station and Parking Structure

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

agreement

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

**Summary:** Plans for the proposed Placentia Metrolink Station Project were near completion when the City of Placentia requested to modify them to include a parking structure to be built where surface parking had been designed. On June 27, 2016, the Board approved a new Cooperative Agreement with the City of Placentia that



revised the project's scope and budget, and with the changes the City of Placentia will contribute towards the cost. The station will include platforms, parking, a new bus stop, and passenger amenities. OCTA is the lead agency for design and construction of the project. The project will also include a third track which should assist with the on-time performance of train operations and provide operational flexibility for both freight and passenger trains. BNSF will be the lead on the rail construction. Design plans for the station are complete and will be ready to advertise for bidding once a Construction and Maintenance (C&M) agreement with BNSF is in place. Due to the dependency on the C&M agreement, this project is marked as a cost/schedule risk in the CAP.

**Segment:** San Clemente Pier Station Lighting

Status: PROJECT COMPLETE

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



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

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

**Segment:** Sand Canyon Grade Separation

Status: PROJECT COMPLETE

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

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



**Segment:** Tustin Metrolink Station Parking Structure

Status: PROJECT COMPLETE

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

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

Segment: Laguna Niguel to San Juan Capistrano Passing Siding Project

Status: Construction Underway – 50% Complete

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

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

Construction continued with the track, crossovers, retaining walls and extension of a culvert. Installation of control points and associated signals were completed last quarter; programming and testing of signals and communications systems continued. This project is anticipated to be completed by early 2021. The project is marked "red" in the CAP, signifying a delay of 25 months due to design coordination with utilities and water quality control permitting concerns with the City of San Juan Capistrano. As a result of the stay-at-home order due to the COVID-19 pandemic, additional work windows will be utilized next quarter for the reconstruction of the Saddleback Church railroad crossing while on-site weekend services are canceled.

# TRANSIT EXTENSIONS TO METROLINK -

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

**Project:** OC Streetcar

**PROJECT S** 

Status: Full Funding Grant Agreement (FFGA) Executed November 30, 2018, Construction and Utility Relocation Work Ongoing, Vehicle Production Underway, Operation and Maintenance Best and Final Offers are under review

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

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



Construction work continues with sewer and water line relocations and storm drain installations in several locations, installation of the service and inspection pit at the Maintenance and Storage Facility and grading and drainage system installation on the PE Right-of-Way. Falsework is up for the bridge over Westminster Avenue, with formwork and rebar installation on-going. Construction of the retaining walls at the new Santa Ana River Streetcar Bridge and Westminster Bridge is underway.

During the quarter, the Board approved work to address additional removal and disposal of contaminated materials in the Pacific Electric Right of Way and other project areas. To support the local community, the Board also approved entering into agreements with two business associations that directly support Santa Ana's Business Improvement District during construction of the OC Streetcar.

The production of the Siemens S700 vehicles is underway with the eight vehicles in various stages of early production. The First article inspection of a painted car shell was conducted in February 2020. In January, the California Public Utilities Commission approved a variance request for the use of rearview cameras in lieu of rearview mirrors. OCTA elected to utilize a camera and monitor system instead of rearview mirrors on the vehicles in order to allow operators a clearer view of the rear and both sides of the vehicle for the full length of the vehicle.

On March 3, 2020, OCTA and FTA conducted its quarterly meeting to discuss project status and report on the Project schedule and cost estimate. Also on March 3, 2020, OCTA and FTA staff conducted a project Risk Workshop to review in detail potential risks to the project schedule and costs. Results from the workshop are anticipated next quarter.

Work continues to progress on other key OC Streetcar activities, including reviewing the Operations and Maintenance Best and Final offers in preparation for Board approval of contract award, coordination with third parties on utility relocation, public outreach and continued coordination with the FTA. The latest quarterly meeting between OCTA and FTA to discuss project status and report on the Project schedule and cost estimate took place on March 3, 2020.

As a result of the stay-at-home order due to the COVID-19 pandemic, there have been extended street closures and work windows made available to the contractor for construction while many downtown businesses.

**Project:** Bus and Station Van Extension Projects

Status: Service Ongoing for Anaheim Canyon Metrolink Bus Connection

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

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



anticipated to continue providing service between the station and the Anaheim Resort area through 2020 when the grant expires. In anticipation of the grant expiration, the city applied for Project V funding to continue this service. The Board will make a final determination on this application in April 2020.

## METROLINK GATEWAYS ▼

Status: PROJECT COMPLETE

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



**PROJECT T** 

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

# EXPAND MOBILITY CHOICES FOR SENIORS AND PERSONS WITH DISABILITIES .

Project U expands mobility choices for seniors and persons with disabilities, and includes the SMP, the SNEMT Program, and the Fare Stabilization Program. Since inception, approximately \$77.6 million<sup>9</sup> in Project U funding has been provided under M2.

**Project:** Senior Mobility Program

**PROJECT U** 

Status: Ongoing

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

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

Since inception, approximately \$22.7 million<sup>8</sup> and 2,411,000 boardings have been provided for seniors traveling to medical appointments, nutrition programs, shopping destinations, and senior and community center activities. Several local jurisdictions have modified or suspended service during the stay-at-home order as a result of the COVID-19 pandemic. This quarter, approximately \$1,128,000 was paid out to the 31 participating cities.

<sup>8</sup>Only Includes disbursed funds. On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton were ineligible to receive net M2 revenues. Disbursement of net M2 revenues have been suspended until the cities acheive compliance and the Board reconsiders the matter. Update - An item will be brought to the Board on April 13, 2020 sharing audit results finding the cities in compliance and is expected to find the cities eligible to receive net M2 revenues.



**Project:** Senior Non-emergency Medical Transportation Program

Status: Ongoing

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

**Summary:** This program provides one percent of net M2 revenues to supplement existing county-wide senior non-emergency medical transportation services. Since inception, more than \$24.6 million and 940,720 SNEMT boardings have been provided. This quarter, approximately \$1,191,967 in SNEMT funding was paid<sup>9</sup> to the County of Orange.

**Project:** Fare Stabilization Program

Status: Ongoing

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

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

Approximately \$1,752,000<sup>9</sup> in revenue was allocated this quarter to support the Fare Stabilization Program. The amount of funding utilized each quarter varies based on ridership. During the quarter, based on 3,000,000 program-related boardings recorded on fixed route and ACCESS services, approximately \$831,000 was utilized. Since inception of the program, more than \$31 million and 119 million program-related boardings have been provided.

<sup>9</sup>Payments are made every other month (January, March, May, July, September, and November). July payments are based on June accruals, and therefore counted as June payments. The amount totaled for one fiscal year quarter either covers one or two payments, depending on the months that fall within that quarter.

# COMMUNITY BASED TRANSIT/CIRCULATORS ▼

Status: Service Updates; Fourth Call for Projects Underway

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

**PROJECT V** 

Summary: This program provides funding for local jurisdictions to develop local bus transit services such as community-based circulators and shuttles that complement regional bus and rail services and meet needs in areas not adequately served by regional transit. To date, through a competitive process, OCTA has provided three rounds of funding (June 2013, June 2016, and June 2018) which have awarded 29 projects and 7 planning studies totaling approximately \$43 million. Out of the transit circulator projects: 20 are currently active; eight have been cancelled (primarily due to low ridership); and one has been completed.

In March 2019, OCTA requested letters of interest for a future round of Project V funding. Ten responses from eligible local agencies were received and staff reported these findings to the Board in August 2019. At that meeting, the Board directed staff to develop and evaluate potential revisions for the Project V Comprehensive Transportation



Funding Programs Guidelines. The revisions and the request to authorize a fourth Project V call for approximately \$9 million was authorized by the Board on October 14, 2019. Funding recommendations for the fourth Project V call are anticipated in April 2020.

OCTA receives ridership reports from local agencies on a regular basis to monitor the success of these services against performance measures adopted by the Board. Currently, most of these services are generally meeting their required performance standards. The most recent Project V Ridership report was presented to the Transit Committee on January 9 and the Board on January 13, 2020. The next Project V Ridership report is scheduled for Summer 2020. Lessons learned from the success of implemented services are incorporated into recommendations for future funding guidelines and programming recommendations.

Local jurisdictions have temporarily suspended local transit services beginning mid-March due to the stay-at-home order as a result of the COVID-19 pandemic.

## SAFE TRANSIT STOPS ▼

**PROJECT W** 

Status: City-Initiated Improvements Underway or Complete

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

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

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

In October 2018, the Board authorized a second Project W allocation process; providing up to \$3 million (in total) to eligible agencies to support bus stop amenity improvements. Eligible agencies were able to receive between \$20,000 to \$35,000 (per identified bus stop based on ridership). On June 13, 2019, funding recommendations were approved by the Board providing just under \$1 million to support improvements at 36 locations within the seven<sup>10</sup> eligible agencies and OCTA.

<sup>&</sup>lt;sup>10</sup> The City of Santa Ana (City) submitted 36 Project W funding request applications. However, on May 13, 2019, the Board determined that the City of Santa Ana was ineligible to receive net M2 revenues and therefore these applications were not funded. Update - An item will be brought to the Board on April 13, 2020 sharing audit results finding the City in compliance and is expected to find the City eligible to receive net M2 revenues.



# CLEAN UP HIGHWAY AND STREET RUNOFF THAT POLLUTES BEACHES ▼

**Project: Environmental Cleanup Program** 

Status: Ongoing

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

Summary: This program implements street and highway-related water quality improvement programs and projects that assist agencies countywide with federal Clean Water Act standards for urban runoff. It is intended

impact capital improvements over local operations and maintenance costs. The ECAC is charged with making recommendations to the Board on the allocation of funds for the ECP. These funds are allocated on a countywide, competitive basis to assist agencies in meeting the Clean Water Act standards for controlling transportation-

to augment, not replace existing transportation-related water quality expenditures and to emphasize high-

related pollution.

Project X is composed of a two-tiered funding process focusing on early priorities (Tier 1), and a second program designed to prepare for more comprehensive capital investments (Tier 2). To date, there have been nine rounds of funding under the Tier 1 grants program. A total of 177 projects, amounting to more than \$24 million, have been awarded by the Board since 2011. There have been two rounds of funding under the Tier 2 grants program. A total of 22 projects in the amount of \$27.89 million have been awarded by the Board since 2013. To date, all Orange County cities plus the County of Orange have received funding under this program. A tenth Tier 1 call for projects was released in March 2020. As a result of the stay-at-home order due to the COVID-19 pandemic, the schedule and timing of the Tier 1 funding recommendations is anticipated in September 2020. The impact to M2 sales tax revenue and how this will affect future Project X calls for projects is currently being assessed. Staff will also be determining the timing of a future Tier 2 call for projects. It was anticipated, prior to the most recent events, that a Tier 2 call could be feasible sometime around the fiscal year 2021 or 2022 timeframe.

Staff estimates that over 33 million gallons of trash has been captured as a result of the installation of Tier 1 devices since the inception of the Tier 1 Program in 2011. This is equivalent to over 50 Olympic size swimming pools. Over time, the volume of trash captured is expected to increase. It is estimated that the funded Tier 2 projects, once fully functional, will have an annual groundwater recharge potential of approximately 157 million gallons of water from infiltration or through pumped and treated recharge facilities.

**PROJECT X** 

# FREEWAY MITIGATION ▼

**Project:** Environmental Mitigation Program

Status: Biological Permits Issued and Conservation Plan in Place

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

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

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

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

As part of the Conservation Plan requirement, an endowment has been established to pay for the long-term management of the Preserves. It was previously estimated that it would take approximately 12 to 15 years to fully fund the endowment with deposits annually. Approximately \$2.9 million has been deposited annually. The most recent deposit was made in November 2019. A reassessment of the M2 revenue stream as well as the current Conservation Plan endowment balance will be completed due to the COVID-19 pandemic. Staff will continue to oversee and provide endowment updates to the Finance and Administration and the Environmental Oversight Committee (EOC) on a regular basis.

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



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

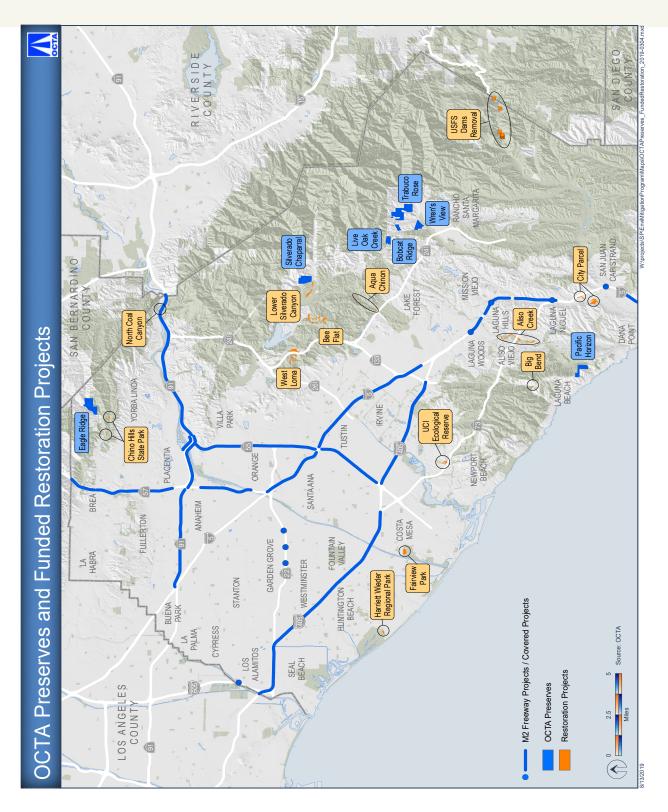
Conservation Plan Annual Reports will be completed every year. These reports will include the tracking of impacts associated with covered freeway improvement projects, other management and monitoring activities on Preserves, status and activities, progress of the restoration projects, plan administration, and public outreach activities. Annual Reports are reviewed and must be approved by the Wildlife Agencies. In summary, the Annual Reports to date document that OCTA's activities through 2019 were in compliance and on target with the Conservation Plan commitments. OCTA will continue with its' efforts to complete the required objectives in a timely manner. It is anticipated that the next Annual Report will be provided to the OCTA Board of Directors in mid-2020. The Annual Reports will be available for public review at <a href="https://www.PreservingOurLegacy.org">www.PreservingOurLegacy.org</a>.

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

OCTA provides docent led hikes and equestrian rides in the Preserves. As a result of the stay-at-home order due to the COVID-19 pandemic, OCTA is postponing all scheduled hikes and equestrian rides until further notice. OCTA will release the revised 2020 Wilderness Preserve Hiking and Equestrian Riding Tour calendar once the order has been lifted. A list of scheduled 2020 wilderness Preserve tours will be available on the M2 website at <a href="https://www.PreservingOurLegacy.org">www.PreservingOurLegacy.org</a>.

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

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





# PROGRAM MANAGEMENT OFFICE ▼

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

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

#### Market Conditions Forecast and Risk Analysis

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

The Board directed staff to continue to work with the consultant to monitor and track key early warning indicators and provide the Board with updates in a timeline consistent with updates on the M2 sales tax revenue forecast. The consultant team continues to analyze trends in material costs, labor costs, and general economic conditions to determine a range of potential cost impacts providing insight on OCTA's capital program twice a year.

The results of the fall analysis concluded that OCTA may experience a cost increase of between two percent and six percent during the 2020 through 2022 time period of construction activity. Staff incorporated information from this analysis into the M2 cashflow for the 2019 updated Next 10 Delivery Plan.

During the quarter, the consultant team completed the spring update of the forecasting model. The report was finalized prior to the COVID-19 pandemic and showed a cooling of the prior increasing-cost environment. It is anticipated that current events may cause this to further change during the Next 10 delivery years. Staff will continue to monitor the sitation as more information becomes available.

#### **Next 10 Delivery Plan**

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

Annually, OCTA reviews the M2 program assumptions and updates the cash flows and Next 10 assumptions as needed based on changes to the revenue forecast and project cost and schedule updates. The 2019 Next 10 Plan incorporating the updated forecast of \$13.4 billion was presented to the Board at the November 11, 2019



meeting. The 2019 Next 10 Plan identified five projects to be advanced through construction: I-605/ Katella Interchange (Project M), SR-57 Northbound from Orangewood Avenue to Katella Avenue (Project G), I-5 between I-405 and Yale Avenue 37 (Project B), I-5 between Yale Avenue and SR-55 (Project B) and SR-55 between I-5 and SR-91 (Project F). The result of the Next 10 Plan review demonstrated a delivery plan that remains solvent. Recent events related to the COVID-19 pandemic will be evaluated during the annual Fall review of the delivery plan to determine any updates required.

#### **M2 Performance Assessment**

The M2 ordinance includes a requirement for a performance assessment to be conducted at least once every three years to evaluate OCTA's efficiency and effectiveness in delivery of M2 as promised to the voters. Three prior performance assessments have been completed covering fiscal years FY 2006-07 through FY 2008-09, FY 2009-10 through FY 2011-12, and FY 2012-13 through FY 2014-15. A fourth assessment covering the period between July 1, 2015 and June 30, 2018 along with findings and recommendations for enhancements was presented to the Board on March 11, 2019. The report commended OCTA's management of the M2 program with eight recommendations for enhancements. Key areas the recommendations focused on were to continue to increase awareness of M2, enhance quantitative tracking data in all programs, formally memorialize the link between capital project selection and implementation, and to enhance transparency with the public. Staff implemented all eight recommendations for enhancements and provided a final report to the Board on January 13, 2020. There are no outstanding action items.

### **M2 Ordinance Tracking Matrix**

The M2 Ordinance and Transportation Investment Plan (Ordinance No. 3) includes numerous requirements that staff must follow in order to keep the promise to Orange County voters through the passage of M2. The PMO annually updates the M2 Ordinance Tracking Matrix to verify that OCTA is in compliance with all requirements detailed in Ordinance No. 3. The tracking matrix update for 2019 was finalized and will be shared with the Taxpayer Oversight Committee (TOC) next quarter. This document is for PMO tracking purposes but is also helpful to TOC members during their annual compliance finding.

# **PMO M2 Tracking Tools**

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

#### Local Jurisdiction Fact Sheets

Fact Sheets have been created for the County of Orange and each of Orange County's 34 cities. The Fact Sheets provide data on transportation and transit projects (funded through Measure M, state, and federal grants) in a format which emphasizes key points concisely on a single printed page. The City Fact Sheets are utilized when speaking with the jurisdictions to provide a summary overview of how OCTA has provided the local agency



with funding (M2 and other) and transportation improvements. During the quarter, the City Fact Sheets through December 2019 were completed. The update incorporated the 2019 Tier 1 ECP projects, the September 2019 semi-annual review of CTFP projects and programming updates.

#### M2 Financial Picture

The M2 Financial Picture report provides a summary of each M2 project's total expenditures to date (external and internal), programmed funding, current estimate at completion per the latest quarter, and M2 program cash flow assumptions through 2041. This document allows the PMO to appropriately track and answer questions regarding the M2 investment. The FY 2019-20 second quarter Financial Picture was updated in March 2020.

#### Engineer's Estimate versus Bids Tracking

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

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

The next M2 projects anticipated to go out to bid in 2020 are Project C (I-5 between Alicia Parkway and El Toro Road) and Project R (Anaheim Canyon Metrolink Station Improvements). Staff will track and update the spreadsheet as appropriate.

#### **M2 Administrative Safeguards**

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

Based on the original M2 revenue projections, OCTA expected to receive \$24.3 billion in M2 funds, with one percent of total revenues available to fund administrative salaries and benefits over the life of the program. As M2 revenue projections declined (currently \$13.4 billion or 45 percent lower) as a result of economic conditions, the funds available to support administrative salaries and benefits have also declined from the original expectations. While



revenue has declined, the administrative effort needed to deliver M2 remains the same. Additionally, the initiation of the Early Action Plan (EAP) in 2007 required administrative functions four years prior to revenue collection. While the EAP resulted in project savings and significant acceleration of the program, administrative functions were required during this time with associated administrative costs.

As a result of the aforementioned factors, OCTA has incurred higher than one percent administrative costs. OCTA currently has Board approval to use funds from the Orange County Unified Transportation Trust (OCUTT) fund to cover costs above the one percent, with the understanding that those funds will be repaid with interest in future years that OCTA administrative costs fall below the one percent cap. As of June 30, 2012, OCTA had borrowed approximately \$5.2 million from OCUTT. Over the last few years, OCTA has experienced under-runs in the one percent administration cap and has made payments to OCUTT to reduce the outstanding balance. As of the most recent December 2019 Taxpayer Oversight Committee Report, the outstanding principal balance was \$0 and the remaining interest owed to OCUTT was \$881 thousand.

Staff meets quarterly to review all labor costs to ensure proper cost allocation under M2. Staff reviews labor reports for each quarter to ensure costs attributed to the one percent cap are accurately reported and there were no misplaced project related costs, as well as to ensure project costs were applied to the correct projects.

## **Taxpayer Oversight Committee**

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

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



The TOC will meet next on June 9, 2020. The next meeting was originally scheduled for April 14, 2020, but was cancelled to ensure compliance with the stay-at-home order due to the COVID-19 pandemic. As permitted by health agencies and Taxpayer Oversight Committee schedule, a tentative special meeting has been proposed for May 12, 2020. Taxpayer Oversight Committee vacancies are being advertised for recruitment in the 2nd and 3rd Supervisorial Districts. The Grand Jurors Association of Orange County will select finalists after an extensive recruitment effort takes place in early spring.

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

# M2 FINANCING AND SCHEDULE OF FUNDING ▼

Contact: Sam Kaur, Revenue and Grants • (714) 560-5889

#### **Revenue Forecast and Collection**

OCTA contracts with three universities (Chapman University; University of California, Los Angeles; and California State University, Fullerton) to provide a long-range forecast of taxable sales to forecast M2 revenues for purposes of planning projects and program expenditures.

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

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



#### **Current Forecast**

Original projections in 2005 during the development of M2 estimated total nominal M2 sales tax collections at \$24.3 billion. Based on the most current forecasts updated in October 2019, OCTA staff forecasts total nominal sales tax collections over the life of M2 to be approximately \$13.4 billion. This is approximately \$10.9 billion (45 percent) less than the original 2005 projection.

OCTA's assumed growth rate for FY 2019 budget was 3.7 percent or gross annual sales tax of \$332 million. FY 2019 gross actuals were closely in alignment with the budget closing the year at approximately \$332 million. For FY 2020, the assumed budget growth rate is 2.5 percent.

However, this forecast does not include the impact of the COVID-19 pandemic that began in March 2020 and it is anticipated that this rate will be revised. OCTA staff is working closely with MuniServices, Inc. and the three universities to monitor and determine the impact on OCTA's sales tax collections and long-term forecast.

This Page Intentionally Left Blank



# Schedule of Revenues, Expenditures and Changes in Fund Balance as of March 31, 2020 (Unaudited) Schedule 1

	Quarter Ended	Year to Date	Period from Inception to
(\$ in thousands)	Mar 31, 2020	Mar 31, 2020	Mar 31, 2020
D		(A)	(B)
Revenues:	¢ 00.000	ф обл. 670	<b>.</b>
Sales taxes	\$ 90,232	\$ 254,570	\$ 2,668,299
Other agencies' share of Measure M2 costs:	44.040	00.000	704.074
Project related	11,642	63,889	731,674
Non-project related	=	-	454
Interest:			
Operating:	(000)	(05)	4 400
Project related	(363)	` '	1,163
Non-project related	6,612	16,280	68,636
Bond proceeds	5,009	10,161	71,648
Debt service	76	241	1,054
Commercial paper	=	-	393
Right-of-way leases	135	204	1,145
Proceeds on sale of assets held for resale	-	-	12,201
Donated assets held for resale			
Project related	-	-	2,071
Miscellaneous:			_, -, - ·
Project related	24	41	311
Non-project related	<u>-</u> .		100
Total revenues	113.367	345,321	
Total revenues	113,307	345,321	3,559,149
Evnandituras			
Expenditures:			
Supplies and services:			
Sales tax administration fees	956	2,913	29,205
Professional services:			
Project related	8,129	17,984	399,786
Non-project related	959	2,457	29,242
Administration costs:			
Project related	2,519	7,563	80,832
Non-project related:			
Saláries and Benefits	743	2,029	27,136
Other	1,326	3,979	45,994
Other:	,	.,.	-,
Project related	29	111	5,138
Non-project related	7	244	5,159
Payments to local agencies:		2-1-1	0,100
Project related	27,228	60,564	1,006,421
Capital outlay:	21,220	00,304	1,000,421
Project related	64.006	140 176	1 174 150
	64,026	148,176	1,174,159
Non-project related	-	-	31
Debt service:			
Principal payments on long-term debt	8,530	8,530	59,030
Interest on long-term debt and commercial paper	18,085	35,609	214,223
Total expenditures	132,537	290,159	3,076,356
Excess (deficiency) of revenues over (under) expenditures	(19,170)	55,162	482,793
	(10,110)		.02,.00
Other financing sources (uses):			
Transfers out:			
Project related	(7,600)	(29,782)	(234,461)
Transfers in:			
Project related	121	14,581	173,051
Bond proceeds	-	-	804,625
Payment to refunded bond escrow agent	_	_	(45,062)
Total other financing sources (uses)	(7,479)	(15,201)	698,153
	(1,419)	(13,201)	090,133
Excess (deficiency) of revenues over (under) expenditures and			
other sources (uses)	\$ (26,649)	\$ 39,961	\$ 1,180,946



# Schedule of Revenues, Expenditures and Changes in Fund Balance as of March 31, 2020 (Unaudited) Schedule 2

_(\$ in thousands)		uarter Ended ar 31, 2020 (actual)		rear to Date lar 31, 2020 (actual)	-	Period from Inception through Mar 31, 2020 (actual)		Period from April 1, 2020 through March 31, 2041 (forecast) (E.1)		Total (F.1)
Revenues:				(C.1)		(D.1)		(E. I)		(F. I)
Sales taxes	\$	90,232	\$	254,570	\$	2,668,299	\$	8,238,232	\$	10,906,531
Operating interest		6,612		16,280		68,636		123,573		192,209
Subtotal		96,844		270,850		2,736,935		8,361,805		11,098,740
Other agencies share of M2 costs		_				454		_		454
Miscellaneous		_		_		100		_		100
Total revenues		96,844		270,850	_	2,737,489		8,361,805	_	11,099,294
Administrative expenditures:										
Sales tax administration fees		956		2,913		29,205		91,116		120,321
Professional services		959		2,457		25,467		78,093		103,560
Administration costs:										
Salaries and Benefits		743		2,029		27,136		85,128		112,264
Other		1,326		3,979		45,994		143,286		189,280
Other		7		225		2,139		6,430		8,569
Capital outlay		-		-		31		-		31
Environmental cleanup		751		1,774		43,639		164,738		208,377
Total expenditures		4,742		13,377	_	173,611		568,791		742,402
Net revenues	\$	92,102	\$	257,473	\$	2,563,878	\$	7,793,014	\$	10,356,892
Bond revenues:				(C.2)		(D.2)		(E.2)		(F.2)
Proceeds from issuance of bonds	ď		¢.		\$	804,625	\$	E07 000	¢.	1 400 505
Interest revenue from bond proceeds	\$	5.009	\$	- 10.161	Ф	71,648	Ф	597,900 82.242	\$	1,402,525 153,890
Interest revenue from debt service funds		76		241		1,046		4,633		5,687
Interest revenue from commercial paper		70		241		393		4,033		393
Total bond revenues		5,085		10,402	_	877,720		684,775	_	1,562,495
Financing expenditures and uses:										
Professional services		_		_		3.775		2,093		5.868
Payment to refunded bond escrow		_		-		45,062		_,		45,062
Bond debt principal		8,530		8,530		59,030		1,228,823		1,287,853
Bond debt and other interest expense		18,085		35,609		214,223		699,918		914,141
Other		-		19		3,020		-		3,020
Total financing expenditures and uses		26,615		44,158		325,110		1,930,834		2,255,944
Net bond revenues (debt service)	\$	(21,530)	\$	(33,756)	\$	552,610	\$	(1,246,059)	\$	(693,449)



# Schedule of Revenues, Expenditures and Changes in Fund Balance as of March 31, 2020(Unaudited) Schedule 3

		Net Revenues through		Total
Project	Description	Mar 31, 2020	1	Net Revenues
	(G)	(H)		(1)
	(\$ in thousands)			
	Freeways (43% of Net Revenues)			
Α	I-5 Santa Ana Freeway Interchange Improvements	101,056	\$	408,218
В	I-5 Santa Ana/SR-55 to El Toro	64,547		260,738
С	I-5 San Diego/South of El Toro	134,812		544,580
D	I-5 Santa Ana/San Diego Interchange Upgrades	55,474		224,086
E	SR-22 Garden Grove Freeway Access Improvements	25,801		104,226
F	SR-55 Costa Mesa Freeway Improvements	78,694		317,889
G	SR-57 Orange Freeway Improvements	55,624		224,694
Н	SR-91 Improvements from I-5 to SR-57	30,102		121,597
1	SR-91 Improvements from SR-57 to SR-55	89,552		361,752
J	SR-91 Improvements from SR-55 to County Line	75,727		305,903
K	I-405 Improvements between I-605 to SR-55	230,665		931,780
L	I-405 Improvements between SR-55 to I-5	68,739		277,675
M	I-605 Freeway Access Improvements	4,300		17,371
N	All Freeway Service Patrol	32,252		130,282
	Freeway Mitigation	55,123		222,673
	Subtotal Projects Net (Bond Revenue)/Debt Service	1,102,468 -		4,453,464 <u>-</u>
	Total Freeways <u>S</u>	1,102,468	\$	4,453,464
	Street and Roads Projects (32% of Net Re	evenues)		
0	Regional Capacity Program	256,391	\$	1,035,702
Р	Regional Traffic Signal Synchronization Program	102,552		414,262
Q	Local Fair Share Program	461,498		1,864,241
	<u>-</u>			
	Subtotal Projects Net (Bond Revenue)/Debt Service	820,441 -		3,314,205 -
	Total Street and Roads Projects <u>s</u>	820,441	\$	3,314,205



# Schedule of Revenues, Expenditures and Changes in Fund Balance as of March 31, 2020 (Unaudited) Schedule 3

E	Expenditures	Rei	mbursement	s			
	through		through		Net		
N	Mar 31, 2020	M	lar 31, 2020		M2 Cost		
	(J)		(K)		(L)		
		_		_			
\$	9,042	\$	7,105	\$	1,937		
	10,389		7,952		2,437		
	177,758		47,760		129,998		
	2,304		527		1,777		
	5		-		5		
	33,354		19,684		13,670		
	51,352		12,306		39,046		
	34,880		824		34,056		
	23,502		22,202		1,300		
	6,936		5,527		1,409		
	606,452		114,281		492,171		
	9,207		6,954		2,253		
	2,133		16		2,117		
	5,917		- 2.970		5,917		
_	54,565		2,870		51,695		
	1,027,796		248,008		779,788		
	54,147		240,000		54,147		
_	01,117			_	01,117		
\$	1,081,943	\$	248,008	\$	833,935		
					40.0%		
\$	757,049	\$	505,252	\$	251,797		
	66,020		5,054		60,966		
_	444,513		77		444,436		
	1 067 500		E40 000		757 400		
	1,267,582		510,383		757,199		
	60,141				60,141		
\$	1,327,723	\$	510,383	\$	817,340		
	.,,	<del>-</del>	,	<del>-</del>	39.2%		
					JU.2 70		



# Schedule of Revenues, Expenditures and Changes in Fund Balance as of March 31, 2020 (Unaudited) Schedule 3

Project Description		Net Revenues through Mar 31, 2020		Total Net Revenues
(\$ in thousands)				***
Transit Projects (25% of Net Reve	nues)			
High Frequency Metrolink Service Transit Extensions to Metrolink Metrolink Gateways	\$	243,120 226,331 31,460	\$	1,032,946 914,274 52,936
Expand Mobility Choices for Seniors and Persons with Disabilities Community Based Transit/Circulators Safe Transit Stops		83,136 51,264 5,658		359,127 207,083 22,857
Subtotal Projects Net (Bond Revenue)/Debt Service		640,969		2,589,223
Total Transit Projects %	\$	640,969	\$	2,589,223
Environmental Cleanup (2% of Re	venu	es)		
Clean Up Highway and Street Runoff that Pollutes Beaches	\$	54,739	\$	221,975
Net (Bond Revenue)/Debt Service		-	_	-
Total Environmental Cleanup %	\$	54,739	\$	221,975
Taxpayer Safeguards and Au	dits			
Collect Sales Taxes (1.5% of Sales Taxes)  %	\$	40,024	\$	163,598
Oversight and Annual Audits (1% of Revenues) %	\$	27,369	\$	110,987



# Schedule of Revenues, Expenditures and Changes in Fund Balance as of March 31, 2020 (Unaudited) Schedule 3

_		Expenditures through Mar 31, 2020	Reimbursements through Mar 31, 2020			Net M2 Cost
	\$	290,898 80,740 98,220	\$	98,743 2,133 60,956	\$	192,155 78,607 37,264
		79,863 10,930 1,129		88 987 26		79,775 9,943 1,103
		561,780 33,635		162,933 -		398,847 33,635
	\$	595,415	\$	162,933	\$	432,482 20.8%
	\$	43,639	\$	292	\$	43,347
	_		_	-		
	\$	43,639	\$	292	\$	43,347 1.6%
	\$	29,205	\$	<u>-</u>	\$	29,205
_	\$	27,136	\$	-	\$	27,136 1.0%



M2 Funds					
ENTITY	3rd Quarter FY 2019-20	FUNDS TO DATE			
ALISO VIEJO	\$270,256	\$5,534,175			
ANAHEIM	\$1,170,808	\$45,701,328			
BREA	\$382,638	\$7,957,338			
BUENA PARK	\$578,674	\$12,414,318			
COSTA MESA	\$995,721	\$20,253,565			
CYPRESS	\$343,432	\$7,333,430			
DANA POINT	\$229,656	\$4,619,386			
FOUNTAIN VALLEY	\$411,503	\$8,626,736			
FULLERTON	\$865,971	\$18,072,714			
GARDEN GROVE	\$988,214	\$20,667,250			
HUNTINGTON BEACH	\$1,315,970	\$27,024,281			
IRVINE	\$1,915,850	\$37,592,027			
LAGUNA BEACH	\$169,777	\$3,546,931			
LAGUNA HILLS	\$226,010	\$4,736,311			
LAGUNA NIGUEL	\$440,074	\$9,257,004			
LAGUNA WOODS	\$83,388	\$1,770,437			
LA HABRA	\$352,230	\$7,316,123			
LAKE FOREST	\$543,055	\$11,006,360			



M2 Funds						
ENTITY	3rd Quarter FY 2019-20	FUNDS TO DATE				
LA PALMA	\$100,279	\$2,286,972				
LOS ALAMITOS	\$87,050	\$1,804,303				
MISSION VIEJO	\$618,296	\$12,996,838				
NEWPORT BEACH	\$740,378	\$15,289,672				
ORANGE	\$1,102,913	\$22,902,807				
PLACENTIA	\$195,436	\$6,368,339				
RANCHO SANTA MARGARITA	\$280,539	\$5,886,861				
SAN CLEMENTE	\$382,123	\$7,815,363				
SAN JUAN CAPISTRANO	\$255,892	\$5,268,631				
SANTA ANA	\$0*	\$33,406,560				
SEAL BEACH	\$159,543	\$3,480,548				
STANTON	\$0*	\$3,605,030				
TUSTIN	\$606,086	\$12,429,936				
VILLA PARK	\$34,556	\$725,309				
WESTMINSTER	\$563,701	\$11,893,179				
YORBA LINDA	\$405,249	\$8,352,462				
COUNTY UNINCORPORATED	\$1,303,014	\$26,213,928				
TOTAL M2 FUNDS	\$18,118,284	\$434,156,452				

<sup>\*</sup>On May 13, 2019, the Board determined that the City of Santa Ana and the City of Stanton ineligible to receive M2 revenues. Disbursement of M2 funds have been suspended until the cities achieve compliance and the Board reconsiders the matter on April 13, 2020. Below are the M2 Funds withheld from the ineligible cities.

ENTITY	3rd Quarter	SUSPENDED
	FY 2019-20	<b>FUNDS TO DATE</b>
SANTA ANA	\$1,854,662	\$5,259,670
STANTON	\$196,018	\$556,383
TOTAL M2 FUNDS	\$2,050,680	\$5,816,053



Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

Non-bolded = Planned/Baseline

**Bold = Forecasted/Actual** 

Conital Projects	Cost Baseline/Forecast	Schedule Plan/Forecast			
Capital Projects	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
Freeway Projects:					
I-5, SR-55 to SR-57	\$38.1	Jul-11	Jun-15	Dec-17	Apr-21
Project A	\$41.5	Jun-11	Jun-15	Nov-18	Apr-21
I-5, I-405 to Yale Avenue (Segment 1)	\$230.5	May-14	TBD	TBD	TBD
Project B	\$230.5	May-14	Sep-21	Jul-25	Jan-29
I-5, Yale Avenue to SR-55 (Segment 2)	\$200.4	May-14	TBD	TBD	TBD
Project B	\$200.4	May-14	Mar-21	Jan-25	Aug-28
I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Jun-11	Dec-14	Aug-18
Project C	\$83.5	Jun-09	Jun-11	Dec-14	Aug-18
I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Jun-11	Dec-13	Mar-17
Project C	\$75.3	Jun-09	Jun-11	Jun-14	Jul-17
I-5, Pacific Coast Highway to San Juan Creek Road	\$70.7	Jun-09	Jun-11	Oct-13	Sep-16
Project C	\$74.3	Jun-09	Jun-11	Dec-13	Jul-18
I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jan-09	Aug-12	Sep-15
Project D	\$79.8	Sep-05	Jan-09	Aug-12	Jan-16
I-5, SR-73 to Oso Parkway	\$151.9	Sep-11	Mar-15	Dec-18	Apr-25
Project C & D	\$196.1	Oct-11	Mar-15	Dec-19	Apr-25
I-5, Oso Parkway to Alicia Parkway	\$196.2	Sep-11	Nov-14	Jun-18	Nov-23
Project C & D	\$203.1	Oct-11	Nov-14	Mar-19	Nov-23
I-5, Alicia Parkway to El Toro Road	\$133.6	Sep-11	Mar-15	May-19	Jun-23
Project C	\$184.1	Oct-11	Mar-15	Aug-20	Sep-24
I-5, SR-73 to El Toro Road (Landscape)	TBD	N/A	TBD	TBD	TBD
Project C	\$12.4	N/A	Jul-22	Nov-24	Jun-26

<sup>\*</sup>Status through March 2020. For detailed project information, please refer to the individual project section within this report.

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

Non-bolded = Planned/Baseline

Capital Projects	Cost Baseline/Forecast		Schedule Plan/Forecast			
σαριίαι Γισμέσιο	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction	
I-5, I-5/El Toro Road Interchange	TBD	Apr-17	TBD	TBD	TBD	
Project D Cost/Schedule Risk	TBD	Apr-17	TBD	TBD	TBD	
SR-55, I-405 to I-5	\$410.9	Feb-11	Sep-17	Jul-21	Aug-25	
Project F Cost/Schedule Risk	\$410.9	May-11	Sep-17	Jul-21	Aug-25	
SR-55, I-5 to SR-91	TBD	Dec-16	TBD	TBD	TBD	
Project F	TBD	Dec-16	TBD	TBD	TBD	
SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue	TBD	Apr-16	TBD	TBD	TBD	
Project G	TBD	Apr-16	TBD	TBD	TBD	
SR-57 (NB), Katella Avenue to Lincoln Avenue	\$78.7	Apr-08	Jul-08	Aug-11	Sep-14	
Project G	\$38.0	Apr-08	Aug-08	Oct-11	Apr-15	
SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape)	N/A	N/A	N/A	N/A	N/A	
Project G	N/A	N/A	May-09	Sep-17	Jun-18	
SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard	\$80.2	Aug-05	Feb-08	Oct-10	May-14	
Project G	\$52.3	Aug-05	Feb-08	Oct-10	Nov-14	
SR-57 (NB), Yorba Linda Boulevard to Lambert Road	\$79.3	Aug-05	Feb-08	Oct-10	Sep-14	
Project G	\$54.1	Aug-05	Feb-08	Oct-10	May-14	
SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape)	N/A	N/A	N/A	N/A	N/A	
Project G	N/A	N/A	Oct-14	Feb-18	Apr-19	
SR-57 (NB), Lambert Road to Tonner Canyon	TBD	TBD	TBD	TBD	TBD	
Project G	TBD	Jul-23	TBD	TBD	TBD	
SR-91 Westbound (WB), I-5 to SR-57	\$78.1	Jul-07	Oct-09	Nov-12	Apr-16	
Project H	\$59.2	Jul-07	Mar-10	Jan-13	Jun-16	

<sup>\*</sup>Status through March 2020. For detailed project information, please refer to the individual project section within this report.



Green = Forecast milestone meets or exceeds plan

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

Non-bolded = Planned/Baseline

Ossiful Paris etc	Cost Baseline/Forecast	Schedule Plan/Forecast			
Capital Projects	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
SR-91 Westbound (WB), I-5 to SR-57 (Landscape)	N/A	N/A	N/A	N/A	N/A
Project H	N/A	N/A	Nov-14	Mar-17	Nov-17
SR-91, SR-55 to Lakeview Avenue (Segment 1)	TBD	Jan-15	Mar-20	TBD	TBD
Project I	\$102.5	Jan-15	Mar-20	Feb-24	Sep-27
SR-91, La Palma Avenue to SR-55 (Segment 2)	TBD	Jan-15	TBD	TBD	TBD
Project I	\$223.1	Jan-15	Jul-20	Apr-24	Dec-27
SR-91, Acacia Street to La Palma Ave (Segment 3)	TBD	Jan-15	TBD	TBD	TBD
Project I	\$109.7	Jan-15	Nov-20	Sep-24	May-28
SR-91 (WB), Tustin Interchange to SR-55	\$49.9	Jul-08	Jul-11	Oct-13	Jul-16
Project I	\$42.5	Jul-08	Jun-11	Oct-13	Jul-16
SR-91, SR-55 to SR-241	\$128.4	Jul-07	Jun-09	Sep-11	Dec-12
Project J	\$79.7	Jul-07	Apr-09	May-11	Mar-13
SR-91, SR-55 to SR-241 (Landscape)	N/A	N/A	N/A	N/A	N/A
Project J	N/A	N/A	May-12	Oct-13	Feb-15
SR-91 Eastbound, SR-241 to SR-71	\$104.5	Mar-05	Jul-07	Jul-09	Nov-10
Project J	\$57.8	Mar-05	Jul-07	Aug-09	Jan-11
I-405, SR-55 to I-605 (Design-Build)	\$1,900.0	Mar-09	Mar-14	Nov-16	May-23
Project K	\$1,900.0	Mar-09	Mar-14	Nov-16	May-23
I-405, I-5 to SR-55	TBD	Dec-14	TBD	TBD	TBD
Project L	TBD	Dec-14	TBD	TBD	TBD
I-605, I-605/Katella Interchange	\$29.0	Aug-16	TBD	TBD	TBD
Project M	\$29.0	Aug-16	Nov-20	May-23	Feb-25

<sup>\*</sup>Status through March 2020. For detailed project information, please refer to the individual project section within this report.

Green = Forecast milestone meets or exceeds plan

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

Non-bolded = Planned/Baseline

Capital Projects	Cost Baseline/Forecast	<b>Schedule</b> Plan/Forecast			
Oapitai i Tojects	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
Grade Separation Projects:					
Raymond Avenue Railroad Grade Separation	\$77.2	Feb-09	Mar-10	May-13	Aug-18
Project O	\$125.6	Feb-09	Mar-10	Feb-14	May-18
State College Boulevard Railroad Grade Separation (Fullerton)	\$73.6	Dec-08	Jul-06	May-13	May-18
Project O	\$100.3	Dec-08	Jul-06	Feb-14	Mar-18
Placentia Avenue Railroad Grade Separation	\$78.2	Jan-01	Jan-09	Jun-11	Nov-14
Project O	\$64.5	Jan-01	Jan-09	Jul-11	Dec-14
Kraemer Boulevard Railroad Grade Separation	\$70.4	Jan-01	Jan-09	Aug-11	Oct-14
Project O	\$63.8	Jan-01	Feb-09	Sep-11	Dec-14
Orangethorpe Avenue Railroad Grade Separation	\$117.4	Jan-01	Feb-09	May-12	Sep-16
Project O	\$105.9	Jan-01	Feb-09	Jan-13	Oct-16
Tustin Avenue/Rose Drive Railroad Grade Separation	\$103.0	Jan-01	Feb-09	Aug-12	May-16
Project O	\$96.6	Jan-01	Feb-09	Feb-13	Oct-16
Lakeview Avenue Railroad Grade Separation	\$70.2	Jan-01	Feb-09	May-13	Mar-17
Project O	\$110.7	Jan-01	Feb-09	Nov-13	Jun-17
Rail and Station Projects:					
Sand Canyon Avenue Railroad Grade Separation	\$55.6	N/A	Jan-04	Feb-11	May-14
Project R	\$61.9	N/A	Jan-04	Feb-11	Jan-16
Rail-Highway Grade Crossing Safety Enhancement	\$94.4	Jan-08	Jan-08	Aug-09	Dec-11
Project R	\$90.4	Jan-08	Jan-08	Aug-09	Dec-11

<sup>\*</sup>Status through March 2020. For detailed project information, please refer to the individual project section within this report.



Green = Forecast milestone meets or exceeds plan

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

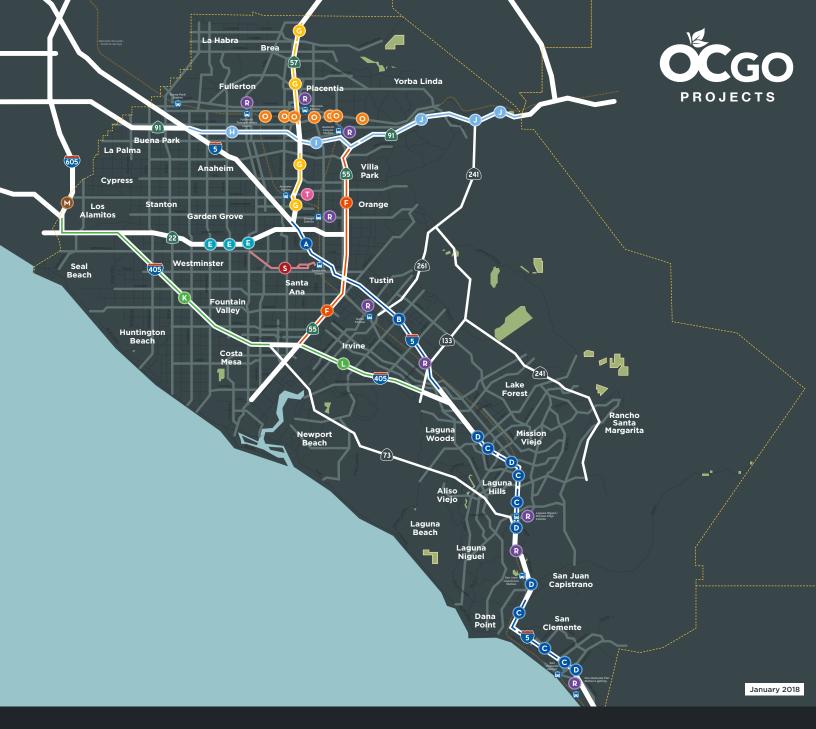
Red = Forecast milestone is over three months later than plan

Non-bolded = Planned/Baseline

	Cost		Schedule			
Capital Projects	Baseline/Forecast	Baseline/Forecast Plan/Forecast				
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction	
San Clemente Beach Trail Safety Enhancements	\$6.0	Sep-10	Feb-12	Oct-12	Jan-14	
Project R	\$5.0	Sep-10	Feb-12	May-13	Mar-14	
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Mar-15	Dec-16	Feb-21	
	\$36.4	Aug-11	Mar-15	Mar-19	Feb-21	
Placentia Metrolink Station and Parking Structure	\$34.8	Jan-03	Oct-08	TBD	TBD	
Project R Cost/Schedule Risk	\$40.1	Jan-03	Oct-08	Feb-21	Sep-22	
Orange County Maintenance Facility	TBD	TBD	TBD	TBD	TBD	
Project R	TBD	Apr-20	TBD	TBD	TBD	
Anaheim Canyon Station	\$27.9	Jan-16	Mar-19	Nov-19	Mar-21	
	\$29.9	Jan-16	Mar-18	Nov-20	Mar-22	
Orange Station Parking Expansion	\$33.2	Dec-09	Nov-10	Nov-16	Feb-19	
	\$30.9	Dec-09	Nov-10	Jun-17	Feb-19	
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	Jan-12	Sep-14	Mar-17	
	\$4.2	N/A	Jan-12	Apr-15	May-19	
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.5	Jul-13	Jul-13	Jan-15	Apr-17	
	\$5.0	Jul-13	Jul-13	Oct-15	Sep-17	
Anaheim Regional Transportation Intermodal Center	\$227.4	Apr-09	Jun-09	Jul-12	Nov-14	
Project R & T	\$232.2	Apr-09	Jun-09	Sep-12	Dec-14	
OC Streetcar	\$424.4	Aug-09	Feb-16	Aug-18	Dec-21	
Project S Cost/Schedule Risk	\$424.4	Aug-09	Feb-16	Sep-18	Apr-22	

<sup>\*</sup>Status through March 2020. For detailed project information, please refer to the individual project section within this report.





## FREEWAY IMPROVEMENT PROGRAM

## **Interstate 5** (I-5) Projects

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

## State Route 22 (SR-22) Projects

E SR-22 Access Improvements

## State Route 55 (SR-55) Projects

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

#### State Route 57 (SR-57) Projects

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

#### State Route 91 (SR-91) Projects

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

#### Interstate 405 (I-405) Projects

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

#### Interstate 605 (I-605) Projects

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

## **STREETS & ROADS**

- Grade Separation Program (shown)

## TRANSIT PROJECTS

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

## OC GO PROJECTS NOT SHOWN

Project N: Freeway Service Patrol

**Project 0:** Streets & Roads - Regional Capacity Program

Project Q: Local Fair Share Program

Project R: Grade crossing and

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

Project V: Community Based Transit/Circulator

Project W: Safe Transit Stops

Project X: Environmental Cleanup Program





## June 8, 2020

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

From: Laurena Weinert, Clerk of the Board

**Subject:** Amendment to Agreement for Additional Program Management

Consultant Services for the Highway Program

Regional Planning and Highways Committee Meeting of June 1, 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**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 10 to Agreement No. C-5-3767 between the Orange County Transportation Authority and Mott MacDonald, LLC, in the amount of \$5,329,618, to provide additional program management consultant services for the Highway Programs Department. This will increase the maximum obligation of the agreement to a total contract value of \$24,780,661.



## June 1, 2020

**To:** Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

**Subject:** Amendment to Agreement for Additional Program Management

Consultant Services for the Highway Program

#### Overview

On April 11, 2016, the Orange County Transportation Authority Board of Directors approved an agreement with Mott MacDonald, LLC (formerly known as Hatch Mott MacDonald, LLC) to provide program management consultant services for the Highway Programs Department, for a term of five years, with one, two-year option term. An amendment to the existing agreement is requested for additional program management consultant services.

## Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 10 to Agreement No. C-5-3767 between the Orange County Transportation Authority and Mott MacDonald, LLC, in the amount of \$5,329,618, to provide additional program management consultant services for the Highway Programs Department. This will increase the maximum obligation of the agreement to a total contract value of \$24,780,661.

## Discussion

The current program of highway projects is an aggressive endeavor to deliver more than \$5 billion of improvements through the Measure M2 (M2) freeway program. The Next 10 Delivery Plan Update, adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in November 2019, advanced additional projects through construction, resulting in \$4.3 billion of freeway improvements that will be complete or nearing completion by 2026. To meet this commitment, OCTA's Highway Programs Department (HPD) continues implementation of numerous freeway projects in the environmental, final design, right-of-way (ROW), utility relocation, and construction phases.

The HPD maintains a small core staff of program and project management professionals to oversee the highway program, which is supplemented by program management consultant (PMC) personnel to assist with providing the appropriate level of management oversight needed for the 30 projects included in the M2 freeway program. The PMC personnel assist and support the delivery of projects in the environmental, design, ROW acquisition, utility relocation, and construction phases to meet scope, cost, and schedule commitments by providing full-time staff, as well as part-time services and technical expertise, as needed for each project.

To ensure continued support by the PMC personnel to the HPD to meet delivery commitments, approval is requested for an amendment for additional PMC services. The proposed amendment will enable the PMC staff to provide additional ROW management, scheduling, cost estimating, and claims support services for the design-build (DB) Interstate 405 (I-405) Improvement Project as identified in the table below, the extent of which were not anticipated when the contract was executed in 2016. PMC support of the State Route 55 (SR-55) Improvement Project from I-405 to Interstate 5 (I-5) was not included in the original scope of work, because the project was only identified to be environmentally cleared at that time. Through the Next 10 Delivery Plan updates and Board actions, the SR-55 project was advanced to construction on an accelerated schedule, and OCTA is the lead agency for ROW acquisition and relocation. The proposed amendment includes additional project management and ROW services as included in the table below. Board-approved updates to the Next 10 Delivery Plan resulted in advancing eight projects through construction on State Route 91 (SR-91) from SR-55 to State Route 57 (SR-57), I-5 from I-405 to SR-55, SR-55 from I-5 to SR-91, SR-57 from Orangewood Avenue to Katella Avenue, and the Interstate 605/ Katella Avenue interchange. The proposed amendment includes additional PMC support for the start of the design and ROW phases of these projects. The total amount of additional support services will be \$5,329,618. The breakdown of the proposed amendment by project and by category of additional services is provided in the following table:

Project	Scope	Description
	ROW	Additional program management support to the
		Real Property Department.
	Scheduling	Additional scheduling support.
	Claims	Additional claims support to address high-risk
05		potential change orders (PCOs).
-405	Cost	Additional cost estimating support for high-risk
	Estimating	PCOs.
	Pavement	Additional pavement mitigation study for corridor
	Mitigation	cities as prescribed in the cooperative agreements.

# Amendment to Agreement for Additional Program Management *Page 3* Consultant Services for the Highway Program

	<b>.</b>	A 1 11/4 1 1 4 4 4 4 4 4 4 4 4 4 4 4 4 4
	Project	Additional project management support, including
	Management	engineering (person most qualified [PMQ]) and
		utilities support. The SR-55 project was not included
	DOM	in the level of effort developed for the initial contract.
22	ROW	Additional ROW support to the Real Property
SR-55	Drainat	Department.
S	Project Controls	Additional part-time project controls support.
	Cost	Additional cost estimating support for numerous
	Estimating	utility agreements
	Lournaurig	dunty agreements
	Project	Additional project management support starting in
	Management	early 2021. Includes PMQ, utilities, and support to
	5011	the project manager.
_	ROW	Additional ROW support to the Real Property
SR-91		Department starting early 2021.
S	Utilities	Additional utility support starting early 2021.
	Project	Additional project controls support starting in early
	Controls	2021.
Ŋ	Project	Additional project management support starting in
ner ect	Management	early 2021. Includes ROW, utilities, and support to
Other Projects		the project managers.

Mott MacDonald, LLC, has been providing technical expertise and staff augmentation to assist in the delivery of the highway and railroad grade separation projects for the highway program since 2016. This specialized support has included the development, procurement, and oversight of the I-405 DB contract. Services include project management and administration, design services and preliminary project development, ROW support services, DB procurement, toll procurements and contracts, third-party agreements, funding, and oversight of DB construction. Additional support is needed from Mott MacDonald, LLC, to maintain successful delivery of the M2 freeway program during its peak period, as described above.

## Procurement Approach

The procurement was handled in accordance with OCTA's Board-approved procedures for architectural and engineering services which conform to both state and federal laws. On April 11, 2016, the Board approved an agreement with Mott MacDonald, LLC, for an initial term of five years with one, two-year

# Amendment to Agreement for Additional Program Management Page 4 Consultant Services for the Highway Program

option term. The total maximum obligation of the initial five-year term was issued in the amount of \$19,451,043. This agreement has been previously amended for administrative changes as shown in Attachment A.

Staff requested a cost proposal from Mott MacDonald, LLC for the level of effort required for additional support services. The cost proposal was reviewed by OCTA project staff and found to be fair and reasonable for the tasks to be performed.

Proposed Amendment No. 10 to Agreement No. C-5-3767, in the amount of \$5,329,618, is to provide funding for the additional level of effort needed. Amendment No. 10 will bring the total contract value to \$24,780,661.

## Fiscal Impact

Funding is included in OCTA's Fiscal Year 2020-21 Budget, Capital Programs Division, accounts 0017-7519-FK101-HGL, 0037-9017-A9510-HGL, and 0017-7519-FF101-HGL, and is funded with a combination of federal, state, and local funds.

## Summary

Staff recommends Board of Directors' authorization for the Chief Executive Officer to negotiate and execute Amendment No. 10 to Agreement No. C-5-3767, in the amount of \$5,329,618, between the Orange County Transportation Authority and Mott MacDonald, LLC, to provide additional support services for program management consultant services for the Highway Program. This amendment will increase the maximum obligation of the agreement to a total contract value of \$24,780,661.

# Amendment to Agreement for Additional Program Management *Page 5* Consultant Services for the Highway Program

## Attachment

A. Mott MacDonald, LLC, Agreement No. C-5-3767 Fact Sheet

## Prepared by:

Rose Casey, P.E.

Director, Highway Programs

(714) 560-5729

Virginia Abadessa

Director, Contracts Administration and

Jase Casury

Materials Management

(714) 560-5623

Approved by:

James G. Beil, P.E.

**Executive Director, Capital Programs** 

(714) 560-5646

# Mott MacDonald, LLC Agreement No. C-5-3767 Fact Sheet

- 1. April 11, 2016, Agreement No. C-5-3767, \$19,451,043, approved by the Board of Directors (Board).
  - The agreement was executed on August 24, 2016, to provide program management consulting services for the Highway Programs Department (HPD) on an as-needed basis.
- 2. February 23, 2017, Amendment No. 1 to Agreement No. C-5-3767, \$0, approved by the Contracts Administration and Materials Management (CAMM) Department.
  - Add new key personnel for prime consultant Mott MacDonald.
  - Add option term language and modify allowable costs and payment language.
  - Modify "Other Direct Costs" schedule to update notes.
- 3. July 13, 2017, Amendment No. 2 to Agreement No. C-5-3767, \$0, approved by the CAMM Department.
  - Add new key personnel and other personnel for prime consultant Mott MacDonald and all subconsultants.
  - Add non-key personnel for subconsultant Lenax Construction Services, Inc.
- 4. October 16, 2017, Amendment No. 3 to Agreement No. C-5-3767, \$0, approved by the CAMM Department.
  - Add new key personnel for the prime consultant Mott MacDonald.
- 5. February 1, 2018, Amendment No. 4 to Agreement No. C-5-3767, \$0, approved by the CAMM Department.
  - Add La Belle Marvin, Inc., as a new subconsultant to perform pavement testing, analysis, and engineering services.
- 6. April 25, 2019, Amendment No. 5 to Agreement No. C-5-3767, \$0, approved by the CAMM Department.
  - Add key and non-key personnel for prime consultant Mott MacDonald.
- 7. July 29, 2019, Amendment No. 6 to Agreement No. C-5-3767, \$0, approved by the CAMM Department.
  - Modify the agreement's allowable costs and payment article in response to OCTA's internal audit recommendations to address reimbursement of prime consultant Mott MacDonald's labor.

- 8. August 19, 2019, Amendment No. 7 to Agreement No. C-5-3767, \$0, approved by the CAMM Department.
  - Modify agreement to reflect Mott MacDonald's new address.
  - Add new key staff and remove staff no longer employed by Mott MacDonald.
  - Add non-key personnel for subconsultant VSCE, Inc.
  - Add KZAB Engineers, Inc., as a new subconsultant to perform project management and engineering support related to right-of-way (ROW) engineering.
  - 9. October 7, 2019, Amendment No. 8 to Agreement No. C-5-3767, \$0, approved by the CAMM Department.
    - Add Monument ROW, Inc., as a new subconsultant to perform ROW coordination activities and provide project management support.
- 10. March 23, 2020, Amendment No. 9 to Agreement No. C-5-3767, \$0, approved by the CAMM Department.
  - Add non-key personnel for prime consultant Mott MacDonald and for subconsultants Monument ROW, Inc., La Belle Marvin, Inc., and VSCE, Inc.
- 11. June 8, 2020, Amendment No. 10 to Agreement No. C-5-3767, \$5,329,618, pending Board approval.
  - Amend the scope of work and add \$5,329,618, to provide additional program management consultant services for the HPD.

Total committed to Mott MacDonald, LLC after approval of Amendment No. 10 to Agreement No. C-5-3767: \$24,780,661.