



BOARD AGENDA

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

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

Agenda Descriptions

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

Public 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/Committee Meeting

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

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



BOARD AGENDA

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

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

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

Public comments may be submitted for the upcoming Board and Committee meetings by emailing them to boardofdirectors@octa.net.

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.



BOARD AGENDA

Call to Order

Roll Call

Invocation

Director Steel

Pledge of Allegiance

Director Pulido

Special Calendar

There are no Special Calendar matters.

Consent Calendar (Items 1 through 13)

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

1. Approval of Minutes

Approval of the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of October 26, 2020.

2. Employee Separations, Internal Audit Report No. 21-501

Serena Ng/Janet Sutter

Overview

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of employee separations. Based on the audit, internal controls related to employee separations have been established and controls to ensure accurate final payroll processing are adequate. However, the Internal Audit Department recommends improvements in the employee off-boarding process, more consistent stale account reviews of system user access, and improved documentation and communication of employee exit survey results.



BOARD AGENDA

2. (Continued)

Recommendation

Direct staff to implement the recommendations provided in Employee Separations, Internal Audit Report No. 21-501.

3. Coronavirus Update

Darrell E. Johnson

Overview

The Orange County Transportation Authority continues to take proactive measures in response to the impacts of the coronavirus pandemic in relation to transportation services, programs, and projects. The response efforts are centered around agency core values, helping to ensure the health and safety of the public and employees while continuing to provide essential transportation services and deliver critical infrastructure improvements. An overview and update on these efforts is presented.

Recommendation

Receive and file as an information item.

4. Orange County Transportation Authority Investment and Debt Programs Report - September 2020

Robert Davis/Andrew Oftelie

Overview

The Orange County Transportation Authority has a comprehensive investment and debt program to fund its immediate and long-term cash flow demands. Each month, the Treasurer submits a report detailing investment allocation, performance, compliance, outstanding debt balances, and credit ratings for the Orange County Transportation Authority's debt program. This report is for the month ending September 30, 2020. The report has been reviewed and is consistent with the investment practices contained in the Investment Policy.

Recommendation

Receive and file as an information item.



BOARD AGENDA

5. **Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board**
Sam Kaur/Andrew Oftelie

Overview

The Orange County Transportation Authority Board of Directors authorized loan agreements with the cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board. This report provides the annual update on the status of each of these agreements as requested by the Board of Directors.

Recommendation

Receive and file as an information item.

6. **Orange County Transportation Authority Code of Conduct**
Karen DeCrescenzo/Maggie McJilton

Overview

As required by the Federal Transit Administration and organizational best practices, the Orange County Transportation Authority maintains a written code of conduct to provide direction to officers, employees, agents, and members of the Board of Directors on appropriate and professional behavior in the conduct of Orange County Transportation Authority business.

Recommendation

Receive and file as an information item.

7. **Active Transportation Program Biannual 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.



BOARD AGENDA

8. Regional Planning Update Warren Whiteaker/Kia Mortazavi

Overview

Regional planning updates are provided regularly to highlight transportation planning issues impacting the Orange County Transportation Authority and the Southern California region. This update focuses on the Southern California Association of Governments' 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy and the state's California Transportation Plan 2050.

Recommendation

Receive and file as an information item.

Orange County Local Transportation Authority Consent Calendar Matters

9. Consultant Selection for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project Between Yale Avenue and State Route 55 Niall Barrett/James G. Beil

Overview

On June 22, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for the preparation of plans, specifications, and estimates for the Interstate 5 Widening Project between Yale Avenue and State Route 55. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of TranSystems Corporation as the firm to prepare the plans, specifications, and estimates for the Interstate 5 Widening Project between Yale Avenue and State Route 55.



BOARD AGENDA**9. (Continued)**

- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2371 between the Orange County Transportation Authority and TranSystems Corporation for the preparation of plans, specifications, and estimates for the Interstate 5 Widening Project between Yale Avenue and State Route 55.

**10. Capital Programs Division - First Quarter Fiscal Year 2020-21
Capital Action Plan Performance Metrics Report**

James G. Beil

Overview

Staff has prepared a quarterly progress report on capital project delivery for the period of July 2020 through September 2021 for review by the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery, which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

Recommendation

Receive and file as an information item.

**11. Agreement for Measure M2 Environmental Mitigation Program Interim
Biological Preserve Monitoring**

Lesley Hill/Kia Mortazavi

Overview

Consultant services are needed to provide biological monitoring of the conservation lands acquired through the Orange County Transportation Authority's Measure M2 Environmental Mitigation Program. Board of Directors' approval is requested to execute an agreement to perform the required work.



BOARD AGENDA**11. (Continued)****Recommendations**

- A. Approve the selection of Glenn Lukos Associates, Inc., as the firm to provide biological monitoring of the Orange County Transportation Authority's acquired conservation lands.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2479 between the Orange County Transportation Authority and Glenn Lukos Associates, Inc., in the amount of \$350,000, to provide biological monitoring of the Orange County Transportation Authority's acquired conservation lands for a three-year term.

12. Consultant Selection for Traffic and Intelligent Transportation Systems Engineering Services for the Warner Avenue Regional Traffic Signal Synchronization Program Project

Amy Tran/Kia Mortazavi

Overview

On May 11, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for a consultant to provide traffic and intelligent transportation systems engineering services for the Warner Avenue Regional Traffic Signal Synchronization Program Project. Board of Directors' approval is requested for the selection of the firm to perform the required work.

Recommendations

- A. Approve the selection of Iteris, Inc., as the firm to provide traffic and intelligent transportation systems engineering services for the Warner Avenue Regional Traffic Signal Synchronization Program Project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2020 between the Orange County Transportation Authority and Iteris Inc., to provide traffic and intelligent transportation systems engineering services for the Warner Avenue Regional Traffic Signal Synchronization Program Project.



BOARD AGENDA

Orange County Service Authority For Freeway Emergencies Consent Calendar Matters

13. Service Authority for Freeway Emergencies Call Box Upgrade and Reduction Plan

Patrick Sampson/Jennifer L. Bergener

Overview

The Orange County Service Authority for Freeway Emergencies assists motorists and mitigates traffic congestion through its Freeway Call Box, 511 Motorist Assistance and Traveler Information, and Freeway Service Patrol programs. Staff is requesting Board of Directors' approval to reduce the number of freeway call boxes while performing a required equipment upgrade.

Recommendation

Authorize staff to reduce the number of freeway call boxes operated by the Orange County Service Authority for Freeway Emergencies as part of a required call box radio upgrade.

Regular Calendar

Orange County Transit District Regular Calendar Matters

14. Agreement for the Procurement of 40-Foot Plug-In Battery-Electric Buses

Dayle Withers/Jennifer L. Bergener

Overview

On April 27, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for quotes for the purchase of up to ten, 40-foot plug-in battery-electric buses. As a result, quotes from qualified vendors under the California Statewide Contract for Zero-Emission Transit Buses issued by the California Department of General Services have been evaluated. Board of Directors' approval is requested to award an agreement for the purchase of these buses.



BOARD AGENDA**14. (Continued)****Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2165 between the Orange County Transportation Authority and New Flyer of America, Inc., in the amount of \$10,373,230, for the purchase of up to ten 40-foot plug-in battery-electric buses.

Orange County Transportation Authority Regular Calendar Matters**15. Amendments to the Master Plan of Arterial Highways**

Stephanie Chhan/Kia Mortazavi

Overview

The Orange County Transportation Authority administers the Master Plan of Arterial Highways, including the review and approval of amendments requested by local agencies. The City of Santa Ana has requested multiple amendments to the Master Plan of Arterial Highways. These amendments are subject to approval by the Board of Directors and are recommended to be contingent on an executed memorandum of understanding to address potential impacts. A status update on the active Master Plan of Arterial Highways amendments is also provided.

Recommendations

- A. Authorize the Chief Executive Officer, or his designee, to negotiate and execute a final memorandum of understanding specifying roles and responsibilities for implementation of proposed actions related to the Master Plan of Arterial Highways amendment request. Participating agencies include the cities of Fountain Valley, Santa Ana, Tustin, and the Orange County Transportation Authority.
- B. Conditionally approve the following amendment to the Master Plan of Arterial Highways to:
 - 1. Reclassify the following streets from a secondary (four-lane, undivided) arterial to a divided collector (two-lane divided):



BOARD AGENDA

15. (Continued)

- i. Cambridge Street between Fairhaven Avenue and State Route 22.
- ii. Santa Clara Avenue between Grand Avenue and Tustin Avenue.
- iii. Broadway Street between 1st Street and 17th Street.
- iv. Penn Way between Interstate 5 southbound on/off-ramps and Washington Avenue.
- v. Santiago Avenue between Washington Avenue and 6th Street.
- vi. Standard Avenue between 6th Street and Warner Avenue.
- vii. Civic Center Drive between Fairview Street and Bristol Street.
- viii. ***Hazard Avenue between Euclid Street and Harbor Boulevard.**
***Excluded: See "Committee Transmittal" for details.**
- ix. Raitt Street between Segerstrom Avenue and Santa Ana Boulevard.
- x. McFadden Avenue between Harbor Boulevard and Grand Avenue.
- xi. Flower Street between Warner Avenue and First Street.
- xii. Halladay Avenue between Warner Avenue and Dyer Road.
- xiii. Chestnut Avenue between Standard Avenue and Grand Avenue.



BOARD AGENDA

15. (Continued)

2. Reclassify Civic Center Drive between French Street and Santiago Street, from a secondary (four-lane, undivided) arterial to a collector (two-lane, undivided) arterial.
3. Reclassify 1st Street between Bristol Street and Tustin Avenue, from a major (six-lane, divided) to a primary (four-lane, divided) arterial.
4. Reclassify Chestnut Avenue between Grand Avenue the eastern city limit, from a primary (four-lane, divided) to a divided collector (two-lane, divided) arterial.
5. Remove the following facilities from the Master Plan of Arterial Highways:
 - i. Flower Street between 17th Street and its northern terminus.
 - ii. Logan Street between Stafford Street and Santa Ana Boulevard.
 - iii. Stafford Street between proposed Logan Street and Santiago Street.

The proposed amendment will become final contingent upon the Orange County Transportation Authority (1) fully executing a final memorandum of understanding with the cities of Fountain Valley, Santa Ana, and Tustin, and (2) receiving documentation that the City of Santa Ana has complied with the requirements of the California Environmental Quality Act and have amended their general plan.

If the original proposed Master Plan of Arterial Highways amendment is modified as a result of the California Environmental Quality Act and/or general plan amendment process, the modified Master Plan of Arterial Highways amendment shall be returned to the Orange County Transportation Authority Board of Directors for consideration and action.



BOARD AGENDA**15. (Continued)**

- C. Conditionally approve the amendment to the Master Plan for Arterial Highways for Fairhaven Avenue between Grand Avenue to Tustin Avenue from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided) arterial. The proposed amendment will become final contingent upon the Orange County Transportation Authority receiving documentation that the cities of Santa Ana and Orange have complied with the requirements of the California Environmental Quality Act and have amended their respective general plans.

If the cities of Santa Ana and Orange do not update their respective general plans within three years to reflect the Master Plan of Arterial Highway amendment, the contingent amendment will expire, but can be returned to the Orange County Transportation Authority Board of Directors for reconsideration and action.

If the original proposed Master Plan of Arterial Highways amendment is modified as a result of the California Environmental Quality Act and/or general plan amendment process, the modified Master Plan of Arterial Highways amendment shall be returned to the Orange County Transportation Authority Board of Directors for consideration and action.

- D. Direct the Executive Director of Planning, or his designee, to file a Notice of Exemption from the California Environmental Quality Act in support of the Master Plan of Arterial Highways amendment.
- E. Receive and file a status report on the active Master Plan of Arterial Highways amendments.



BOARD AGENDA

Orange County Local Transportation Authority Regular Calendar Matters

16. Measure M2 Next 10 Delivery Plan: Market Conditions Key Indicators Analysis and Forecast

Francesca Ching/Kia Mortazavi

Overview

At the request of the Board of Directors, the Orange County Transportation Authority monitors construction market conditions. Annually, a report on Market Conditions Key Indicators Analysis and Forecast is presented to the Board of Directors to provide insight into potential project delivery cost drivers that could affect the Measure M2 Next 10 Delivery Plan. An updated forecast has been prepared. A presentation on the results of this effort is provided.

Recommendation

Continue to monitor market conditions key indicators and their effects on the Next 10 Delivery Plan and provide updates to the Board of Directors as appropriate.

Discussion Items

17. 2020 Board of Directors and Chief Executive Officer Initiatives and Action Plan - Third Quarter Progress Report

Darrell E. Johnson

On January 27, 2020, the Orange County Transportation Authority's Board of Directors and the Chief Executive Officer identified a set of priority goals and a supporting Action Plan. Quarterly progress reports are prepared sharing activities and accomplishments. This report summarizes the third quarter activities of calendar year, July through September 2020, and includes the revised Action Plan.



BOARD AGENDA

- 18. Public Comments**
- 19. Chief Executive Officer's Report**
- 20. Directors' Reports**
- 21. Closed Session**

There are no Closed Sessions scheduled.

- 22. Adjournment**

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

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

Call to Order

The October 26, 2020 regular meeting of the Orange County Transportation Authority (OCTA) and affiliated agencies was called to order by Chairman Jones at 9:01 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 (COB) 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
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 Operating Officer
Laurena Weinert, COB
Martha Ochoa, Assistant COB
James Donich, General Counsel (via teleconference)

Invocation

Director Sidhu gave the invocation.

Pledge of Allegiance

Director Davies led in the Pledge of Allegiance.

Special Calendar

There were no Special Calendar matters.

Consent Calendar (Items 1 through 16)

Orange County Transportation Authority Consent Calendar Matters

1. Approval of Minutes

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of October 12, 2020.

2. Coronavirus Update

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to receive and file as an information item.

3. Fiscal Year 2020-21 Internal Audit Plan, First Quarter Update

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to receive and file the first quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2020-21 Internal Audit Plan as an information item.

4. Agreement for Fullerton Transportation Center Stair Replacement Project

Director Bartlett pulled this item, commented the lowest responsive bid was about \$705,000, several non-responsive bids in which the vendors did not meet the Disadvantaged Business Enterprise (DBE) requirement, another vendor had non-responsive bid due to not signing a require document, and asked staff to explain.

Pia Veespan, Interim Director of Contracts Administration and Materials Management, stated that the low and third low bidders did not propose any DBE firms, and the second low bidder was deemed non-responsive for failure to sign a required federal form.

Ms. Veespan also stated that OCTA provided a pre-bid conference to the bidders that included an explanation of the procurement rules and regulations.

Director Bartlett asked staff to continue helping the vendors with the procurement process, and possibly offer training sessions because the vendors are overlooking mandatory aspects of the procurement process.

A motion was made by Director Bartlett, seconded by Director Pulido, and following a roll call vote, declared passed 16-0, to:

- A. Find A2Z Construct, Inc., the apparent low bidder and Metro Building and Engineering Group, Ltd., the apparent third low bidder, as non-responsive for failure to meet the federal requirement for Disadvantaged Business Enterprise participation; and find AP Construction, Inc., the apparent second low bidder, as non-responsive for failure to sign the Disclosure of Lobbying Activities form as required by the bid instructions and the Federal Transit Administration.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2267 between the Orange County Transportation Authority and Golden Gate Construction, the lowest responsive, responsible bidder, in the amount of \$705,300, for the Fullerton Transportation Center Stair Replacement Project.

5. Agreement for Rideshare and Vanpool Marketing, Design, and Advertising Services

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to:

- A. Approve the selection of Brown Marketing Strategies, Inc. to provide rideshare and vanpool marketing, design, and advertising services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2206 between the Orange County Transportation Authority and Brown Marketing Strategies, Inc. in the amount of \$570,000, to provide rideshare and vanpool marketing, design, and advertising services for a two-year term, with a one-year option term.

6. Update on Diversity Outreach and Inclusion Efforts

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to receive and file as an information item.

7. First Quarter Fiscal Year 2020-21 Procurement Status Report

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to receive and file as an information item.

8. Agreement for State Legislative Advocacy and Consulting Services

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to:

- A. Approve the selection of Topp Strategies, LLC, as the firm to provide state legislative advocacy and consulting services.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2369 between the Orange County Transportation Authority and Topp Strategies, LLC, in the amount of \$420,000, for a two-year initial term, effective January 1, 2021 to December 31, 2022, with two, two-year options, to perform state legislative advocacy and consulting services.

9. Federal Legislative Status Report

Director Bartlett pulled this item and stated there was a notation about making changes to improve the DBE program that has bipartisan support to continue the program. Director Bartlett requested a further explanation as to what the improvements entailed.

Dustin J. Sifford, Senior Government Relations Representative, stated the DBE program discussion referenced in the staff report was about the House Transportation and Infrastructure Committee hearing. Mr. Sifford also stated the bipartisan support is for improvements and changes to streamline the DBE program, as well as provided other comments.

Director Bartlett asked if there are specifics to the DBE program streamlining to make it more efficient for the vendors. Mr. Sifford responded the streamlining is about process improvements and at this time there are not specifics, as well as provided other comments.

Director Bartlett asked staff to be in contact with OCTA's federal lobbyists team to monitor the DBE program improvements.

Lance M. Larson, Executive Director of Government Relations, stated that OCTA specifically tagged the DBE issues because it has been a concern of OCTA's Board for several years. Additionally, OCTA's federal lobbyists followed the recent hearing, there were no written proposals or plans shared by both sides of the majority and minority, and OCTA will monitor and report back to the Legislative and Communications Committee.

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

10. Draft 2021-22 State and Federal Legislative Platforms

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to direct staff to continue developing the initial drafts of the 2021-22 State and Federal Legislative Platforms and prepare subsequent drafts for final approval.

Orange County Transit District Consent Calendar Matters

11. Agreement for Locker Room Expansion at Santa Ana Bus Base Maintenance Building

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2467 between the Orange County Transportation Authority and Thomco Construction, Inc., the lowest responsive, responsible bidder, in the amount of \$339,123, for locker room expansion at the Santa Ana Bus Base maintenance building.

12. Agreement for Replacement of Light Poles and Luminaires at Golden West Transportation Center

Director Bartlett pulled this item, noted there were some DBE issues, as well as commented on the different bid amounts and engineer's estimate of \$400,000. Director Bartlett asked why there is a difference between the recommended awarded of approximately \$223,000 relative to the engineer's estimate of \$400,000.

James G. Beil, Executive Director of Capital Programs, referenced the last paragraph on Page 3 of the staff report that includes an explanation of the bid estimates differences relative to the engineer's estimate. Mr. Beil highlighted how the recommended firm is saving on costs.

Director Bartlett stated OCTA is familiar with the other firms with higher bids, some firms do not have access to the same cost points relative to materials, the higher bid firms are not performing the work themselves, and asked if that is correct. Mr. Beil responded that is OCTA's understanding.

A motion was made by Director Bartlett, seconded by Director M. Murphy, and following a roll call vote, declared passed 15-0, to:

- A. Find KDC, Inc., dba Dynalectric, the apparent low bidder and Elecnor Belco Electric, Inc., the apparent second low bidder, as non-responsive for failure to meet the federal requirement for Disadvantaged Business Enterprise participation.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2363 between the Orange County Transportation Authority and Crosstown Electrical & Data, Inc., the lowest responsive, responsible bidder, in the amount of \$223,789, for the replacement of light poles and luminaires at the Golden West Transportation Center.

Vice Chairman Do was not present to vote on this item.

13. State Transit Assistance Fund and SB 1 (Chapter 5, Statutes of 2017) State of Good Repair Claims for Fiscal Year 2020-21

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to:

- A. Adopt Resolution No. 2020-281 to authorize the filing of State Transit Assistance Fund claims, in the amount of \$22,592,552, or up to the actual allocation published by the State Controller's Office, to support public transportation.
- B. Authorize the filing of SB 1 State of Good Repair claims, in the amount of \$6,426,478, or up to the actual allocation published by the State Controller's Office, to help sustain and upgrade the Orange County Transportation Authority's bus system.

Orange County Local Transportation Authority Consent Calendar Matters

14. Approve the Release Request for Proposals for Preliminary Engineering and Environmental Services for the Irvine Station Improvements Project

A motion was made by Director Sidhu, seconded by Director Hernandez, and following a roll call vote, declared passed 16-0, to:

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2604 for consultant services for preliminary engineering and environmental services for the Irvine Station Improvements Project.
- B. Approve the release of Request for Proposals 0-2604 for consultant services for preliminary engineering and environmental services for the Irvine Station Improvements Project.

15. Approval to Release Request for Proposals for Construction Management Support Services for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

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

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2582 for selection of a consultant to provide construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

15. (Continued)

- B. Approve the release of Request for Proposals 0-2582 to provide construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

Directors Steel and Wagner voted in opposition.

16. Regional Traffic Signal Synchronization Program Update

Director Bartlett pulled this item to thank staff for the great work on the signal synchronization program in the Fifth District and highlighted the improvements the program has made.

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

Regular Calendar

Orange County Transportation Authority Regular Calendar Matters

17. Transportation Infrastructure Finance and Innovation Act Loan Interest Rate Reset

Darrell E. Johnson, CEO, provided opening comments and introduced Andrew Oftelie, Chief Financial Officer, who provided a PowerPoint presentation as follows:

- Background;
- Key Provisions of Transportation Infrastructure Finance and Innovation Act (TIFIA) Loan;
- Recent Communications;
- Potential Savings;
- Recommendations; and
- Next Steps.

Finance and Administration (F&A) Committee Chairman Hennessey stated that the F&A Committee has been following this item, He complimented staff for the re-set of the TIFIA loan, which will save the taxpayers \$460 million, as well as provided other comments.

A motion was made by Director Hennessey, seconded by Director M. Murphy, and following a roll call vote, declared passed 14-0, to:

- A. Direct staff to proceed with pursuing an interest rate reset of Orange County Transportation Authority's Transportation Infrastructure Finance and Innovation Act Loan for the Interstate 405 Improvement Project.

17. (Continued)

- B. Authorize staff to execute Amendment No. 1 to Agreement No. C-7-2137 between the Orange County Transportation Authority and Sperry Capital, Inc. in the amount of \$170,000, to provide financial advisory services to the Orange County Transportation Authority for the interest rate reset transaction. The total contract amount will increase to \$665,000.
- C. Authorize staff to execute Amendment No. 1 to Agreement No. C-0-2021 between the Orange County Transportation Authority and Nossaman LLP, in the amount of \$65,000, to provide bond counsel services to the Orange County Transportation Authority for the interest rate reset transaction. The total contract amount will increase to \$301,000.
- D. Authorize the payment of fees and expenses required by the Build America Bureau to facilitate the interest rate reset.
- E. Direct staff to return to the Board of Directors for approval of the financing documents required to execute the closing of the transaction.

Vice Chairman Do and Director Pulido were not present to vote on this item.

Orange County Local Transportation Authority Regular Calendar Matters

18. 2020 Measure M2 Sales Tax Forecast

Darrell E. Johnson, CEO, provided opening comments and introduced Sean Murdock, Director of Finance and Administration, who reported on the following:

- Due to the significant decrease in forecasted taxable sales because of the coronavirus (COVID-19) pandemic, OCTA prepared a preliminary Measure M2 (M2) Sales Tax Forecast update that was presented to the F&A Committee.
- OCTA received the final tax receipts for fiscal year 2019-20 in September 2020 and has prepared the last 2020 M2 sales tax forecast update.
- OCTA staff has also incorporated updated forecasts for MuniServices, LLC, Chapman University, California State University, Fullerton, and the University of California, Los Angeles.
- At this time, OCTA does not anticipate any changes to the M2 projects currently underway.
- Staff is conducting a long-term analysis in conjunction with updates to the M2 Next 10 Delivery Plan, the Comprehensive Business Plan, and the 20-year financial plan.

18. (Continued)

A motion was made by Director Hennessey, seconded by Director Bartlett, and following a roll call vote, declared passed 14-0, to direct staff to determine the impacts of the updated forecast to Measure M2 programs and projects and return to the Board of Directors with options to address the decrease in projected sales tax revenue.

Vice Chairman Do and Director Pulido were not present to vote on this item.

Discussion Items

19. Coronavirus Impacts to the 91 Express Lanes

Kirk Avila, General Manager, Express Lanes Program, provided a PowerPoint presentation as follows:

- Coronavirus Pandemic: Impacts;
- Actions Taken to Date;
- Toll Rates – OCTA;
- Orange County Traffic Volumes;
- Orange County Potential Toll Revenues;
- Current Conditions Compared to Pre-COVID-19;
- Capital Projects Continue Despite COVID-19;
- Moving Forward; and
- Next Steps.

No action was taken on this information item.

20. Public Comments

There were no public comments.

21. Chief Executive Officer's Report

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

Santiago Silverado Fire -

- This morning, a wildfire broke out in the areas of Santiago and Silverado canyon.
- OCTA is in contact with the Orange County Emergency Operations Center (OCEOC), as well as an update was provided offline to Mr. Johnson by Director Chamberlain.
- The closures of roads and toll roads due to the fire were highlighted.

21. (Continued)

- OCTA will continue to monitor the fire, and at this time, there is no direct impact to OCTA's services.
- OCTA is a part of the OCEOC and disaster service workers.

October Employees of the Month Recognition -

- The Coach Operator Employee of the Month is Kapitan Pattimura from the Garden Grove Base who started his driving career with OCTA in June 2003.
- The Maintenance Employee of the Month is Travis Corey who joined OCTA in November 2013, and currently a Journeyman Mechanic on the third shift at the Garden Grove Base.
- The Administrative Employee of the Month is Archie Tan a Senior Transportation Modeling Analyst who joined OCTA more than five years ago. Mr. Tan is part of OCTA's Regional Modeling and Traffic Operations Section specializing in travel demand modeling, traffic simulation, and other traffic engineering projects.
- OCTA's October Employees of the Month were congratulated.

22. Directors' Reports

There were no Directors' reports.

23. Closed Session

There were no Closed Sessions scheduled.

24. Adjournment

The meeting adjourned at 9:53 a.m.

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

ATTEST:

Laurena Weinert
Clerk of the Board

Steve Jones
Chairman



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors
From: Laurena Weinert, Clerk of the Board
Subject: Employee Separations, Internal Audit Report No. 21-501

Finance and Administration Committee Meeting of October 28, 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

Direct staff to implement the recommendations provided in Employee Separations, Internal Audit Report No. 21-501.



October 28, 2020

To: Finance and Administration

From: Darrell E. Johnson, Chief Executive Officer

Janet Sutter, Executive Director
Internal Audit Department



Subject: Employee Separations, Internal Audit Report No. 21-501

Overview

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of employee separations. Based on the audit, internal controls related to employee separations have been established and controls to ensure accurate final payroll processing are adequate. However, the Internal Audit Department recommends improvements in the employee off-boarding process, more consistent stale account reviews of system user access, and improved documentation and communication of employee exit survey results.

Recommendation

Direct staff to implement the recommendations provided in Employee Separations, Internal Audit Report No. 21-501.

Background

The supervisor of a separating employee completes the employee exit processing form on the employee's last day and sends the form to Human Resources (HR). HR then sends the form to the General Services Helpdesk, Information Systems (IS) Helpdesk, and the Security and Emergency Preparedness Department to cancel access to networks, equipment, building, and parking structure. HR also completes a Personnel Action Form and forwards it to the Payroll Department to initiate processing of the employee's final paycheck.

To identify factors in the workplace which promoted or inhibited employee satisfaction and performance of job duties, voluntarily separating employees are

asked if they would like to participate in an employee exit survey coordinated by an outside vendor.

On a quarterly basis, IS Department staff is scheduled to perform a stale account review to identify whether there are any active Orange County Transportation Authority system user accounts that should be deleted.

Discussion

The employee off-boarding process is dependent upon HR's timely distribution of employee exit processing forms to other departments for action. Omissions and delays in distribution of these forms were detected during testing, resulting in separated employees having continued network, equipment, building, and/or parking access, or in delays in the removal of such access. The Internal Audit Department (Internal Audit) recommended that the employee off-boarding process be improved and streamlined, with resumption of HR's suspended efforts to automate the employee exit processing form. HR responded that they would work with other departments to resume efforts to convert the employee exit processing form into an electronic form.

Quarterly stale account reviews are to be performed to determine if any system user accounts should be disabled or deleted; however, these reviews were not consistently performed. Internal Audit recommended that stale account reviews be performed quarterly to ensure that accounts associated with separated employees have been disabled or deleted. Management agreed, noting that they are also working to make the process more efficient.

Voluntarily separated employees are asked if they would like to participate in an employee exit survey administered by an outside vendor; however, the invitation to participate is not recorded. In addition, reports of exit survey results are not prepared and presented to management. Internal Audit recommended that invitations to participate in employee exit surveys be documented and that a procedure be developed to analyze and communicate exit survey results to management. HR agreed, noting that written procedures will be developed to cover the employee exit survey process and communication of the results.

Summary

Internal Audit has completed an audit of employee separations and has made three recommendations to improve the process.

Attachment

A. Employee Separations, Internal Audit Report No. 21-501

Prepared by:

A handwritten signature in black ink that reads "Serena K. Ng". The signature is written in a cursive style with a large, looped 'S' and a distinct 'Ng' at the end.

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

Approved by:

A handwritten signature in black ink that reads "Janet Sutter". The signature is written in a cursive style with a large, looped 'J' and a distinct 'Sutter' at the end.

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

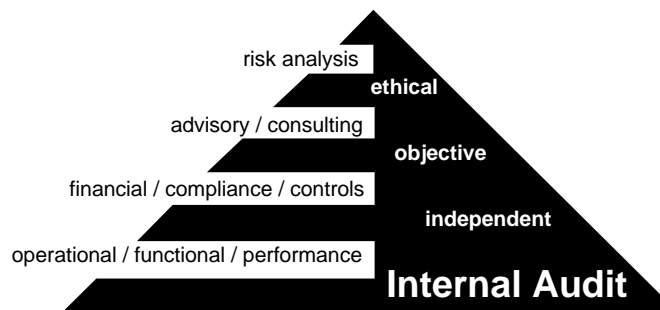
ORANGE COUNTY TRANSPORTATION AUTHORITY INTERNAL AUDIT DEPARTMENT



Employee Separations

Internal Audit Report No. 21-501

October 12, 2020



Performed by

Serena Ng, CPA, Senior Manager
Janet Sutter, CIA, Executive Director

Serena K. Ng

Distributed to:

Maggie McJilton, Executive Director, Human Resources and Organizational Development
Andrew Oftelie, Chief Financial Officer, Finance and Administration
Bill Mao, Karen DeCrescenzo, Katrina Faulkner, Benjamin Torres,
Ron Wolf, Michael Beerer, Sara Belovsky, Cherie Finona, Long Leu,
Harry Truong, Samantha Robert, Marc Cedeno

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Employee Separations
October 12, 2020**

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ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Employee Separations
October 12, 2020

Conclusion

The Internal Audit Department (Internal Audit) of the Orange County Transportation Authority (OCTA) has completed an audit of employee separations. Based on the audit, internal controls related to employee separations have been established, and controls to ensure accurate final payroll processing are adequate. However, Internal Audit recommends improvements in the employee off-boarding process, more consistent quarterly stale account reviews, and improved documentation and communication of employee exit survey results.

Background

Employee Exit Policy

The Employee Exit Policy establishes guidelines for processing all exiting employees, with the following objectives:

1. Effectively coordinate the return of OCTA property, processing of final pay, notification of benefit options, and resolution of pending accounting or business matter affecting the exiting employee;
2. Provide an opportunity for voluntarily separated employees to express their opinions about the work climate, job supervision, compensation and benefits, policies and procedures, training, and other factors which may impact employee morale and productivity; and
3. Identify factors in the workplace which promoted or inhibited employee satisfaction and performance of job duties during the period of employment, particularly those factors which may have caused the employee separation.

Employee Separation Process

Human Resources (HR) receives notification of voluntary separations from the employee, the employee's supervisor or base staff, or the Orange County Employees Retirement System. HR emails the employee exit processing form (exit form) to the supervisor or base staff. The separating employee is asked to complete the Voluntary Resignation form if he or she has not already provided a written notification. For involuntary separations, the Labor and Employee Relations section will either work directly with the employee's supervisor or allow the HR Business Partner to handle the paperwork.

HR asks voluntarily separating employees if they would like to participate in an exit interview to go over benefits and exit questions and/or an exit survey coordinated by an outside vendor. HR mails exit package containing benefits information to involuntarily separated employees at their last known home address.

ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Employee Separations
October 12, 2020

On the employee's last day, the direct supervisor is expected to complete the exit form and send the form to HR for processing. HR then sends the form to Payroll, General Services Helpdesk, Information Systems (IS) Helpdesk, and the Security and Emergency Preparedness Department (SEP), to deactivate or disable access to the computer network and applications, as well as building and parking access. The form is also sent to the Clerk of the Board for Form 700 filing. HR also completes a Personnel Action Form and forwards it to Payroll to initiate processing of the employee's final paycheck.

When IS receives the exit form, IS opens a Helpdesk ticket in the Crow Canyon system, that includes a series of tasks to be performed. The tasks include disabling the employee's active directory (AD) account, removing all HP-UX systems for the existing account, removing the user from the local admin and remote desktop user group, disabling building access, removing the employee's profile from Lync, Exchange, and Office 365, and disabling or terminating access to certain applications. Staff typically changes the account password to allow managers to access data for a period of time, disables the AD account when the manager indicates that access is no longer needed, and then deletes the AD account after around 90-180 days. On a quarterly basis, staff performs a stale account review to determine if there are accounts that should be deleted.

When General Services receives the exit form for an employee that works at the Orange administrative office, staff emails a request to property management to remove the employee's parking access. Staff also updates a parking list that is later compared to the property management's parking reports to ensure that terminated employees are no longer on the report.

SEP becomes aware of employee separations through receipt of exit forms and base personnel status change forms, as well as through the IS Helpdesk tickets. SEP also receives weekly reports of employee terminations. SEP staff deactivates the separated employee's building access badge in the Lenel system.

Payroll files the Personnel Action Forms associated with separations for the next payroll run. Staff calculates the leave payouts based on the criteria for administrative and union employees in the Personnel & Salary Resolution and the applicable union agreements.

ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Employee Separations
October 12, 2020

Objectives, Scope, and Methodology

The objective was to assess, and test internal controls related to employee separations.

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.¹ The components and principles that were evaluated as part of this audit are:

- Control Environment
 - OCTA demonstrates a commitment to attract, develop, and retain competent individuals in alignment with objectives.
- Risk Assessment
 - OCTA identifies risks to the achievement of its objectives across the entity and analyzes risks as a basis for determining how the risks should be managed.
- Control Activities
 - OCTA deploys control activities through policies that establish what is expected and procedures that put policies into action.
- Information and Communication
 - OCTA internally communicates information, including objectives and responsibilities for internal control, necessary to support the functioning of internal control.
- Monitoring
 - OCTA selects, develops, and performs ongoing and/or separate evaluations to ascertain whether the components of internal control are present and functioning.

The methodology included testing for evidence of internal controls over employee separations, including evidence of IS' completion of quarterly stale account reviews, SEP's receipt of weekly termination reports, and employee exit surveys for voluntarily separating employees. Internal Audit tested a sample of 40 employee separations for compliance with the Employee Exit Policy and evidence of internal controls, including IS Helpdesk ticket creation and account access removal, removal of building and parking access, and issuance of final paycheck with leave payouts. Testing included determining whether IS Helpdesk tickets were created by the next day after involuntary separations and within 10 days of voluntary separations, and whether building access badges were deactivated the next day after involuntary separations and within one week after voluntary separations (10 days for voluntary separations prior to mid-January 2019).

¹ 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.

ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Employee Separations
October 12, 2020

The scope was limited to employee separations and excluded recruitment and promotions. The scope excluded internal controls over Form 700 filing notifications, as Form 700 filings will be the subject of another audit. Testing of employee separations was limited to a judgmental sample of 40 employee separations occurring from July 1, 2018 to July 16, 2020, and was designed to cover administrative and union employees with a bias toward more recent separations. Since the sample was 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.

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Employee Separations
October 12, 2020**

Audit Comments, Recommendations, and Management Responses

Employee Off-Boarding Process

The employee off-boarding process is dependent on HR's timely distribution of exit forms to other departments for processing. Omissions and delays in distribution of these forms were detected during testing. HR management indicated that creation of an automated exit form began several months ago; however, the effort had been suspended due to COVID-19. Currently, HR distributes the exit form via email to the IS and General Services Helpdesks as well as to SEP.

Testing of 40 separated employees found that HR lost one exit form, did not distribute another, and delayed distribution of two other exit forms, resulting in separated employees having continued network, building, and/or parking access, or in delays in the removal of such access. In addition, one voluntarily separated employee still had building access, and three voluntarily separated employees had building access for over a week after separation. One of the three voluntarily separated employees continued to have parking access three months after separation. Two involuntarily separated employees had building access for two days after separation, and another involuntarily separated employee's building access had been removed but staff couldn't determine the date of deactivation. Finally, there were multiple IS Helpdesk tickets with open assignments, including disabling of AD accounts and removal of applications.

Recommendation 1:

Internal Audit recommends that the employee off-boarding process be improved and streamlined. HR should resume efforts to convert the exit form into an electronic form. Digital signoffs should be required from IS, SEP, and General Services to confirm removal of separated employees' network, building, and parking access. Consideration should be given to incorporating the IS Helpdesk ticket assignments into the electronic exit form; thus, eliminating the need to create a ticket. Management should also establish requirements for more timely removal of access for involuntarily separated employees due to the higher risk.

Management Response:

HR will work with IS and all departments involved in the exit process, to resume its efforts to convert the exit form into an electronic form. Involuntarily separated Administrative employees will not be included in the electronic form due to the need for timely processing and confidentiality. Involuntarily separated represented employees can be included in the electronic form because they go through a progressive discipline process which is complete by the time the exit process is initiated. Written guidelines will be developed for the removal of access for involuntarily separated Administrative employees.

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Employee Separations
October 12, 2020**

Review of Active Directory Accounts

The IS Department has implemented a quarterly stale accounts review process to determine if any AD accounts need to be disabled or deleted; however, these reviews have not been consistently performed.

Only four quarterly stale account reviews were performed in the last two years. Stale accounts reviews are a key monitoring control to ensure that the AD account associated with a separated employee is disabled or deleted.

When an employee separates, the IS Department typically changes the password to allow manager access, then disables the AD account when manager access is no longer needed. The account is ultimately deleted after 90 to 180 days. During the audit, Internal Audit identified five separated employees with active AD accounts without subsequent password changes, allowing them continued access to the network ranging from one month to six months after separation, as of the audit test date.

Recommendation 2:

Internal Audit recommends that staff perform the quarterly stale accounts review consistently to ensure that accounts associated with separated employees have been disabled or deleted.

Management Response:

Management agrees with the recommendation and Information Systems staff will perform the stale accounts review on a quarterly basis. Information Systems is currently in the process of transitioning the stale accounts review responsibility from the Cybersecurity Project Manager over to the Operations Project Manager that now oversees the security initiatives from the operational perspective.

Our first meeting for this transition was held on August 11, 2020. Since then, our Operations Project Manager has had two working meetings with our System Administrators not only reviewing the stale accounts, but also developing methods to make the process less time consuming and more efficient.

Employee Exit Surveys

HR indicated that voluntarily separated employees are asked if they would like to participate in an employee exit survey administered by an outside vendor. However, HR does not maintain evidence that employees were invited to participate. As a result, Internal Audit was unable to determine whether employees declined to participate or had not been extended an invitation.

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Employee Separations
October 12, 2020**

Employee exit surveys are intended to provide an opportunity for employees to express their opinions about the work climate and for OCTA to identify factors in the workplace that promoted or inhibited employee satisfaction and performance of job duties. However, reports of exit survey results are not prepared and presented to management to ensure action on any identified trends and/or common factors causing employee separation.

Recommendation 3:

Internal Audit recommends that employee exit surveys be sent to all voluntarily separating employees, and the invitation be documented.

Additionally, HR should develop and implement a procedure for analyzing and communicating exit survey results and presenting trends and common factors to executive management. The procedure should be incorporated into the Employee Exit Policy.

Management Response:

HR will send employee exit surveys to all voluntarily separating employees when contact information is provided. HR will document the invitation to participate in the exit survey. HR will develop a written procedure for the employee exit survey process and will make any necessary changes to the Employee Exit Policy.

HR will communicate exit survey results to executive management twice a year and will incorporate that process into the above-mentioned written procedure.



**MATERIALS WILL BE PROVIDED UNDER
SEPARATE COVER PRIOR TO THE
NOVEMBER 9, 2020
BOARD OF DIRECTORS MEETING.**



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Orange County Transportation Authority Investment and Debt Programs Report - September 2020

Finance and Administration Committee Meeting of October 28, 2020

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

Absent: None

Committee Vote

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

Staff Recommendation

Receive and file as an information item.



October 28, 2020

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Orange County Transportation Authority Investment and Debt Programs Report – September 2020

Overview

The Orange County Transportation Authority has a comprehensive investment and debt program to fund its immediate and long-term cash flow demands. Each month, the Treasurer submits a report detailing investment allocation, performance, compliance, outstanding debt balances, and credit ratings for the Orange County Transportation Authority's debt program. This report is for the month ending September 30, 2020. The report has been reviewed and is consistent with the investment practices contained in the Investment Policy.

Recommendation

Receive and file as an information item.

Discussion

As of September 30, 2020, the Orange County Transportation Authority's (OCTA) outstanding investments totaled \$2.1 billion. The portfolio is divided into three managed portfolios: the liquid portfolio for immediate cash needs, the short-term portfolio for future budgeted expenditures, and the bond proceeds portfolio to meet Measure M2 (M2) transportation program needs. In addition to these portfolios, OCTA has funds invested in debt service reserve funds for the 91 Express Lanes Program.

The weighted average book yield for the OCTA portfolio is 1.5 percent. The book yield measures the exact income, or interest, on a bond without regard to market price change. The yield is the income return on an investment, such as the interest received from holding a particular security. The yield is usually expressed as an annual percentage rate based on the investment's cost and market value.

OCTA's month-end balance in the Local Agency Investment Fund was \$10,899,573, with an average monthly effective yield of 0.7 percent. OCTA's month-end balance in the Orange County Investment Pool (OCIP) was \$15,640,428. For the month of August, the monthly gross yield for the OCIP was 1.1 percent. Yields for the month of September will be received in October.

During the month of September, one security held within OCTA's investment portfolio was downgraded. The total number of securities on the Negative Credit Watch decreased to five securities for the month. Please refer to I-8 (Rating Downgrades) and I-9 (Negative Credit Watch) of Attachment A for further details. As of September 30, 2020, the securities reflected on I-8 and I-9 still meet the minimum ratings requirements set forth by OCTA's Investment Policy.

OCTA's debt program is separate from its investment program and is comprised of M2 Sales Tax Revenue Bonds, 91 Toll Revenue Bonds, and 2017 Transportation Infrastructure Finance and Innovation Act (TIFIA) Loan. The debt program currently has an outstanding principal balance of \$1 billion as of September 30, 2020. Approximately 63 percent of the outstanding balance is comprised of M2 debt, nine percent is associated with the 91 Express Lanes Program, and 29 percent is for the TIFIA Loan.

Summary

The Treasurer is submitting a copy of the Orange County Transportation Authority Investment and Debt Programs report to the Finance and Administration Committee. The report is for the month ending September 30, 2020.

Attachments

- A. Orange County Transportation Authority Investment and Debt Programs – For the Period Ending September 30, 2020.
- B. Orange County Transportation Authority Portfolio Listing as of September 30, 2020

Prepared by:



Robert Davis
Department Manager
Treasury/Public Finance
(714) 560-5675

Approved by:



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

**Treasury/Public Finance Department's
Report On**

**Orange County Transportation Authority
Investment and Debt Programs**



**Presented to the
Finance and Administration Committee**

**For The Period Ending
September 30, 2020**

INVESTMENT PROGRAM

OCTA Investment Dashboard

9/30/2020

Safety of Principal

Securities that fell below OCTA's minimum credit quality requirements during the month of September 2020:
Not applicable.

Securities currently held within OCTA's portfolio that fell below OCTA's minimum credit quality requirements during prior reporting periods:

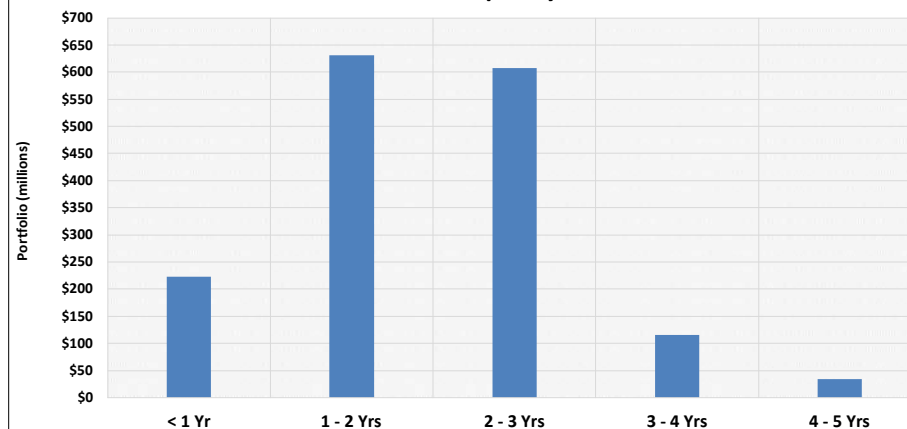
On Thursday, February 20, 2020, Moody's downgraded the long-term debt rating of Nissan to Baa1 from A3. OCTA holds three high quality AAA Nissan Auto/Lease asset backed security positions, respectively 0.3%, 0.4% and 0.6% of the portfolio. However, for asset backed securities, receivables are sold via a legal concept called "true sale" into a bankruptcy-remote issuing trust, therefore isolated from the financial health of the issuer. There has been no negative price action on the asset backed securities on news of the downgrade. The Treasurer reviewed the position and recommended the securities be held for the short-term. The Treasurer presented his recommendation to the Deputy Chief Executive Officer who concurred.

Securities downgraded or placed on Negative Credit Watch during the month of September 2020, but remain in compliance with OCTA's Investment Policy:

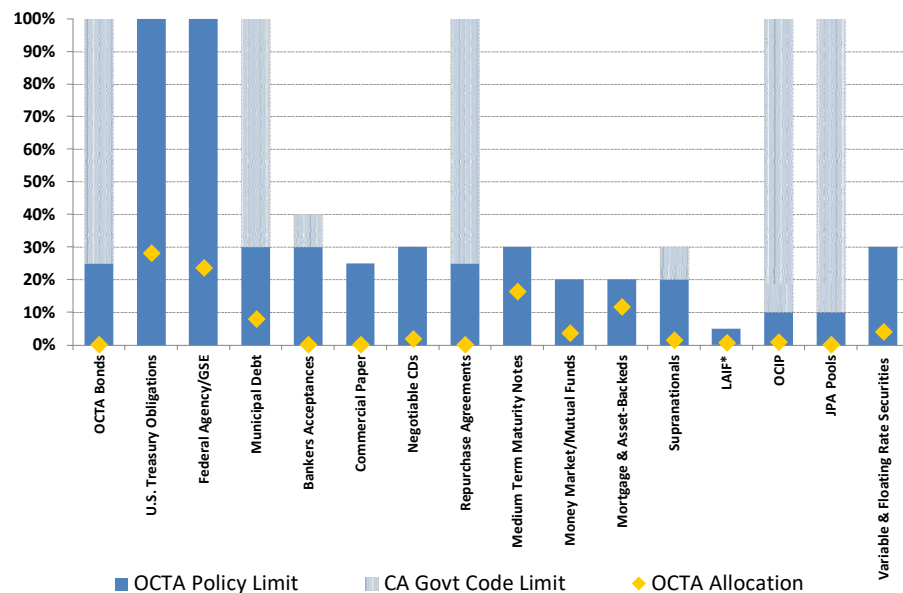
One security held within OCTA's investment portfolio was downgraded, and one was placed on negative credit watch during the month.

For further details please refer to I-8 & 1-9 of this report.

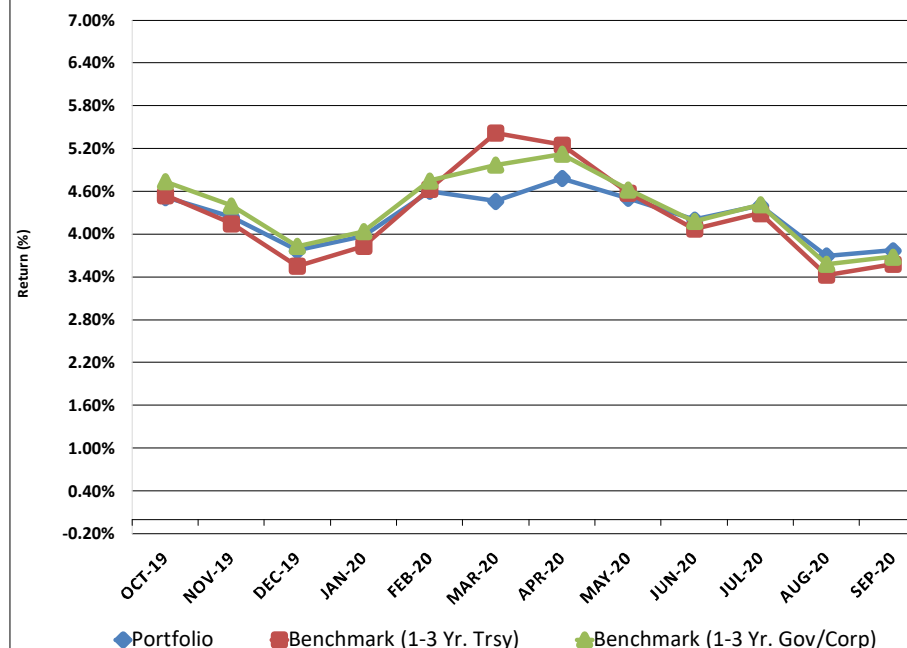
Portfolio Liquidity



Portfolio Diversification



Portfolio Return - 12 Month



*Per CA Government Code LAIF limit is \$75 million

Investment Compliance

9/30/2020

Portfolio Subject to Investment Policy			
Short-Term/Liquid Portfolio ¹	Dollar Amount Invested	Percent Of Portfolio	Investment Policy Maximum Percentages
U.S. Treasury Obligations	\$ 466,792,648	27.0%	100%
Federal Agency/GSE	391,124,200	22.6%	100%
Municipal Debt	130,786,434	7.6%	30%
Commercial Paper	-	0.0%	25%
Negotiable Certificates of Deposit	29,800,000	1.7%	30%
Repurchase Agreements	70,499,450	4.1%	25%
Medium Term Maturity Notes/Corporates	271,277,036	15.7%	30%
Money Market/Mutual Funds	59,389,733	3.4%	20%
Mortgage & Asset-Backed	194,079,312	11.2%	20%*
Supranationals	23,732,180	1.4%	20%
Local Agency Investment Fund	10,899,573	0.6%	\$ 75 Million
Orange County Investment Pool	15,640,428	0.9%	10%
Joint Powers Authority Pools	-	0.0%	10%
Bank Deposits	253,511	0.0%	5%
Variable & Floating Rate Securities	64,450,407	3.7%	30%
Total Short-Term/Liquid Portfolio	\$ 1,728,724,914	100.0%	

1. Excludes portion of Liquid Portfolio subject to Indenture

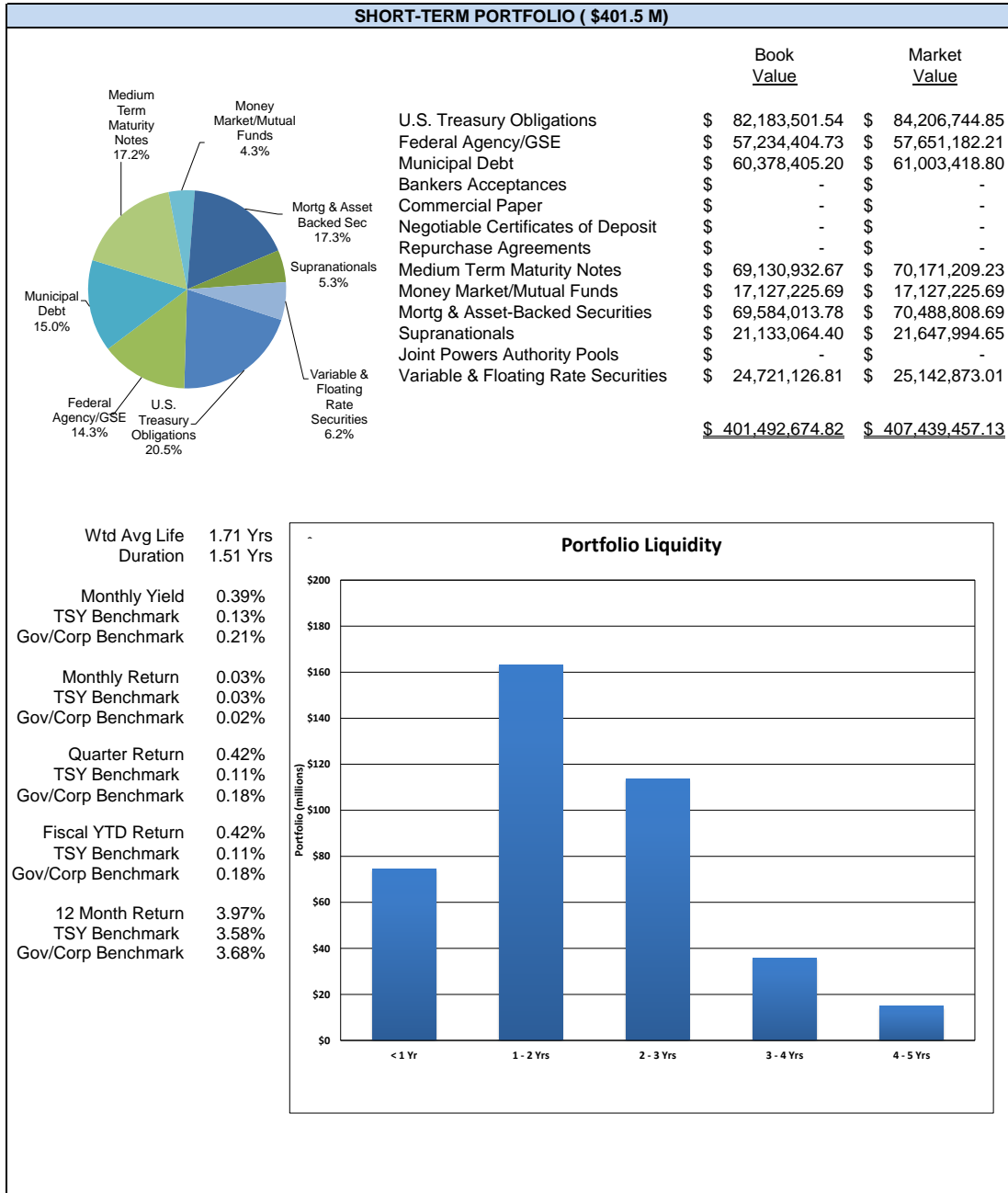
*Asset-backed securities, excluding mortgages, may not exceed 10 percent of the allocation

Portfolio Subject to Indenture					
	Dollar Amount Invested	Credit Quality	OCTA Term	Indenture Requirements	
				Credit Quality	Term
Liquid Portfolio*					
Money Market Funds	\$ 67,681,007	AAA/Aaa	45 days	Min. A2/A	Max. 4 years
Bond Proceeds Portfolio					
Money Market Funds	\$ 52,939,233	AAA/Aaa	45 days	Min. A2/A	Max. 4 years
Commercial Paper	\$ 59,974,875	P-1/F-1/A-1	60-90 days	Min. A2/A	Max. 4 years
Guaranteed Investment Contract	116,950,000	Aa2/AA-/A+	N/A	Min. A3/A-	N/A
Total Bond Proceeds Portfolio	\$ 229,864,108				
Reserve Funds Portfolio					
Commercial Paper	\$ 25,077,914	P-1/F-1	60-90 days	Min. A-1/P-1	Max. 180 days
Bank Deposits	\$ 204,407				
US Treasuries Obligations	957	AAA/Aaa	30 days	Min. A2/A	Max. 5 years
Total Reserve Funds Portfolio	\$ 25,283,277				
Total Portfolio Subject to Indenture	\$ 255,147,385				
Portfolio Total	\$ 2,051,553,307				

*Reflects portion of Liquid Portfolio subject to Indenture

Investment Manager Diversification and Maturity Schedules

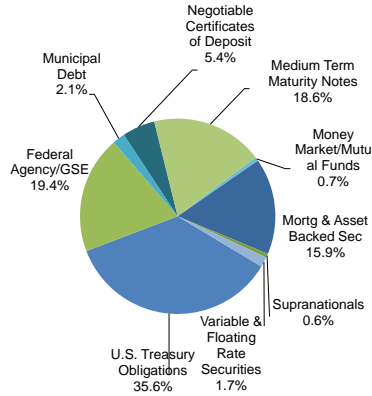
MetLife Investment Management
9/30/2020



Investment Manager Diversification and Maturity Schedules

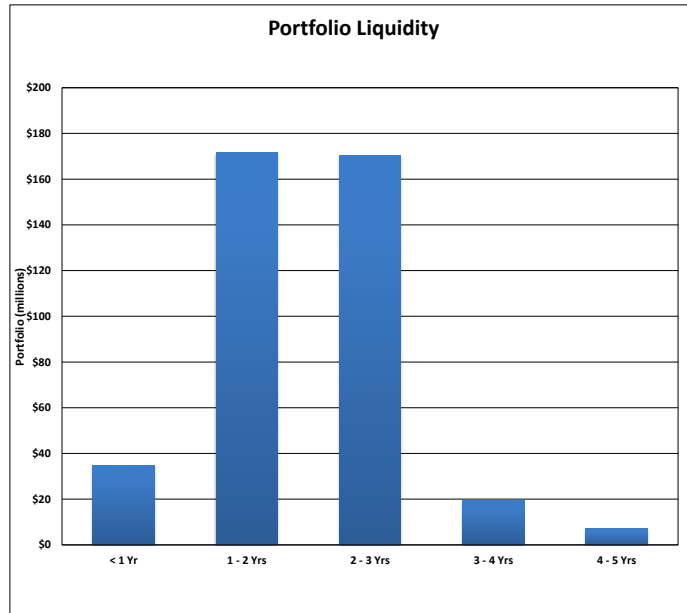
PFM
9/30/2020

SHORT-TERM PORTFOLIO (\$403.0 M)



	Book Value	Market Value
U.S. Treasury Obligations	\$ 143,455,807.86	\$ 147,995,380.65
Federal Agency/GSE	\$ 78,343,960.96	\$ 78,778,776.71
Municipal Debt	\$ 8,382,759.95	\$ 8,435,950.25
Bankers Acceptances	\$ -	\$ -
Commercial Paper	\$ -	\$ -
Negotiable Certificates of Deposit	\$ 21,800,000.00	\$ 22,286,345.75
Repurchase Agreements	\$ -	\$ -
Medium Term Maturity Notes	\$ 74,796,499.15	\$ 76,612,925.05
Money Market/Mutual Funds	\$ 2,651,782.40	\$ 2,468,407.50
Mortg & Asset-Backed Securities	\$ 64,200,014.88	\$ 65,374,547.41
Supranationals	\$ 2,599,116.00	\$ 2,616,614.00
Joint Powers Authority Pools	\$ -	\$ -
Variable & Floating Rate Securities	\$ 6,794,709.75	\$ 6,866,581.18
	<u>\$ 403,024,650.95</u>	<u>\$ 411,435,528.50</u>

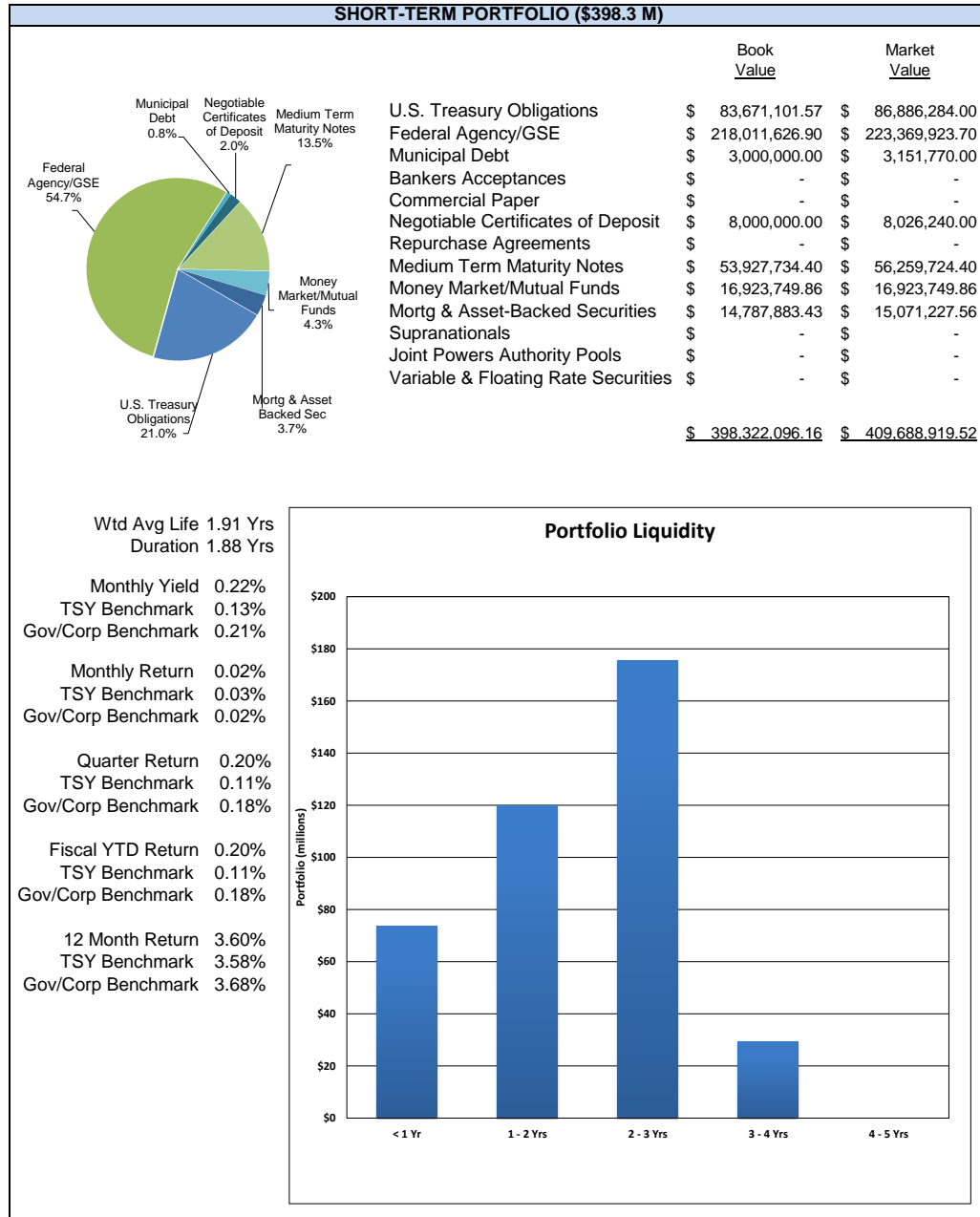
Wtd Avg Life	1.83 Yrs
Duration	1.80 Yrs
Monthly Yield	0.28%
TSY Benchmark	0.13%
Gov/Corp Benchmark	0.21%
Monthly Return	0.03%
TSY Benchmark	0.03%
Gov/Corp Benchmark	0.02%
Quarter Return	0.23%
TSY Benchmark	0.11%
Gov/Corp Benchmark	0.18%
Fiscal YTD Return	0.23%
TSY Benchmark	0.11%
Gov/Corp Benchmark	0.18%
12 Month Return	3.71%
TSY Benchmark	3.58%
Gov/Corp Benchmark	3.68%



Investment Manager Diversification and Maturity Schedules

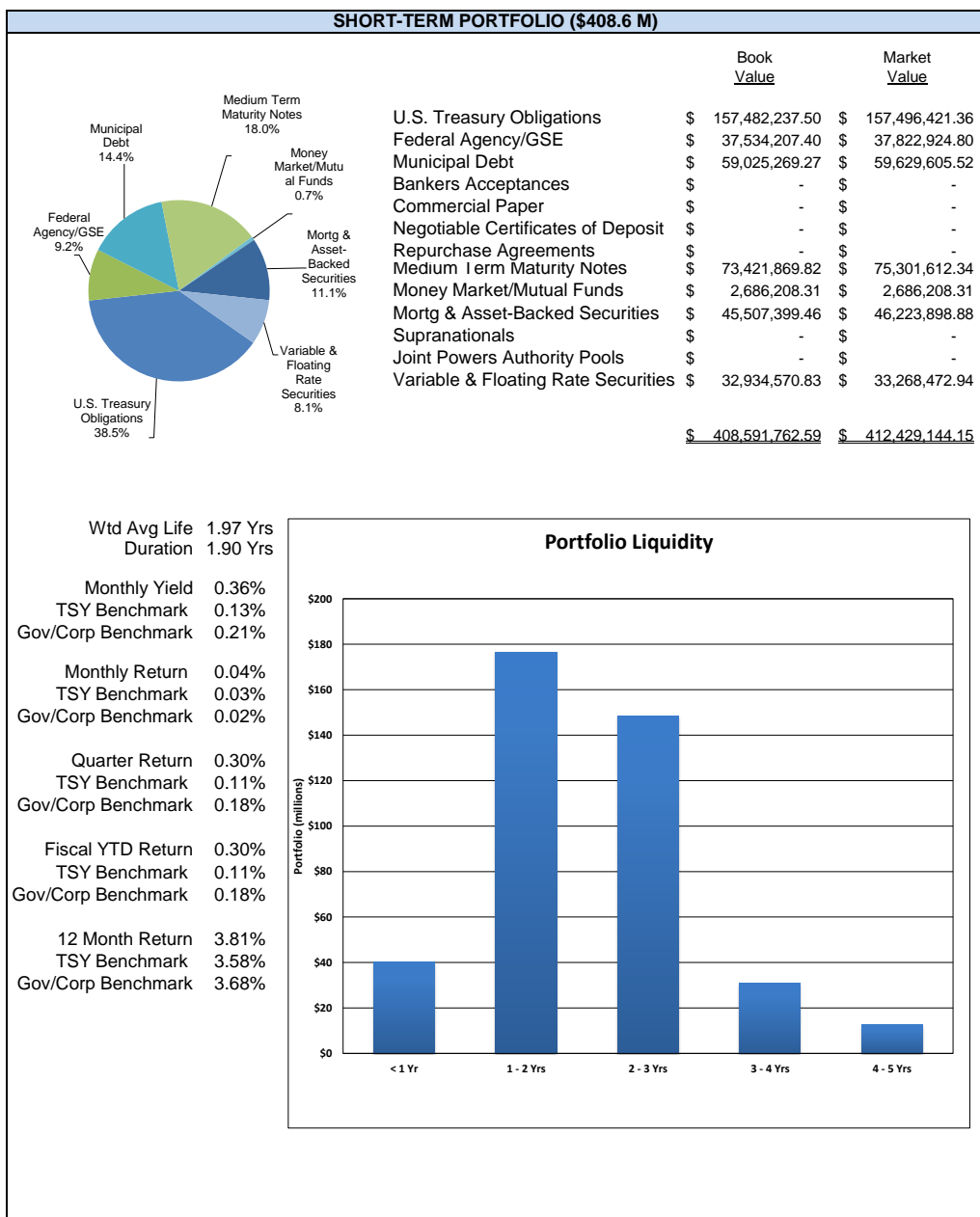
Chandler Asset Management

9/30/2020



Investment Manager Diversification and Maturity Schedules

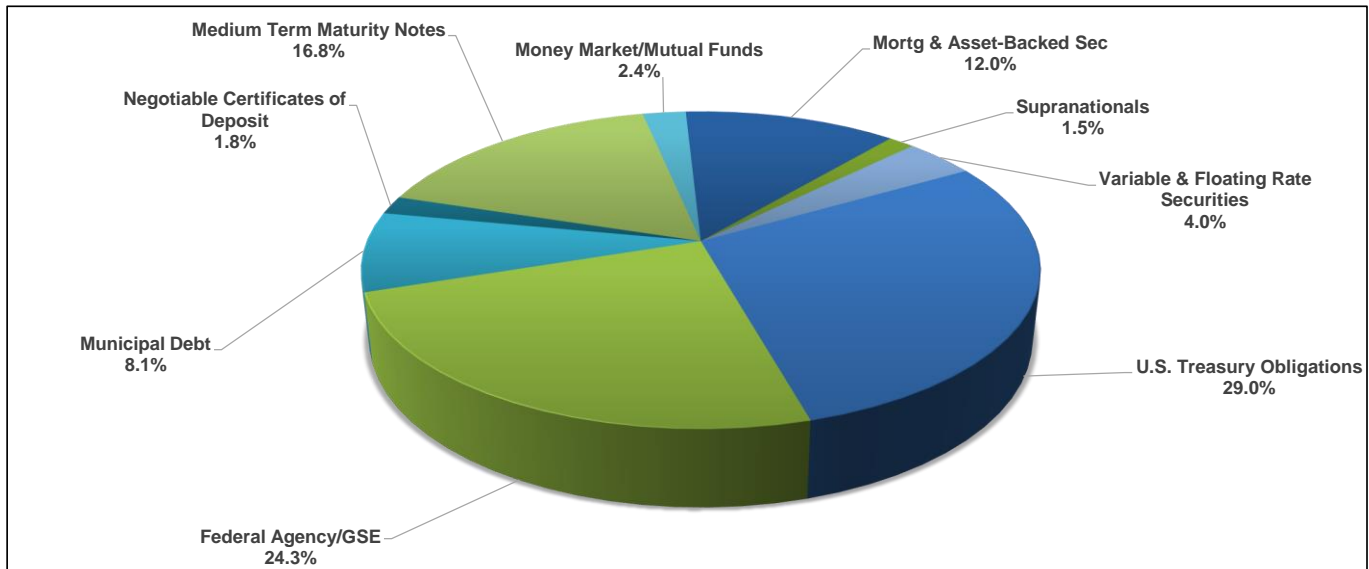
Payden & Rygel
9/30/2020



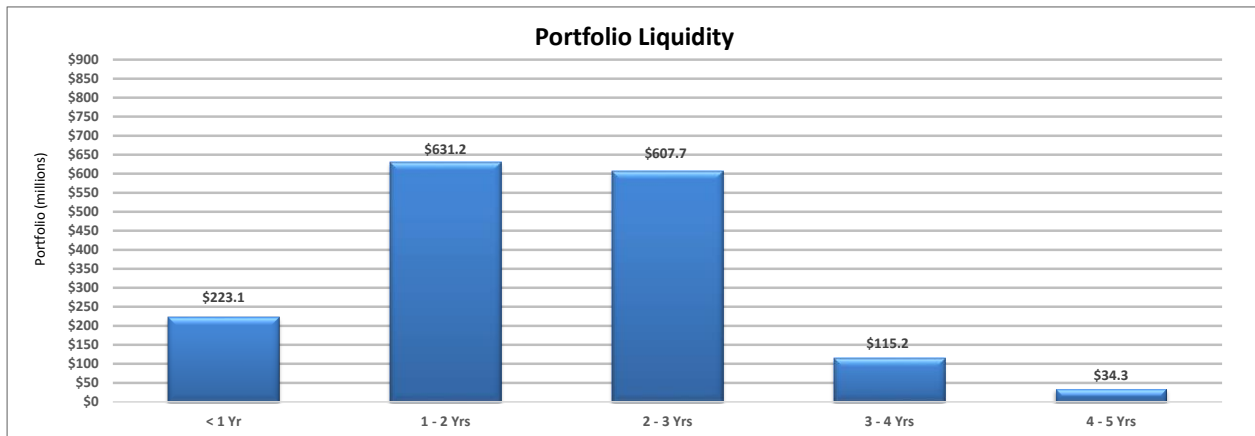
Short-Term Portfolio

9/30/2020

Portfolio Composition



Portfolio Liquidity



Rating Downgrades 9/30/2020

<u>Investment Manager / Security</u>	<u>Par Amount</u>	<u>Maturity</u>	<u>S&P</u>	<u>Moody's</u>	<u>Fitch Ratings</u>
MetLife Investment Management					
State of Hawaii Airport System	\$ 1,430,000	Various*	A-	A2	A
<p>On September 25, 2020, S&P downgraded the long-term ratings of the State of Hawaii Airport System (HISAPT) from A+ to A-. The downgrade is due to depressed levels of rental car activity at airports as a result of COVID-19. The security remains in compliance with the requirements of the Investment Policy. Based on the airports strong liquidity, CARES Act funding, and sufficient debt service reserve funds the investment manager believes HISAPT is well equipped to weather this pandemic into the next few years and is comfortable holding the security.</p>					

*7/1/22 & 7/1/24

Negative Credit Watch

9/30/2020

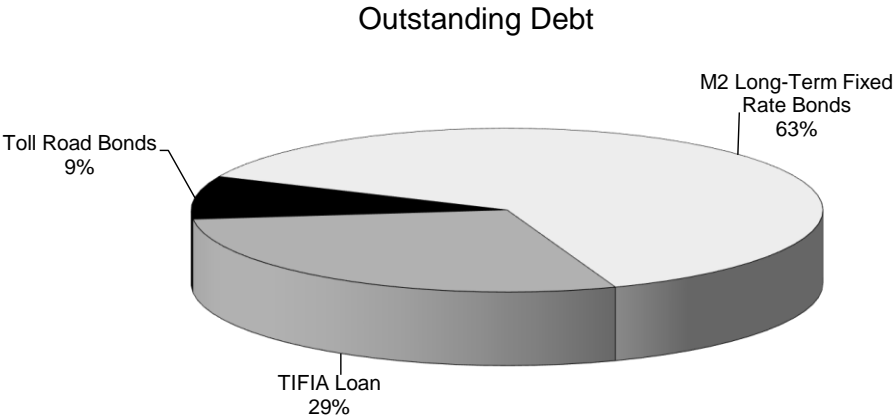
<u>Investment Manager / Security</u>	<u>Par Amount</u>	<u>Maturity</u>	<u>S&P</u>	<u>Moody's</u>	<u>Fitch Ratings</u>
PFM					
Pfizer On June 17, 2019, S&P and Fitch placed the long-term ratings of Pfizer Inc. under review for possible downgrade. The credit watch placement is due to Pfizer's announcement of a debt-funded acquisition as well as an announcement to divest its mature off-patent business Upjohn. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security due to Pfizer's product diversification and vast revenue streams.	\$ 2,300,000	Various*	AA-	A1	A
Merck & Co. On February 5, 2020, S&P placed the long-term ratings of Merck & Co. under review for possible downgrade. The credit watch placement is due to Merck's announcement that it will be spinning off a large portion of their brand. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security due to the industry strength of Merck, and their vast pharmaceutical diversification.	\$ 1,250,000	2/10/2022	AA-	A1	A+
Walt Disney Co. On April 17, 2020, S&P placed the long-term ratings of Disney under review for possible downgrade. The credit watch placement is due to the impact COVID-19 has on a variety of Disney's businesses, in particular their theme parks, which remain closed indefinitely. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security due to Disney's diverse business.	\$ 875,000	9/1/2022	A	A2	A
Port Authority of New York & New Jersey On June 26, 2020, Fitch placed the long-term ratings of the Port Authority under review for possible downgrade. The credit watch placement reflects elevated stresses to both the agency's operating activities and revenue generation as a result of COVID-19. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security due to expectations of long-term revenue recoveries.	\$ 1,125,000	7/1/2023	A+	Aa3	AA-
Payden & Rygel Southern CA Public Power Authority On September 11, 2020, S&P placed the long-term ratings of the Southern CA Public Power Authority (SCAPPA) under review for possible downgrade. The credit watch placement is due to the weakening of one of the project participants, the City of Anaheim, this weakening comes as a result of implications from COVID-19, and its impacts on the tourism and hospitality industries. The security remains in compliance with the requirements of the Investment Policy. Based on the fundamental value of the utility itself as well as the inherent value of the bond the manager is comfortable holding the security.	\$ 2,735,000	7/1/2023	AA-	N/A	AA-

*9/15/21 & 3/11/22

DEBT PROGRAM

(M2 Sales Tax Revenue Bonds, 91 Toll Revenue Bonds, 2017 TIFIA Loan (I-405))

Total Outstanding Debt*
As of 9/30/20



TOTAL OUTSTANDING DEBT: \$998,955,000

*Comprised of OCTA's debt obligations (M2 Sales Tax Revenue Bonds, 91 Toll Revenue Bonds, and 2017 TIFIA Loan (I-405) currently outstanding and and irrespective of OCTA's investment program.

Outstanding Debt*

As of 9/30/20

Orange County Local Transportation Authority (OCLTA-M2)

2010 Series A Taxable Build America Bonds - Sales Tax Revenue Bonds

Issued:	\$ 293,540,000
Outstanding:	250,000,000
Debt Service FY 2021:	17,270,000
Pledged Revenue Source:	M2 Sales Tax Revenues
Ratings (Fitch/ Moody's/ S&P):	AA+/Aa2/AA+
Final Maturity:	2041

2019 M2 Sales Tax Bond

Issued:	\$ 376,690,000
Outstanding:	376,690,000
Debt Service FY 2021:	26,569,650
Pledged Revenue Source:	M2 Sales Tax Revenues
Ratings (Fitch/ S&P):	AA+/AA+
Final Maturity:	2041

91 Express Lanes

2013 OCTA 91 Express Lanes Refunding Bonds

Issued:	\$ 124,415,000
Outstanding:	85,265,000
Debt Service FY 2021:	10,795,075
Pledged Revenue Source:	91 Toll Road Revenues
Ratings (Fitch/ Moody's/ S&P):	A+/A1/AA-
Final Maturity:	2030

405 Express Lanes

2017 TIFIA Loan

Outstanding:	\$ 287,000,000
Accrued Interest:	18,164,459
Pledged Revenue Source:	405 Toll Road Revenues
Ratings (Moody's):	Baa2
Final Maturity:	2057

*Comprised of OCTA's debt obligations (M2 Sales Tax Revenue Bonds, 91 Toll Revenue Bonds, and 2017 TIFIA Loan (I-405) currently outstanding and irrespective of OCTA's investment program.

**Orange County Transportation Authority
Portfolio Listing
As of September 30, 2020**

ATTACHMENT B

LIQUID PORTFOLIO

DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
<u>CASH EQUIVALENTS</u>				
BANK DEPOSITS	9/30/2020	253,511.00	253,511.00	
REPURCHASE AGREEMENT	9/30/2020	70,499,450.00	70,499,450.00	
MONEY MARKET DEMAND ACCOUNT	N/A	20,000,767.12	20,000,767.12	0.40%
FIDELITY TREASURY OBLIGATIONS FUND	N/A	56,334,042.75	56,334,042.75	0.01%
FEDERATED TREASURY OBLIGATIONS FUND	N/A	11,346,964.66	11,346,964.66	0.01%
SUB-TOTAL		158,434,735.53	158,434,735.53	
<u>LOCAL AGENCY INVESTMENT FUND (LAIF)</u>				
	N/A	10,899,573.09	10,899,573.09	0.69%
<u>ORANGE COUNTY INVESTMENT POOL (OCIP)</u>				
	N/A	15,640,428.07	15,640,428.07	1.14%
LIQUID PORTFOLIO - TOTAL		\$ 184,974,736.69	\$ 184,974,736.69	

SHORT-TERM PORTFOLIO

DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
<u>Money Market Funds</u>				
FIRST AMER:GVT OBLG Z	9/30/2020	2,651,782.40	2,468,407.50	0.05
FIRST AMER:GVT OBLG Z	9/30/2020	16,923,749.86	16,923,749.86	0.05
FIRST AMER:GVT OBLG Z	9/30/2020	17,127,225.69	17,127,225.69	0.05
FIRST AMER:GVT OBLG Z	9/30/2020	2,686,208.31	2,686,208.31	0.05
SUB-TOTAL		39,388,966.26	39,205,591.36	
<u>NEGOTIABLE CERTIFICATES OF DEPOSIT</u>				
Credit Suisse AG, New York Branch	2/1/2022	3,100,000.00	3,101,395.00	0.49
DNB Bank ASA, New York Branch	12/2/2022	3,875,000.00	4,011,322.50	0.43
Nordea Bank Abp, New York Branch	8/26/2022	3,875,000.00	4,001,790.00	0.15
Skandinaviska Enskilda Banken AB (publ.)	8/26/2022	3,875,000.00	4,002,565.00	0.15
Societe Generale, New York Branch	2/14/2022	4,000,000.00	4,093,320.00	0.10
Sumitomo Mitsui Banking Corporation, New York Bra	7/8/2022	3,075,000.00	3,075,953.25	0.68
Royal Bank of Canada New York Branch	7/8/2022	8,000,000.00	8,026,240.00	0.17
SUB-TOTAL		29,800,000.00	30,312,585.75	
<u>U.S. TREASURY OBLIGATIONS</u>				
UNITED STATES TREASURY	7/31/2022	4,097,668.75	4,220,675.50	0.13
UNITED STATES TREASURY	7/31/2022	7,004,300.00	7,347,484.00	0.13
UNITED STATES TREASURY	7/31/2022	6,005,625.00	6,191,700.00	0.13
UNITED STATES TREASURY	7/31/2022	5,216,656.25	5,366,140.00	0.13
UNITED STATES TREASURY	9/30/2022	7,534,603.16	7,823,163.60	0.13
UNITED STATES TREASURY	10/31/2022	5,360,733.97	5,599,509.30	0.13
UNITED STATES TREASURY	2/28/2023	5,538,052.36	5,871,956.80	0.14
UNITED STATES TREASURY	1/15/2022	6,216,246.10	6,414,675.75	0.14
UNITED STATES TREASURY	1/15/2022	5,005,273.44	5,152,350.00	0.14
UNITED STATES TREASURY	2/15/2022	9,389,351.56	9,705,500.00	0.13
UNITED STATES TREASURY	4/15/2022	6,003,750.00	6,195,960.00	0.13
UNITED STATES TREASURY	12/31/2022	4,326,890.63	4,544,401.50	0.14
UNITED STATES TREASURY	12/31/2022	6,438,408.22	6,884,507.10	0.14
UNITED STATES TREASURY	1/31/2023	1,253,320.31	1,296,825.00	0.14
UNITED STATES TREASURY	1/31/2023	2,911,894.53	3,008,634.00	0.14
UNITED STATES TREASURY	3/31/2023	15,308,789.06	15,508,050.00	0.14
UNITED STATES TREASURY	6/30/2023	4,097,187.50	4,135,320.00	0.14
UNITED STATES TREASURY	11/15/2022	3,995,937.50	4,126,240.00	0.14
UNITED STATES TREASURY	1/31/2022	430,512.50	450,243.20	0.13
UNITED STATES TREASURY	1/31/2022	7,855,625.00	8,186,240.00	0.13
UNITED STATES TREASURY	2/28/2022	1,006,718.75	1,024,650.00	0.13
UNITED STATES TREASURY	4/30/2022	633,273.05	647,375.40	0.13
UNITED STATES TREASURY	4/30/2022	1,974,765.63	2,055,160.00	0.13
UNITED STATES TREASURY	5/31/2022	9,031,289.06	9,242,910.00	0.13
UNITED STATES TREASURY	6/30/2022	2,010,156.25	2,056,640.00	0.13
UNITED STATES TREASURY	10/15/2022	745,312.50	769,012.50	0.13
UNITED STATES TREASURY	1/15/2023	2,713,289.06	2,783,754.00	0.14
UNITED STATES TREASURY	1/15/2023	4,101,875.00	4,124,080.00	0.14
UNITED STATES TREASURY	5/15/2023	2,192,093.75	2,198,790.00	0.15
UNITED STATES TREASURY	6/15/2023	4,003,281.25	4,010,640.00	0.15
UNITED STATES TREASURY	6/15/2023	1,051,927.73	1,052,793.00	0.15
UNITED STATES TREASURY	7/31/2022	6,061,226.56	6,398,090.00	0.13
UNITED STATES TREASURY	3/15/2021	7,598,515.63	7,678,356.00	0.13
UNITED STATES TREASURY	8/31/2022	4,470,357.42	4,804,938.00	0.13
UNITED STATES TREASURY	8/31/2022	2,874,960.94	3,099,960.00	0.13
UNITED STATES TREASURY	11/30/2022	7,718,648.44	8,114,730.00	0.13
UNITED STATES TREASURY	11/30/2020	4,498,121.09	4,511,160.00	0.14
UNITED STATES TREASURY	4/30/2023	5,234,208.98	5,450,550.00	0.14
UNITED STATES TREASURY	5/31/2023	7,787,187.50	8,315,600.00	0.14
UNITED STATES TREASURY	10/31/2023	8,007,187.50	8,361,600.00	0.16
UNITED STATES TREASURY	6/30/2022	4,329,843.75	4,627,440.00	0.13
UNITED STATES TREASURY	8/15/2022	6,983,046.88	7,180,460.00	0.12
UNITED STATES TREASURY	10/15/2022	7,957,187.50	8,202,800.00	0.13
UNITED STATES TREASURY	2/28/2022	10,149,609.38	10,140,600.00	0.13
UNITED STATES TREASURY	4/15/2023	2,942,615.62	3,055,526.35	-1.17
UNITED STATES TREASURY	4/15/2023	1,045,402.13	1,036,696.44	-1.17
UNITED STATES TREASURY	4/15/2024	1,995,191.88	2,088,533.36	-1.21
UNITED STATES TREASURY	4/15/2024	3,864,999.52	4,040,739.49	-1.21
UNITED STATES TREASURY	4/15/2024	2,047,331.63	2,012,190.11	-1.21
UNITED STATES TREASURY	5/15/2022	5,195,817.19	5,306,638.80	0.13
UNITED STATES TREASURY	5/15/2022	2,026,093.75	2,064,840.00	0.13
UNITED STATES TREASURY	5/15/2022	5,901,964.06	6,019,008.60	0.13
UNITED STATES TREASURY	5/15/2022	8,869,816.41	9,013,026.60	0.13
UNITED STATES TREASURY	5/15/2022	1,979,554.69	2,013,219.00	0.13
UNITED STATES TREASURY	9/30/2022	3,799,773.44	3,897,083.50	0.13
UNITED STATES TREASURY	9/30/2022	9,392,172.66	9,642,055.60	0.13
UNITED STATES TREASURY	9/30/2022	7,699,007.81	7,897,401.00	0.13
UNITED STATES TREASURY	9/30/2022	10,407,680.66	10,658,910.50	0.13
UNITED STATES TREASURY	9/30/2022	4,212,140.63	4,335,828.00	0.13
UNITED STATES TREASURY	10/15/2022	6,859,031.25	7,074,915.00	0.13
UNITED STATES TREASURY	10/15/2022	3,944,908.20	4,050,132.50	0.13
UNITED STATES TREASURY	9/9/2021	11,981,780.51	11,979,886.30	0.13
UNITED STATES TREASURY	7/15/2023	10,457,686.76	10,455,675.90	0.15
UNITED STATES TREASURY	7/15/2023	2,063,709.38	2,063,554.50	0.15
UNITED STATES TREASURY	8/31/2022	29,359,706.10	29,360,825.52	0.13
UNITED STATES TREASURY	8/31/2022	17,442,229.34	17,446,302.12	0.13
UNITED STATES TREASURY	8/31/2022	19,255,733.32	19,260,229.56	0.13
UNITED STATES TREASURY	8/31/2022	29,954,148.44	29,958,801.60	0.13
UNITED STATES TREASURY	8/31/2022	14,477,737.50	14,479,420.80	0.13

Orange County Transportation Authority
Portfolio Listing
As of September 30, 2020

<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
UNITED STATES TREASURY	8/31/2022	2,540,107.73	2,539,898.40	0.13
UNITED STATES TREASURY	9/15/2023	9,619,254.10	9,620,719.06	0.15
UNITED STATES TREASURY	9/15/2023	6,198,213.28	6,199,663.70	0.15
UNITED STATES TREASURY	9/15/2023	4,131,931.05	4,131,443.90	0.15
SUB-TOTAL		466,792,648.46	476,584,830.86	
<u>FEDERAL AGENCY/GSE</u>				
FEDERAL HOME LOAN MORTGAGE CORP	6/8/2022	6,996,640.00	7,009,660.00	0.17
FEDERAL NATIONAL MORTGAGE ASSOCIATION	5/22/2023	8,160,363.15	8,190,893.20	0.22
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/10/2023	7,758,283.75	7,773,367.25	0.26
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/11/2022	3,447,516.00	3,559,848.00	0.14
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/11/2022	3,000,780.00	3,095,520.00	0.14
FEDERAL HOME LOAN MORTGAGE CORP	4/20/2023	7,526,137.50	7,584,913.05	0.17
FEDERAL HOME LOAN MORTGAGE CORP	5/5/2023	7,146,997.00	7,180,673.50	0.21
FEDERAL HOME LOAN MORTGAGE CORP	6/26/2023	7,383,377.40	7,411,664.50	0.22
FEDERAL HOME LOAN MORTGAGE CORP	7/25/2022	4,963,756.50	4,970,472.75	0.18
FEDERAL HOME LOAN MORTGAGE CORP	8/24/2023	9,190,616.00	9,206,256.00	0.23
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	5,275,963.27	5,276,951.75	0.24
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	6,997,690.00	7,002,590.00	0.24
FHMS K-727 A1	10/25/2023	495,840.39	515,966.71	0.65
FEDERAL HOME LOAN BANKS	9/8/2023	4,135,800.00	4,248,840.00	0.25
FEDERAL HOME LOAN BANKS	9/8/2023	4,104,600.00	4,248,840.00	0.25
FEDERAL HOME LOAN BANKS	3/8/2024	5,201,750.00	5,276,050.00	0.26
FEDERAL HOME LOAN BANKS	3/10/2023	5,053,550.00	5,308,950.00	0.21
FEDERAL HOME LOAN BANKS	6/10/2022	4,988,900.00	5,220,200.00	0.15
FEDERAL HOME LOAN BANKS	12/9/2022	7,058,660.00	7,426,440.00	0.21
FEDERAL HOME LOAN BANKS	3/11/2022	3,046,221.55	3,178,352.10	0.16
FEDERAL HOME LOAN BANKS	3/11/2022	1,160,218.50	1,210,555.50	0.16
FEDERAL HOME LOAN BANKS	6/9/2023	3,977,720.00	4,204,000.00	0.22
FEDERAL HOME LOAN BANKS	6/9/2023	4,029,880.00	4,204,000.00	0.22
FEDERAL HOME LOAN BANKS	9/9/2022	6,828,560.00	7,185,424.00	0.20
FEDERAL HOME LOAN BANKS	9/10/2021	2,515,300.00	2,567,225.00	0.15
FEDERAL HOME LOAN BANKS	9/10/2021	5,006,250.00	5,134,450.00	0.15
FEDERAL FARM CREDIT BANKS FUNDING CORP	12/17/2021	6,022,920.00	6,192,660.00	0.15
FEDERAL FARM CREDIT BANKS FUNDING CORP	3/1/2021	6,965,140.00	7,068,810.00	0.15
FEDERAL FARM CREDIT BANKS FUNDING CORP	11/15/2021	7,034,930.00	7,228,270.00	0.15
FEDERAL FARM CREDIT BANKS FUNDING CORP	7/17/2023	5,060,200.00	5,369,200.00	0.23
FEDERAL FARM CREDIT BANKS FUNDING CORP	6/26/2023	6,967,450.00	7,295,820.00	0.22
FEDERAL FARM CREDIT BANKS FUNDING CORP	2/1/2023	4,996,450.00	5,191,950.00	0.20
FEDERAL FARM CREDIT BANKS FUNDING CORP	8/14/2023	4,993,550.00	5,196,300.00	0.23
FEDERAL FARM CREDIT BANKS FUNDING CORP	8/14/2023	7,983,280.00	7,993,920.00	0.23
FEDERAL FARM CREDIT BANKS FUNDING CORP	2/21/2023	5,000,600.00	5,148,550.00	0.20
FEDERAL FARM CREDIT BANKS FUNDING CORP	4/8/2022	7,204,321.80	7,237,582.95	0.17
FEDERAL FARM CREDIT BANKS FUNDING CORP	5/6/2022	8,124,668.55	8,147,527.90	0.15
FEDERAL HOME LOAN MORTGAGE CORP	6/8/2022	7,995,360.00	8,011,040.00	0.17
FEDERAL NATIONAL MORTGAGE ASSOCIATION	5/22/2023	6,111,548.70	6,134,413.60	0.22
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/10/2023	3,203,098.50	3,209,325.90	0.26
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/10/2023	5,000,300.00	4,998,950.00	0.26
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/5/2022	6,815,760.00	7,166,880.00	0.11
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/19/2023	4,411,710.00	4,720,725.00	0.24
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/19/2023	2,233,875.00	2,412,815.00	0.24
FEDERAL NATIONAL MORTGAGE ASSOCIATION	4/12/2022	6,370,496.00	6,607,232.00	0.14
FEDERAL NATIONAL MORTGAGE ASSOCIATION	9/6/2022	3,986,080.00	4,093,880.00	0.16
FEDERAL HOME LOAN MORTGAGE CORP	1/13/2022	8,248,720.00	8,230,960.00	0.13
FEDERAL HOME LOAN MORTGAGE CORP	2/16/2021	4,986,800.00	5,041,900.00	0.16
FEDERAL HOME LOAN MORTGAGE CORP	5/5/2023	7,621,797.50	7,657,711.25	0.21
FEDERAL HOME LOAN MORTGAGE CORP	6/26/2023	7,463,143.80	7,491,736.50	0.22
FEDERAL HOME LOAN MORTGAGE CORP	8/24/2023	8,001,840.00	8,005,440.00	0.23
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	5,098,317.00	5,101,887.00	0.24
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	3,001,860.00	3,001,110.00	0.24
FEDERAL HOME LOAN MORTGAGE CORP	10/20/2022	5,098,470.00	5,102,907.00	0.25
FEDERAL HOME LOAN MORTGAGE CORP	7/28/2023	3,100,000.00	3,101,085.00	0.34
FEDERAL HOME LOAN MORTGAGE CORP	7/28/2023	2,050,000.00	2,050,717.50	0.34
FEDERAL HOME LOAN MORTGAGE CORP	8/12/2025	4,095,490.00	4,091,636.00	0.64
FEDERAL HOME LOAN MORTGAGE CORP	9/28/2023	4,084,387.25	4,082,467.30	0.32
FEDERAL NATIONAL MORTGAGE ASSOCIATION	8/17/2021	995,950.00	1,009,820.00	0.13
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/5/2022	998,210.00	1,023,840.00	0.11
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/5/2022	1,812,960.00	1,842,912.00	0.11
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/5/2022	5,610,864.00	5,733,504.00	0.11
FEDERAL NATIONAL MORTGAGE ASSOCIATION	1/5/2022	5,677,685.00	5,784,696.00	0.11
FEDERAL HOME LOAN MORTGAGE CORP	1/13/2022	5,652,771.25	5,735,950.25	0.13
FEDERAL HOME LOAN MORTGAGE CORP	1/13/2022	5,663,313.58	5,735,950.25	0.13
FEDERAL HOME LOAN MORTGAGE CORP	8/24/2023	4,745,155.00	4,753,230.00	0.23
FN 467260	3/1/2021	2,481,344.63	2,429,896.75	3.79
FN 468958	9/1/2021	4,293,863.48	4,301,042.20	1.17
FN 468431	7/1/2021	269,516.66	268,339.18	1.85
FN 468861	8/1/2021	604,423.89	603,188.79	1.73
FEDERAL HOME LOAN BANKS	10/12/2021	4,197,270.00	4,323,816.00	0.14
FEDERAL HOME LOAN BANKS	8/15/2024	1,087,438.50	1,143,737.00	0.22
FEDERAL HOME LOAN MORTGAGE CORP	12/29/2022	2,349,530.00	2,350,916.50	0.24
FEDERAL HOME LOAN MORTGAGE CORP	2/27/2024	2,070,000.00	2,071,076.40	0.37
FEDERAL HOME LOAN MORTGAGE CORP	7/21/2025	3,680,000.00	3,674,848.00	0.78
FEDERAL NATIONAL MORTGAGE ASSOCIATION	5/22/2023	4,336,906.50	4,353,132.00	0.22
FEDERAL NATIONAL MORTGAGE ASSOCIATION	7/10/2023	3,741,937.50	3,749,212.50	0.26
FEDERAL NATIONAL MORTGAGE ASSOCIATION	9/6/2022	548,086.00	562,908.50	0.16
FEDERAL HOME LOAN MORTGAGE CORP	4/20/2023	4,179,525.00	4,212,165.10	0.17
FEDERAL HOME LOAN MORTGAGE CORP	6/26/2023	3,968,378.40	3,983,582.00	0.22
FEDERAL HOME LOAN MORTGAGE CORP	8/24/2023	3,856,062.80	3,862,624.80	0.23
FEDERAL HOME LOAN MORTGAGE CORP	9/8/2023	2,809,072.70	2,811,039.70	0.24
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT	8/1/2021	710,000.00	723,866.30	0.23
SUB-TOTAL		391,124,199.99	397,622,807.42	
<u>MEDIUM TERM NOTES</u>				
ADOBE INC	2/1/2023	449,383.50	463,513.50	0.41
AMAZON.COM INC	6/3/2023	2,022,165.00	2,034,011.25	0.23
AMERICAN EXPRESS CREDIT CORP	5/5/2021	1,998,780.00	2,019,940.00	0.30
AMERICAN HONDA FINANCE CORP	6/27/2022	3,796,504.00	3,916,394.00	0.43
APPLE INC	8/4/2021	1,514,951.40	1,595,183.80	0.29
APPLE INC	9/11/2022	589,899.70	605,977.20	0.30
APPLE INC	5/11/2023	1,475,974.40	1,495,096.00	0.36
TRUIST FINANCIAL CORP	9/3/2021	1,198,572.00	1,229,388.00	0.28
BANK OF AMERICA CORP	10/19/2020	1,978,280.00	2,002,180.00	0.55
BANK OF AMERICA CORP	10/1/2021	1,469,790.00	1,500,000.00	2.30
BANK OF NEW YORK MELLON CORP	8/23/2022	1,724,448.00	1,778,682.00	0.30
BANK OF NEW YORK MELLON CORP	1/27/2023	1,099,230.00	1,134,914.00	0.43
BURLINGTON NORTHERN SANTA FE LLC	9/15/2021	1,024,930.00	1,022,220.00	0.31
CATERPILLAR FINANCIAL SERVICES CORP	9/7/2021	374,711.25	385,188.75	0.24
CATERPILLAR FINANCIAL SERVICES CORP	5/17/2021	1,124,460.00	1,141,481.25	0.32

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CATERPILLAR FINANCIAL SERVICES CORP	9/6/2022	1,048,540.50	1,079,967.00	0.42
CATERPILLAR FINANCIAL SERVICES CORP	11/18/2022	499,770.00	516,430.00	0.40
CATERPILLAR FINANCIAL SERVICES CORP	7/7/2023	1,124,370.00	1,130,355.00	0.48
CHEVRON USA INC	8/11/2023	450,000.00	450,441.00	0.39
CHEVRON CORP	5/16/2021	49,945.50	50,509.00	0.23
CHEVRON CORP	5/11/2023	875,000.00	891,922.50	0.40
CITIGROUP INC	8/2/2021	1,723,295.00	1,779,505.00	0.34
JOHN DEERE CAPITAL CORP	1/10/2022	769,260.80	798,097.30	0.34
JOHN DEERE CAPITAL CORP	6/7/2021	499,660.00	506,620.00	0.37
JOHN DEERE CAPITAL CORP	7/5/2023	399,672.00	404,564.00	0.29
WALT DISNEY CO	9/1/2022	873,101.25	895,912.50	0.40
EXXON MOBIL CORP	3/6/2022	339,237.50	359,292.50	0.30
EXXON MOBIL CORP	3/6/2022	1,212,050.00	1,283,187.50	0.30
GOLDMAN SACHS GROUP INC	4/26/2022	1,513,320.00	1,521,660.00	0.47
HOME DEPOT INC	3/1/2022	498,630.00	520,795.00	0.31
HONEYWELL INTERNATIONAL INC	8/8/2022	779,212.20	806,247.00	0.25
HONEYWELL INTERNATIONAL INC	8/19/2022	1,875,000.00	1,878,093.75	0.30
IBM CREDIT LLC	2/6/2023	1,057,720.00	1,062,830.00	0.31
INTEL CORP	5/19/2021	1,327,659.20	1,340,480.40	0.27
JPMORGAN CHASE & CO	4/1/2023	2,000,000.00	2,078,180.00	0.59
MERCK & CO INC	2/10/2022	1,226,775.00	1,287,150.00	0.16
MICROSOFT CORP	8/8/2021	1,057,023.00	1,111,880.00	0.15
MICROSOFT CORP	2/6/2022	2,049,725.70	2,147,976.60	0.21
MORGAN STANLEY	5/19/2022	993,370.00	1,036,050.00	0.53
MORGAN STANLEY	2/25/2023	1,063,280.00	1,073,320.00	0.67
MORGAN STANLEY	4/21/2021	1,957,500.00	2,024,220.00	0.33
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	1/21/2022	1,598,592.00	1,630,256.00	0.30
NORTHERN TRUST CORP	8/2/2022	1,012,140.00	1,037,590.00	0.32
ORACLE CORP	9/15/2021	1,187,662.00	1,242,456.25	0.27
PNC BANK NA	11/5/2020	1,615,040.00	1,600,368.00	1.06
PNC BANK NA	2/24/2023	800,000.00	814,456.00	0.45
PACCAR FINANCIAL CORP	5/10/2021	2,354,387.70	2,395,929.90	0.25
PACCAR FINANCIAL CORP	3/1/2022	499,560.00	517,525.00	0.37
PACCAR FINANCIAL CORP	5/10/2022	999,460.00	1,036,390.00	0.38
PACCAR FINANCIAL CORP	8/11/2023	449,410.50	449,370.00	0.40
PEPSICO INC	5/1/2023	923,168.50	934,407.25	0.35
PFIZER INC	9/15/2021	1,872,468.75	1,924,218.75	0.26
PFIZER INC	3/11/2022	424,974.50	439,917.50	0.37
CHARLES SCHWAB CORP	5/21/2021	2,169,934.90	2,204,785.10	0.37
3M CO	9/14/2021	823,308.75	844,659.75	0.26
3M CO	3/1/2022	1,154,457.15	1,193,634.75	0.24
TOYOTA MOTOR CREDIT CORP	1/11/2022	3,686,662.50	3,860,250.00	0.30
UNILEVER CAPITAL CORP	3/7/2022	1,990,320.00	2,076,440.00	0.33
U.S. BANCORP	3/15/2022	509,935.00	518,555.00	0.29
WELLS FARGO & CO	4/1/2021	1,619,820.00	1,531,860.00	0.37
AMERICAN HONDA FINANCE CORP	11/16/2022	2,021,300.00	2,088,680.00	0.50
AMERICAN HONDA FINANCE CORP	1/12/2024	1,585,215.00	1,636,650.00	0.74
APPLE INC	5/3/2023	1,977,040.00	2,105,760.00	0.35
APPLE INC	2/23/2023	2,949,060.00	3,165,960.00	0.36
BANK OF AMERICA CORP	1/11/2023	3,034,740.00	3,184,470.00	0.58
BANK OF NEW YORK MELLON CORP	1/29/2023	2,944,320.00	3,160,110.00	0.56
BERKSHIRE HATHAWAY INC	3/15/2023	2,924,460.00	3,160,170.00	0.41
BERKSHIRE HATHAWAY INC	3/15/2023	2,014,300.00	2,106,780.00	0.41
DEERE & CO	6/8/2022	1,466,700.00	1,551,090.00	0.23
JOHN DEERE CAPITAL CORP	3/4/2021	1,344,769.75	1,368,875.20	0.40
GENERAL DYNAMICS CORP	5/11/2021	3,985,000.00	4,066,840.00	0.27
ORACLE CORP	5/15/2022	3,897,640.00	4,125,280.00	0.35
PACCAR FINANCIAL CORP	9/26/2022	1,498,170.00	1,545,945.00	0.45
PACCAR FINANCIAL CORP	2/7/2023	2,274,886.25	2,351,098.75	0.47
LINDE INC	9/1/2021	2,338,645.05	2,401,842.80	0.36
LINDE INC	9/1/2021	1,394,750.00	1,433,936.00	0.36
CHARLES SCHWAB CORP	5/21/2021	1,554,953.35	1,579,926.65	0.37
TOYOTA MOTOR CREDIT CORP	4/13/2021	2,488,525.00	2,535,050.00	0.33
U.S. BANCORP	2/5/2024	2,107,940.00	2,176,080.00	0.64
VISA INC	12/14/2022	1,962,480.00	2,101,160.00	0.31
WALMART INC	6/26/2023	3,083,010.00	3,241,140.00	0.36
WALMART INC	6/26/2023	2,056,460.00	2,160,760.00	0.36
WELLS FARGO & CO	12/7/2020	3,023,370.00	3,012,120.00	0.37
ASSOCIATION OF AMERICAN MEDICAL COLLEGES	10/1/2022	2,990,000.00	3,026,507.90	1.31
TRUIST FINANCIAL CORP	6/20/2022	2,339,167.50	2,344,860.00	0.46
TRUIST FINANCIAL CORP	3/16/2023	2,947,817.00	3,069,062.00	0.48
BANK OF AMERICA CORP	10/1/2021	2,944,440.00	3,000,000.00	2.30
BANK OF AMERICA CORP	10/1/2021	244,827.50	250,000.00	2.30
BAYCARE HEALTH SYSTEM INC	11/15/2020	850,000.00	852,201.50	0.38
BAYCARE HEALTH SYSTEM INC	11/15/2022	1,456,344.00	1,506,340.80	0.43
CATERPILLAR FINANCIAL SERVICES CORP	7/7/2023	3,053,289.20	3,069,541.80	0.48
GOLDMAN SACHS GROUP INC	7/27/2021	845,776.26	829,959.90	0.38
GOLDMAN SACHS GROUP INC	7/27/2021	2,644,400.00	2,600,125.00	0.38
HONEYWELL INTERNATIONAL INC	8/19/2022	4,015,000.00	4,021,624.75	0.30
HUNTINGTON NATIONAL BANK	8/7/2022	2,024,431.10	2,041,294.30	0.44
KEYBANK NA	11/22/2021	1,785,864.60	1,872,840.84	0.35
KEYBANK NA	11/22/2021	1,953,600.00	2,049,060.00	0.35
MANUFACTURERS AND TRADERS TRUST CO	1/25/2021	249,662.50	251,322.50	0.38
MANUFACTURERS AND TRADERS TRUST CO	1/25/2021	2,411,195.76	2,463,965.79	0.38
MASSMUTUAL GLOBAL FUNDING II	6/9/2023	3,982,648.85	4,027,161.30	0.45
MORGAN STANLEY	11/17/2021	321,688.25	333,118.50	0.41
MORGAN STANLEY	11/17/2021	2,469,419.55	2,598,324.30	0.41
MORGAN STANLEY	11/17/2021	243,050.00	256,245.00	0.41
NATIONAL SECURITIES CLEARING CORP	4/23/2023	3,162,024.90	3,220,893.90	0.51
NEW YORK LIFE GLOBAL FUNDING	5/5/2023	2,084,562.15	2,120,132.25	0.45
PACCAR FINANCIAL CORP	5/10/2021	3,529,082.20	3,591,351.40	0.25
PACIFIC LIFE GLOBAL FUNDING II	9/23/2023	2,022,468.75	2,023,258.50	0.53
PRINCIPAL LIFE GLOBAL FUNDING II	11/19/2020	1,582,176.00	1,604,864.00	0.39
PRINCIPAL LIFE GLOBAL FUNDING II	11/19/2020	1,780,110.00	1,805,472.00	0.39
PROTECTIVE LIFE GLOBAL FUNDING	6/9/2023	3,500,000.00	3,549,525.00	0.55
PRUDENTIAL FINANCIAL INC	11/15/2020	2,242,827.60	2,190,987.20	0.46
PUBLIC SERVICE ELECTRIC AND GAS CO	3/15/2021	1,856,906.10	1,901,944.80	0.21
VIRGINIA ELECTRIC AND POWER CO	3/15/2023	2,087,580.00	2,095,320.00	0.58
WELLS FARGO & CO	7/22/2022	1,551,524.80	1,575,936.00	0.58
WELLS FARGO & CO	7/22/2022	3,959,048.10	4,027,968.00	0.58
ADOBE INC	2/1/2023	1,103,486.15	1,138,183.15	0.41
AMERICAN EXPRESS CO	5/20/2022	1,558,128.00	1,615,458.00	0.45
AMERIPRISE FINANCIAL INC	3/22/2022	1,535,888.20	1,597,996.40	0.44
AMERIPRISE FINANCIAL INC	3/22/2022	119,877.60	124,519.20	0.44
APPLE INC	1/13/2023	647,825.00	652,937.50	0.36
APPLE INC	9/11/2022	1,874,681.25	1,925,775.00	0.30
APPLE INC	5/11/2023	1,441,069.60	1,459,739.00	0.36
TRUIST FINANCIAL CORP	6/20/2022	2,048,120.00	2,084,320.00	0.46
TRUIST FINANCIAL CORP	3/16/2023	1,943,560.70	2,023,500.20	0.48

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BANK OF AMERICA CORP	10/1/2021	1,104,755.80	1,130,000.00	2.30
BANK OF AMERICA CORP	10/1/2021	948,417.50	970,000.00	2.30
BANK OF AMERICA CORP	1/23/2022	1,415,000.00	1,424,961.60	0.49
BANK OF AMERICA CORP	5/17/2022	1,075,000.00	1,095,156.25	0.52
BANK OF NEW YORK MELLON CORP	4/28/2023	1,352,323.95	1,400,244.06	0.46
BANK OF NEW YORK MELLON CORP	1/27/2023	2,228,439.00	2,300,780.20	0.43
CATERPILLAR FINANCIAL SERVICES CORP	11/29/2022	859,078.00	888,870.50	0.42
CATERPILLAR FINANCIAL SERVICES CORP	9/7/2021	1,713,679.45	1,761,596.55	0.24
CATERPILLAR FINANCIAL SERVICES CORP	9/6/2022	1,353,116.55	1,393,671.70	0.42
CATERPILLAR FINANCIAL SERVICES CORP	11/18/2022	1,469,323.80	1,518,304.20	0.40
CHEVRON CORP	5/11/2023	455,000.00	463,799.70	0.40
CISCO SYSTEMS INC	9/20/2021	1,894,243.00	1,927,265.00	0.23
CITIGROUP INC	12/8/2021	2,025,660.00	2,054,500.00	0.43
CITIBANK NA	7/23/2021	1,153,729.50	1,181,645.85	0.24
CITIZENS BANK NA	5/13/2021	1,493,725.00	1,507,641.60	0.34
COMERICA INC	7/31/2023	2,120,020.00	2,166,240.00	0.65
JOHN DEERE CAPITAL CORP	9/10/2021	1,154,641.95	1,186,369.80	0.24
JOHN DEERE CAPITAL CORP	6/13/2022	1,438,142.40	1,479,931.20	0.32
JOHN DEERE CAPITAL CORP	4/6/2023	519,875.20	530,197.20	0.42
DUKE ENERGY CAROLINAS LLC	3/15/2023	2,502,051.75	2,593,824.75	0.39
ERP OPERATING LP	4/15/2023	1,933,786.40	1,937,983.88	0.68
EXXON MOBIL CORP	4/15/2023	2,065,000.00	2,123,997.05	0.44
FIFTH THIRD BANK NA (OHIO)	1/30/2023	1,473,761.00	1,515,857.50	0.56
HONEYWELL INTERNATIONAL INC	11/1/2021	570,900.25	584,292.00	0.24
HONEYWELL INTERNATIONAL INC	11/1/2021	238,298.40	243,878.40	0.24
HONEYWELL INTERNATIONAL INC	8/8/2022	1,018,969.80	1,054,323.00	0.25
HUNTINGTON NATIONAL BANK	2/3/2023	1,568,681.20	1,613,567.50	0.56
KEYBANK NA	3/7/2023	694,840.24	712,542.24	0.61
KEYBANK NA	3/7/2023	311,595.00	320,004.00	0.61
KEYBANK NA	3/7/2023	150,524.50	154,668.60	0.61
KEYBANK NA	3/7/2023	821,620.13	839,477.16	0.61
MORGAN STANLEY	5/19/2022	1,912,255.00	1,968,495.00	0.53
MORGAN STANLEY	11/17/2021	2,009,680.00	2,049,960.00	0.41
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	4/25/2022	1,208,052.00	1,235,832.00	0.38
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	1/21/2022	1,908,319.20	1,946,118.10	0.30
NIKE INC	3/27/2025	134,816.40	145,031.85	0.69
ORACLE CORP	4/1/2025	449,833.50	482,220.00	0.85
PNC BANK NA	7/22/2022	1,925,000.00	1,952,469.75	0.47
PNC BANK NA	2/24/2023	1,115,000.00	1,135,148.05	0.45
PACCAR FINANCIAL CORP	9/26/2022	714,127.70	736,900.45	0.45
PACCAR FINANCIAL CORP	2/7/2023	1,999,900.00	2,066,900.00	0.47
PRECISION CASTPARTS CORP	1/15/2023	1,965,015.00	2,033,694.00	0.39
TRUIST BANK	5/17/2022	1,978,990.20	2,056,685.40	0.29
US BANK NA	1/21/2022	804,718.25	820,343.30	0.24
WALMART INC	12/15/2022	2,109,523.20	2,128,107.60	0.31
WELLS FARGO BANK NA	10/22/2021	1,789,803.10	1,845,686.90	0.42
SUB-TOTAL		271,277,036.04	278,345,471.02	
<u>MORTGAGE AND ASSET-BACK SECURITIES</u>				
ALLYA 2019-1 A3	9/15/2023	1,399,830.88	1,427,314.00	0.77
BMWLT 2018-1 A3	7/20/2021	377,660.78	379,496.09	0.26
COMET 2019-2 A	9/15/2022	2,749,307.55	2,825,130.00	0.32
COPAR 2019-1 A3	11/15/2023	899,817.66	920,439.00	0.65
DCENT 2019-3 A	10/15/2024	999,785.20	1,033,360.00	0.26
FNA 2012-M5 A2	2/25/2022	1,090,753.30	1,118,883.06	0.51
FNA 2013-M1 A2	8/25/2022	1,207,763.84	1,225,483.89	0.55
FNA 2013-M7 A2	12/25/2022	731,018.07	743,688.02	0.29
FHMS K-018 A2	1/25/2022	3,459,533.49	3,557,982.86	0.50
FHMS K-019 A2	3/25/2022	2,403,228.21	2,492,833.56	0.37
FHMS K-020 A1	1/25/2022	310,996.04	320,009.34	0.52
FHMS K-022 A2	7/25/2022	1,204,406.25	1,236,072.00	0.51
FHMS K-023 A1	4/25/2022	473,276.37	488,688.50	0.50
FHMS K-023 A2	8/25/2022	1,775,839.84	1,804,460.00	0.51
FHMS K-026 A2	11/25/2022	3,462,687.50	3,525,256.00	0.61
FHMS K-026 A2	11/25/2022	510,800.78	518,420.00	0.61
FHMS K-029 A1	10/25/2022	331,562.64	338,131.01	0.28
FHMS K-029 A1	10/25/2022	605,732.05	618,506.72	0.28
FHMS K-034 A1	2/25/2023	934,246.65	963,232.54	0.36
FHMS K-035 A1	3/25/2023	854,813.99	879,498.08	0.48
FHMS K-715 A2	1/25/2021	1,873,181.81	1,785,853.39	0.44
FHMS K-717 A2	9/25/2021	788,920.95	802,289.62	0.59
FHMS K-720 A2	6/25/2022	2,196,304.69	2,262,700.00	0.70
FHMS K-720 A2	6/25/2022	1,005,312.50	1,028,500.00	0.70
FHMS K-P05 A	7/25/2023	462,111.97	478,791.03	0.99
FHMS K-J23 A1	3/25/2022	308,556.90	311,737.53	0.72
FHMS K-J27 A1	7/25/2024	1,035,613.55	1,067,763.91	0.75
FITAT 2019-1 A3	12/15/2023	599,868.12	613,050.00	0.67
FORDL 2019-A A3	5/15/2022	826,861.06	834,095.17	-0.13
GMCAR 2019-1 A3	11/16/2023	2,080,662.52	2,122,011.32	0.08
GMCAR 2020-3 A3	4/16/2025	899,794.08	900,684.00	0.42
GMALT 2019-3 A3	6/20/2022	699,922.79	708,421.00	0.25
HDMOT 2020-A A3	10/15/2024	874,809.16	889,481.25	0.88
HAROT 2018-4 A3	1/15/2023	978,274.95	997,608.07	0.50
HAROT 2018-3 A3	8/22/2022	1,000,953.45	1,014,225.11	0.68
HART 2019-A A3	6/15/2023	449,940.78	459,099.00	0.58
MBALT 2020-B A3	11/15/2023	259,986.82	260,000.00	0.40
MBALT 2018-B A3	9/15/2021	1,202,775.47	1,209,285.52	0.01
MBART 2020-1 A3	2/18/2025	624,951.19	627,650.00	0.36
MBART 2018-1 A3	1/15/2023	1,044,984.04	1,060,124.77	0.46
MBALT 2019-A A3	11/15/2021	887,521.19	893,937.54	0.07
NALT 2018-A A3	9/15/2021	463,650.93	465,768.79	0.46
NALT 2019-B A3	7/15/2022	554,968.48	562,009.65	0.24
NAROT 2018-C A3	6/15/2023	899,827.56	918,882.00	0.75
NAROT 2020-B A3	7/15/2024	1,149,968.49	1,154,692.00	0.25
NAROT 2018-B A3	3/15/2023	1,242,875.15	1,263,846.12	0.78
NAROT 2019-C A3	7/15/2024	899,952.48	922,230.00	0.56
NAROT 2019-A A3	10/16/2023	2,424,632.61	2,482,036.00	0.66
NALT 2019-A A3	3/15/2022	269,980.40	272,713.50	0.37
TAOT 2018-D A3	3/15/2023	999,783.70	1,018,040.00	0.70
TAOT 2018-B A3	9/15/2022	950,152.90	961,892.13	0.34
TAOT 2019-C A3	9/15/2023	1,099,990.98	1,120,680.00	0.51
VZOT 2020-B A	2/20/2025	799,832.00	800,768.00	0.43
VZOT 2019-C A1A	4/22/2024	1,424,890.13	1,458,530.25	0.13
VZOT 2020-A A1A	7/22/2024	999,882.90	1,025,630.00	0.30
VWALT 2019-A A3	11/21/2022	899,985.78	916,722.00	0.10
VALET 2018-2 A3	4/20/2023	2,136,599.87	2,181,538.73	-0.05
WOART 2020-B A3	5/15/2025	999,921.60	1,004,980.00	0.43
FHMS K-J22 A1	5/25/2023	98,749.81	99,395.36	0.94
HAROT 2017-2 A3	8/16/2021	315,504.96	315,873.03	0.46

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<u>DESCRIPTION</u>	<u>MATURITY DATE</u>	<u>BOOK VALUE</u>	<u>MARKET VALUE</u>	<u>YIELD</u>
HAROT 2020-1 A3	4/22/2024	2,939,423.76	3,009,266.40	0.42
HAROT 2019-1 A2	9/20/2021	530,724.64	532,069.80	0.54
HAROT 2019-3 A3	8/15/2023	2,764,977.05	2,817,673.25	0.45
JDOT 2019-B A3	12/15/2023	1,424,697.47	1,458,772.50	0.36
JDOT 2020 A3	8/15/2024	2,124,870.16	2,152,858.75	0.43
MBALT 2020-A A3	12/15/2022	1,409,814.16	1,432,954.80	0.25
NAROT 2019-C A3	7/15/2024	2,954,843.98	3,027,988.50	0.56
TAOT 2019-A A2A	10/15/2021	323,027.25	323,770.54	0.00
AMXCA 2018-8 A	9/15/2021	1,477,496.72	1,483,505.01	0.25
AMXCA 2018-8 A	9/15/2021	662,517.89	665,161.29	0.25
AMXCA 2018-8 A	9/15/2021	930,695.27	934,515.63	0.25
BACCT 2018-2 A	9/15/2023	3,056,678.52	3,054,909.20	0.24
BACCT 2018-2 A	9/15/2023	1,086,593.36	1,085,964.40	0.24
BMWLT 2019-1 A4	8/22/2022	4,789,968.75	4,800,741.75	0.33
CNH 2020-A A2	7/17/2023	1,204,934.57	1,211,410.60	0.38
CARMX 2019-3 A2A	12/15/2022	1,130,162.47	1,137,989.08	0.51
CARMX 2020-1 A3	12/16/2024	1,024,798.90	1,052,162.50	0.70
CCCIT 2014-A1 A1	1/23/2023	1,991,259.38	2,011,199.40	0.24
FH G12952	12/1/2022	162,656.41	162,426.46	0.61
FH G18303	3/1/2024	405,835.30	413,736.58	-0.44
FNR 2012-50 VA	7/25/2023	271,533.21	269,436.29	1.24
FNA 2012-M9 A2	4/25/2022	370,815.22	375,309.35	0.69
FNA 2012-M9 A2	4/25/2022	76,407.44	77,336.47	0.69
FNA 2012-M17 A2	11/25/2022	403,565.65	428,836.60	0.57
FNR 2013-136 CV	6/25/2023	347,272.88	347,153.72	1.55
FHMS K-015 A2	7/25/2021	612,458.99	621,667.99	0.55
FHMS K-015 A2	7/25/2021	167,509.64	167,372.15	0.55
FHMS 2011-K016 A2	10/25/2021	2,094,405.65	2,144,965.58	0.45
FHMS 2011-K016 A2	10/25/2021	604,555.33	607,506.59	0.45
FHMS K-020 A2	5/25/2022	487,851.56	513,185.00	0.51
FHMS K-020 A2	5/25/2022	97,562.50	102,637.00	0.51
FHMS K-020 A2	5/25/2022	194,437.50	205,274.00	0.51
FHMS K-021 A2	6/25/2022	979,257.81	1,028,610.00	0.51
FHMS K-023 A1	4/25/2022	47,128.77	48,868.85	0.50
FHMS K-023 A1	4/25/2022	230,476.01	235,792.20	0.50
FHMS K-025 A1	4/25/2022	186,148.78	189,168.53	0.62
FHMS K-025 A2	10/25/2022	500,603.91	508,776.80	0.63
FHMS K-025 A2	10/25/2022	3,611,499.61	3,670,461.20	0.63
FHMS K-S01 A2	1/25/2023	234,488.21	248,183.15	0.49
FHMS K-027 A1	9/25/2022	46,768.36	48,536.68	0.49
FHMS K-027 A2	1/25/2023	2,101,558.59	2,187,717.00	0.62
FHMS K-027 A2	1/25/2023	1,875,366.21	1,953,318.75	0.62
FHR 4285 BA	12/15/2023	663,423.90	662,322.09	0.09
FHMS K-041 A1	8/25/2024	2,202,993.59	2,196,624.93	0.55
FHMS K-046 A1	1/25/2025	736,857.62	735,709.03	0.66
FHMS K-047 A1	12/25/2024	826,861.17	847,313.12	0.49
FN AM0359	8/1/2022	2,690,138.28	2,730,328.90	0.83
FN AM1568	12/1/2022	1,387,925.59	1,423,586.49	2.47
FN AM1568	12/1/2022	1,416,196.10	1,423,586.49	2.47
FN AM1999	7/1/2021	2,200,505.90	2,284,194.39	0.19
FNR 0338C MP	5/25/2023	260,008.88	261,133.54	1.14
FNR 0338C MP	5/25/2023	286,198.27	286,746.19	1.14
FNR 0333J LB	5/25/2023	165,094.79	165,615.80	1.53
FNR 0364L HQ	7/25/2023	169,691.22	171,137.89	1.09
FHR 2666 OD	8/15/2023	161,108.73	162,819.32	1.14
FHR 2666 OD	8/15/2023	167,622.51	169,122.01	1.14
FHR 2756 KA	2/15/2024	627,502.00	623,959.60	1.54
FNR 2008-45 DB	6/25/2023	332,736.05	333,911.46	0.39
FN BM6007	5/1/2023	787,973.44	782,010.70	0.94
FN 961991	3/1/2023	520,349.50	533,303.66	-1.12
GMALT 2020-2 B	7/22/2024	4,078,992.65	4,156,581.60	0.68
HAROT 2017-3 A3	9/18/2021	31,463.35	31,519.62	0.58
JDOT 2019-B A2	5/16/2022	732,202.71	735,756.69	0.40
JDOT 2019-B A2	5/16/2022	133,377.89	133,773.94	0.40
JDOT 2017-B A3	10/15/2021	5,260.71	5,263.99	0.50
JDOT 2017-B A3	10/15/2021	43,720.03	44,343.41	0.50
JDOT 2019 A2	10/15/2021	363,319.41	364,037.22	0.54
KCOT 2020-1 A1	5/17/2021	185,929.68	186,141.64	0.41
MMAF 20B A3	8/14/2025	3,469,950.38	3,465,280.80	0.00
MMAF 20A A2	4/9/2024	1,669,844.69	1,675,026.70	0.46
NAROT 2017-C A3	4/18/2022	34,335.22	34,496.59	0.57
NAROT 2017-C A3	4/18/2022	21,512.77	21,952.37	0.57
NALT 2019-B A2A	10/15/2021	732,515.39	734,901.76	0.19
PFSFC 20B A	6/17/2024	1,564,789.51	1,581,385.55	0.59
SCART 20A A	10/15/2024	2,502,542.19	2,526,372.44	0.00
SYNCT 2016-2 A	5/17/2021	2,957,144.53	2,983,158.00	0.43
TAOT 2017-B A3	7/15/2021	6,869.28	6,873.31	0.54
TAOT 2017-B A3	7/15/2021	6,887.25	6,873.31	0.54
TAOT 2017-B A3	7/15/2021	237.36	240.57	0.54
TFET 191 A3	4/24/2023	1,974,661.88	2,007,567.75	0.61
BMWLT 2018-1 A3	7/20/2021	304,090.50	305,568.28	0.26
BMWLT 2018-1 A4	3/21/2022	629,994.39	636,388.20	0.49
COPAR 2020-1 A3	11/15/2024	2,129,547.16	2,177,158.20	0.57
DRIVE 2020-2 A3	5/15/2024	629,975.93	632,828.70	0.53
FNA 2011-M5 A2	7/25/2021	348,152.37	348,158.90	-0.05
FHMS K-020 A2	5/25/2022	2,714,871.09	2,771,199.00	0.51
FHMS K-SMC A2	1/25/2023	1,483,888.67	1,565,081.10	0.36
FHMS K-SMC A2	1/25/2023	2,030,198.44	2,142,795.60	0.36
FHMS K-SMC A2	1/25/2023	410,500.00	420,156.00	0.36
FHMS K-717 A2	9/25/2021	1,642,900.17	1,654,722.34	0.59
FHMS K-724 A1	3/25/2023	963,054.64	989,861.99	0.84
FHMS K-J23 A2	12/25/2022	1,684,331.25	1,714,013.20	1.03
FHMS K-J30 A1	1/25/2025	1,612,417.76	1,612,996.63	0.51
HDMOT 2019-A A3	2/15/2024	4,299,667.18	4,375,981.00	0.70
HAROT 2017-2 A3	8/16/2021	220,853.47	221,111.12	0.46
HAROT 2017-3 A3	9/18/2021	191,064.58	191,406.30	0.58
HAROT 2017-3 A3	9/18/2021	36,774.34	37,449.06	0.58
HAROT 2019-3 A3	8/15/2023	1,809,984.98	1,844,480.50	0.45
JDOT 2017-B A3	10/15/2021	26,589.47	26,606.04	0.50
JDOT 2019 A3	7/17/2023	1,904,765.88	1,947,900.60	0.70
JDOT 2020 A3	8/15/2024	2,799,828.92	2,836,708.00	0.43
MBALT 2020-B A3	11/15/2023	4,229,785.54	4,230,000.00	0.40
MBART 2020-1 A3	2/18/2025	1,459,885.97	1,466,190.40	0.36
MBALT 2020-A A3	12/15/2022	1,029,864.25	1,046,768.40	0.25
NALT 2018-A A3	9/15/2021	637,222.81	640,133.52	0.46
SDART 2020-2 A3	4/15/2024	859,901.01	862,502.60	0.45
SDART 2020-3	7/15/2024	2,469,763.87	2,474,915.30	0.39
TAOT 2017-B A3	7/15/2021	11,471.70	11,478.43	0.54
TAOT 2020-C A3	10/15/2024	2,129,835.99	2,134,856.40	0.34

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TAOT 2018-A A3	5/16/2022	0.00	0.00	0.34
TAOT 2019-C A3	9/15/2023	1,829,984.99	1,864,404.00	0.51
VZOT 2019-C A1A	4/22/2024	1,999,845.80	2,047,060.00	0.13
VWALT 2019-A A3	11/21/2022	849,986.57	865,793.00	0.10
FHMS K-J22 A1	5/25/2023	126,399.76	127,226.06	0.94
SUB-TOTAL		194,079,311.55	197,158,482.54	
<u>Municipal Debt</u>				
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2022	625,000.00	625,743.75	0.29
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2023	230,000.00	230,282.90	0.38
CALIFORNIA ST UNIV REV	11/1/2023	1,000,000.00	1,000,410.00	0.46
CONNECTICUT ST	7/1/2023	226,343.25	233,885.25	0.55
FLORIDA ST BRD ADMIN FIN CORP REV	7/1/2025	1,025,000.00	1,040,733.75	0.93
MARYLAND ST	8/1/2023	2,125,000.00	2,126,657.50	0.38
MISSISSIPPI ST	11/1/2023	925,000.00	926,424.50	0.37
PORT AUTH N Y & N J	7/1/2023	1,125,000.00	1,141,121.25	0.56
PORT AUTH N Y & N J	7/1/2023	1,101,416.70	1,110,691.35	0.56
NEW YORK ST	2/15/2024	3,000,000.00	3,151,770.00	0.50
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2022	2,865,000.00	2,928,603.00	0.64
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2022	1,105,500.00	1,124,420.00	0.64
CALIFORNIA HEALTH FACS FING AUTH REV	6/1/2021	2,140,000.00	2,158,575.20	0.59
CALIFORNIA ST	4/1/2024	3,239,373.40	3,337,538.10	0.63
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2024	2,120,000.00	2,122,946.80	0.53
CHAFFEY CMNTY COLLEGE DIST CALIF	6/1/2022	715,000.00	727,047.75	0.59
CONTRA COSTA CALIF CMNTY COLLEGE DIST	8/1/2022	1,000,000.00	1,020,250.00	0.54
EL DORADO CALIF IRR DIST REV	3/1/2023	720,000.00	725,536.80	0.55
EL DORADO CALIF IRR DIST REV	3/1/2024	720,000.00	729,072.00	0.71
HAWAII ST ARPTS SYS CUSTOMER FAC CHARGE REV	7/1/2022	715,000.00	716,358.50	1.71
HAWAII ST ARPTS SYS CUSTOMER FAC CHARGE REV	7/1/2024	715,000.00	714,628.20	2.02
LOS ANGELES CALIF DEPT ARPTS ARPT REV	5/15/2021	1,006,380.00	1,011,050.00	0.52
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2022	900,000.00	900,423.00	0.49
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2023	720,000.00	720,842.40	0.61
LOS ANGELES CNTY CALIF PUB WKS FING AUTH LEASE REV	12/1/2021	1,537,050.00	1,546,680.00	0.51
MASSACHUSETTS ST SCH BLDG AUTH DEDICATED SALES TAX	10/15/2022	1,800,000.00	1,848,042.00	0.65
MASSACHUSETTS ST WTR RES AUTH IAM COML PAPER NTS 3	8/1/2023	2,365,000.00	2,447,254.70	0.54
MISSISSIPPI ST	11/1/2023	4,540,000.00	4,546,991.60	0.37
OHIO ST SPL OBLIG	10/1/2023	1,180,000.00	1,186,525.40	0.38
OHLINE CALIF CMNTY COLLEGE DIST	8/1/2022	800,000.00	816,824.00	0.54
PASADENA CALIF PUB FING AUTH LEASE REV	12/1/2020	275,000.00	276,201.75	0.52
PASADENA CALIF PUB FING AUTH LEASE REV	12/1/2021	400,000.00	412,848.00	0.48
PENNSYLVANIA ST TPK COMMN TPK REV	12/1/2021	876,767.50	885,780.00	1.21
RANCHO SANTIAGO CALIF CMNTY COLLEGE DIST	9/1/2023	865,000.00	866,245.60	0.37
RHODE IS ST TPK & BRDG AUTH TOLL REV	12/1/2021	480,000.00	484,468.80	1.32
RHODE IS ST TPK & BRDG AUTH TOLL REV	12/1/2022	400,000.00	407,968.00	1.23
RIVERSIDE CNTY CALIF PENSION OBLIG	2/15/2022	2,420,000.00	2,471,352.40	0.71
SAN DIEGO CALIF CMNTY COLLEGE DIST	8/1/2022	1,500,000.00	1,539,510.00	0.49
SAN DIEGO CNTY CALIF WTR AUTH WTR REV	5/1/2024	1,440,000.00	1,443,542.40	0.52
SAN FRANCISCO CALIF BAY AREA RAPID TRAN DIST SALES	7/1/2022	1,484,761.60	1,509,391.80	0.59
SAN FRANCISCO CALIF CITY & CNTY ARPTS COMMN INTL A	5/1/2022	2,138,837.50	2,179,114.45	1.07
SAN FRANCISCO CALIF CITY & CNTY ARPTS COMMN INTL A	5/1/2023	1,635,140.00	1,684,475.55	1.17
SAN FRANCISCO CALIF CITY & CNTY REDEV FING AUTH TA	2/1/2021	1,910,798.40	1,725,225.60	0.59
SAN JOSE EVERGREEN CALIF CMNTY COLLEGE DIST	9/1/2021	290,000.00	290,510.40	0.41
SAN JOSE EVERGREEN CALIF CMNTY COLLEGE DIST	9/1/2022	430,000.00	432,115.60	0.44
TEXAS ST	10/1/2022	2,335,000.00	2,397,904.90	0.26
UNIV CALIF REGTS MED CTR POOLED REV	5/15/2021	1,201,003.20	1,222,776.00	0.59
UPPER SANTA CLARA VY JT PWRS AUTH CALIF REV	8/1/2023	2,590,000.00	2,592,719.50	0.64
UPPER SANTA CLARA VY JT PWRS AUTH CALIF REV	8/1/2024	2,625,000.00	2,628,990.00	0.79
UTAH HSG CORP SINGLE FAMILY MTG REV	1/1/2022	1,535,000.00	1,550,043.00	1.31
UTAH HSG CORP SINGLE FAMILY MTG REV	7/1/2022	640,000.00	649,836.80	1.26
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2022	560,000.00	563,651.20	0.53
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2023	720,000.00	729,568.80	0.61
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2023	722,793.60	729,568.80	0.61
ALAMEDA CNTY CALIF JT PWRS AUTH LEASE REV	6/1/2022	1,275,187.50	1,300,825.00	0.55
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2023	3,700,000.00	3,849,554.00	0.56
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2022	1,534,485.00	1,533,300.00	0.64
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2023	790,000.00	819,711.90	0.72
CALIFORNIA HSG FIN AGY REV	2/1/2021	1,120,000.00	1,125,936.00	0.78
CALIFORNIA ST	3/1/2022	1,802,064.00	1,743,571.50	0.46
CALIFORNIA ST	4/1/2021	3,000,120.00	3,035,880.00	0.42
CALIFORNIA ST PUB WKS BRD LEASE REV	12/1/2021	1,160,759.47	1,125,550.67	2.71
CALIFORNIA ST UNIV REV	11/1/2023	1,090,000.00	1,090,446.90	0.46
CONNECTICUT ST	7/1/2023	875,193.90	904,356.30	0.55
CONTRA COSTA CALIF CMNTY COLLEGE DIST	8/1/2021	1,000,000.00	1,010,260.00	0.47
LOS ALTOS CALIF SCH DIST	8/1/2023	2,790,000.00	2,791,032.30	1.67
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2020	1,484,164.80	1,443,225.60	0.54
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2022	1,019,560.00	1,051,780.00	0.49
MASSACHUSETTS (COMMONWEALTH OF)	5/1/2022	1,186,968.00	1,180,447.20	0.38
MASSACHUSETTS (COMMONWEALTH OF)	7/1/2023	1,270,000.00	1,263,396.00	0.70
MASSACHUSETTS (COMMONWEALTH OF)	7/1/2023	65,000.00	64,662.00	0.70
MASSACHUSETTS ST WTR RES AUTH IAM COML PAPER NTS 3	8/1/2023	760,000.00	786,432.80	0.54
OAKLAND-ALAMEDA CNTY CALIF COLISEUM AUTH LEASE REV	2/1/2023	1,058,440.00	1,050,090.00	1.16
OREGON ST	8/1/2023	2,350,000.00	2,351,480.50	0.45
PALM DESERT CALIF REDEV AGY SUCCESSOR AGY TAX ALLO	10/1/2022	1,114,074.90	1,130,138.55	1.13
RANCHO SANTIAGO CALIF CMNTY COLLEGE DIST	9/1/2024	1,410,000.00	1,411,776.60	0.60
RIVERSIDE CALIF UNI SCH DIST	2/1/2022	750,000.00	762,097.50	0.59
RIVERSIDE CNTY CALIF PENSION OBLIG	2/15/2023	1,375,000.00	1,425,710.00	0.79
SACRAMENTO CNTY CALIF SANTN DIST FING AUTH REV	12/1/2023	1,500,000.00	1,507,695.00	0.60
SAN BERNARDINO CALIF CMNTY COLLEGE DIST	8/1/2024	890,000.00	901,623.40	0.60
SAN DIEGO CALIF CMNTY COLLEGE DIST	8/1/2021	1,285,000.00	1,300,972.55	0.44
SAN DIEGO CALIF PUB FACS FING AUTH LEASE REV	10/15/2020	1,200,000.00	1,201,056.00	0.70
SAN DIEGO CALIF PUB FACS FING AUTH LEASE REV	10/15/2021	1,325,000.00	1,359,887.25	0.46
SAN DIEGO CALIF PUB FACS FING AUTH WTR REV	8/1/2023	620,000.00	633,292.80	0.56
SAN FRANCISCO CALIF CITY & CNTY PUB UTILS COMMN WT	11/1/2022	630,000.00	648,837.00	0.51
SAN FRANCISCO CALIF CITY & CNTY ARPTS COMMN INTL A	5/1/2021	2,800,000.00	2,831,612.00	0.99
SAN FRANCISCO CALIF CITY & CNTY ARPTS COMMN INTL A	5/1/2022	2,350,000.00	2,422,709.00	1.07
SANTA BARBARA CNTY CALIF SOLID WASTE SYS REV CTFS	12/1/2021	375,000.00	387,150.00	0.52
SOUTHERN CALIF PUB PWR AUTH PWR PROJ REV	7/1/2023	2,735,000.00	2,740,032.40	0.46
UNIV CALIF REGTS MED CTR POOLED REV	5/15/2022	1,577,512.50	1,581,682.00	0.62
UNIVERSITY CALIF REVS	5/15/2021	860,000.00	869,193.40	0.40
UNIVERSITY CALIF REVS	5/15/2022	1,926,739.20	2,006,188.80	0.51
UNIVERSITY CALIF REVS	5/15/2023	1,670,000.00	1,677,047.40	0.47
UPPER SANTA CLARA VY JT PWRS AUTH CALIF REV	8/1/2022	2,460,000.00	2,461,623.60	0.49
VALLEJO CALIF WTR REV	5/1/2023	840,000.00	847,341.60	1.13
SUB-TOTAL		130,786,434.42	132,220,744.57	
<u>Variable & Floating Rate</u>				
BANK OF AMERICA CORP	3/5/2024	1,064,260.00	1,064,960.00	0.84
BANK OF AMERICA CORP	5/19/2024	1,425,000.00	1,449,495.75	1.10
CARMX 2020-3 A3	3/17/2025	774,867.17	778,169.75	0.45
CITIGROUP INC	11/4/2022	600,000.00	610,992.00	0.77
FHMS K-714 A2	10/25/2020	5,686.18	5,388.93	0.32

Orange County Transportation Authority
Portfolio Listing
As of September 30, 2020

DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
GMALT 2020-3 A3	8/21/2023	624,940.13	625,000.00	0.45
JPMORGAN CHASE & CO	6/1/2024	1,575,000.00	1,607,460.75	0.92
JPMORGAN CHASE & CO	9/16/2024	300,000.00	300,114.00	0.66
NALT 2020-B A3	10/16/2023	424,956.27	425,000.00	0.43
CATERPILLAR FINANCIAL SERVICES CORP	3/15/2021	2,466,577.50	2,716,954.80	0.32
CATERPILLAR FINANCIAL SERVICES CORP	5/17/2021	2,100,000.00	2,103,948.00	0.34
CITIGROUP INC	11/4/2022	3,140,000.00	3,197,524.80	0.77
FNA 2014-M6 A2	5/25/2021	115,840.36	118,147.37	0.93
FHMS K-010 A2	10/25/2020	3,809.35	3,701.67	0.83
FN AL3382	3/1/2023	739,216.01	752,088.79	0.84
FN FN0004	12/1/2020	202,976.34	199,889.93	2.67
INTERNATIONAL BUSINESS MACHINES CORP	5/13/2021	2,223,019.75	2,230,518.00	0.26
KEYBANK NA	2/1/2022	4,180,000.00	4,205,916.00	0.43
PNC BANK NA	2/24/2023	4,045,000.00	4,048,923.65	0.48
PACCAR FINANCIAL CORP	5/10/2021	3,754,687.50	3,754,500.00	0.30
STATE STREET CORP	3/30/2023	1,750,000.00	1,810,760.00	0.50
BMWOT 2020-A A3	10/25/2024	899,932.05	902,313.00	0.37
CITIBANK NA	5/20/2022	298,510.50	299,227.35	0.59
CITIBANK NA	5/20/2022	1,319,576.85	1,323,700.65	0.59
FNA 2014-M8 A2	6/25/2024	2,178,464.94	2,170,442.83	0.42
FNA 2018-M5 A2	9/25/2021	620,348.64	583,639.80	0.86
FHMS K-029 A2	2/25/2023	1,078,080.08	1,092,201.70	0.58
FHMS K-029 A2	2/25/2023	1,716,426.56	1,739,039.60	0.58
FHMS K-029 A2	2/25/2023	820,581.64	837,708.10	0.58
FHMS K-029 A2	2/25/2023	1,797,539.45	1,792,059.10	0.58
FHMS K-031 A2	4/25/2023	3,771,482.81	3,778,737.60	0.51
FHMS K-032 A2	5/25/2023	3,805,596.09	3,994,768.80	0.59
FHMS K-033 A2	7/25/2023	3,809,798.44	3,860,432.40	0.61
FHMS K-105 A	7/25/2024	1,684,130.27	1,687,532.22	0.35
FIRST REPUBLIC BANK	2/12/2024	500,000.00	513,910.00	0.76
GOLDMAN SACHS GROUP INC	10/31/2022	1,573,456.50	1,581,646.50	0.62
JPMORGAN CHASE & CO	9/16/2024	1,160,000.00	1,160,440.80	0.66
KEYBANK NA	11/22/2021	1,570,646.00	1,560,927.50	0.43
PNC BANK NA	12/9/2022	1,640,000.00	1,670,766.40	0.45
PACCAR FINANCIAL CORP	5/10/2021	700,000.00	700,840.00	0.30
WELLS FARGO BANK NA	9/9/2022	1,990,000.00	2,018,138.60	0.57
SUB-TOTAL		64,450,407.38	65,277,927.14	
Supranationals				
INTER-AMERICAN DEVELOPMENT BANK	5/24/2023	2,599,116.00	2,616,614.00	0.26
INTER-AMERICAN DEVELOPMENT BANK	4/14/2022	1,934,593.40	1,974,795.30	0.24
INTER-AMERICAN DEVELOPMENT BANK	4/14/2022	1,177,726.00	1,202,271.75	0.24
INTER-AMERICAN DEVELOPMENT BANK	4/14/2022	811,863.00	828,800.10	0.24
INTER-AMERICAN DEVELOPMENT BANK	9/14/2022	10,484,250.00	10,811,010.00	0.23
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT	6/24/2021	3,835,530.00	3,856,772.00	0.21
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT	6/19/2023	2,889,102.00	2,974,345.50	0.26
SUB-TOTAL		23,732,180.40	24,264,608.65	
SHORT-TERM PORTFOLIO - TOTAL		1,611,431,184.50	1,604,473,666.26	
BOND PROCEEDS PORTFOLIO				
GUARANTEED INVESTMENT CONTRACT (GIC)				
<i>THE BANK OF NOVA SCOTIA</i>	4/1/2021	116,950,000.00	116,950,000.00	3.01%
BNY MELLON-MONEY MARKET FUND	N/A	52,939,232.97	52,939,232.97	0.27%
BNY MELLON-COMMERCIAL PAPER	10/5/2020	14,991,375.00	14,991,375.00	0.23%
BNY MELLON-COMMERCIAL PAPER	12/17/2020	44,983,500.00	44,983,500.00	0.15%
BOND PROCEEDS PORTFOLIO-TOTAL		\$ 229,864,107.97	\$ 229,864,107.97	
DEBT SERVICE RESERVE FUNDS				
DESCRIPTION	MATURITY DATE	BOOK VALUE	REQUIRED AMOUNT	YIELD
<i>91 EXPRESS LANES 2013 BONDS</i>	2030		10,799,437.46	
US BANK COMMERCIAL PAPER	12/9/2020	11,483,353.82		0.06%
FIRST AMERICAN TREAS OBLIGATIONS	N/A	957.11		0.01%
<i>91 EXPRESS LANES 2013 BONDS - OPERATING & MAINTENANCE RESERVES</i>			13,000,000.00	
BANK DEPOSITS	N/A	204,406.50		
OPERATING RESERVE	10/13/2020	3,098,760.00		0.16%
MAINTENANCE RESERVE	10/13/2020	10,495,800.00		0.16%
DEBT SERVICE RESERVE FUNDS - TOTAL		\$ 25,283,277.43		
TOTAL PORTFOLIO				
		Book Value	Market Value	
		\$ 2,051,553,306.59	\$ 2,044,595,788.35	



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board

Finance and Administration Committee Meeting of October 28, 2020

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

Absent: None

Committee Vote

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

Staff Recommendation

Receive and file as an information item.



October 28, 2020

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board

Overview

The Orange County Transportation Authority Board of Directors authorized loan agreements with the cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board. This report provides the annual update on the status of each of these agreements as requested by the Board of Directors.

Recommendation

Receive and file as an information item.

Background

City of Anaheim

In July 2012, the Orange County Transportation Authority (OCTA) entered into a purchase and sale agreement with the City of Anaheim (Anaheim) selling real property valued at \$32.5 million to enable the construction of the Anaheim Regional Transportation Intermodal Center. Anaheim provided \$1 million as a down payment into escrow, with the remaining \$31.5 million to be paid over a 13-year period. The interest rate on the loan is set at a fixed-interest rate of two percent, with the interest portion of the loan to be paid in the final two years of the loan period.

Anaheim uses its Measure M2 (M2) Local Fair Share (LFS) funds to repay the loan, and the funds have been automatically deducted from Anaheim's bimonthly LFS payments since July 2012. The remaining balance is \$8.3 million as of September 30, 2020. The loan repayments will continue to be deducted from bimonthly M2 LFS payments until the loan balance reaches zero in fiscal year (FY) 2024-25. Should Anaheim become ineligible to receive LFS, or if the LFS funds are insufficient to meet the scheduled payment, California Highway Users Tax Account funds would be utilized to make the payments.

Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and West Orange County Water Board

City of Buena Park

In April 2016, OCTA entered into a purchase and sale agreement with the City of Buena Park (Buena Park) selling excess parcel remnants valued at \$1.04 million, from the Interstate 5 Freeway Widening Project. Buena Park provided \$514,000 as a down payment. Per the agreement, Buena Park will pay the balance over a five-year period until April 2021, with the balance secured by a deed of trust. In April 2017, Buena Park began making annual principal payments of \$105,200 plus interest. The interest calculation is based on OCTA's actual short-term investment portfolio earnings rate for the prior 12-month period, and resets annually. The interest rate for FY 2017-18 was 2.39 percent and for FY 2018-19 was 2.13 percent. The remaining balance is \$105,200, as of September 30, 2020.

City of Placentia

In February 2010, OCTA entered into a loan agreement with the City of Placentia (Placentia) for \$4.1 million so Placentia could repay the California Department of Transportation for ineligible expenditures on rail grade separation projects. The loan amount of \$4.1 million is to be repaid over a 19-year period that began July 1, 2011 and continues through May 1, 2030. The remaining balance is \$2.2 million as of September 30, 2020, and is estimated to be paid in full by May 2026. The loan is anticipated to be paid in full ahead of schedule due to actual interest rates being lower than the rate assumed at the time the loan began in February 2010. The initial assumption was that the interest rate for the life of the loan would be four percent. However, the actual interest rate on the loan is based on OCTA's actual short-term investment portfolio earnings rate for the prior 12-month period, and resets annually. Actual interest rates since the inception of the loan have been below 2.5 percent with the current interest rate at 0.40 percent.

Placentia uses its M2 LFS funds to repay the loan, and the funds are automatically deducted from Placentia's bimonthly LFS payments. The agreement allows OCTA to withhold 30 percent of Placentia's LFS funds beginning in FY 2011-12. Placentia's contribution increases by one percentage point each FY thereafter until the advance is fully repaid. Placentia's current contribution is 39 percent of their LFS payments. Should Placentia become ineligible to receive LFS, Placentia would be required to pledge other appropriate funding to repay the full amount of the advance and interest thereon.

West Orange County Water Board

In October 2017, OCTA entered into a reimbursement agreement with the West Orange County Water Board (WOCWB) for up to \$4.7 million for the relocation of a pipeline facility necessary to facilitate the Interstate 405 Widening Project. An amendment to the agreement was approved by the OCTA Board

Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and West Orange County Water Board *Page 3*

of Directors (Board) on November 27, 2017, to increase the loan amount by \$1.3 million to accommodate the final project cost received by the WOCWB.

Per the terms identified in the agreement, the WOCWB will make quarterly payments with the interest rate being equal to the State of California Surplus Money Investment Fund (SMIF). The SMIF interest rate on the September 2020 payment was 1.236 percent. The term of the loan has been structured to not exceed ten years. OCTA began receiving quarterly payments from the WOCWB in June 2018. In April 2020, the WOCWB returned unused principal of \$198,741 as required in the loan agreement upon project completion. The remaining balance is \$3.1 million as of September 30, 2020. The WOCWB will continue making quarterly payments until the loan has been fully repaid in March 2028.

Discussion

OCTA continues to withhold payments from M2 LFS funds to repay the loans established with the cities of Anaheim and Placentia. The fourth annual payment from Buena Park and the tenth quarterly payment from WOCWB have also been received. OCTA will continue to follow the terms identified in all loan agreements by withholding payments and invoicing responsible parties as applicable. The beginning balance, amount collected, and outstanding balance for each loan as of September 30, 2020, can be found on Attachment A.

Summary

The OCTA Board authorized loan agreements with the cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board. Each entity has been making payments per their respective agreements.

Attachment

A. Status of Loan Agreements as of September 30, 2020

Prepared By:



Sam Kaur
Department Manager,
Revenue Administration
(714) 560-5889

Approved By:



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

Status of Loan Agreements
as of September 30, 2020

Borrower	Type of Agreement	Loan Period Begin Date	Interest Rate % Prior Payment ¹	Beginning Principal Balance	Principal Paid	Interest Paid	Outstanding Principal as of 9/30/20	Loan Maturity
City of Anaheim ²	Purchase and Sale Agreement	July 2012	2%	32,500,000	24,166,667	-	8,333,333	May 20, 2025
City of Buena Park	Purchase and Sale Agreement	April 2016	2.39% (4/29/19-6/30/19) 2.13% (7/1/19-4/28/20)	1,040,000	934,800	21,650	105,200	April 29, 2021
City of Placentia ³	Loan Agreement	February 2010	0.40%	4,227,586	1,997,569	411,888	2,230,017	May 1, 2030
West Orange County Water Board ⁴	Reimbursement Agreement for Utility Relocation	October 2017	1.236%	5,995,394	2,877,363	178,318	3,118,031	March 1, 2028

1. Interest rates vary for the cities of Buena Park, Placentia and the West Orange County Water Board. Interest rates listed represent rates for the prior payment.

2. Interest for the City of Anaheim loan is scheduled to be paid in the final 2 years of the loan.

3. The City of Placentia's principal balance includes capitalized interest in the amount of \$127,586.

4. The West Orange County Water Board made an additional principal payment of \$1.5 million in September 2018 and returned unused principal of \$198,741.28 in April 2020.



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors
From: *RW*
Laurena Weinert, Clerk of the Board
Subject: Orange County Transportation Authority Code of Conduct

Executive Committee Meeting of November 2, 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 5-0 by the Members present.

Director Hennessey was not present to vote on this item.

Committee Recommendation

Receive and file as an information item.



November 2, 2020

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Orange County Transportation Authority Code of Conduct

Overview

As required by the Federal Transit Administration and organizational best practices, the Orange County Transportation Authority maintains a written code of conduct to provide direction to officers, employees, agents, and members of the Board of Directors on appropriate and professional behavior in the conduct of Orange County Transportation Authority business.

Recommendation

Receive and file as an information item.

Background

The Federal Transit Administration (FTA) requires that all funding recipients maintain a written code of conduct, or standards of conduct, that will govern the actions of its officers, employees, board members, or agents engaged in the award or administration of sub-agreements, leases, third-party contracts, or other arrangements supported with federal assistance. The Orange County Transportation Authority (OCTA) last updated and adopted the Code of Conduct Policy on November 16, 2018.

Discussion

The OCTA Code of Conduct Policy (Attachment A) requires that employees, agents, and members of the Board of Directors exercise the highest level of ethical behavior in the conduct of OCTA business. It includes expectations that these parties comply with the law, as well as with the letter and spirit of the Code of Conduct.

Consistent with FTA requirements and codes of conduct adopted by other public agencies, the OCTA Code of Conduct prohibits both real and apparent personal

conflicts of interest and includes procedures for identifying and preventing such conflicts. As a means of promoting a strong ethical culture at OCTA, the Code of Conduct also includes reiterations of existing OCTA policies or federal and state laws prohibiting discrimination, retaliation, sexual harassment, and other inappropriate behavior.

The section of the Code of Conduct related to gifts is a required element of a written code of conduct as provided in OCTA's Master Agreement with the FTA. The rules prohibit OCTA employees, agents, and members of the Board of Directors from accepting any gifts, gratuities, favors, or anything of monetary value from contractors, subcontractors, bidders, or proposers on federally funded OCTA contracts. On non-federally funded contracts, gifts totaling less than \$500 from other sources would be permitted as long as designated employees, as defined in OCTA's Conflict of Interest Policy, report the gifts on their annual Statements of Economic Interests (Form 700) in accordance with state law. This gift limit is updated biennially, and the Code of Conduct presented herewith has been updated to reflect changes made and effective as of 2020.

Changes to 2020 Code of Conduct Policy are summarized below:

1. Section V-B was revised to mirror changes to state law as it relates to protected classes, and verbiage was added to indicate that any form of workplace harassment will not be tolerated;
2. Section V-F was revised to mirror changes to Title 2 of California Code of Regulations Section 18940.2 as it relates to gifts;
3. Section V-I was added to address employee obligations to cooperate with control activities;
4. Section V-J was revised to correct a department title;
5. Section V-L added a link to the Ethics Hotline website; and
6. Section VIII added the Workplace Harassment & Discrimination Prevention Policy as a related document.

The Code of Conduct is provided to employees on their date of hire and biennially thereafter, with acknowledgement of receipt required.

Summary

The OCTA Code of Conduct was developed to provide direction to OCTA employees, agents, and the Board of Directors on matters related to behavior while conducting OCTA business.

Attachment


A. Orange County Transportation Authority Code of Conduct Policy - Redlined

Prepared by:



Karen DeCrescenzo
Human Resources Manager
714-560-5547

Approved by:



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



Human Resources and Organizational Development

Chief Executive Officer

CODE OF CONDUCT POLICY

Policy#: HROD-BOD-101.00CONDUCT Origination Date: 07/13/2009 Revised Date: 11/16/2018

I. PURPOSE

The purpose of this policy is to provide the guidelines and expectations to all Orange County Transportation Authority (OCTA) employees regarding the conduct that is expected both at and away from work. OCTA is a public agency that shall conduct its business with integrity in an honest and ethical manner. Any attempt to evade or circumvent any requirements of this policy or of any rules or laws applicable to OCTA and its employees is improper.

II. ORGANIZATIONAL UNITS AFFECTED

This policy applies to all OCTA employees. For purposes of the Code of Conduct, OCTA employees shall mean and include employees, members of the Board of Directors, and agents of OCTA. OCTA employees shall comply with the letter and spirit of this policy and the law.

The Human Resources Department shall be responsible for the administration of this policy and maintenance of employee acknowledgements of receipt.

III. POLICY

- A. OCTA employees shall conduct OCTA's business in compliance with the law, regulations, OCTA policies, and good judgment based on OCTA's values and goals. OCTA employees shall avoid speech or behavior that is likely to create an appearance of impropriety.
- B. It is up to each OCTA employee to maintain a professional, safe, and productive work environment. OCTA employees shall treat each other professionally and with courtesy at all times. Differences of opinion on work issues should be expressed in a constructive manner that promotes sharing ideas and effective teamwork to resolve problems to meet the challenges of OCTA.

IV. DEFINITIONS

Not applicable

V. PROCEDURE

A. Non-discrimination

No person shall be discriminated against in employment because of race, color, creed, religion, sex, gender (including pregnancy, childbirth, breastfeeding) gender identity, gender expression, genetic information, ancestry, age, national origin, marital status, sexual orientation, military and veteran status, physical or mental

Human Resources and Organizational Development CODE OF CONDUCT POLICY

Policy#: HROD-BOD-101.00CONDUCT

Origination Date: 07/13/2009

Revised Date: 11/16/2018

disability, or any other status protected by applicable federal or state statutes, except where a bona fide occupational qualification applies.

B. Workplace Harassment

1. No OCTA employee or person associated with OCTA shall engage in sexual harassment. Sexual harassment includes any sexual advances or requests for sexual favors which are unwelcome or where submission to or rejection of such conduct is used as the basis for employment or business decisions. Sexual harassment also includes verbal, visual, and/or physical conduct of a sexual nature, which creates an intimidating, hostile, or offensive working environment.
2. No OCTA employee or person associated with OCTA shall engage in harassment based on race, color, religion, creed, religion, ancestry, sex, gender (including pregnancy, childbirth, and breastfeeding and medical conditions related to pregnancy, childbirth, and breastfeeding), gender, gender identity, gender expression, sexual orientation, marital status, medical condition, genetic information, ancestry, age, national origin, marital status, sexual orientation, military and veteran status, age, physical or mental disability, national origin, transgender, or any other legally protected status protected by applicable as established by federal or state law statutes. Harassment includes verbal, visual, and/or physical conduct. Such conduct constitutes harassment when the submission to the conduct is made an explicit or implicit condition of employment, submission to or rejection of the conduct used as the basis for an employment decision, or the harassment interferes with an employee's work performance, or creates an intimidating hostile or offensive work environment. Workplace harassment, discrimination, abusive conduct, or retaliation will not be tolerated whether by OCTA employees, vendors of OCTA, customers, or other third parties.

C. Relationships With Contractors

OCTA business shall be conducted in a manner above reproach, with impartiality, and without bias. Particularly in relationships with contractors and potential contractors, OCTA employees must avoid any actual or appearance of conflict of interest or impropriety.

D. Use of OCTA Assets

OCTA employees shall not use any OCTA assets for personal gain or for any purpose other than OCTA business. Subject to the restrictions in this section and if permitted by the employee's supervisor, some occasional and limited personal use is allowed so long as it does not interfere with the performance of the employee's duties and does not result in any additional expense to OCTA. However, OCTA telephones, computers, e-mail, or internet access shall not be used for e-mail chain letters, for religious or political advocacy, for excessive personal communications, for personal financial gain, to seek outside employment, for any purpose that could reasonably be viewed as abusive, harassing, hostile, or intimidating to OCTA customers or employees, to access entertainment or sexually explicit sites, or for any use otherwise prohibited by

Human Resources and Organizational Development CODE OF CONDUCT POLICY

Policy#: HROD-BOD-101.00CONDUCT

Origination Date: 07/13/2009

Revised Date: 11/16/2018

law. OCTA reserves the right to monitor and review all records of usage by OCTA employees of any OCTA assets. No use of OCTA telephones, computers, e-mail or internet access, or any use of any other OCTA asset shall be private to the employee, and no OCTA employee shall be given any basis for an expectation of privacy in any such use.

E. Confidential Information

OCTA employees shall maintain the confidentiality of any confidential information related to contracts, construction, procurement, litigation strategy, personnel files, employee medical information, or other proprietary information to which they have access through their employment with OCTA. Such confidentiality shall be maintained during and after employment with OCTA. OCTA employees shall not use confidential information for any purpose other than in the performance of their job for the benefit of OCTA. Confidential information shall only be disclosed to authorized persons.

F. Gifts

1. OCTA employees or immediate family members shall neither solicit nor accept gifts, gratuities, favors, or anything of monetary value, except unsolicited items of nominal intrinsic value from any OCTA contractor, subcontractor, bidder, or proposer for an OCTA contract which is federally-funded. A bidder/proposer is a party which has submitted a bid or proposal for an active procurement which has not been awarded or otherwise concluded.
2. Designated OCTA employees may not accept gifts totaling more than \$500470 pursuant to Title 2 of California Code of Regulations Section 18940.2, or over the amounts allowed pursuant to Government Code Sections 89502 and 89503 as adjusted biennially in a calendar year from a single source other than one identified in paragraph 1 above.
3. For purposes of this code, a gift shall have the meaning it is defined to have in the California Political Reform Act (Act) and the regulations issued pursuant to the Act.

G. Conflicts of Interest

1. A conflict of interest, or at least an appearance of impropriety, exists when the interests, investments, outside employment or personal enterprises of the employee or a member of his or her immediate family could compromise the employee's duty of loyalty, or otherwise conflict with or appear to conflict with his or her job performance, objectivity, impartiality, or ability to make fair business decisions in the best interest of OCTA. A conflict of interest may arise in any situation in which an OCTA employee is in a position where he or she could use his or her contacts or position in the agency to advance the private business or financial interests of the employee or his or her immediate family, whether or not at the expense of OCTA. An OCTA employee may also have a conflict of interest if called upon to make a decision concerning a person or entity that the employee worked for during the previous 12 months.

Human Resources and Organizational Development CODE OF CONDUCT POLICY

Policy#: HROD-BOD-101.00CONDUCT

Origination Date: 07/13/2009

Revised Date: 11/16/2018

2. An OCTA employee who has a conflict of interest shall not participate in the making of any decision or contract in which the employee has a financial interest.
3. Any OCTA employee with such conflict of interest must disqualify himself or herself from making, participating in the making, or in any way attempting to use his or her official position to influence OCTA's decision in which he or she knows, or has reason to know, that he or she has a financial interest. An OCTA employee should also disqualify himself or herself from participating in an OCTA decision where the employee does not have a disqualifying financial interest, but where the making of the decision will have some other significant effect on the employee, or a member of his or her immediate family.
4. Any OCTA employee who may have a conflict of interest as described in paragraphs 1 or 2 relative to a prospective contractor, subcontractor, bidder or contract, or any other OCTA decision or issue, must advise his or her supervisor of the possible conflict of interest at the earliest possible time.
5. Upon request, the General Counsel shall advise an OCTA employee and his or her supervisor regarding whether it is appropriate for an OCTA employee to participate in a decision involving a possible conflict of interest.

H. Incompatible Activities

No OCTA employee shall engage in any outside activity that is inconsistent, incompatible, or that interferes with his or her ability to efficiently and effectively carry out his or her OCTA duties. Incompatible activities include, but are not limited to, any of the following:

1. The use for private gain or advantage of the employee's OCTA time, facilities, equipment or supplies, or the badge or uniform, prestige or influence of the employee's OCTA employment.
2. Receipt or acceptance by the employee of any money or other consideration from anyone other than OCTA for the performance of an act which the employee, if not performing such act, would be required or expected to render in the regular course or hours of OCTA employment or as part of the employee's duties.
3. Time demands from outside activities that would interfere with the ability of the OCTA employee to devote his or her full work time, attention, and efforts to his or her OCTA duties.

I. Override of Controls

Control activities, such as authorization, documentation, reconciliation, security, and separation of duties are designed to ensure the integrity of financial and accounting information, promote accountability, and prevent fraud. All OCTA employees are responsible for knowledge of, and compliance with, OCTA policies and procedures that outline control activities and requirements. No OCTA employee shall engage in activities resulting in an override of controls outlined in OCTA policies and procedures.

Human Resources and Organizational Development CODE OF CONDUCT POLICY

Policy#: HROD-BOD-101.00CONDUCT

Origination Date: 07/13/2009

Revised Date: 11/16/2018

I.J. Duty to Report

Each OCTA employee is obligated to report to his or her supervisor, the Internal Auditor, Human Resources ~~Labor and Employee Relations~~ staff, the Chief Executive Officer, or the General Counsel any facts made known to the employee which show that an OCTA contractor or OCTA employee has engaged in business practices regarding an OCTA matter which appears to be unethical, or which ~~may violate~~ s this OCTA policy, or ~~any~~ applicable state or federal law.

J.K. Whistleblower Protection

OCTA is committed to fair treatment of all its employees and recognizes its responsibility under state and federal law to protect from punishment and harassment any person who reports a potential ethics issue, whether or not the allegation is found to have merit. The report may be made anonymously. OCTA shall not take any act nor threaten any action against any OCTA employee as a reprisal for making a report under state or federal whistleblower laws, unless the report was made, or the information was disclosed with the knowledge that it was false or with willful disregard for its truth or falsity.

K.L. Ethics Hotline

OCTA shall maintain a telephone Ethics Hotline ~~number~~ for any employee, vendor, or member of the public to anonymously report any suspected fraud, waste, abuse, and illegal or unethical behavior. The report shall be confidential. Reports to the Ethics Hotline will be administered by Internal Audit for review and investigation by the appropriate department. For information on the options for filing a report through the Ethics Hotline, go to <http://octa.net/About-OCTA/Who-We-Are/Internal-Audit/Fraud-Hotline/> or call The Ethics Hotline phone number is 877-315-9918.

L.M. Product Endorsement and Participation in Case Studies

1. Employees, in their capacity as an OCTA employee, shall not endorse a product, service or company or comment upon that product, service or company if it is the intent of the solicitor of the endorsement, or of the vendor or manufacturer of that product or service, to use such comments for purposes of advertisement, marketing or sales, without prior consent of the CEO or designee. OCTA Board members, in their capacity as an OCTA Board member, are discouraged from endorsing a product, service or company for purposes of advertisement, marketing or sales.
2. Employees, in their capacity as an OCTA employee, are not prohibited from responding to inquiries regarding the effectiveness of products or services used by OCTA unless the employee is aware that it is the inquirer's intention to use those comments for purposes of advertisement, marketing or sales.
3. Employees, in their capacity as an OCTA employee, shall not participate in a case study of products or services for advertisement, marketing or sales purposes by any person or organization outside of OCTA, without the consent of their Executive Director.

Human Resources and Organizational Development CODE OF CONDUCT POLICY

Policy#: HROD-BOD-101.00CONDUCT

Origination Date: 07/13/2009

Revised Date: 11/16/2018

M. Duty to Cooperate

OCTA employees, in their capacity as an OCTA employee, shall cooperate fully with judicial bodies and courts, and with workplace investigative personnel; appear before them upon request; and answer all questions truthfully, concerning their conduct in office or the performance of their official duties or matters within their knowledge pertaining to the property or affairs of OCTA.

VI. EXCEPTIONS

- A.** The provisions of Government Code Section 87406.3 shall apply with equal force and effect to each individual who is appointed as a public member of the OCTA Board of Directors, the same as members of the Board of Directors who are elected officials.
- B.** This means that a public member of the Board of Directors shall not, for a period of one year after leaving that office, act as an agent or attorney for or otherwise represent for compensation any other person by communicating with an OCTA employee if the communication is made for the purpose of influencing administrative or legislative action, or proceeding involving the issuance, amendment, awarding, or revocation of a permit, license, grant or contract, or the sale or purchase of goods or property.

VII. PROVISIONS AND CONDITIONS

- A.** All OCTA employees have a responsibility to conduct OCTA's business in compliance with this policy. The General Counsel shall investigate alleged violations of this policy. In the event the General Counsel determines that a violation has occurred, the General Counsel's finding shall be reported to the Chief Executive Officer who shall take such action, which may include notification to the Board of Directors, as is appropriate under the circumstances. Any violation of a provision of this policy which is based upon a state or federal law may also be enforced by any appropriate enforcement agency.
- B.** A violation of this policy by an OCTA employee may result in the imposition of discipline, up to and including dismissal. The appropriate discipline will be determined by the employee's supervisor in consultation with the division executive director of the organization unit in which the employee works and the Executive Director of Human Resources and Organizational Development. The discipline imposed will depend upon the severity of the violation and may be progressive unless the violation is determined to be so serious as to warrant more severe action initially. The imposition of discipline by OCTA for a violation of this policy, when such violation is also a violation of state or federal law, shall not affect the ability of any appropriate prosecutorial agency to seek the imposition of any penalty allowed by law for such violation.
- C.** Acknowledgement of Receipt of Code of Conduct – New OCTA employees will receive a copy of this policy upon commencement of employment and will sign an acknowledgement of receipt. Thereafter, all employees will receive a copy of this policy once every two (2) years, and they will be required to sign an acknowledgement of receipt.

Human Resources and Organizational Development
CODE OF CONDUCT POLICY

Policy#: HROD-BOD-101.00CONDUCT

Origination Date: 07/13/2009

Revised Date: 11/16/2018

VIII. RELATED DOCUMENTS

Code of Conduct Policy Acknowledgement Form

[Workplace Harassment & Discrimination Prevention Policy](#)

END OF POLICY



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Active Transportation Program Biannual Update

Regional Planning and Highways Committee Meeting of November 2, 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.

Staff Recommendation

Receive and file as an information item.



November 2, 2020

To: Regional Planning and Highways Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: Active Transportation Program Biannual 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 biannual updates on regional active transportation (bicycling and walking) projects and programs. These efforts support OCTA's vision for a multimodal transportation system.

Discussion

This report provides an update on active transportation education, safety, and evaluation programs and projects. In response to the 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 Highway Safety Program. These funds have been used to host bicycle and pedestrian skills classes and develop campaigns to distribute safety equipment. OCTA completed the 2020 Pedestrian and Bicycle Safety Project in September. This project consisted of three components: Travel Safe classes, Operation Bright Lights, and Operation Be Seen.

The overall project focused on promoting safe walking and bicycling for transit riders. Although person-to-person interaction is desirable to complete the project successfully, COVID-19 has made these interactions challenging. OCTA, working with the support of a consultant, developed alternate approaches to deliver project tasks. A project summary can be found attached (Attachment A).

Safety

OCTA received two grants related to the Safe Routes to School (SRTS) Program and pedestrian safety efforts. These included the SRTS Action Plan (Action Plan) and the Safe Travels Education Program (STEP) Campaign. These two efforts deliver SRTS activities to schools and increase the reach of SRTS programs countywide. Both projects 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 (Caltrans). More information on these efforts is included in Attachment A.

System Evaluation

OCTA is undertaking several initiatives to better understand how active transportation users experience Orange County's transportation system. These projects include the Bike Gap Closure Feasibility Study, the Cyclic Counts Program, and an update to the Orange County bicycle map.

Bike Gap Closure Feasibility Study

A comprehensive assessment is being initiated to evaluate three bikeway gaps in Orange County. Regional bikeway trails in central and south Orange County, as well as the Cross County Connector bikeway, will be studied. The study will recommend a backbone network that links to other regional and local bikeways. It will also provide grant-ready cost estimates and trail alignments, which can be used by cities to pursue funding opportunities for implementation. The project is funded by \$160,000 in Caltrans Sustainable Community Grant funds, and \$40,000 in State Transportation Improvement Program Planning, Programming, and Monitoring funds and will be completed in spring 2023.

Cyclic Counts Program

This program kicked off in April 2020, and collected bicycle counts at 120 locations throughout Orange County between May 1 and June 6 (not including Memorial Day weekend). Assessing changes in active transportation travel behavior during the pandemic presented a unique opportunity for data collection. When using this data in the future, it will be noted that it was collected during the pandemic. Cities and the County request facility use data to help compete for grants, evaluate existing facilities, and inform decision making about where to locate facilities in the future. Counts will be repeated in May and June of 2021. Below are preliminary results:

Weekday Trips Total	22,513 (34.3 percent)
Saturday Trips Total	43,157 (65.7 percent)

Orange County Bikeways Map Guide

OCTA released the 2020 Orange County Bikeways Map Guide in October 2020 (the last update occurred in 2015). OCTA updated bicycle facility data and collected feedback from the cities to validate the data provided. The final 2020 Orange County Bikeways Map Guide (Attachment B) is available on the OCTA website and will be printed and distributed throughout Orange County at outreach events.

Grant Application

OCTA submitted an Active Transportation Program Cycle 5 Grant application to fund the environmental clearance phase of the Garden Grove – Santa Ana Rails-to-Trails Gap Closure Study. This project has been consistently identified in planning documents for the County and the cities as an important gap closure. The trail would provide direct bicycle and pedestrian access to downtown Garden Grove and Santa Ana, as well as several regional trails in central Orange County. The grant application is to study a potential bikeway on a four-mile section of the Pacific Electric Right-of-Way between Raitt Street and Euclid Street. The funding request is for \$3 million. The application was submitted on September 15, 2020, and awards will be announced in spring 2021.

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, Caltrans, and stakeholders to encourage and support 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 the new reality presented by COVID-19 while continuing to provide for the safety and mobility of Orange County residents.

Attachments

- A. 2020 Pedestrian and Bicycle Safety Activities
- B. Orange County, Bikeways Map Guide

Prepared by:



Peter Sotherland
Active Transportation Coordinator
(714) 560-5386

Approved by:



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

2020 Pedestrian and Bicycle Safety Activities

Virtual Travel Safe Classes

This curriculum was tailored to Orange County residents with modules promoting safe travel. Topics included walk audits, bicycle and pedestrian safety education, and instruction on how to provide input to local government agencies.

Task Summary:

- 98 total participants for the 12 classes
- Highest single class attendance of 38

Operation Bright Lights

Focus was placed on the safety and visibility of Orange County bicyclists and specifically targeted geographic areas with a high number of bicycle and pedestrian incidents. Program attendees were provided with safety gear and educational material. To address the challenges posed by the coronavirus, strictly controlled stations were set up where personal protective equipment and social distancing requirements kept all participants safe.

Task Summary and Distribution:

- 1,400 bicycle lights (700 red and 700 white)
- 401 bicycle helmets of varying sizes
- 2,016 bicycle spoke reflectors and 200 reflective tape segments
- 766 total participants

Operation Be Seen

Focus was placed on the visibility of the Orange County Transportation Authority (OCTA) transit users to motorists during low light conditions. Distribution of reflective gear took place at key OCTA transit stops. Conducting the distribution events at the transit stops, instead of on buses, allowed for proper social distancing measures while distributing safety materials to riders on high ridership routes.

Task Summary and Distribution:

- 2,610 reflective armbands
- 680 reflective ballistic gear
- 1,079 participants

2020 Pedestrian and Bicycle Safety Activities

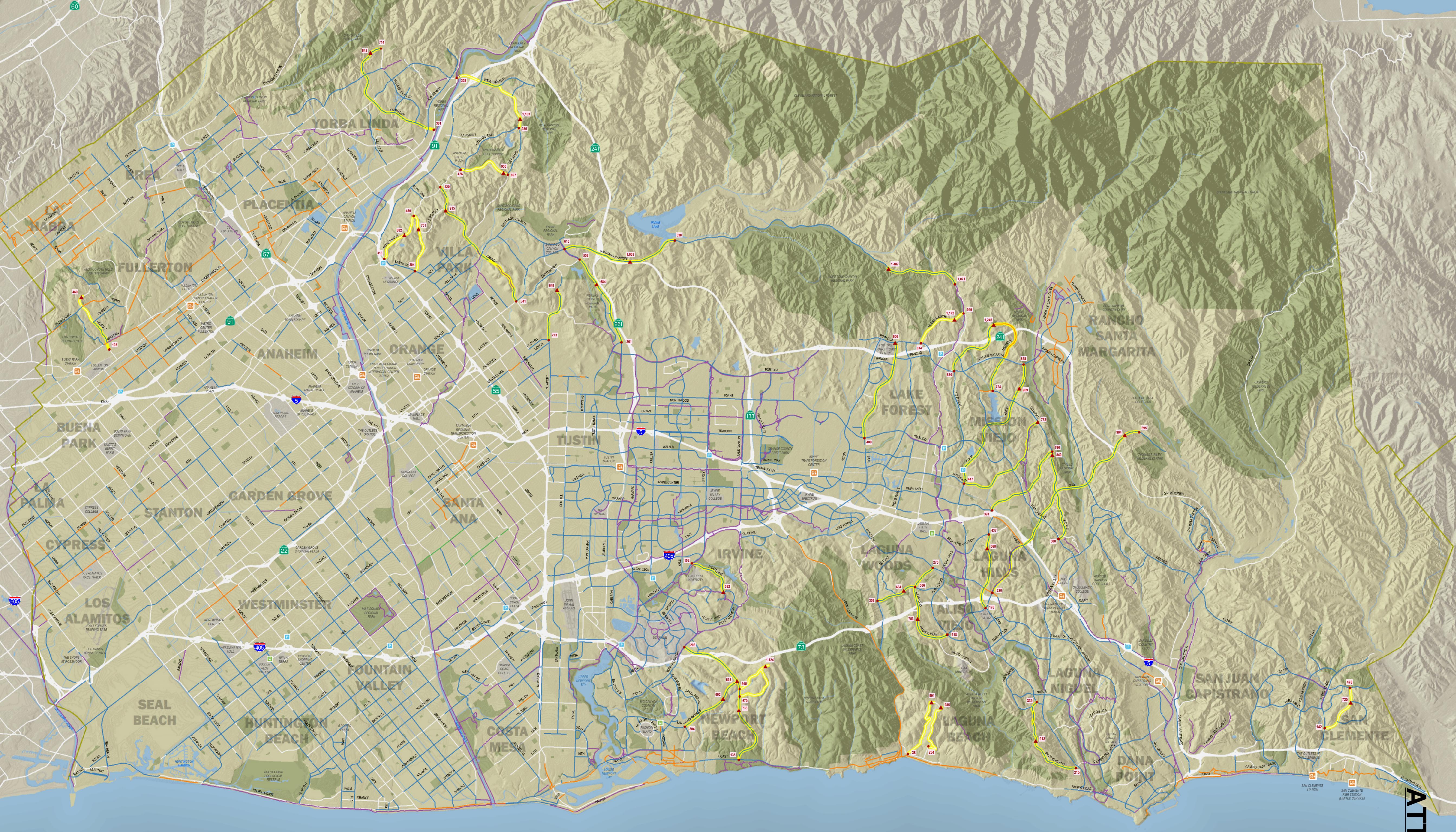
Safe Routes to School Action Plan

The Safe Routes to School (SRTS) Action Plan (Action Plan) evaluates SRTS efforts countywide, delivers SRTS activities to schools, develops a list of action items, and identifies potential lead agencies and organizations. The Action Plan team delivered virtual Walk to School Day activities to schools during the week of October 5-9, 2020. Activities included an active transportation BINGO, a walk and roll scavenger hunt, and other walking and rolling activities. The team is also conducting virtual walk audits with Laguna Niguel Elementary School, Clara Barton Elementary School, Fountain Valley High School, and Ladera Ranch Elementary School.

The Action Plan report is currently in draft form and will be completed by March 2021. The report includes a summary of engagement activities, a needs assessment for Orange County schools, and recommendations for developing a countywide SRTS program. The recommendations are categorized into four goals, nine supporting strategies, and 32 implementation actions. The four goals are: establish a countywide SRTS program, create and sustain lasting partnerships, develop a culture of safety, and fund and implement infrastructure improvements. Staff will return in early 2021 with the final report for Board of Directors' consideration.

Safe Travels Education Program Campaign

The Safe Travels Education Program Campaign develops educational and encouragement activities for walking and bicycling 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. The project team is adapting activities to be compatible with virtual and hybrid schooling, which is likely to continue for the foreseeable future. This includes developing online modules and educational videos for various age groups focusing on safe walking and bicycling. The campaign will continue through June 2022.



ORANGE COUNTY



LEGEND

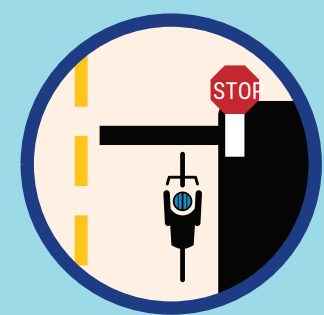
- Park and Ride
- Metrolink Stations
- Transit Centers
- Class I Bike Path (Off-Road, Paved)
- Class II Bike Lane (On-Road, Striped Lanes)
- Class III Bike Route (On-Road, Signed)
- Class IV Bike Boulevard (On-Road, Separated Bikeway)
- Major Road Without Designated Bikeway

SELECTED STEEP GRADES

- Class I Steep Grade
- Class II Steep Grade
- Class III Steep Grade
- Steep Grade Without Designated Bikeway
- Peak Elevation (ft.)
- Elevation (ft.)



BIKE SAFETY TIPS



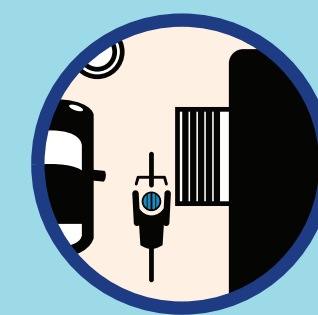
OBEY ALL TRAFFIC LAWS

Traffic laws are for bicyclists too! Ride in the same direction as traffic, obey all signs and signals, use hand signals to indicate turns and follow lane markings.



RIDE VISIBLY

Use a white front light and a red rear light and consider purchasing additional lights. Wear light-colored and/or reflective clothing.



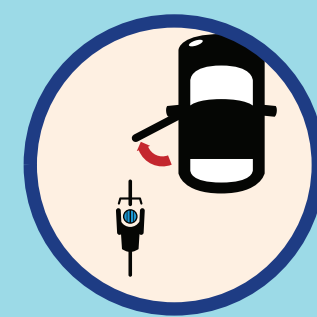
AVOID ROAD HAZARDS

Watch out for sewer grates, manhole covers, oily pavement and gravel. Cross railroad tracks carefully at right angles.



KEEP BOTH HANDS READY TO BREAK

You may not brake in time if you brake one-handed. Allow extra distance for stopping in the rain.



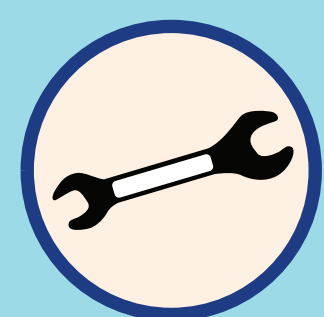
AVOID THE "DOOR ZONE"

Stay at least three to four feet away from parked cars to avoid being hit by an opening door.



WEAR A HELMET AND GLOVES

Always wear a helmet that meets safety standards while bicycling. If you fall, you'll use your hands to protect yourself, so protect your hands with gloves while riding.



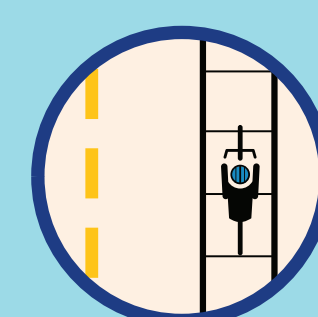
KEEP YOUR BIKE IN GOOD REPAIR

Maintain your bike in good working condition. Check brakes regularly and keep tires properly inflated. You can learn how to maintain your bike yourself, or visit a bike shop regularly.



LOCK YOUR BIKE WHEN YOU'RE GONE

Two U-locks, or one combined with a cable lock, is the best way to secure your bicycle. Lock both wheels and don't use a quick-release seat. Take your lights and helmet with you.



KNOW SIDEWALK RIDING LAWS

Each city varies in its sidewalk bike riding policy. Riding on the sidewalk increases the potential for collisions with pedestrians and at driveways and intersections.

CLICK & SHARE



Share your biking adventure at **facebook.com/octasharetheride**. Tag your photos and comments on Instagram and Twitter with **#BikeOC**. Tweet about bicycling in Orange County **@BikeOC**.

BIKE FRIENDLY COMMUNITY

Orange County is proud to be a bike friendly community.



EXTEND YOUR TRIP



BIKES ON METROLINK

Taking your bicycle on board Metrolink is easy with Metrolink Bicycle Cars. Each special car has bike stalls on the lower floor that can hold up to 18 bicycles. Not all trains have Bicycle Cars, but all train cars can accommodate some bicycles. There are bicycle lockers at some Metrolink stations that provide bicycle storage.



BIKES ON OC BUS

You can combine your trip with transit by riding your bike to a bus stop and taking the bus to your destination. All OCTA buses are equipped with bicycle racks, located on the front of the buses, which can carry up to two bicycles.

Plan your trip by visiting **octa.net/justclick**



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Regional Planning Update

Regional Planning and Highways Committee Meeting of November 2, 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 7-0 by the Members present.

Committee Recommendation

Receive and file as an information item.



November 2, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Regional Planning Update

Overview

Regional planning updates are provided regularly to highlight transportation planning issues impacting the Orange County Transportation Authority and the Southern California region. This update focuses on the Southern California Association of Governments' 2020-2045 Regional Transportation Plan/ Sustainable Communities Strategy and the state's California Transportation Plan 2050.

Recommendation

Receive and file as an information item.

Background

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

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

Staff most recently provided a regional planning update to the Board in May 2020. The status of items previously presented and other ongoing regional planning activities is recorded in a matrix that identifies lead agencies, a summary of each activity, key dates, as well as OCTA's interests and current involvement (Attachment A).

Since the May update, new activities have emerged concerning the SCAG 2020-2045 Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS) and the state's California Transportation Plan (CTP) 2050. A discussion of each of these new activities is provided below.

Discussion

SCAG 2020-2045 RTP/SCS

The RTP/SCS documents major transportation investments in the SCAG region over a 20-year horizon, at minimum, and is required to be updated every four years under state and federal law. On May 7, 2020, the SCAG Regional Council approved the 2020-2045 RTP/SCS for federal transportation conformity purposes only. SCAG postponed consideration to adopt the plan in its entirety in order to allow more time to conduct additional outreach with stakeholders on the challenges associated with the coronavirus pandemic and to engage with local jurisdictions to make refinements to the plan's growth forecast. On June 6, 2020, federal approval of the transportation conformity determination was issued. The SCAG Regional Council subsequently adopted the full 2020-2045 RTP/SCS on September 3, 2020.

Following adoption by the SCAG Regional Council, SCAG submitted the RTP/SCS to the California Air Resources Board (CARB) for a technical review of the SCS element. This review focuses on the strategies and assumptions used to demonstrate how the SCAG region's greenhouse gas (GHG) emission reduction targets can be met. The targets represent a per capita GHG emission reduction from 2005 levels and are currently set for the SCAG region at an eight percent reduction by 2020, and a 19 percent reduction by 2035. The RTP/SCS includes regional initiatives and strategies to demonstrate how the GHG emission reduction targets can potentially be achieved. The regional initiatives and strategies are in addition to the projects and plans submitted by the county transportation commissions and local jurisdictions. However, while there are incentives tied to SCS regional initiatives and strategies, they are not required to be implemented. It is anticipated that by November 2020, CARB will accept SCAG's determination that the SCS meets the state requirements for achieving the GHG emission reduction targets.

CTP 2050

In late August, Caltrans released the Draft CTP 2050. Caltrans is required by statute to update the CTP every five years to identify Caltrans priorities, as well as strategies for reducing statewide transportation-related GHG emissions to 80 percent below 1990 levels by 2050. Like the SCS discussed above, the CTP must analyze an example of how the strategies could be implemented to achieve the GHG emission reduction goal. The Draft CTP 2050 outlines 14 recommendations to achieve the vision of a “safe, resilient, and universally accessible transportation system [that] supports vibrant communities, advances racial and economic justice, and improves public and environmental health.” The CTP recommendations are:

1. Expand remote access to jobs, goods, services, and education,
2. Expand access to safe and convenient transportation options,
3. Improve transit, rail, and shared mobility options,
4. Advance transportation equity,
5. Enhance transportation system resiliency,
6. Enhance transportation safety and security,
7. Improve goods movement systems and infrastructure,
8. Advance zero-emissions vehicle technology and supportive infrastructure,
9. Manage the adoption of connected and autonomous vehicles,
10. Price roadways to improve the efficiency of auto travel,
11. Encourage efficient land-use,
12. Expand protection of natural resources and ecosystems,
13. Strategically invest in state of good repair improvements,
14. Seek sustainable, long-term transportation funding mechanisms.

The purpose of the CTP is to serve as a resource for policy makers and transportation planning agencies throughout the state, in the hopes that it will influence policy, legislation, and local and regional transportation plans. The CTP is not required to be fiscally constrained, but it is required to include a feasibility analysis. This feasibility analysis is currently missing from the Draft CTP 2050, which may result in setting unrealistic expectations of what can actually be implemented and achieved. Furthermore, the Draft CTP 2050 does not do enough to clarify that the scenarios described are merely examples of how the proposed strategies could be implemented to achieve the state’s goals, rather than a realistic action plan. These issues could result in misinformation and will reduce the CTP’s value as a resource for policy makers and transportation planning agencies going forward.

OCTA prepared a comment letter on the Draft CTP 2050 (Attachment B). To summarize, the comments address the importance of clearly articulating how this plan is different from RTP/SCSs, including the areas of financial constraint, scrutiny of planning assumptions, and lack of environmental review. Additionally, the comments recommend detailing the assumptions used in the Draft CTP 2050 to meet the GHG emission reduction goals and the CTP 2050's vision. The comments also call on Caltrans to commit to conducting a feasibility analysis of the strategies assumed in the CTP 2050 in a "cooperative process involving local and regional government, transit operators, congestion management agencies, and the goods movement industry" consistent with Government Code Section 65070(a). Finally, the comments request that the final plan include an analysis of the impacts of accelerating zero-emission vehicles as called for in Governor Newsom's recent Executive Order N-79-20 and revise the plan accordingly.

Summary

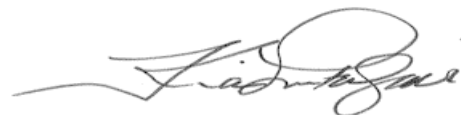
Staff continues to coordinate ongoing activities regarding transportation planning in Orange County and Southern California. As drafts of these planning documents are released, staff will review and provide comments as needed to protect OCTA's interests. Staff will continue to keep the Board informed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

Attachments

- A. Regional Planning Activities, November 2020
- B. Letter to Ms. Jeanie Ward-Waller, Deputy Director of Planning and Modal Programs, California Department of Transportation, Dated October 22, 2020, Draft California Transportation Plan 2050

Prepared by:

Warren Whiteaker
Senior Transportation Analyst
(714) 560-5748

Approved by:

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

Regional Planning Activities November 2020

United States National Highway Traffic Safety Administration (NHTSA) and United States Environmental Protection Agency (EPA)

	Summary	Key Dates	Orange County Transportation Authority (OCTA) Interest	OCTA Role
The Safer Affordable Fuel Efficient (SAFE) Vehicles Rule for Model Years 2021-2026 Passenger Cars and Light Trucks	<p>On September 27, 2019, United States Department of Transportation's NHTSA and EPA jointly issued Part One Rule of the Safer Affordable Fuel Efficient Vehicles Rule. Part One Rule affirms NHTSA's statutory authority to set nationally applicable Corporate Average Fuel Economy (CAFE) standards that preempts state and local programs and withdraws the Clean Air Act preemption waiver that it granted to the State of California (State) for the California Air Resources Board (CARB) greenhouse gas (GHG) and zero-emission vehicle programs.</p> <p>In response, CARB developed and released off-model adjustment factors for the Emission Factor (EMFAC) emissions model to account for the impact of the Part One Rule. EPA subsequently affirmed the continuing use of EMFAC off-model adjustments for transportation conformity determinations.</p> <p>On March 30, 2020, NHTSA and EPA jointly issued final rules (Part Two Rule) to roll back the CAFE and vehicle GHG emissions standards promulgated under the Obama Administration. No additional adjustments were required to EMFAC as a result of Part Two Rule.</p>	<p><u>September 2019</u> – NHTSA and EPA issued final rule for Part One</p> <p><u>November 2019</u> – Part One effective</p> <p><u>March 2020</u> – Part One EMFAC adjustments approved</p> <p><u>March 2020</u> – NHTSA and EPA issued final rule for Part Two</p> <p><u>June 2020</u> – Part Two effective</p>	Monitor rule-making process to determine opportunities to limit delay or loss of funding for Orange County projects.	Coordinate with the Southern California Association of Governments (SCAG) and California Association of Councils of Government.

Regional Planning Activities November 2020

California Department of Transportation (Caltrans)

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

Regional Planning Activities November 2020

Caltrans (continued)

Summary	Key Dates	(OCTA) Interest	OCTA Role
California Transportation Plan (CTP) 2050	<p>Update to the State's Long-Range Transportation Plan (LRTP), which establishes strategic goals, policies, and recommendations to improve multimodal mobility and accessibility while reducing GHG emissions.</p>	<p><u>2018</u> – Public and stakeholder engagement, tribal listening sessions, future of mobility white paper</p> <p><u>2019</u> – Transportation scenario development, economic and transportation modeling, and technical reviews</p> <p><u>August 2020</u> – Draft CTP 2050 released for public review</p> <p><u>October 2020</u> – OCTA submitted comments on the draft plan</p> <p><u>December 2020</u> – CTP 2050 finalized</p>	<p>Ensure that the goals, policies, and strategies do not conflict with OCTA plans or projects.</p> <p>Emphasize the need for any CTP strategies to be vetted at the local and regional levels, prior to including in local/regional plans.</p> <p>Participate in stakeholder workshops.</p> <p>Provide comments.</p> <p>Coordinate with Caltrans.</p>
Southern California Freight Strategy (SCFS)	<p>The objective of the SCFS is to provide a regional perspective on goods movement travel demands, sustainability challenges, innovative opportunities, and regional priorities across the counties of Los Angeles, Orange, Riverside, San Bernardino and Ventura.</p>	<p><u>June 2020</u> – Study initiated</p> <p><u>November 2020</u> – Draft SCFC to be released</p> <p><u>January 2021</u> – Final SCFC</p>	<p>Ensure that strategies do not conflict with OCTA plans or projects.</p> <p>Emphasize coordination with OCTA investments and project prioritization process.</p> <p>Participate in technical advisory committee meetings.</p> <p>Provide comments.</p> <p>Coordinate with Caltrans.</p>

Regional Planning Activities November 2020

Caltrans (continued)

Summary	Key Dates	(OCTA) Interest	OCTA Role
Executive Order N-19-19 Transportation Action Plan	<p>The executive order calls for leveraging approximately \$5 billion in annual spending for transportation construction, operations, and maintenance to reverse increasing fuel consumption, aligning transportation spending to achieve objectives in the State's Climate Change Scoping Plan, where feasible, directing transportation investments to support housing production near jobs and according to State's smart growth principles (taking public health into account), reducing congestion by encouraging mode shifts, funding transit, walking, bicycling, and other active modes, and mitigating increases in transportation costs for lower income residents of the State. The Transportation Action Plan is the implementation approach that Caltrans will use to carry out the executive order.</p>	<p><u>June 2020</u> – Discussion draft document released along with outreach to external partners and stakeholders</p> <p><u>August 2020</u> – Survey external partners and stakeholders; comments submitted by OCTA</p> <p><u>October 2020</u> – Anticipated release of Draft Action Plan for public input</p> <p><u>November 2020</u> – Comment period of public input</p> <p><u>February 2021</u> – Anticipated release of Final Action Plan</p>	<p>Ensure funding sources currently utilized by OCTA are not diverted.</p> <p>Identify opportunities for funding that could benefit OCTA plans and projects.</p> <p>Participate in stakeholder workshops.</p> <p>Provide comments.</p> <p>Coordinate with Caltrans.</p>

Regional Planning Activities November 2020

California High-Speed Rail Authority

Summary		Key Dates	(OCTA) Interest	OCTA Role
California High-Speed Rail Project (Los Angeles to Anaheim Section)	A revised Notice of Intent/Notice of Preparation for this section of the California High-Speed Rail Project has been posted to add analysis associated with relocating freight rail service away from the Los Angeles to the Fullerton corridor and new freight facilities in San Bernardino County, consisting of a new intermodal facility in the City of Colton and staging tracks in Lenwood, an unincorporated area of San Bernardino County near the City of Barstow.	<p><u>August 2020</u> – Revised Notice of Intent/Notice of Preparation issued</p> <p><u>September 2020</u> – OCTA submitted comment letter</p> <p><u>Spring 2021</u> – Draft Environmental Impact Report/Environmental Impact Statement (EIR/EIS) to be released for public review</p> <p><u>2022</u> – Record of Decision on the final EIR/EIS anticipated</p>	Ensure high-speed rail project does not negatively impact commuter rail services and investments made on OCTA-owned railroad right-of-way.	<p>Coordinate with California High-Speed Rail Authority and other partner agencies in development of environmental documents.</p> <p>Provide comments.</p>

Regional Planning Activities November 2020

CARB

Summary	Key Dates	(OCTA) Interest	OCTA Role
2020 Mobile Source Strategy	<p>CARB is developing the 2020 Mobile Source Strategy as an integrated planning approach to identify the level of transition to cleaner mobile source technologies needed to achieve all of California's air quality, climate, and community risk reduction goals to achieve over the next thirty years.</p>	<p><u>October 2020</u> – Draft 2020 Mobile Source Strategy released for public review</p> <p><u>November 2020</u> – 2020 Mobile Source Strategy to be released prior to CARB Board consideration</p> <p><u>December 2020</u> – CARB Board consideration of 2020 Mobile Source Strategy</p>	<p>Ensure that strategies do not conflict with OCTA plans or projects.</p> <p>Review and comment on technical documents.</p>

Regional Planning Activities November 2020

South Coast Air Quality Management District (AQMD)

Summary		Key Dates	(OCTA) Interest	OCTA Role
Sales Tax Ballot Initiative Authorization	<p>AQMD sponsored SB 732, which would have authorized the AQMD Board, or the voter initiative process, to place a sales tax increase proposal ranging from a quarter-cent up to one-cent on the 2020 ballot to fund the strategies identified in the 2016 Air Quality Management Plan. The proposal was estimated to generate up to \$1.4 billion a year for air pollution emission reduction, including providing incentives to businesses to promote the development and deployment of clean technology and facilitate truck fleet turnover.</p> <p>It is anticipated that the same language from the prior SB 732 bill will be carried over into a new bill in the next legislative session.</p>	<p><u>May 2019</u> – OCTA Board adopted oppose position on SB 732</p> <p><u>January 2020</u> – AQMD requested bill be pulled to secure additional support</p>	<p>Ensure funding sources currently utilized by OCTA are not diverted.</p> <p>Identify opportunities for funding that could benefit OCTA plans and projects.</p>	Monitoring and communicating with AQMD.
2022 Air Quality Management Plan (AQMP)	<p>Identifies strategies for achieving attainment with the National Ambient Air Quality Standards in the South Coast Air Basin.</p> <p>Provides input into the California State Implementation Plan (federally-required air quality plan).</p>	<p><u>2020</u> – Initiate advisory group meetings</p> <p><u>Fall 2021</u> – Release draft AQMP / regional workshops</p> <p><u>Winter 2021</u> – Release revised draft AQMP / regional hearings</p> <p><u>Spring 2022</u> – Release draft final AQMP</p> <p><u>Summer 2022</u> – AQMD and CARB hearings</p> <p><u>August 2022</u> – AQMP due to EPA</p>	<p>Support development of attainment strategies that are within AQMD's regulatory authority.</p> <p>Ensure economic impacts are considered.</p> <p>Minimize impacts to mobility.</p> <p>Ensure 2020 RTP/SCS input is accurately incorporated.</p>	<p>Participate in advisory committee meetings.</p> <p>Review and comment on technical documents.</p>

Regional Planning Activities November 2020

SCAG

Summary		Key Dates	(OCTA) Interest	OCTA Role
2020–2045 Regional Transportation Plan/ Sustainable Communities Strategy (2020 RTP/SCS)	Federally-required transportation planning document. Addresses needs over a 20-plus year planning horizon and constrained by a reasonably foreseeable revenue forecast. Must also demonstrate air quality conformity and GHG emission reductions with budgeted levels set by EPA and CARB.	<u>November 2018</u> – OCTA submitted projects consistent with 2018 LRTP <u>May – June 2019</u> – SCS workshops <u>November 2019</u> – Release draft RTP/SCS for public review <u>January 2020</u> – OCTA submitted comments on the draft 2020 RTP/SCS <u>May 2020</u> – SCAG approved 2020 RTP/SCS for the limited purpose of federal transportation conformity <u>September 2020</u> – SCAG adopted final 2020 RTP/SCS	Ensure inclusion of projects identified in the final 2018 LRTP. Support policies that are consistent with OCTA positions.	Coordinate with SCAG and other partner agencies. Participate in working groups. Monitor SCAG policy committees. Review and comment on related materials.
	SCAG has branded the 2020 RTP/SCS as “Connect SoCal”.			
Sustainable Communities Program	Grant program that funds sustainability planning efforts and development of local plans that support the implementation of the 2020 RTP/SCS. The grant program is comprised of three main categories: active transportation, housing supportive planning, and sustainability projects. Four Orange County projects were selected for funding through the 2018 Sustainable Communities Program. Seven Orange County projects were selected for funding through the 2017 active transportation call for proposals. An additional seven Orange County projects were previously selected through the 2016 call for proposals.	<u>September 2020</u> – Active Transportation & Safety (AT&S) Call for Applications opened <u>November 2020</u> – AT&S applications due <u>May 2021</u> – SCAG Regional Council approval of 2020 Sustainable Communities Program <u>June 2021</u> – California Transportation Commission approval of Active Transportation Program	Funding opportunity for Orange County planning efforts.	Coordinate with SCAG and partner agencies, as necessary, to initiate the projects in a timely manner.

Regional Planning Activities November 2020

San Diego Association of Governments (SANDAG)

Summary	Key Dates	(OCTA) Interest	OCTA Role
<p>2019 Federal RTP and 2021 Regional Plan</p>	<p>Federal and state laws require that SANDAG complete an RTP/SCS every four years. Under this timeline, the next RTP/SCS would have been required by October 2019. In February 2019, the SANDAG Board approved an action plan to postpone the next RTP/SCS to late 2021.</p> <p>To do so, AB 1730 (Chapter 634, Statutes 2019) was passed, which allows SANDAG's current 2015 RTP/SCS and its associated CEQA document to remain valid after October 2019.</p> <p>SANDAG prepared the 2019 Federal RTP to comply with federal requirements and obtain an air quality conformity finding from the United States Department of Transportation.</p>	<p><u>February 2019</u> – SANDAG Board approved action plan to develop 2021 Regional Plan</p> <p><u>October 2019</u> – SANDAG Board adopted 2019 Federal RTP</p> <p><u>Spring 2021</u> – Draft 2021 Regional Plan and draft EIR anticipated to be released for public review</p> <p><u>Fall 2021</u> – SANDAG Board to adopt 2021 RTP/SCS</p>	<p>Monitor development of plans and projects that approach the Orange County border.</p> <p>Monitoring.</p>

Regional Planning Activities November 2020

Los Angeles County Metropolitan Transportation Authority (Metro)

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

Regional Planning Activities November 2020

Metro (continued)

Summary		Key Dates	(OCTA) Interest	OCTA Role
2020 LRTP	<p>The 2020 LRTP details how Metro plans, builds, operates, maintains, and partners for improved mobility in the next 30 years.</p> <p>In September 2017, staff began work to update the 2009 LRTP, following the passage of Measure M, and in alignment with the SCAG process for updating the RTP/SCS.</p> <p>Following adaptation of the 2020 LRTP, Metro will initiate development of an action plan in the form of a Short-Range Transportation Plan (SRTP) to recommend near-term implementation steps over a ten-year timeframe and allow for any needed recalibrations due to the COVID-19 pandemic.</p>	<p><u>May 2020</u> – Draft LRTP released for public review</p> <p><u>July 2020</u> – Public comment period ended on Draft LRTP</p> <p><u>September 2020</u> – Metro Board approved 2020 LRTP</p> <p><u>Fall 2020</u> – Initiate development of SRTP</p>	Monitor development of plans and projects that approach the Orange County border.	Monitoring.
Gold Line Eastside Transit Corridor Phase 2	<p>Study of three alternatives for extending the Metro L Line (Gold) to more eastern Los Angeles County communities. One alternative traverses the northern side of State Route 60 (SR-60), another travels along Washington Boulevard, terminating near Orange County, and the third would build both the SR-60 and Washington Boulevard alignments.</p> <p>In February 2020, the Metro Board of selected the “Washington Alternative” for further evaluation.</p> <p>Included in Twenty-Eight by '28 program of projects for potential acceleration.</p>	<p><u>February 2020</u> – Metro Board approved proceeding with CEQA only for the project’s environmental process and withdrawing the SR-60 and combined alternatives from further consideration in the environmental study</p> <p><u>2023</u> – Anticipated completion of environmental process</p> <p><u>2028</u> – Completion of final design</p> <p><u>2029</u> – Start of construction</p> <p><u>2035</u> – Phase 2 in service</p>	Support alternatives that create potential for future connections into Orange County.	Monitoring.

Regional Planning Activities November 2020

Metro (continued)

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

Regional Planning Activities November 2020

Transportation Corridor Agencies (TCA)

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

Regional Planning Activities November 2020

OCTA

Summary	Key Dates	(OCTA) Interest	OCTA Role
<p>Connect OC-LA Transit Study</p> <p>The Connect OC-LA Transit Study will identify both short- and long-term improvements to the transit infrastructure and services between the Orange and Los Angeles counties.</p> <p>Study Objectives include:</p> <ul style="list-style-type: none"> • Defining near-term recommendations to improve existing transit services and facilities • Identifying long-term solutions to connect underserved populations, including improved access for pedestrians and bicyclists • Identify transit services needed between the counties for the 2028 Summer Olympics 	<p><u>Summer 2019 – Winter 2019</u> – Assess existing conditions</p> <p><u>Fall 2019 – Spring 2020</u> – Prepare needs analysis</p> <p><u>Spring 2020 – Fall 2020</u> – Identify service opportunities</p>	<p>Support solutions that improve regional connectivity for cross-county travelers.</p>	<p>Study effort lead by OCTA, in partnership with Caltrans District 12, eight public transit service providers, and SCAG.</p>
<p>Express Lanes Network Study</p> <p>The OCTA 2018 LRTP's Short-Term Action Plan recommended an Express Lanes Network Study to identify planning and policy positions in response to an initiative by Caltrans to implement express lanes in Orange County. The study will establish OCTA's priorities for tolled express lanes implementation by evaluating quantitative and qualitative factors against stated goals and objectives to determine a preferred approach.</p>	<p><u>May 2019</u> – Study initiated</p> <p><u>December 2019</u> – Study update presented to OCTA Board</p> <p><u>Fall/Winter 2020</u> – Draft recommendations on a preferred approach to implementation of express lanes to be presented to OCTA Board</p>	<p>Establish OCTA's priorities for tolled express lanes.</p>	<p>Study effort lead by OCTA.</p>

Regional Planning Activities November 2020

OCTA (continued)

Summary	Key Dates	(OCTA) Interest	OCTA Role
<p>South Orange County Multimodal Transportation Study (SOCMTS)</p>	<p>SOCMTS is a strategic transportation study that will consider transportation needs of residents, commuters, and visitors to the area. Through collaboration with local stakeholders, the study will identify a broad range of improvement recommendations for all modes of transportation, including streets, transit, freeways and bikeways. The study will address south Orange County's mobility needs through the year 2045.</p> <p>Study objectives</p> <ul style="list-style-type: none"> • Work collaboratively with stakeholders • Leverage all modes of transportation • Address long-term mobility needs • Develop consensus on a set of transportation improvements across all modes 	<p><u>Summer/Fall 2020</u> – Phase 1: Identify issues and opportunities; develop purpose and need; and develop initial alternative strategies</p> <p><u>August 2020</u> – Study update presented to OCTA Board</p> <p><u>Winter 2020 - Spring 2021</u> – Phase 2: Analysis of alternative strategies</p> <p><u>February 2021</u> – Study update to be presented to OCTA Board</p> <p><u>Spring 2021 – Summer/Fall 2021</u> – Phase 3: Further analysis of reduced set of alternative strategies; Recommend a Locally Preferred Strategy</p> <p><u>Fall/Winter 2021</u> – OCTA Board to consider study recommendations</p>	<p>Establish a locally preferred strategy for south Orange County.</p> <p>Study effort lead by OCTA.</p>

Regional Planning Activities November 2020

OCTA (continued)

Summary		Key Dates	(OCTA) Interest	OCTA Role
State Route 91 (SR-91) (Eastbound Lane Addition from State Route 241 [SR-241] to State Route [SR-71]) Geometric and Design Alternatives Analysis	This 18-month study will develop conceptual design alternatives for the addition of a sixth general purpose lane along the eastbound SR-91 corridor between the SR-241 and SR-71 interchanges to improve mobility on SR-91 and connections to the SR-241 and SR-71.	<u>March 2020</u> – Study initiated <u>September 2021</u> – Anticipated study completion	Improving the SR-91 corridor in a manner which is consistent with sales tax measures of Orange and Riverside counties as well as previously completed studies.	Study effort lead by OCTA, in partnership with the Riverside County Transportation Commission and in coordination with Caltrans, TCA, and corridor cities.



AFFILIATED AGENCIES

*Orange County
Transit District*

*Local Transportation
Authority*

*Service Authority for
Freeway Emergencies*

*Consolidated Transportation
Service Agency*

*Congestion Management
Agency*

October 22, 2020

Ms. Jeanie Ward-Waller
Deputy Director of Planning and Modal Programs
California Department of Transportation
P.O. Box 942873
Sacramento, CA 94273-0001

Re: **Draft California Transportation Plan 2050**

Dear Ms. Ward-Waller:

The Orange County Transportation Authority (OCTA) appreciates the opportunity to review and comment on the Draft California Transportation Plan (CTP) 2050 statewide transportation policy planning document. The California Department of Transportation (Caltrans) has been charged with developing a CTP that identifies goals, policies, strategies, and performance measures that demonstrate how the statewide transportation system can reduce transportation sector greenhouse gas (GHG) emissions to 1990 levels by 2020, and 80 percent below 1990 levels by 2050. The statutory GHG goals are complicated by recently announced executive orders, which are likely to facilitate further legislative proposals on this subject. OCTA commends Caltrans for producing a Draft CTP and taking a difficult challenge.

Given that the purpose of the CTP is to inform transportation policy and planning decisions, the CTP 2050 and the forthcoming related report from the Strategic Growth Council, as required by AB 285 (Chapter 605, Statutes of 2019), will impact subsequent local and regional plans, including Regional Transportation Plans/Sustainable Communities Strategies (RTP/SCSs). Therefore, to provide clarity to all stakeholders, OCTA requests that Caltrans:

- Further emphasize how the CTP, which serves as an aspiration vision, is different from financially constrained RTP/SCSs;
- Daylight the assumptions included in the CTP 2050;
- Commit to conducting a feasibility analysis; and
- Update the modeling analysis to account for Executive Order N-79-20.

At a minimum, the CTP should accurately describe key differences between the CTP and regional plans in the areas of financial constraint analysis, scrutiny of planning assumptions, and lack of environmental review. The CTP should acknowledge its reliance on assumptions that cannot be included in an RTP/SCS, particularly with respect to transportation conformity. A list of CTP 2050 assumptions should be created with a description of how and why the assumptions differ from the most recent RTP/SCS. OCTA believes this will help prevent misunderstandings that could result from the different planning assumptions used in the CTP 2050 versus regional plans. These details and shared understanding will improve the ability of local, regional, state, and other stakeholders to have constructive conversations about how best to achieve the CTP 2050's vision.

OCTA recommends daylighting the assumptions used in the CTP 2050 to meet the GHG emission reduction goals and CTP 2050's vision. As the California Air Resources Board's SB 150 (Chapter 646, Statutes 2017) report concluded, California at the state, regional, and local levels is not on track to meet GHG emission reduction goals and will need to employ increasing aggressive strategies to meet mandates for 2030 and beyond. The State of California cannot achieve aggressive climate goals without an honest and open conversation about costs, impacts, and tradeoffs.

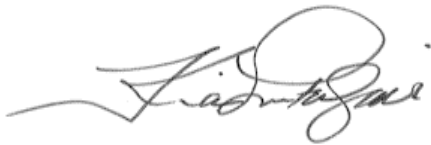
Government Code Section 65072.2(a) requires the CTP to address "how the state will achieve maximum feasible emissions reductions" consistent with state goals. However, feasibility is not considered in the Draft CTP despite this statutory language. The CTP does not estimate the costs, nor truly assess the likely availability of funds. Nor does the Draft CTP evaluate the statutory authority needed to implement several of the assumptions in the plan. As a result, it cannot be ascertained from the information provided if the plan achieves maximum feasible emissions. OCTA recommends that Caltrans commit to conducting a feasibility analysis of its various strategies within twelve months of finalizing the CTP 2050 to ensure the information can inform the Strategic Growth Council report. The feasibility analysis should also be developed in "cooperative process involving local and regional government, transit operators, congestion management agencies, and the goods movement industry" consistent with Government Code Section 65070(a).

Ms. Ward-Waller
October 22, 2020
Page 3

Finally, OCTA recommends that the Final CTP 2050 conduct an analysis of the impacts Executive Order N-79-20 and revise the plan accordingly.

Again, thank you for the opportunity to comment on the Draft CTP 2050.

Sincerely,

A handwritten signature in black ink, appearing to read "Kia Mortazavi", with a stylized flourish at the end.

Kia Mortazavi
Executive Director, Planning

KM:ww
Attachment

OCTA Comments on Draft California Transportation Plan 2050

California Transportation Plan 2050 – Main Document

- General. Unclear if references to “Los Angeles” is to the city or county or to the “Los Angeles Area” as defined in Figure 7. The same Los Angeles Area is defined as “SCAG Coastal” in the Technical Analysis Element.
- Executive Summary, Page 4: CTP 2050 Goals. Equity – consider expanding to reflect USDOT’s definition of Environmental Justice.
- Executive Summary, Page 6: Plan Benefits. Economy – clearly state that the economic impacts are for the year 2050 alone. The source should also reference the economic impact analysis.
- Executive Summary, Page 8: Implementation. Expand on the differences between RTPs and the CTP. For instance, the CTP does not include a project list and is not required to conduct a CEQA analysis on the plan nor meet federal transportation conformity requirements.
- Introduction, Page 11. Note that only “hundreds of Californians” have participated in the development of the CTP while “thousands” are typical of RTPs.
- Introduction, Page 12: A Call to Action. Clarify how resources will be redirected to marginalized communities.
- Introduction, Page 13: Our Challenges. Important to highlight that the CTP 2050 is required by law to show how the transportation sector will contribute to the mandatory statewide GHG emission reduction target for 2050.
- Introduction, Page 19: How the Plan was Developed. Documentation of the off-model techniques is missing and is not sufficiently addressed in the Technical Analysis Element. Clarify what off-model analysis was conducted and how it influenced the recommendations.
- Our Diverse State, Page 25: Our Geography. Note that many urban and suburban areas also struggle with poor connectivity and access to multimodal options.
- Our Diverse State, Page 27: Table 1. Roadway congestion should also be listed as a challenge in the Urban Geography. Lack of travel options and projects often uncompetitive for grant funding should also be listed as challenges in the Suburban Geography.
- Our Diverse State, Page 28: Population. Explain the difference between the MPO forecasted growth and that from DOF. Is part of the difference due to using latest DOF and older MPO forecasts? In the case of the SCAG region, it appears that the 2016 RTP/SCS was used in development of the CTP 2050. However, the local input on the 2016 RTP/SCS is from 2014 – meaning that the assumptions on growth will be over six years old by the time the CTP is finalized.
- Our Diverse State, Page 30: Demographic Trends. An Aging Population – It may be worth noting the impacts on revenue sources from an aging population.
- Our Multimodal System, Page 40: Figure 14. Consider retitling the figure to better match what is in the graphic. Also, add a reference to VMT for the upper part of the graphic as it is not clear otherwise.

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- Public Transportation, Page 44: Our Transit and Rail Systems. Sparse land use that makes it difficult to provide efficient transit service is not limited to exurban and rural communities – it is also an issue for many areas within urban counties.
- Active Transportation, Page 47: Figure 17. Consider a different graphic rather than the map, which better illustrates the current state of active transportation. The map reflects on a very small aspect of active transportation and fails to acknowledge the statewide coverage of other shared micromobility.
- Active Transportation, Page 49: Our Active Transportation System. Personal safety can remain a significant concern even in locations with access to sidewalks and bike lanes. The speed differential between motor vehicles and active transportation users can be a deterrent to more active transportation use.
- Goods Movement, Pages 53-58. Consider addressing the relationship between goods movement and land use – particularly warehousing space and manufacturing space – as that also has significant impact on California communities.
- Over Travel Patterns, Page 61: By 2050. It seems important to caveat the MPO growth forecasts as they can be considerably older than the DOF numbers. It may be important to note the expected increase in VMT per capita in the Northern California region and Sierra compared to the rest of the state when developing recommendations for the CTP.
- Goals and Objectives, Page 68: Climate Performance Measures. Consider refining or augmenting the GHG emissions from transportation sector to more closely align with the SB 391 requirement such as indicating the percent difference from 1990 levels. Clarify how carbon capture and sequestration are addressed in the CTP. Consider restructuring the number of system improvements addressing climate vulnerability to a potentially more meaningful measure of the degree of known transportation system climate vulnerability not addressed or significantly at risk.
- Goals and Objectives, Pages 68-69: Equity Performance Measures. Clarify what destinations access will be measured to and how access will be measured. Consider evaluating the comparative benefits by income quintile and race for travel time and travel distance for work and non-work trips. Consider expanding the performance measures to evaluate the potential impacts of roadway pricing by income quintile and race. Consider adding access to destination by mode and by travel cost by income quintile and race.
- Goals and Objectives, Page 69: Accessibility Performance Measures. Clarify what destinations access will be measured to and how access will be measured. Consider expanding the households with access to transit service to include a breakdown of households by income quintile and race.
- Goals and Objectives, Page 70: Quality of Life & Public Health. Consider removing “as the COVID-19 pandemic has shown, this also means making sure that transit and shared modes can be accessed with minimal risk of infectious disease transmission” as it is already covered under “minimize safety risks”. Additionally, this sentence raises several questions such as: who decides; how is this enforced; which guidelines or regulations take precedence; how is physical distance on transit or shared modes decided?

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- Goals and Objectives, Page 71: Environment. Clarify how the differences between protected open space, natural habitat, and agricultural uses. Consider restructuring the number of fish passages mediated to a potentially more meaningful measure of the degree to which fish passages remain unmediated.
- Goals and Objectives, Pages 71-72: Economy. Consider refining the annual employment growth to reflect new jobs supported by improved economic competitiveness (indirect) and new jobs supported by transportation system investments (direct).
- Goals and Objectives, Page 73: Infrastructure. Consider restructuring culvert rehabilitated to reflect the degree of culverts needing to be rehabilitated. Clarify repurposed lane-miles. Consider shifting the bicycle safety analysis to the Safety goal.
- Making Progress, Pages 80-82: Figures 32-34. Specify all of the component assumptions of each scenario. The description here is not consistent with the Technical Analysis Element so it is unclear if new assumptions were introduced. For example, excluding the lowest income quintile from increased AOC appears to be a new assumption.
- Making Progress, Page 85: Scenario Analysis Results. See comments on Technical Analysis Element. For example, telework strategies may conflict with land use strategies, but this does not appear to be considered.
- Making Progress, Page 87: GHG Emissions Reduction. What impact will Executive Order N-79-20 have in meeting the target? Will inclusion of the EO allow for future growth more in line with the MPO forecasts, or will the state need to pursue additional growth management strategies to limit growth to meet the 2050 targets?
- Making Progress, Page 92: Economic Benefits. What are the economic analysis results associated with the full Combined Scenario with lower future growth and expanded ZEVs necessary to meet the GHG emission reduction target?
- Making Progress, Page 93: Development Recommendations. Although strategies may not be quantitatively evaluated, a qualitative assessment can be conducted to determine if strategies centered on social equity, public health, and quality of life would substantially improve the likelihood of the state achieving the GHG emission reductions target.
- Our Path Forward, Page 97: Reaching Our Climate Targets. The reference to SB 391 is missing the critical component of feasibility. Without feasibility, SB 150 Reports will likely continue to show that the state is not on progress to meeting emission reduction targets.
- Our Path Forward, Page 98: Figure 48. Clarify the component assumptions included in this figure as it is unclear from the language provided.
- Our Path Forward, Pages 109-110: Price Roadways to Improve the Efficiency of Auto Travel. A clear distinction between Recommendations 10 and 14 is needed. Where Recommendation 14 is focused on a replacement for current transportation funding mechanisms like the gas tax, Recommendation 10 is focused on influencing behavior. The inclusion of a means-based fee structure ignores that fact that every low-income drivers can significantly contribute to congestion, VMT, and GHG emissions.

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Any congestion pricing program should reflect the actual congestion costs and associated externalities associated with each user of the system. A means-based approach would not treat all users fairly. Equity concerns should be addressed in how net congestion pricing revenues are invested (whether for alternatives to driving or for tax deductions), not in how they are collected. Limiting congestion pricing to only the largest MPO areas (with the addition of cordon pricing in select downtowns) will likely incentive sprawl for both business and households, especially as telework makes job location less important for higher wage earners, and reduces the economic competitiveness of these regional that are the core of California's economy. This section also does not address if the net revenues from congestion pricing are targeted for expenditure in the region it was generated. This approach also ignores that congestion, VMT, and GHG emissions are not limited to urban areas of the state and that significant areas within these MPO areas are not well served by transit or other alternatives to driving. For example, according to SCAG data, slightly more than two percent of the SCAG region lies within High-Quality Transit Areas—suggesting most residents of the regional would not likely have sufficient access to transit to avoid the increased VMT fees. Clarify how the legislation would be enacted. Clarify how much should be invested in “viable alternatives to driving?” Clarify if the recommendation and/or legislation would require investments be project-specific (like SB 127) or program-wide? Which agencies would be responsible for delivering pricing-based improvements? Explain why those unable to operate a vehicle would be subject to paying roadway pricing fees.

- Our Path Forward, Page 111: Encourage Efficient Land Use. Clarify limitations of using “existing funding programs, such as greenhouse gas reduction funds (GGRF) and SB1 funds, to elevate projects that support efficient land use and development patterns” including maintaining core tenants of the funding programs and that both of the listed sources are generally considered to have expired or have significantly reduced revenues by 2050.
- Our Path Forward, Page 113: Strategically Invest in State of Good Repair Improvements. Clarify the action “align funding for state of good repair and state highway operations projects with VMT-reduction projects such as tolling and express lanes”. For example, will future SHOPP funding be prioritize for toll roads and SHS facilities with HOT lanes?
- Our Path Forward, Page 114: Seek Sustainable, Long-Term Transportation Funding Mechanisms. Revise “implement a statewide means-based road-user charge program as a replacement for the gas tax, based in the findings of the road-user charge study” to “develop a statewide road-user charge program as a replacement for the gas tax”. The eventual road-user charge program should not be limited to the finding of the road-user charge study as several outstanding issues remained at the conclusion of the study. Additionally, the road-user charge should reflect the actual cost associated with each user to operate and maintain the transportation system. A means-based approach would not treat all users fairly. Equity concerns should be addressed in how transportation revenues are invested, not in how they are collected.
- Our Path Forward, Page 115: Implementation. A central theme of the Implementation Element should be feasibility. The Implementation Element should also be conducted

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within twelve months of finalizing the CTP 2050 to ensure the information can inform the Strategic Growth Council report required per AB 285. The Implement Element/feasibility analysis should also be developed in “cooperative process involving local and regional government, transit operators, congestion management agencies, and the goods movement industry” consistent with Government Code Section 65070(a).

Technical Analysis Element

- Socioeconomic Forecasts, Page 11. Clarify which RTP/SCS is being used for each MPO. Explain how MPO RTP/SCS population and employment forecasts were adjusted to CTP 2050 horizon years. The latest adopted RTP/SCS for the SCAG region at the time of the CTP development was the 2016 RTP/SCS, which had a horizon year of 2040 and most of the growth forecasts are over five years old.
- 2050 Baseline Scenario, Page 17. Clarify what was included from MPO RTP/SCSs in the Baseline Scenario. For example, SCAG’s 2016 RTP/SCS included an assumed VMT fee of \$0.028 per mile. Was this included?
- Sensitivity Testing, Page 23: Local Transit. Clarify how the transit assumptions were modeled? For example, was a 30-minute headway reduced to a 15-minute headway for doubling local transit service? How were speeds increased by 50 percent? Did this assume bus only lanes, which in many cases would have needed to entail converting a mixed flow arterial to bus only? How were free fares modeled? Clarify how “free” transit will be paid for?
- Sensitivity Testing, Page 24: Intercity Rail and High-Speed Rail? Where were the “several significant new rail lines added throughout the state” located? What alignment was assumed for the extension of HSR from Anaheim to San Diego?
- Sensitivity Testing, Page 25: Managed Lanes. In what model year was the minimum HOV occupancies raised to 3+? What assumptions were made for existing and planned express/HOT lanes included in MPO RTP/SCSs?
- Sensitivity Testing, Page 25: Freight and Goods Movement. Clarify where the truck only lanes were assumed to operate and if the lanes were new capacity or conversion of mixed flow lanes to truck only lanes.
- Sensitivity Testing, Page 26: Road User Charge. Provide additional explanation of assumptions behind the 50 to 100 percent. Even the low range appears to be significantly higher than was used in both the 2016 and 2020 SCAG RTP/SCS that included an AOC increase in the 25 to 30 percent range while also including the introduction of VMT fees. Given the presumed larger fleet share of ZEVs with lower AOC than MPOs are allowed to use for SB 375 purposes, the assumed AOC increase is significantly more than maintaining purchasing power with current fuel taxes at both the state and federal levels. Provide documentation of differential access to alternative modes between urban and rural travelers consistent the urban vs. rural counties split.

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According to SCAG data, slightly more than two percent of the SCAG region lies within High-Quality Transit Areas—suggesting most residents of the regional would not likely have sufficient access to transit to avoid the increased VMT fees. What assumption was used for AOC for rural counties?

- Sensitivity Testing, Page 26: Cordon Pricing. Clarify the basis of the \$10 cordon price—is it in 2020 dollars or 2050 dollars? Explain how the cordon pricing would work. Would the \$10 charge be assessed for each crossing of the boundary; was there a maximum per day; any discounts for residents or for lower-income resident/workers? What geographies are included in the cordon areas? Does it include the SHS?
- Round 1 Modeling, Page 29: Figure 7. Specify all of the component assumptions of each scenario. For example, it is unclear if fare free transit is included in Scenario A.
- Round 2 Modeling, Page 36: Figure 8. Specify all of the component assumptions of each scenario. For example, what assumptions were made for local transit and pricing?
- Round 2 Modeling, Page 37: Modeling Land Use. Explain how the reallocation of growth between 2015 and 2050 accounted for actual development activity between 2015 and 2020 and entitled development projects.
- Round 2 Modeling, Page 44: Figure 11. The additional assumption of telework seems like it would likely reduce the benefits accrued to Land Use (and perhaps others like Rail Plan and Transit), as access to work and commute costs would have less influence on residential location. How was this accounted for in the analysis and assumptions?
- Round 2 Modeling, Page 50: Emissions – Reaching 2050 Targets. What impact will Executive Order N-79-20 have in meeting the target? Will inclusion of the EO allow for future growth more in line with the MPO forecasts, or will the state need to pursue additional growth management strategies to limit growth to meet the 2050 targets?
- Round 2 Modeling, Page 52: Key Takeaways. The need to reduce future growth is not listed in the summary points but was critical for meeting the 2050 targets are noted in Figure 13. Additional language addressing the feasibility of the “bold, transformative strategies” is also missing.
- Economic Forecasts and Analysis, Page 54: Methodology. Clarify if adjustments to housing costs were included in the modeling assumptions to reflect increased costs with reallocation of households from lower cost, lower density locations to higher cost, higher density locations and the associated need for additional subsidies to support affordable housing and anti-gentrification/displacement efforts. Which population forecast was used for this analysis? Describe how all assumptions used to the meet the 2050 target via the travel demand model were incorporated into the economic analysis. Was the telework assumption included in the economic forecast?
- Economic Forecasts and Analysis, Page 60: Fees Generated and Re-spent. The locations for imposition of cordon pricing is different than listed earlier. Is this intentional? What was modeled? The imposition of road user fees is listed only for the SCAG, MTC, SACOG, and SANDAG MPO areas. Is the same assumption in the travel demand modeling? Describe the analysis conducted to support the assertion that these MPO areas have sufficient transit coverage to mitigate the impact of the VMT fee.

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Is the economic analysis sensitive to the additional AOC costs in these selected urban area such that it would incentivize other parts of the state due to lower costs? It appears that travel demand model runs were conducted for 2015, 2020, 2030, 2040, and 2050 but only 2050 results were reported. Why not other years for economic impacts, especially for 2030 and 2040 after imposition of the additional fees? Describe the allocation approach for net revenues from cordon pricing and road user fees. Where net revenues distributed across the state? Were any return-to-sources assumptions included? Describe how the use of net revenues from transportation users is allowable for non-transportation uses such as education, affordable housing, and health care based on Article 19 of the California Constitution. Describe how revenues from cordon pricing and VMT fees were adjusted down to account for costs associated.

- Economic Forecasts and Analysis, Pages 63, 65, and 66: Figure 20, 22, and 23. Assuming that the economic analysis did not incorporate the increased costs associated with reallocation of households from lower cost, lower density locations to higher cost, higher density locations and the associated need for additional subsidies to support affordable housing and anti-gentrification/displacement efforts—if these costs were included, would the land use scenario continue to return positive results compared to the 2050 Baseline?
- Economic Forecasts and Analysis, Pages 78-82: Impact by Urban/Rural Setting and Equity. Consider updating the discussion to clarify that the SCAG, MTC, SACOG, and SANDAG MPO areas are assumed to subsidize investments in the rest of the state. This is illustrated in Figure 38, which shows rural areas outperforming urban areas across scenarios. Had the additional housing costs particularly in urban areas also been incorporated into the analysis, rural areas would likely have fared even better.
- Economic Forecasts and Analysis, Pages 82-83: Key Takeaways. As the economic analysis does not appear to actually consider the full breadth of strategies needed to achieve the GHG emission reductions target, it is unclear how the economy would be impacted. For example, telework assumptions, reduced population growth, and increased housing costs due to reallocation of future development activity do not appear to be considered.
- COVID-19 Analysis, Page 91: Key Takeaways: Consider expanding the “advancing social equity” item to include the need to examine how to ensure telework strategies are effective across income groups. Additional analysis would also be valuable to explore the impact of remote work strategies on home and business location choices, especially to consider relationship between other strategies like land use and pricing.

Financial Analysis Element

- Introduction, Page 1: Short to Medium-Term Impact of COVID-19. Transit cost also significantly increased due to the need to limit passenger loading on vehicles to support social distancing, including the need to dispatch additional vehicles of higher ridership lines. Whether former public transportation users return to transit is not simply an issue of trust or opting for more active modes. The research by UCLA and

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SCAG on transit ridership declines in Southern California reflect the critical role of increased auto ownership in the decline in transit ridership. It is likely that this recently observed trend will also be applicable going forward.

- Introduction, Page 2: Magnitude of Funding Needs. The description of RTPs should be updated for accuracy. For example, RTPs must cover a 20+ year horizon and often plan for 25 years. RTPs also must include the cost to build, operate, and maintain the SHS regardless of funding source. In the case of the incorrectly listed SCAG 2020 RTP/SCS (which was adopted in September 2020 not April 2020), the \$638.9 billion (in year of expenditure dollars) plan includes well over \$100 billion in assumed expenses on the SHS. Additionally, the statement that the RTPs did not include expenses to retrofit infrastructure to handle additional electric vehicle or connected vehicles seems a likely overstatement as this is one of the limited areas MPOs may take credit for efforts that reduce GHG emissions under SB 375. The SCAG 2020 RTP/SCS includes over \$8 billion (in year of expenditure dollars) just associated with electrification strategies. It is also worth noting why the SCAG 2020 RTP/SCS values were included for this section, whereas the SCAG 2016 RTP/SCS information was used in other parts of the CTP 2050.
- Introduction, Pages 5-6: Importance of Self-Help Funding in California. This section is an inaccurate representation of local option sales tax measures. For example, the statements, “With self-help funding, the sales tax revenues are retained by the county and spent primarily on projects of local benefit. This approach allows counties to fund projects that meet local mobility needs...” is incorrect as both Measure M1 and M2 in Orange County committed 43 percent of Orange County resident-funded sales tax revenues to the SHS. The “Move So Cal / Vision 2020/2022” should be removed as it lacks critical support.
- Introduction, Page 6: Role of Transit and Active Modes of Transportation in Reducing Congestions. This section should be revised to acknowledge that transit and active transportation provide alternatives to driving on congestion roadways but do not in themselves reduce congestion as any users switches to these modes would likely induce trips to fill any excess capacity.

Plan Development Element

- Footers and page number is not set up correctly. References to page numbers below reflect what is on the pdf.
- Regulatory Requirements, Pages 2-ii: State Regulations Addressing Climate Change. The final plan should include EO N-79-20.
- Regulatory Requirements, Pages 2: Checklist of Requirements for Statewide Planning. The section describing California Government Code Section 6502.2 is missing critical language, which is underlined here: “The department shall address in the California Transportation Plan how the state will achieve maximum feasible emissions reductions in order to attain a statewide reduction of greenhouse gas emission...”.

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- Plan Consistency, Page ii: Regional Plans. Language should be added to indicate that the RTPs listed in Table 4 were the currently adopted plans during the development of the CTP 2050 as some of the information in the table is obsolete now.
- Outreach and Engagement, Page 28: Public Workshops. Describe how equivalent input that would have been received through public workshops will be sought prior to finalizing the CTP 2050.
- Oversight, Pages 15-14, Committee Membership. Language should be added to indicate that tables reflect organization representation at the time of the CTP 2050 development as a number of the members are no longer affiliated with listed organization.

Strategies Element

- Strategy Inputs, Page 5: Regional Transportation Plans and Sustainable Communities Strategies. Language should be added to indicate that the plans listed in Table 2 were the currently adopted plans during the development of the CTP 2050 as some of the information in the table is obsolete now.
- Strategy Inputs, Page 7: Describe how equivalent input that would have been received through public workshops will be sought prior to finalizing the CTP 2050.
- Strategy Inputs, Page 8: Other Statewide Plans. Clarify which listed strategies were screened for effectiveness at achieving CTP goals and for consideration in the Recommendations Element and which were removed from further consideration.
- Climate, Page 15: Promote the adoption of Zero-Emission Vehicles (ZEVs). Subsidies for clean and electric vehicle transportation should not be limited to rural areas just as poverty is not limited to rural areas.
- Equity, Page 20: Improve accessibility and economic vitality in underserved and disadvantage communities. Add “support” to the beginning of “safeguard against displacement by incorporating tenant protection policies, affordable housing production, and affordable housing preservation in the initial phases of transportation planning” as many transportation planning agencies have not authority over land use and/or housing.
- Equity, Page 21: Improve environmental and public health in disadvantage communities. Remove “rural” as other urban areas may also have needs that are not well addressed by population-based allocation – “Develop a needs-based funding mechanism (rather than population-based) to better-assist rural areas that struggle to obtain funding for critical infrastructure projects”
- Accessibility, Page 24: Incentivize more accessible land use. The item “use road pricing revenues to fund affordable housing and non-auto modes” fails to account for unclear authority to use transportation-generated revenues for non-transportation uses and for road pricing in general. Significant additional research is needed to explore road pricing. This item should be revised to “explore use of road pricing revenues to support non-auto modes and affordable housing” and moved under the “expand research on changing travel behavior and preferences” section.

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- Accessibility, Page 27: Improve active transportation travel options. Revise “require a portion of pricing revenues to be invested in transit and active transportation” to “support dedication of a portion of net pricing revenues to be invested in transit and active transportation”.
- Accessibility, Page 28: Provide integrated and seamless travel connections. Revise “implement a statewide integrated fare payment system” to “evaluate a statewide integrated fare payment system” consider other proposals to eliminate fares and potentially incurring significant costs for no gain.
- Accessibility, Page 28: Provide integrated and seamless travel connections. Remove “develop a state-owned single platform to access all mobility options” as it would be addressed by the revision to the item above. Experience with HOT lanes and the RUC program suggest a single platform is not the best approach.
- Accessibility, Page 30: Adapt the system to evolving mobility needs. Add caveats to “raise minimum vehicle occupancy in HOV lanes to 3+” to recognize that changing the occupancy without also converting the lane to HOT may result in significantly underutilized managed lanes and increased delays in adjacent mixed flow lanes with unclear GHG impacts.
- Accessibility, Page 31: Pursue pricing strategies. Remove “with protections for rural and disadvantaged communities from “explore a mileage-based user fee...” as the exploration may yield other provisions that are more critical. If the mileage-based user fee is intended to be a replacement to existing fuel tax-based transportation revenue systems, all users should be paying their fair share. Equity considerations are more appropriately addressed under “explore congestion pricing...” but should not be limited to urban areas as congestion occurs in rural areas too (especially resort communities). Explain why those unable to operate a vehicle would be subject to paying roadway pricing fees.
- Quality of Life & Public Health, Page 33: Expand access to active transportation. Revise “direct investments in active transportation infrastructure toward disadvantaged communities and vulnerable populations, including those in isolated rural communities” to “expand investments in active....” to allow for a comprehensive, needs-based allocation of active transportation investments.
- Quality of Life & Public Health, Page 33: Reduce household transportation costs. Revise “make “last-mile” services free (subsidize rides to/from transit)” to “investigate ways to make...” as it may not be feasible or appropriate to subsidize all last-mile services.
- Quality of Life & Public Health, Page 35: Support enjoyable trip experience and vibrant public spaces. Revise “transform aging malls and office parks into mixed-use, transportation-efficient neighborhoods” to “support the transformation of aging malls and office parks...” to reflect that most public agencies do not actually own malls and office parks nor build neighborhoods.
- Environment, Page 37: Advance environmental justice. Revise “direct investments to communities most impacted by air and water pollution (AB 617)” to encourage investments that would likely improve local air and water pollution conditions.

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- Environment, Page 37: Promote environmentally sensitive land use. Revise “Develop urban growth boundaries. Create priority development and conservation areas at the statewide level...” to “Support urban growth boundaries that prioritize development and conservation areas at the county, regional, and statewide levels...”. Since land use is controlled primarily at the local level, decisions about where growth should occur should not be limited to a state authority with no local accountability.
- Infrastructure, Page 48: Explore new dedicated funding opportunities. Revise “implement a statewide means-based road-user charge program as a replacement for the gas tax, based in the findings of the road-user charge study” to “develop a statewide road-user charge program as a replacement for the gas tax”. The eventual road-user charge program should not be limited to the finding of the road-user charge study as several outstanding issues remained at the conclusion of the study. Additionally, the road-user charge should reflect the actual cost associated with each user to operate and maintain the transportation system. A means-based approach would not treat all users fairly. Equity concerns should be addressed in how transportation revenues are invested, not in how they are collected.
- Infrastructure, Page 48: Explore new dedicated funding opportunities. Revise “direct pricing revenues to fund projects that improve access to high-quality, safe, and affordable mobility options for disadvantaged communities” to “direct pricing revenues to fund projects that improve access to high-quality, safe, and affordable mobility options, particularly for disadvantaged communities” as the negative impacts of pricing is not limited to disadvantage communities.



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Consultant Selection for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project Between Yale Avenue and State Route 55

Regional Planning and Highways Committee Meeting of November 2, 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 TranSystems Corporation as the firm to prepare the plans, specifications, and estimates for the Interstate 5 Widening Project between Yale Avenue and State Route 55.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2371 between the Orange County Transportation Authority and TranSystems Corporation for the preparation of plans, specifications, and estimates for the Interstate 5 Widening Project between Yale Avenue and State Route 55.



November 2, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Consultant Selection for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project Between Yale Avenue and State Route 55

Overview

On June 22, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for the preparation of plans, specifications, and estimates for the Interstate 5 Widening Project between Yale Avenue and State Route 55. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of TranSystems Corporation as the firm to prepare the plans, specifications, and estimates for the Interstate 5 Widening Project between Yale Avenue and State Route 55.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2371 between the Orange County Transportation Authority and TranSystems Corporation for the preparation of plans, specifications, and estimates for the Interstate 5 Widening Project between Yale Avenue and State Route 55.

Discussion

The Interstate 5 (I-5) widening between Interstate 405 (I-405) and State Route 55 (SR-55) (Project) is Project B in the Measure M2 (M2) freeway program. 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 listed as one of the M2 freeway projects to be cleared through the environmental process, and to move into design using federal and local M2 revenue.

The Project will add a general purpose (GP) lane in the northbound and southbound directions 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 (HOV) lanes.

The final environmental document was signed on January 7, 2020, with build alternative 2B identified as the preferred alternative by the Project development team. Alternative 2 includes the addition of one GP lane in each direction of I-5 from north of I-405 to south of SR-55. The improvements include standard lane and shoulder widths, except where the improvements join existing non-standard lanes or shoulders, and at isolated locations at bridge columns, overhead signs, or other appurtenances. Design Variation B of alternative 2, the preferred alternative, includes additional non-standard inside shoulder widths and/or lane widths to reduce right-of-way (ROW) impacts. 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

Procurement Approach

This procurement for Segment 2 was handled in accordance with OCTA's Board-approved procedures for architectural and engineering (A&E) services that conform to both state and federal laws. Proposals are evaluated and ranked in accordance with the qualifications of the firm, staffing and project organization, and work plan. As this is an A&E procurement, price is not an evaluation criterion pursuant to state and federal laws. Evaluation of the proposals was conducted based on overall qualifications to develop a competitive range of offerors. The highest-ranked firm is requested to submit a cost proposal, and the final agreement is negotiated. Should negotiations fail with the highest-ranked firm, a cost proposal will be solicited from the second-ranked firm in accordance with Board-approved procurement policies.

On June 22, 2020, the Board authorized the release of Request for Proposals (RFP) 0-2371, which was electronically issued on CAMM NET. The Project was advertised on June 22 and June 29, 2020, in a newspaper of general circulation. A pre-proposal conference was held on July 7, 2020, with 14 attendees representing 11 firms. Four addenda were issued to make available the pre-proposal conference registration sheets, provide responses to questions received, and handle administrative issues related to the RFP.

Consultant Selection for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project Between Yale Avenue and State Route 55 **Page 3**

On August 6, 2020, two proposals were received. An evaluation committee consisting of members from OCTA's Contracts Administration and Materials Management and Highway Programs departments, as well as external representatives from the California Department of Transportation (Caltrans), District 12 and the City of Tustin, met to review all submitted proposals. The proposals were evaluated utilizing the following Board-approved evaluation criteria and weightings:

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

The evaluation criteria are consistent with the weightings developed for similar A&E procurements. The qualifications of the firm evaluated the firm's experience in performing work of similar scope and size. The greatest importance was assigned to staffing and project organization of the firm, as the qualifications of the project manager (PM) and other key personnel are very important to the successful and timely delivery of the Project. Similarly, high importance was given to the work plan criterion to emphasize the importance of the team's understanding of the Project, its challenges, and its approach to implementing the various elements of the scope of work (SOW). The technical approach to the Project is critical to its successful performance.

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

Firm and Location

HDR Engineering, Inc. (HDR)
Irvine, California

TranSystems Corporation (TranSystems)
Santa Ana, California

On September 14, 2020, the evaluation committee interviewed the two firms. The interviews consisted of a presentation allowing each team to present its qualifications, highlight its proposal, and respond to evaluation committee questions. Each firm also discussed its staffing plan, work plan, and perceived Project challenges. Each firm was asked general questions related to qualifications, relevant experience, Project organization, and approach to the work plan. Both firms were asked questions specific to the proposals regarding

its team's approach to the requirements of the SOW, management of the Project, coordination with various agencies, experience with similar projects, and the proposed solutions toward achieving the Project goals. After considering responses to the questions asked during the interviews, the evaluation committee adjusted the preliminary scores for each firm; however, TranSystems remained the top-ranked firm with the higher cumulative score.

Based on the evaluation of written proposals and information obtained during the interviews, staff recommends TranSystems as the top-ranked firm to prepare the plans, specifications, and estimates (PS&E) for the Project. TranSystems' proposal received the higher ranking, largely due to the team's successful management and implementation of recent and relevant PS&E projects of similar scale and scope, the firm's comprehensive understanding of the Project objectives and constraints, and presentation of relevant technical solutions that consider cost- and time-saving improvements along the I-5 corridor. The firm's proposal and interview demonstrated understanding of the Project requirements through a detailed work plan addressing key issues that are critical to the success of the Project. The following is a brief summary of the proposal evaluation results.

Qualifications of the Firm

Both firms are established firms with recent and relevant experience and qualified to perform the services.

TranSystems, an established national transportation engineering firm founded in 1966, provides planning, engineering, architectural, and construction services with over 800 professionals in 30 offices. California locations include the cities of Los Angeles, Oakland, Ontario, San Diego, and Santa Ana. TranSystems has delivered 30 highway PS&E projects in Orange County and over 110 highway projects in southern California. Relevant firm experience includes PS&E for the I-5 widening project (Segment 2) from Oso Parkway to Alicia Parkway, the project report/environmental document (PA/ED) for the I-5 widening from State Route 73 to El Toro Road, PS&E for the I-5 El Camino Real off-ramp and soundwall, and PS&E for the I-5 Jamboree Road for the City of Irvine.

HDR, an established full-service international transportation engineering firm founded in 1917, provides design services for highways, interchanges, bridges, and structures with over 450 professionals working in six offices in the cities of Claremont, Irvine, Long Beach, Los Angeles, Riverside, and San Diego. Relevant firm experience includes PS&E for the State Route 57 northbound widening from Katella Avenue to Lincoln Avenue, PS&E for the I-5 widening

(Segment 3) from Alicia Parkway to El Toro Road as a subconsultant, and PS&E for the I-5 HOV improvement project (Segment 2) from Avenida Vista Hermosa to Pacific Coast Highway as a subconsultant.

Staffing and Project Organization

Both firms proposed qualified PMs, key personnel, and subconsultants with relevant PS&E experience in interchange and freeway widening projects.

TranSystems proposed a highly qualified project team with relevant and recent comprehensive experience and an understanding of the Project issues, risks, and challenges. The team is accomplished in various disciplines required for the Project and has extensive OCTA and Caltrans experience. The team has extensive experience working on projects of similar size and scope with a record of accelerated project delivery. The proposed PM has 41 years of relevant experience successfully delivering highway and infrastructure improvement projects, and has delivered projects from concept and PA/ED development through final design PS&E and design support during construction for OCTA, Caltrans, Riverside County Transportation Commission, and the Los Angeles Metropolitan Transportation Authority. The PM has in-depth knowledge of Caltrans standards, procedures, and requirements and has extensive experience coordinating with federal, state, and local agencies, and stakeholder engagement.

The proposed roadway lead has 25 years of experience as civil roadway lead designer and PM in the development of transportation projects in Southern California. The roadway lead is experienced in preparing construction staging and traffic management plans and Design Standard Decision Documents. The proposed structures lead has 32 years of experience with all technical aspects of structures from conceptual design to construction, including approval of complex bridge structures and innovative cost-effective solutions through Caltrans' bridge structures design selection process. The structures lead has experience with Caltrans processes and procedures and has successfully delivered numerous Caltrans task order projects. The proposed team includes qualified and experienced subconsultants for drainage, geotechnical, electrical, ROW engineering, survey, environmental, and outreach support services.

HDR proposed a qualified project team with relevant experience that demonstrated an understanding of the Project issues, risks, and challenges. The team, including subconsultants, are experienced in various disciplines required for the Project, and have experience working together on PS&E projects of

similar size and scope in Southern California. The proposed PM has 40 years of experience delivering highway and infrastructure improvement projects. The PM has relevant experience managing transportation projects in Southern California, including construction management for highway and grade separation projects. The proposed roadway lead has 29 years of experience in design and planning of highway and roadway projects in Southern California and is experienced on the Caltrans delivery process and design criteria. The proposed structures lead has 18 years of experience in civil and structural engineering on a wide range of transportation infrastructure projects, including bridge, highway, heavy rail, and facilities projects, and is knowledgeable on Caltrans design procedures and seismic design criteria.

Work Plan

Both firms met the requirements of the RFP, and each firm adequately discussed its approach to the Project.

TranSystems presented a comprehensive and viable work plan that demonstrated an understanding of the Project design requirements, constraints, challenges, and risks. TranSystems proposed ten design enhancements/refinements to minimize risks, enhance safety, and reduce construction and ROW costs while optimizing traffic operations. The work plan proposed geometric and traffic operational improvements that meet Caltrans design requirements, with the potential for substantial savings from the schedule and construction costs by eliminating a tunnel structure and shortening retaining walls. The proposed innovative solutions and other design refinements eliminate ROW needs and non-standard features, and minimize constructability issues.

The overall approach to project execution described in TranSystems' work plan and presented during the interview identified potential Project risks, accompanied by mitigation plans, corridor coordination discussions, construction staging, and discussed Project challenges. The interview confirmed the technical knowledge and expertise of the TranSystems team and its inclusive understanding of the Project challenges and requirements. The team provided Project-specific responses to all interview questions.

HDR presented a detailed work plan that demonstrated an understanding of the Project SOW, issues, and risks. The work plan identified Project challenges associated with traffic operational deficiency and local community impacts. HDR proposed a "Big Ideas" alternative approach to reduce the width of GP lanes from 12 feet to 11 feet to reduce costs and construction duration. The

proposed alternative approach was studied and eliminated from consideration during the PA/ED phase.

The overall approach described in the HDR work plan and presented during the interview demonstrated the firm's knowledge of the SOW, objectives, and risks associated with the Project. HDR's team presented an interview with detailed responses from all personnel to evaluation committee questions, demonstrating an experienced cohesive team with relevant project experience.

Procurement Summary

Based on the evaluation of the written proposals, team qualifications, and information obtained during the interviews, the evaluation committee recommends the selection of TranSystems as the top-ranked firm to prepare the PS&E for the I-5 Widening Project between Yale Avenue and SR-55.

Fiscal Impact

The Project is included in OCTA's Fiscal Year 2020-21 Budget, Capital Programs Division, Account 0017-7519-FB103-1OD, and will be funded through a combination of federal and M2 funds.

Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Agreement No. C-0-2371 with TranSystems Corporation as the firm to prepare the plans, specifications, and estimates for the Interstate 5 Widening Project between Yale Avenue and State Route 55.

Attachments

- A. Review of Proposals, RFP 0-2371 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project Between Yale Avenue and State Route 55
- B. Proposal Evaluation Criteria Matrix, RFP 0-2371 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project Between Yale Avenue and State Route 55
- C. Contract History for the Past Two Years, RFP 0-2371 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project Between Yale Avenue and State Route 55

Prepared by:



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(714) 560-5879

Approved by:



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Executive Director, Capital Programs
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Pia Veasapen
Interim Director, Contracts Administration
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Review of Proposals
RFP 0-2371 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project
Between Yale Avenue and State Route 55

2 proposals were received, 2 firms were interviewed, 1 firm is being recommended

Overall Ranking	Overall Score	Firm and Location	Subcontractors	Evaluation Committee Comments
1	89	TranSystems Corporation Santa Ana, California	AECOM Technical Services, Inc. Advanced Civil Technologies Earth Mechanics, Inc. FPL & Associates, Inc. Guida Surveying, Inc. Leighton Consulting, Inc. LSA Associates, Inc. Q4 Transportation Solutions Tatsumi and Partners, Inc.	Higher-ranked firm overall. Firm has recent and relevant experience managing and delivering design transportation projects of similar size and scope. Qualified team including project manager, key personnel, technical staff, and subconsultants with experience working together on recent plans, specifications, and estimates (PS&E) projects. Project manager has recent experience planning, managing, and successfully delivering numerous transportation projects from preliminary studies through final design (PS&E). Comprehensive work plan identifying key issues, providing sound recommendations and viable solutions. Proposed design enhancements to minimize risks, safety impacts, and reduction in construction and right-of-way costs. Detailed team presentation and interview with project-specific responses to all questions.
2	82	HDR Engineering, Inc. Irvine, California	Mark Thomas & Company, Inc. Advanced Civil Technologies IDC Consulting Engineers, Inc. Kleinfelder, Inc. Leighton Consulting, Inc. NCM Engineering Corp Paleo Solutions, Inc. Psomas Solutions Safe Utility Exposure, Inc. Tatsumi and Partners, Inc.	Firm has relevant experience managing and delivering design transportation projects of similar size and scope. Qualified team including project manager, key personnel, and subconsultants with experience working together on recent PS&E projects. Project manager is qualified with relevant experience planning, managing, and successfully delivering transportation projects from preliminary studies through final design (PS&E). Work plan demonstrated understanding of the scope of work, described enhancements, and innovative design solutions. Proposed "Big Ideas" alternative approach by reducing the width of all general purpose lanes from 12 feet to 11 feet to reduce costs and construction duration, an alternative that was eliminated in the project report phase. Interview presentation was detailed and the project team was responsive to all interview questions.

Evaluation Panel: 6 Members

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

Evaluation Criteria:

Staffing and Project Organization
Work Plan
Qualifications of the Firm

Weight Factors

40%
35%
25%

PROPOSAL EVALUATION CRITERIA MATRIX

**RFP 0-2371 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 5
Widening Project Between Yale Avenue and State Route 55**

Firm: TranSystems Corporation								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.5	4.5	4.0	5.0	4.5	4.5	5	22.5
Staffing/Project Organization	4.5	4.5	4.5	4.5	4.5	4.5	8	36.0
Work Plan	4.5	4.0	4.5	4.5	4.5	4.5	7	30.9
Overall Score	90.0	86.5	87.5	92.5	90.0	90.0		89

Firm: HDR Engineering, Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.5	3.5	4.0	4.5	4.0	4.0	5	20.4
Staffing/Project Organization	4.5	4.0	4.0	4.5	4.5	4.0	8	34.0
Work Plan	4.0	4.0	4.0	4.0	4.0	4.0	7	28.0
Overall Score	86.5	77.5	80.0	86.5	84.0	80.0		82

CONTRACT HISTORY FOR THE PAST TWO YEARS
RFP 0-2731 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project
Between Yale Avenue and State Route 55

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
TranSystems Corporation						
Contract Type: Firm-Fixed-Price	C-0-2244	Alternatives assessment for the Interstate 5 (I-5)/ El Toro Road Interchange Project	September 1, 2020	April 30, 2021		\$ 195,483.85
Subconsultants:						
ICF Jones & Stokes, Inc.					\$ 565.36	
InterWest Consulting Group					\$ 9,818.00	
Q4 Transportation Solutions					\$ 31,996.00	
Contract Type: Firm-Fixed-Price	C-3-2091	Plans, specifications, and estimates for the I-5 Improvement Project between Oso Parkway and Alicia Parkway	November 7, 2014	March 31, 2023		\$ 12,922,995.44
Subconsultants:						
ACT Consulting Engineers, Inc.					\$ 1,364,726.87	
Earth Mechanics, Inc.					\$ 578,966.50	
Engineering Solutions Services					\$ 584,735.06	
Kleinfelder Consulting Services, Inc.					\$ 532,051.12	
LSA Associates, Inc.					\$ 258,761.21	
Michael Baker International, Inc.					\$ 2,594,443.57	
Subtotal						\$ 13,118,479.29
HDR Engineering, Inc.						
Contract Type: Firm-Fixed-Price	C-0-1587	Environmental document and project report for State Route 55 between Interstate 405 and I-5	May 24, 2011	December 31, 2019		\$ 6,508,025.81
Subconsultants:						
Fehr & Peers					\$ 682,343	
Guida Surveying Inc.					\$ 507,106	
Leighton Consulting, Inc.					\$ 348,974	
LSA Associates, Inc.					\$ 1,169,372	
MTS Engineering, Inc.					\$ 402,443	
The Wild Horse Group					\$ 72,505	
Transystems RMC, Inc.					\$ 275,356	

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Contract Type: Firm-Fixed-Price	C-7-0938	Project report, environmental document, and plans, specifications, and estimates for northbound State Route 57 improvements between Katella Avenue and Lincoln Avenue	April 10, 2008	December 31, 2018		\$ 4,658,887.89
<i>Subconsultants:</i>						
<i>Fehr & Peers</i>					\$ 89,904	
<i>Guida Surveying Inc.</i>					\$ 258,711	
<i>Leighton Consulting, Inc.</i>					\$ 294,261	
<i>LSA Associates, Inc.</i>					\$ 357,015	
<i>PMK and Associates, Inc.</i>					\$ 140,333	
<i>Tatsumi and Partners, Inc.</i>					\$ 225,347	
Contract Type: Time & Expense	C-8-1840	Geographic Information System technical support consultant services	November 15, 2018	September 30, 2019		\$ 50,000.00
<i>Subconsultants: None</i>						
Contract Type: Time & Expense	C-4-1786	On-call right-of-way and property management services	March 1, 2015	November 30, 2020		\$ 1,569,025.00
<i>Subconsultants:</i>						
<i>AP Engineer</i>						
<i>The Bernard Johnson Group</i>						
<i>Cal Pacific Land Services, Inc.</i>						
<i>Coast Surveying, Inc.</i>						
<i>Commonwealth Land Title Company</i>						
<i>Desmond, Marcello & Amster, LLC</i>						
<i>Donna Desmond & Associates</i>						
<i>Environmental Resources Management</i>						
<i>Golden State Escrow</i>						
<i>Hennessey & Hennessey, LLC</i>						
<i>Hodges Lacey & Associates, LLC</i>						
<i>Integra Realty Resources - Orange County</i>						
<i>Lazar & Associates</i>						
<i>Pacific Environmental Company</i>						
<i>Pacific Real Estate Consultants, Inc.</i>						
<i>Real Estate Consulting Services, Inc.</i>						
<i>Stewart Title of California, Inc.</i>						
<i>VA Consulting, Inc.</i>						
<i>Wiggans Group</i>						

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Contract Type: Time & Expense	C-4-1854	Project management consultant services for the OC Streetcar Project	June 1, 2015	March 31, 2022		\$ 29,026,290.00
<i>Subconsultants:</i>						
<i>Amheart Solutions</i>						
<i>Arellano Associates, LLC</i>						
<i>Boothe Transit Consulting, LLC</i>						
<i>CivilSource, Inc.</i>						
<i>IBI Group</i>						
<i>Inueor Consulting, Inc.</i>						
<i>Maintenance Design Group, LLC</i>						
<i>Mott MacDonald, LLC</i>						
<i>Nossaman, LLP</i>						
<i>Shiels Oblatz Johnsen, Inc.</i>						
<i>SNC - Lavalin Rail & Transit, Inc.</i>						
<i>Sperry Capital, Inc.</i>						
<i>Steve Greene & Associates, PLLC</i>						
<i>TSG Enterprises, Inc.</i>						
<i>RGI Utility Consultants</i>						
Contract Type: Time & Expense	C-8-1418	Construction management support services for I-5 Widening Project between Oso Parkway and Alicia Parkway	March 1, 2019	February 29, 2024		\$ 12,168,767.00
<i>Subconsultants:</i>						
<i>Jacobs Project Management Company</i>						
<i>Coast Surveying, Inc.</i>						
<i>Ghirardelli Associates, Inc.</i>						
<i>S2 Engineering, Inc.</i>						

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Contract Type: Time & Expense	C-8-1512	Program management consultant services for Regional Rail Programs	March 28, 2019	March 31, 2024		\$ 7,500,000.00
<i>Subconsultants:</i>						
<i>AP Engineers & Testing</i>						
<i>BA, Inc.</i>						
<i>Civil Works Engineers, Inc.</i>						
<i>Cogstone Resource Management, Inc.</i>						
<i>DB Engineering & Consulting USA, Inc.</i>						
<i>Meadows Consulting</i>						
<i>Mott MacDonald, LLC</i>						
<i>PreScience Corporation</i>						
<i>Project Design Consultants</i>						
<i>Tri-County Drilling</i>						
<i>VSCE, Inc.</i>						
Contract Type: Firm-Fixed-Price	C-9-1121	Strategic transportation study of southern Orange County	September 19, 2019	August 31, 2021		\$ 749,969.00
<i>Subconsultants:</i>						
<i>Alta Planning + Design</i>					\$ 57,245	
<i>Land CM Corporation</i>					\$ 26,400	
<i>NelsonWygaard Consulting Associates, Inc.</i>					\$ 57,630	
<i>PlaceWorks</i>					\$ 19,980	
<i>System Metrics Group, Inc.</i>					\$ 38,000	
<i>VCS Environmental</i>					\$ 33,655	
Contract Type: Time & Expense	C-9-1580	Geographic Information System technical support consultant services	January 6, 2020	October 31, 2021		\$ 55,000.00
<i>Subconsultants: None</i>						
Subtotal						\$ 62,285,964.70



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

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

Subject: Capital Programs Division – First Quarter Fiscal Year 2020-21
Capital Action Plan Performance Metrics

Executive Committee Meeting of November 2, 2020

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

Absent: None

Committee Vote

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


Staff Recommendation

Receive and file as an information item.



November 2, 2020

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Capital Programs Division - First Quarter Fiscal Year 2020-21
Capital Action Plan Performance Metrics

Overview

Staff has prepared a quarterly progress report on capital project delivery for the period of July 2020 through September 2021 for review by the Orange County Transportation Authority Board of Directors. This report highlights the Capital Action Plan for project delivery, which is used as a performance metric to assess delivery progress on highway, transit, and rail projects.

Recommendation

Receive and file as an information item.

Background

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

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

Discussion

OCTA's objective is to deliver projects on schedule and within the approved project budget. Key project cost and schedule commitments are captured in the CAP, which is regularly updated with project status and any new projects (Attachment A). The CAP is categorized into four key project groupings of freeway projects, railroad grade separation projects, and rail and station projects. Schedule milestones are used as performance indicators of progress in project delivery. The CAP performance metrics report provides a FY snapshot of the milestones targeted for delivery in the budgeted FY and provide transparency and performance measurement of capital project delivery.

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

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

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

Advertise for Construction	The date a construction contract is advertised for bids.
Award Contract	The date the construction contract is awarded.
Construction Complete	The date all construction work is completed, and the project is open to public use.

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



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

CAP milestones achieved in the first quarter of FY 2020-21 include:

Freeway Projects

- The award contract milestone for construction of the Interstate 5 (I-5) widening between Alicia Parkway and El Toro Road was achieved. On September 23, 2020, the California Department of Transportation awarded the contract to Guy F. Atkinson Construction. This project is the northernmost of three segments of I-5 widening between State Route 73 and El Toro Road.

The following CAP milestones missed the planned delivery through the first quarter of FY 2020-21:

The planned complete design, construction ready, advertise construction milestones for the Anaheim Canyon Metrolink Station expansion were not achieved in the first quarter due to ROW acquisition delays. However, these three milestones were achieved in the second quarter, and the project was

advertised for construction bids, at risk, while negotiations for temporary construction access from the one remaining private property interest on the east side of the station is being finalized. The planned construction bid submittal and opening date may be adjusted to accommodate securing the remaining construction access rights.

Recap of FY 2020-21 Performance Metrics and CAP Updates

The performance metrics snapshot provided at the beginning of FY 2020-21 reflected 15 planned major project delivery milestones to be accomplished, four of which were planned in the first quarter. The CAP and performance metrics have been updated to reflect both the milestones achieved and missed through the first quarter of FY 2020-21 (Attachment B). One of the four milestones (25 percent) planned through the first quarter of the FY was achieved. The three milestones missed are attributable to the Anaheim Canyon Metrolink Station project ROW delay.

CAP updates and FY 2020-21 Risks

There are schedule updates and cost risks on the State Route 55 (SR-55) widening from Interstate 405 to I-5. The construction ready milestone planned for delivery in the fourth quarter has been revised to the first quarter of FY 2021-22 (September 2021) due to extremely complex ROW appraisals and negotiations involving four to five impacted properties. Should negotiations fail to result in agreements for the ROW needs, the working schedules consider potential eminent domain actions through the court to gain ROW early possession. Court schedules also may be backlogged due to the coronavirus pandemic, which may impact the early possession of ROW and further delay the construction phase. The forecast project cost is increasing to approximately \$503 million, which includes increases in the final engineer's estimate of construction costs, increased support cost, and an increase in forecast ROW costs to account for risks in condemnation settlements. These costs are still being assessed and will be included in the planned M2 Next 10 Delivery Plan Update and capital programming adjustments brought to the OCTA Board of Directors.

The Placentia Metrolink Station construction ready, advertise construction, and award contract milestones planned in the second and third quarter will not be met. Approvals needed to construct the project remain dependent on finalization of the Metrolink/Burlington Northern Santa Fe Railway (BNSF) shared-use agreement, which allows for Metrolink operations on the BNSF rail corridor. Revised target milestones for construction ready, advertise construction, and award contract milestones have not been forecast due to the pending Metrolink/BNSF negotiations.

Recent highway project construction bids still indicate a favorable market with a high number of bidders and very competitive bids priced below the engineer's estimated cost of bid items. Project cost estimates consider historical information, current trends in the market, and recent bid results at the state and regional level.

Summary

Capital project delivery continues to progress and is reflected in the CAP. The planned FY 2020-21 performance metrics created from forecast project schedules will be used as a general project delivery performance indicator throughout the FY. Staff will continue to manage project costs and schedules across all project phases to meet project delivery commitments and report quarterly.

Attachments

- A. Capital Action Plan, Status Through September 2020
- B. Capital Programs Division, Fiscal Year 2020-21 Performance Metrics Through September 2020

Prepared by:

















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

Capital Action Plan

Status Through September 2020
















Updated: October 24, 2020

Capital Projects	Cost Baseline/Forecast	Schedule Plan/Forecast							
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
	(millions)								
Freeway Projects:									
I-5, Avenida Pico to San Diego County	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
	TBD	Apr-21	Dec-23	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Dec-11	Jun-11	Oct-13	Feb-14	Oct-14	Dec-14	Aug-18
Project C	\$83.5	Jun-09	Oct-11	Jun-11	Oct-13	May-14	Sep-14	Dec-14	Aug-18
 I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Dec-11	Jun-11	Feb-13	Jun-13	Oct-13	Dec-13	Mar-17
Project C	\$75.4	Jun-09	Oct-11	Jun-11	May-13	Aug-13	Feb-14	Jun-14	Jul-17
 I-5, Pacific Coast Highway to San Juan Creek Road	\$70.7	Jun-09	Dec-11	Jun-11	Jan-13	May-13	Aug-13	Oct-13	Sep-16
Project C	\$74.3	Jun-09	Oct-11	Jun-11	Jan-13	Apr-13	Aug-13	Dec-13	Jul-18
 I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jun-09	Jan-09	Nov-11	Mar-12	Jun-12	Aug-12	Sep-15
Project D	\$79.8	Sep-05	Jun-09	Jan-09	Dec-11	Apr-12	Jun-12	Aug-12	Jan-16
 I-5, I-5/Ortega Interchange (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project D	N/A	N/A	N/A	Jan-14	Oct-14	Feb-15	Aug-15	Sep-15	Sep-16
 I-5, SR-73 to Oso Parkway	\$151.9	Sep-11	Jun-14	Mar-15	Jan-18	May-18	Aug-18	Dec-18	Apr-25
Project C & D	\$195.8	Oct-11	May-14	Mar-15	Aug-18	May-19	Aug-19	Dec-19	Apr-25
 I-5, Oso Parkway to Alicia Parkway	\$196.2	Sep-11	Jun-14	Nov-14	Jun-17	Dec-17	Feb-18	Jun-18	Nov-23
Project C & D	\$203.1	Oct-11	May-14	Nov-14	Dec-17	Jun-18	Nov-18	Mar-19	Nov-23
 I-5, Alicia Parkway to El Toro Road	\$133.6	Sep-11	Jun-14	Mar-15	Jun-18	Dec-18	Jan-19	May-19	Oct-24
Project C	\$165.9	Oct-11	May-14	Mar-15	May-19	Apr-20	May-20	Sep-20	Oct-24
 I-5, SR-73 to El Toro Road (Landscape)	TBD	N/A	N/A	TBD	TBD	TBD	TBD	TBD	TBD
Project C	\$12.4	N/A	N/A	Jul-22	Mar-24	Jul-24	Sep-24	Nov-24	Jun-26
 I-5, I-5/El Toro Road Interchange	TBD	Apr-17	Nov-19	TBD	TBD	TBD	TBD	TBD	TBD
Project D Cost/Schedule Risk	TBD	Apr-17	Oct-21	TBD	TBD	TBD	TBD	TBD	TBD
 I-5, I-405 to Yale Avenue	\$230.5	May-14	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD
Project B	\$230.5	May-14	Jan-20	Sep-21	Jun-24	Dec-24	Apr-25	Jul-25	Jan-29
 I-5, Yale Avenue to SR-55	\$200.4	May-14	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD
Project B	\$200.4	May-14	Jan-20	Apr-21	Dec-23	Jun-24	Oct-24	Feb-25	Aug-28
 I-5, SR-55 to SR-57	\$38.1	Jul-11	Jun-13	Jun-15	Mar-17	Jul-17	Sep-17	Dec-17	Apr-21
Project A	\$39.7	Jun-11	Apr-15	Jun-15	Jun-17	Dec-17	Mar-18	Nov-18	Dec-20
 SR-55, I-405 to I-5	\$410.9	Feb-11	Nov-13	Sep-17	Apr-20	Dec-20	Apr-21	Jul-21	Aug-25
Project F Cost/Schedule Risk	\$503.0	May-11	Aug-17	Sep-17	Apr-20	Sep-21	Dec-21	Apr-22	Apr-26

Capital Action Plan

Status Through September 2020












Updated: October 24, 2020

	Capital Projects	Cost	Schedule							
		Baseline/Forecast	Plan/Forecast							
		(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
	SR-55, I-5 to SR-91	TBD	Dec-16	Jan-20	TBD	TBD	TBD	TBD	TBD	TBD
	Project F	TBD	Dec-16	Mar-20	TBD	TBD	TBD	TBD	TBD	TBD
	SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue	TBD	Apr-16	Dec-18	TBD	TBD	TBD	TBD	TBD	TBD
	Project G	TBD	Apr-16	Mar-19	TBD	TBD	TBD	TBD	TBD	TBD
	SR-57 (NB), Katella Avenue to Lincoln Avenue	\$78.7	Apr-08	Jul-09	Jul-08	Nov-10	Mar-11	May-11	Aug-11	Sep-14
	Project G	\$38.0	Apr-08	Nov-09	Aug-08	Dec-10	Apr-11	Jul-11	Oct-11	Apr-15
	SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Project G	N/A	N/A	N/A	May-09	Jul-10	Jun-17	Jul-17	Sep-17	Jun-18
	SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard	\$80.2	Aug-05	Dec-07	Feb-08	Dec-09	Apr-10	Jun-10	Oct-10	May-14
	Project G	\$52.3	Aug-05	Dec-07	Feb-08	Jul-09	Dec-09	May-10	Oct-10	Nov-14
	SR-57 (NB), Yorba Linda Boulevard to Lambert Road	\$79.3	Aug-05	Dec-07	Feb-08	Dec-09	Apr-10	Jun-10	Oct-10	Sep-14
	Project G	\$54.1	Aug-05	Dec-07	Feb-08	Jul-09	Mar-10	May-10	Oct-10	May-14
	SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Project G	N/A	N/A	N/A	Oct-14	Aug-17	Dec-17	Jan-18	Feb-18	Apr-19
	SR-57 (NB), Lambert Road to Tonner Canyon	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
	Project G	TBD	Jul-23	Mar-26	TBD	TBD	TBD	TBD	TBD	TBD
	SR-91 Westbound (WB), I-5 to SR-57	\$78.1	Jul-07	Apr-10	Oct-09	Feb-12	Jul-12	Aug-12	Nov-12	Apr-16
	Project H	\$59.2	Jul-07	Jun-10	Mar-10	Apr-12	Aug-12	Oct-12	Jan-13	Jun-16
	SR-91 Westbound (WB), I-5 to SR-57 (Landscape)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Project H	N/A	N/A	N/A	Nov-14	Aug-16	Dec-16	Feb-17	Mar-17	Nov-17
	SR-91, SR-55 to Lakeview Avenue (Segment 1)	\$100.9	Jan-15	Oct-18	Mar-20	Jan-23	Aug-23	Oct-23	Feb-24	Sep-27
	Project I	\$100.9	Jan-15	Jun-20	Mar-20	Jan-23	Aug-23	Oct-23	Feb-24	Sep-27
	SR-91, La Palma Avenue to SR-55 (Segment 2)	\$208.4	Jan-15	Oct-18	Jun-20	Jul-23	Feb-24	Mar-24	Jul-24	Mar-28
	Project I	\$208.4	Jan-15	Jun-20	Jun-20	Jul-23	Feb-24	Mar-24	Jul-24	Mar-28
	SR-91, Acacia Street to La Palma Avenue (Segment 3)	\$116.2	Jan-15	Oct-18	TBD	TBD	TBD	TBD	TBD	TBD
	Project I	\$116.2	Jan-15	Jun-20	Nov-20	Sep-23	Apr-24	Jun-24	Sep-24	May-28
	SR-91 (WB), Tustin Interchange to SR-55	\$49.9	Jul-08	Jul-11	Jul-11	Mar-13	Jul-13	Aug-13	Oct-13	Jul-16
	Project I	\$42.5	Jul-08	May-11	Jun-11	Feb-13	Apr-13	Jun-13	Oct-13	Jul-16
	SR-91, SR-55 to SR-241	\$128.4	Jul-07	Jul-09	Jun-09	Jan-11	Apr-11	Jun-11	Sep-11	Dec-12
	Project J	\$79.7	Jul-07	Apr-09	Apr-09	Aug-10	Dec-10	Feb-11	May-11	Mar-13

Capital Action Plan

Status Through September 2020










Updated: October 24, 2020

Capital Projects	Cost Baseline/Forecast	Schedule Plan/Forecast							
		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction
	(millions)								
 SR-91, SR-55 to SR-241 (Landscape) Project J	N/A N/A	N/A N/A	N/A N/A	N/A May-12	N/A Feb-13	N/A Apr-13	N/A Jul-13	N/A Oct-13	N/A Feb-15
 SR-91 EB, SR-241 to SR-71Project J	\$104.5 \$57.8	Mar-05 Mar-05	Dec-07 Dec-07	Jul-07 Jul-07	Dec-08 Dec-08	Mar-09 May-09	May-09 Jun-09	Jul-09 Aug-09	Nov-10 Jan-11
91 Express Lanes to SR-241 Toll Connector	TBD TBD	N/A Nov-13	N/A Jan-20	N/A Jun-16	N/A Dec-21	N/A Jun-22	N/A Jul-22	N/A Nov-22	N/A Jun-25
 I-405, I-5 to SR-55 Project L	TBD TBD	Dec-14 Dec-14	Jul-18 Aug-18	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD	TBD TBD
 I-405, SR-55 to I-605 (Design-Build) Project K	\$1,900.0 \$1,900.0	Mar-09 Mar-09	Mar-13 May-15	Mar-14 Mar-14	Nov-15 Nov-15	Feb-16 Feb-16	Mar-16 Mar-16	Nov-16 Nov-16	May-23 May-23
I-405/SR-22 HOV Connector	\$195.9 \$120.8	N/A N/A	N/A N/A	Sep-07 Sep-07	Sep-09 Jun-09	Mar-10 Sep-09	May-10 Feb-10	Aug-10 Jun-10	Aug-14 Mar-15
I-405/I-605 HOV Connector	\$260.4 \$172.6	N/A N/A	N/A N/A	Sep-07 Sep-07	Sep-09 Sep-09	Mar-10 Feb-10	May-10 May-10	Oct-10 Oct-10	Jan-15 Mar-15
I-405/SR-22/I-605 HOV Connector (Landscape)	N/A N/A	N/A N/A	N/A N/A	N/A Jun-08	N/A May-09	N/A Feb-16	N/A May-16	N/A Jul-16	N/A Feb-18
 I-605, I-605/Katella Interchange Project M	\$29.0 \$29.0	Aug-16 Aug-16	Nov-18 Oct-18	TBD Dec-20	TBD Sep-22	TBD Jan-23	TBD Mar-23	TBD Jun-23	TBD Feb-25
Grade Separation Projects:									
 Sand Canyon Avenue Railroad Grade Separation Project R	\$55.6 \$61.9	N/A N/A	Sep-03 Sep-03	Jan-04 Jan-04	Jul-10 Jul-10	Jul-10 Jul-10	Oct-10 Oct-10	Feb-11 Feb-11	May-14 Jan-16
 Raymond Avenue Railroad Grade Separation Project O	\$77.2 \$126.2	Feb-09 Feb-09	Nov-09 Nov-09	Mar-10 Mar-10	Aug-12 Dec-12	Nov-12 Jul-13	Feb-13 Oct-13	May-13 Feb-14	Aug-18 May-18
 State College Boulevard Railroad Grade Separation (Fullerton) Project O	\$73.6 \$99.6	Dec-08 Dec-08	Jan-11 Apr-11	Jul-06 Jul-06	Aug-12 Feb-13	Nov-12 May-13	Feb-13 Sep-13	May-13 Feb-14	May-18 Mar-18
 Placentia Avenue Railroad Grade Separation Project O	\$78.2 \$64.5	Jan-01 Jan-01	May-01 May-01	Jan-09 Jan-09	Mar-10 Jun-10	May-10 Jan-11	Mar-11 Mar-11	Jun-11 Jul-11	Nov-14 Dec-14
 Kraemer Boulevard Railroad Grade Separation Project O	\$70.4 \$63.8	Jan-01 Jan-01	Sep-09 Sep-09	Jan-09 Feb-09	Jul-10 Jul-10	Jul-10 Jan-11	Apr-11 Jun-11	Aug-11 Sep-11	Oct-14 Dec-14
 Orangethorpe Avenue Railroad Grade Separation Project O	\$117.4 \$105.9	Jan-01 Jan-01	Sep-09 Sep-09	Feb-09 Feb-09	Dec-11 Oct-11	Dec-11 Apr-12	Feb-12 Sep-12	May-12 Jan-13	Sep-16 Oct-16

Capital Action Plan

Status Through September 2020

Updated: October 24, 2020

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

Capital Action Plan

Status Through September 2020

Updated: October 24, 2020

Capital Projects	Cost	Schedule							
	Baseline/Forecast	Plan/Forecast							
	(millions)	Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction

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

Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

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

Red = Forecast milestone is over three months later than plan

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

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

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

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

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

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

Award Contract: The date the construction contract is awarded.

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

Acronyms

I-5 - Santa Ana Freeway (Interstate 5)

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

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

SR-57 - Orange Freeway (State Route 57)

SR-71 - Corona Freeway (State Route 71)

SR-91 - Riverside Freeway (State Route 91)

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

I-405 - San Diego Freeway (Interstate 405)

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

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

ADA - Americans with Disabilities Act

EB - Eastbound

HOV - High-occupancy Vehicle

NB - Northbound

SB - Southbound

TBD - To-be-determined

WB - Westbound

Capital Programs Division

Fiscal Year 2020-21 Performance Metrics Through September 2020

Begin Environmental

Project Description	FY 21 Qtr 1		FY 21 Qtr 2		FY 21 Qtr 3		FY 21 Qtr 4		FY 21 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
I-5, Avenida Pico to San Diego County Line							X		
Total Forecast/Actual	0	0	0	0	0	0	1	0	1

Complete Environmental

Project Description	FY 21 Qtr 1		FY 21 Qtr 2		FY 21 Qtr 3		FY 21 Qtr 4		FY 21 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
No "Complete Environmental" milestones scheduled for FY 2020-21									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

Begin Design

Project Description	FY 21 Qtr 1		FY 21 Qtr 2		FY 21 Qtr 3		FY 21 Qtr 4		FY 21 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
SR-91, Acacia Street to La Palma Avenue			X						
I-605/Katella Avenue Interchange			X						
I-5, Yale Avenue to SR-55							X		
Total Forecast/Actual	0	0	2	0	0	0	1	0	3

Complete Design

Project Description	FY 21 Qtr 1		FY 21 Qtr 2		FY 21 Qtr 3		FY 21 Qtr 4		FY 21 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Anaheim Canyon Metrolink Station	X								
Total Forecast/Actual	1	0	0	0	0	0	0	0	1


Construction Ready

Project Description	FY 21 Qtr 1		FY 21 Qtr 2		FY 21 Qtr 3		FY 21 Qtr 4		FY 21 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Anaheim Canyon Metrolink Station	X								
Placentia Metrolink Station and Parking Structure					X				
SR-55, I-405 to I-5							X		
Total Forecast/Actual	1	0	0	0	1	0	1	0	3

Advertise Construction

Project Description	FY 21 Qtr 1		FY 21 Qtr 2		FY 21 Qtr 3		FY 21 Qtr 4		FY 21 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
Anaheim Canyon Metrolink Station	X								
Placentia Metrolink Station and Parking Structure					X				
Total Forecast/Actual	1	0	0	0	1	0	0	0	2

Award Contract

Project Description	FY 21 Qtr 1		FY 21 Qtr 2		FY 21 Qtr 3		FY 21 Qtr 4		FY 21 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
I-5, Alicia Parkway to El Toro Road	X								
Anaheim Canyon Metrolink Station			X						
Placentia Metrolink Station and Parking Structure							X		
Total Forecast/Actual	1	1	1	0	0	0	1	0	3

Capital Programs Division

Fiscal Year 2020-21 Performance Metrics Through September 2020

Complete Construction

Project Description	FY 21 Qtr 1		FY 21 Qtr 2		FY 21 Qtr 3		FY 21 Qtr 4		FY 21 Fcst
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	
San Juan Capistrano Passing Siding					X				
I-5, SR-55 to SR-57							X		
Total Forecast/Actual	0	0	0	0	1	0	1	0	2

Totals	4	1	3	0	3	0	5	0	15
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Begin Environmental: The date work on the environmental clearance, project report, or preliminary engineering phase begins.

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

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

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

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

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

Award Contract: The date the construction contract is awarded.

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

Acronyms

I-5 - Santa Ana Freeway (Interstate 5)

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

SR-91 - Riverside Freeway (State Route 91)

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

I-405 - San Diego Freeway (Interstate 405)

Fcst - Forecast

FY - Fiscal Year

Qtr - Quarter

X = milestone forecast in quarter





COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Agreement for Measure M2 Environmental Mitigation Program Interim Biological Preserve Monitoring

Regional Planning and Highways Committee Meeting of November 2, 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 7-0 by the Members present.

Committee Recommendations

- A. Approve the selection of Glenn Lukos Associates, Inc., as the firm to provide biological monitoring of the Orange County Transportation Authority's acquired conservation lands.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2479 between the Orange County Transportation Authority and Glenn Lukos Associates, Inc., in the amount of \$350,000, to provide biological monitoring of the Orange County Transportation Authority's acquired conservation lands for a three-year term.



November 2, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Agreement for Measure M2 Environmental Mitigation Program
Interim Biological Preserve Monitoring

Overview

Consultant services are needed to provide biological monitoring of the conservation lands acquired through the Orange County Transportation Authority's Measure M2 Environmental Mitigation Program. Board of Directors' approval is requested to execute an agreement to perform the required work.

Recommendations

- A. Approve the selection of Glenn Lukos Associates, Inc., as the firm to provide biological monitoring of the Orange County Transportation Authority's acquired conservation lands.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2479 between the Orange County Transportation Authority and Glenn Lukos Associates, Inc., in the amount of \$350,000, to provide biological monitoring of the Orange County Transportation Authority's acquired conservation lands for a three-year term.

Discussion

In 2006, Orange County voters approved the renewal of Measure M2 (M2), effectively extending the half-cent sales tax to provide funding for transportation projects and programs in Orange County through 2041. As part of the renewed M2 Program, a portion of the M2 Freeway Program revenues was set aside for the M2 Environmental Mitigation Program (EMP) to provide funding for programmatic mitigation to offset impacts from the 13 freeway projects covered by M2. The Orange County Transportation Authority (OCTA) prepared the M2 Natural Community Conservation Plan/Habitat (NCCP/HCP) Conservation Plan (Conservation Plan) as a mechanism to offset potential project-related effects on threatened and endangered species and their habitats in a comprehensive manner. A key component of the Conservation Plan has

included the identification and acquisition of open space properties to offset habitat impacts. To date, seven OCTA properties (Preserves), totaling approximately 1,300 acres, have been successfully acquired (Attachment A).

The United States Fish and Wildlife Service and the California Department of Fish and Wildlife (CDFW) approved the Conservation Plan and issued permits to OCTA in mid-2017. As required by the Conservation Plan, each Preserve has a completed Resource Management Plan that defines the necessary management activities. OCTA maintains separate contracts to cover the security, maintenance, and biological monitoring needs of the Preserves. The OCTA project manager serves as the Preserve manager and coordinates the activities of the different contractors.

OCTA anticipates that the selected firm will be a resource during the contract term to facilitate the successful completion of various tasks for all seven of the Preserves. The range of tasks includes general biological monitoring, focused species surveys, United States Army Corps of Engineers required monitoring tasks, quantitative vegetation sampling, comprehensive vegetation mapping, and assisting with public outreach events.

The current Preserve monitoring contract is set to expire on August 31, 2021. The frequency of monitoring for these types of contracts is based on Preserve-specific resources and needs. The frequency of monitoring is flexible and dependent on the resources and threats. Due to an increased amount of work performed during the contract period, the budget is anticipated to last through December 2020. During this past contract term, a high amount of rain caused an increase of erosion and non-native weeds on the Preserves. Due to these conditions, the biological monitor was required to spend more time at the Preserves than anticipated. In addition, the high amount of rain created an optimum spring season to document the Conservation Plan listed species. Due to these variables, OCTA increased the monitoring effort, which depleted the budget more quickly than initially anticipated. This work and documentation will enable less monitoring during years of lighter rainfall. The contractor also conducted vegetation mapping of all the cacti on the seven Preserves to help support the development of fire management plans that are underway. This was a significant undertaking that also impacted the budget.

As outlined above, the remaining budget for this contract will not likely support the necessary activities through the end of 2020. Based on the procurement schedule, the new Preserve monitoring contract is anticipated to be executed in December 2020. The new contract would then be used to continue monitoring issues on the Preserves.

Procurement Approach

This procurement was handled in accordance with OCTA Board of Directors (Board)-approved procedures for professional and technical services. In addition to cost, many other 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 project organization and staffing, prior experience with similar projects, work plan, as well as cost and price.

On July 29, 2020, Request for Proposals (RFP) 0-2479 was issued electronically on CAMM NET. The project was advertised in a newspaper of general circulation on July 29 and August 3, 2020. A pre-proposal conference was held on August 4, 2020, with eight attendees representing eight firms. Two addenda were issued to provide a copy of the pre-proposal registration sheet and to respond to questions related to the RFP.

On August 26, 2020, six proposals were received. An evaluation committee consisting of OCTA staff from Contracts Administration and Materials Management, Project Development and Public Outreach departments, as well as an external representative from the CDFW met to review all proposals received. The proposals were evaluated based on the following evaluation criteria and weightings:

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

Several factors were considered in developing the criteria weightings. Qualifications of the firm was weighted at 30 percent. The higher weighting in this category emphasized that the firm had to demonstrate relevant experience monitoring similar biological resources, as well as Preserve management. Staffing and project organization was weighted at 30 percent to ensure the proposed project team had the required skills and expertise needed to perform the work. Work plan was weighted at 20 percent as the proposing firm had to demonstrate its understanding of the habitats and species in the Preserves and discuss its approach to monitoring the Preserves. Cost and price was also weighted at 20 percent to ensure the services would be provided at competitive rates.

On September 9, 2020, the evaluation committee reviewed all proposals received based on the evaluation criteria and short-listed the three most qualified firms. The three short-listed firms are listed below in alphabetical order:

Firm and Location

Glenn Lukos Associates, Inc. (Glenn Lukos)
Santa Ana, California

Land IQ, LLC (Land IQ)
Sacramento, California

RECON Environmental, Inc. (RECON)
San Diego, California

On September 15, 2020, the evaluation committee interviewed the three short-listed firms. The interviews consisted of a presentation to demonstrate the firms' understanding of OCTA's requirements for this project. Specifically, the firms were requested to describe their approach to monitoring the Preserves including identifying the greatest threats and/or stressors, such as physical disturbances, biological diversity and recreation, and any recommendations to help remedy these threats and/or stressors.

The firms' project managers and key team members had an opportunity to present qualifications and respond to the evaluation committee's questions. Questions were asked relative to the firms' experience performing similar services, recommendation for monitoring specific species, enhancements to the scope of work, and quality control procedures.

After considering the responses to the questions asked during the interviews, the evaluation committee reviewed the preliminary rankings and made adjustments to individual scores. The overall ranking of the firms did not change as a result of the interviews.

Based on the evaluation of the written proposals' information obtained from the interviews and cost and price, the evaluation committee recommends Glenn Lukos for consideration of the award. The following is a brief summary of the proposal evaluation results.

Qualifications of the Firm

The short-listed firms are all qualified and demonstrated experience in monitoring biological resources within Southern California, which has specific and unique habitat and species.

Glenn Lukos is located in the City of Santa Ana and has been providing environmental services since 1989. The firm employs 22 environmental professionals. The firm has extensive experience with Preserve management, specifically within Orange County as the firm has worked with many public and private entities. Experience includes the City of Laguna Niguel, where they conducted and prepared biological surveys and reports on the Crown Valley Community Park project. Since 1994, the firm has performed various biological and regulatory services for the City of Laguna Beach. They have also provided various biological monitoring and regulatory services for the Irvine Company, as well as Rancho Mission Viejo. The work performed was consistent with the Conservation Plan requirements. The firm has also provided support for OCTA on the 55-acre Aliso Creek restoration project and currently performs biological monitoring services for the OCTA Preserves.

Founded in 1972, RECON has 89 employees and has provided environmental services for many public agencies in Southern California, such as the City of Chula Vista, San Diego Gas and Electric, and the United States (U.S.) Army Corps of Engineers. RECON is familiar with OCTA's Preserves as the firm currently provides on-call maintenance support for the OCTA M2 EMP Preserves. The firm has experience working on similar projects, including the Otay Ranch Preserve, Rolling Hills Ranch Preserve, Central City Preserve, El Cajon Mountain Reserve, and several U.S. Fish and Wildlife Service preserves.

Land IQ was founded in 2012 and has 33 employees. The firm has provided biological monitoring and restoration services to Puente Hills Habitat Preservation Authority, a habitat restoration and enhancement plan for the County of Orange Central and Coastal Subregion NCCP/HCP, and preserve management service for the Transportation Corridor Agencies.

Staffing and Project Organization

Each firm proposed experienced and knowledgeable project teams that met personnel requirements specified for this project.

Glenn Lukos proposed a qualified team with over ten years of experience for each team member. Additionally, the project team includes task leads and support staff to provide flexible scheduling. The firm's proposal demonstrated staff's knowledge of sensitive wildlife, plant species, and vegetation communities

in the foothills and coastline, as well as applicable technical skills. The proposed project team has handled restoration projects, sensitive species surveys, vegetation mapping, plant surveys, and other environmental services throughout Orange County. The proposed project manager has 15 years of experience with proposed availability at 70 percent to commit to this project and demonstrated knowledge of the entire Preserve system in Orange County. During the interview, the project team responded to the evaluation committee's questions.

RECON proposed an experienced team. The proposed project manager has ten years of experience and proposed 50 percent availability to this project. The project manager has performed maintenance, monitoring, and reporting for OCTA M2 EMP Preserves and performs similar projects throughout Southern California. The project team is comprised of task leads and support staff who are cross-trained to perform multiple tasks in the field and to ensure sufficient support. Most proposed team members have ten years of experience performing similar work. The project team answered all questions during interview.

The Land IQ team meets the requirements to provide the biological monitoring services requested. The project manager has 11 years of experience with Land IQ and 15 years in the field. Other proposed key personnel have over 15 or more years of experience in the field and relevant work experience. The project manager's availability is 30 percent. During the interview, Land IQ did not sufficiently clarify who would be responsible for general Preserve monitoring and whether it will be one or multiple individuals on a rotating basis if the project required greater time commitment.

Work Plan

Glenn Lukos presented a work plan that addressed all elements of the scope of work, its requirements, and presented clear ability to accomplish necessary tasks and flexibility in scheduling based on needs. In addition, the firm indicated an understanding and background of the OCTA Conservation Plan and goals of the EMP. The firm demonstrated knowledge of current Preserve conditions and potential issues, as well as covered species location data and referenced potential use and experience using special methods and equipment for upcoming reptile and amphibian surveys. The team's method included remotely-triggered trail cameras, scented track stations, Global Positioning System equipment, and identifying wildlife species from tracks and scat. The project team's presentation demonstrated an understanding of the project requirements, including the characteristics of the Preserves, ongoing threats, and relevant recommendations.

RECON's work plan also demonstrated their understanding of the Preserves and the project requirements. The proposal included a detailed work plan and included accommodations in light of the current coronavirus pandemic working conditions. The firm discussed its approach to biological monitoring, which included using wildlife cameras for photo documentation and special methods for reptile surveys. The firm demonstrated their understanding of the importance and requirements of monitoring tree fungi, invasive species, and other focused species needs. The firm did not suggest any additional innovation or suggestions.

Land IQ presented an understanding of the scope of work and included a detailed work plan with explanation and suggestions, but did not demonstrate an understanding of current Preserve conditions or known threats, nor provide a clear understanding of OCTA's Conservation Plan and goals of the EMP. The proposal established an understanding of general monitoring requirements such as timing of regular site visits, safety protocol, coordination, but did not go into detail on the proposed methods for the Preserves. The proposal did not define an approach for wildlife movement monitoring.

Cost and Price

Pricing scores were based on a formula which assigned the highest score to the firm with the lowest weighted average hourly rate for the three-year term, and scored the other proposals' weighted average hourly rate based on its relation to the lowest weighted average hourly rate. Although Glenn Lukos' weighted average hourly rate was not the lowest of the short-listed firms, the rates are deemed fair and reasonable as they are competitive with the second-ranked firm and the OCTA project manager's independent cost estimate.

Procurement Summary

Based on the evaluation of the written proposals, the firms' qualifications, and the information obtained from the interviews, the evaluation committee recommends the selection of Glenn Lukos as the top-ranked firm to provide biological preserve monitoring. Glenn Lukos delivered a comprehensive proposal and an interview that was responsive to the requirements of the RFP.

Fiscal Impact

This project was approved in OCTA's Fiscal Year 2020-21 Budget, Planning Division, Account 0017-7519-FX001-OYP, and is funded with local funds from M2 sales tax revenues.

Summary

Staff is recommending the Board of Directors authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2479 between the Orange County Transportation Authority and Glenn Lukos Associates, Inc., in the amount of \$350,000, for a three-year term to provide biological preserve monitoring.

Attachments

- A. OCTA Preserves
- B. Review of Proposals, RFP 0-2479 Measure M2 Environmental Mitigation Program Interim Biological Preserve Monitoring
- C. Evaluation Criteria Matrix, RFP 0-2479 Measure M2 Environmental Mitigation Program Interim Biological Preserve Monitoring
- D. Contract History for the Past Two Years, RFP 0-2479 Measure M2 Environmental Mitigation Program Interim Biological Preserve Monitoring

Prepared by:



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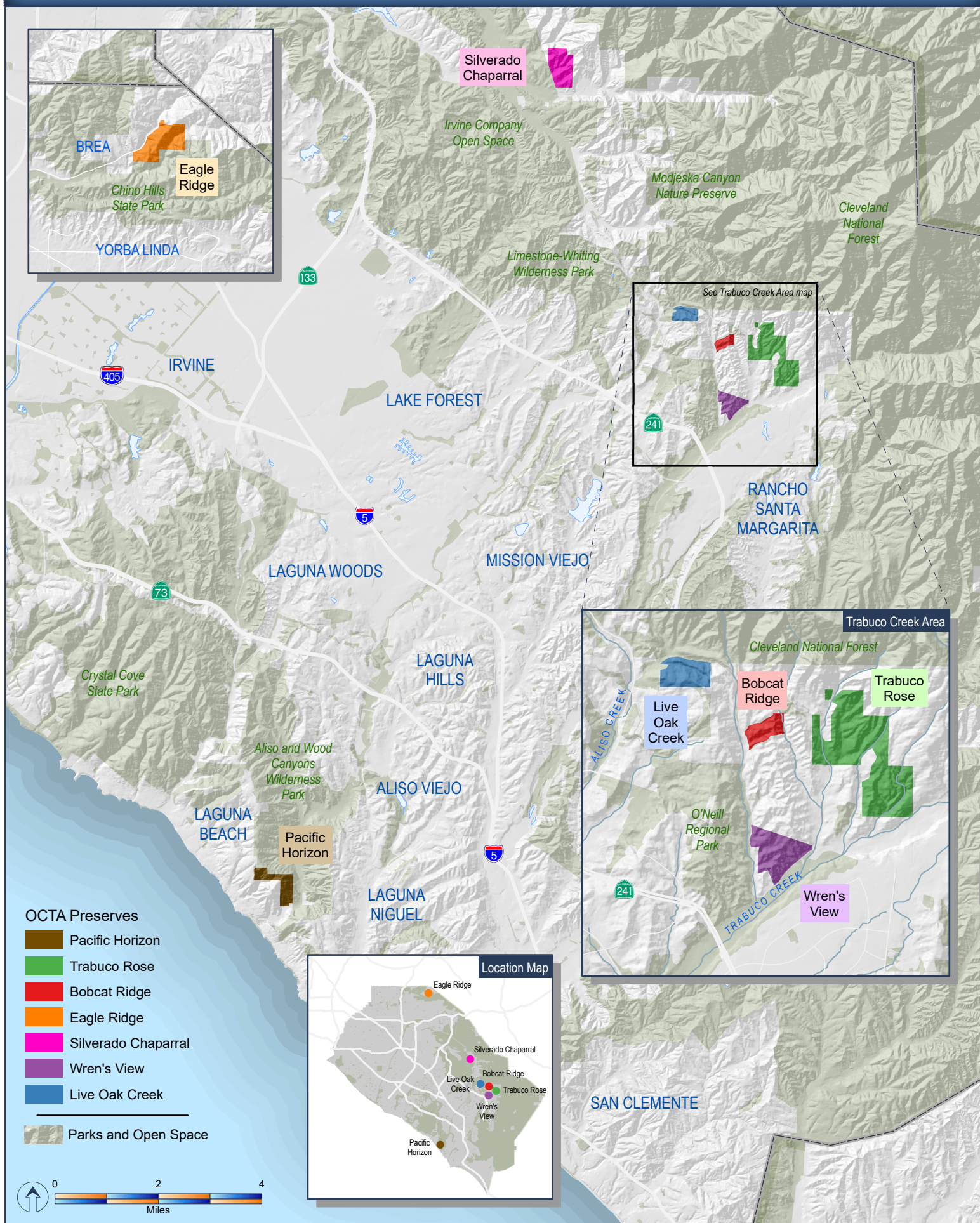
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Review of Proposals
RFP 0-2479 Measure M2 Environmental Mitigation Program Interim Biological Preserve Monitoring

Presented to the Regional Planning and Highways Committee on November 2, 2020
 Six proposals were received, three firms were interviewed, one firm is being recommended

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	Weighted Average Hourly Rates
1	87	Glenn Lukos Associates, Inc. Santa Ana, California	Dudek and Associates San Juan Capistrano, California	Has been providing environmental services since 1989 with 22 employees. Prepared biological surveys and reports on the Crown Valley Community Park project for the City of Laguna Niguel. Proposed a qualified team and each team member has over ten years of experience. Work plan addressed all elements of the scope of work. Provided support for OCTA on the 55-acre Aliso Creek restoration project and currently performs biological monitoring for OCTA. The project manager has 15 years of experience. The firm answered all questions during interviews.	\$153
2	84	RECON Environmental, Inc. San Diego, California	None	Founded in 1972 with 89 employees. Project manager has ten years' experience performing similar work RECON's work plan demonstrated its understanding of the Preserves and project. Similar projects include Otay Ranch Preserve, Rolling Hills Ranch Preserve, Central City Preserve and El Cajon Mountain Reserve. Firm has project management experience. The firm answered all questions during interviews.	\$151
3	81	Land IQ, LLC Sacramento, California	Leatherman Bio Consulting, Inc. Yorba Linda, California Hamilton Biological, Inc. Long Beach, California Jan C. Scow Consulting Arborists Santa Monica, California	Founded in 2012 with 33 employees. Project manager has 11 years of experience with Land IQ and 15 in the field. The team meets the requirements to provide biological monitoring. The proposal established an understanding of general monitoring requirements but did not go into detail on the proposed methods for the Preserves. Provided biological monitoring to Puente Hills Habitat Preservation Authority and restoration for Orange Central and management services for Transportation Corridor Agencies. The firm responded to all questions, but did not provide clear details on job responsibilities during interview.	\$126

Internal:

Contracts Administration and Materials Management (1)	Qualifications of the Firm	30 percent
Project Development (2)	Staff and Project Organization	30 percent
Public Outreach (1)	Work Plan	20 percent
External	Cost and Price	20 percent
California Department of Wildlife (1)		

Acronyms

RFP - Request for Proposals
 OCTA - Orange County Transportation Authority

EVALUATION CRITERIA MATRIX

RFP 0-2479 Measure M2 Environmental Mitigation Program Interim Biological Preserve Monitoring

Glenn Lukos Associates, Inc.						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.50	4.50	4.50	4.50	4.50	6	27.00
Staffing/Project Organization	4.50	4.50	4.50	4.50	4.50	6	27.00
Work Plan	4.00	4.50	5.00	4.50	4.50	4	18.00
Cost and Price	3.70	3.70	3.70	3.70	3.70	4	14.80
Overall Score	86.80	86.80	88.80	86.80	86.80		87
RECON Environmental, Inc.						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.50	4.00	4.00	4.00	4.00	6	24.60
Staffing/Project Organization	4.50	4.50	4.50	4.50	4.50	6	27.00
Work Plan	4.00	4.50	4.50	4.50	4.50	4	17.60
Cost and Price	3.70	3.70	3.70	3.70	3.70	4	14.80
Overall Score	84.80	83.80	83.80	83.80	83.80		84
Land IQ, LLC						Weights	Overall Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.00	4.00	4.00	4.00	4.00	6	24.00
Staffing/Project Organization	3.50	4.00	4.00	4.00	4.00	6	23.40
Work Plan	3.50	4.00	4.00	4.00	4.00	4	15.60
Cost and Price	4.50	4.50	4.50	4.50	4.50	4	18.00
Overall Score	77.00	82.00	82.00	82.00	82.00		81

Range of scores for Non-Short Listed firms is 51 to 79.

Acronym

RFP - Request for proposals

CONTRACT HISTORY FOR THE PAST TWO YEARS

RFP 0-2479 Measure M2 Environmental Mitigation Program Interim Biological Preserve Monitoring

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Glenn Lukos Associates, Inc.						
Contract Type: Time and Expense	C-5-3687	Interim Biological Monitoring Support	February 3, 2016	July 31, 2020		\$240,000
Subconsultants:						
<i>Dudek and Associates</i>						
Contract Type: Time and Expense	C-6-1039	Biological Monitoring Services	August 30, 2016	August 31, 2021		\$420,000
<i>Dudek and Associates</i>						
Sub Total						\$660,000
RECON Environmental, Inc.						
Contract Type: Time and Expense	C-6-1046	Maintenance for Measure M2 Preserves	September 15, 2020	August 31, 2021		\$525,000
Subconsultants:						
<i>BLT Grading and Backhoe</i>						
<i>Petersons Tree Works</i>						
<i>Apex Contracting and Consulting, Inc.</i>						
<i>Aussie Industrial</i>						
<i>Total Engineering Services, Inc.</i>						
<i>Automated Gate Services, Inc.</i>						
<i>Gerhard Electric</i>						
Contract Type: Firm-Fixed-Price	C-8-1966	North Coal Canyon Habitat Restoration	February 13, 2019	January 31, 2024		\$247,000
<i>None</i>						
Sub Total						\$772,000
Land IQ, LLC						
Contract Type: None						
Subconsultants: <i>None</i>						
Sub Total						\$0.00



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Consultant Selection for Traffic and Intelligent Transportation Systems Engineering Services for the Warner Avenue Regional Traffic Signal Synchronization Program Project

Regional Planning and Highways Committee Meeting of November 2, 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 7-0 by the Members present.

Committee Recommendations

- A. Approve the selection of Iteris, Inc., as the firm to provide traffic and intelligent transportation systems engineering services for the Warner Avenue Regional Traffic Signal Synchronization Program Project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2020 between the Orange County Transportation Authority and Iteris Inc., to provide traffic and intelligent transportation systems engineering services for the Warner Avenue Regional Traffic Signal Synchronization Program Project.



November 2, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Consultant Selection for Traffic and Intelligent Transportation Systems Engineering Services for the Warner Avenue Regional Traffic Signal Synchronization Program Project

Overview

On May 11, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for a consultant to provide traffic and intelligent transportation systems engineering services for the Warner Avenue Regional Traffic Signal Synchronization Program Project. Board of Directors' approval is requested for the selection of the firm to perform the required work.

Recommendations

- A. Approve the selection of Iteris, Inc., as the firm to provide traffic and intelligent transportation systems engineering services for the Warner Avenue Regional Traffic Signal Synchronization Program Project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2020 between the Orange County Transportation Authority and Iteris Inc., to provide traffic and intelligent transportation systems engineering services for the Warner Avenue Regional Traffic Signal Synchronization Program Project.

Discussion

The Orange County Transportation Authority (OCTA) was awarded funds from SB 1 (Chapter 5, Statutes of 2017) Solutions for Congested Corridors Program (SCCP) for the Warner Avenue Regional Traffic Signal Synchronization Program (RTSSP) Project. OCTA will lead and administer this multi-agency traffic signal synchronization project. OCTA requires the services of a highly specialized traffic and intelligent transportation systems (ITS) engineering firm to accomplish this project.

The Warner Avenue RTSSP Project will synchronize 42 signalized intersections over approximately 13 miles. The limits of the project are from Pacific Coast Highway to Pullman Street, and the project includes participation by the cities of Fountain Valley, Huntington Beach, and Santa Ana. The project goals are to improve travel times, reduce greenhouse gas emissions, and provide savings to motorists in reduced fuel consumption through new optimized coordinated synchronized traffic signal timing at all intersections along the project limits, consistent with previous countywide signal synchronization goals.

Procurement Approach

This procurement was handled in accordance with OCTA's Board of Directors (Board)-approved procedures for architectural and engineering (A&E) services that conform to both state and federal laws. Proposals are evaluated and ranked in accordance with the qualifications of the firm, staffing and project organization, and work plan. As this is an A&E procurement, price is not an evaluation criterion pursuant to state and federal laws. Evaluation of the proposals was conducted on the basis of overall qualifications to develop a competitive range of offerors. The highest-ranked firm is requested to submit a cost proposal and the final agreement is negotiated. Should negotiations fail with the highest-ranked firm, a cost proposal will be solicited from the second-ranked firm in accordance with Board-approved procurement policies.

The Board authorized the release of Request for Proposals (RFP) 0-2020 on May 11, 2020, which was electronically issued on CAMM NET. The project was advertised on May 11 and 18, 2020, in a newspaper of general circulation. A pre-proposal conference was held on May 21, 2020, with 26 attendees representing ten firms. Three addenda were issued to provide pre-proposal conference information, responses to questions received, and handle administrative issues related to the RFP.

On June 16, 2020, seven proposals were received. An evaluation committee consisting of members from Contracts Administration and Materials Management and Strategic Planning departments, as well as external representatives from the cities of Seal Beach and Huntington Beach met to review all submitted proposals.

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

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

Several factors were considered in developing the criteria weightings. Qualifications of the firm evaluated the firm's experience in performing work of similar scope and size. Staff assigned the greatest level of importance to staffing and project organization, as the qualifications and availability of the project manager, key task leaders, and staff resources are of most significance to the successful and timely delivery of the project. Likewise, high importance was given to the work plan criterion to emphasize the importance of the team's understanding of the project, project challenges, and the team's approach to implementing the various elements of the scope of work. The technical approach is critical to the successful performance of the project.

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

Firm and Location

Advantec Consulting Engineers (ACE)
Irvine, California

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

Iteris, Inc. (Iteris)
Santa Ana, California

KOA Corporation (KOA)
Orange, California

The evaluation committee interviewed the short-listed firms on August 31 and September 2, 2020. The interviews consisted of a presentation allowing each team to present its qualifications, highlight its proposal, and respond to evaluation committee questions. Firms also highlighted their staffing plans, availability of resources, work plans, and perceived project issues. Each team was asked general questions regarding its approach to the requirements of the scope of work, work plans, management of the projects, coordination with various agencies, experience with similar projects, and the team's solutions in achieving the project's goals.

Based on the evaluation of written proposals and information obtained during the interviews, staff recommends Iteris as the firm to provide traffic and ITS engineering services for the Warner Avenue RTSSP Project. This firm ranked highest amongst the proposing firms based on the team's relevant experience in

traffic and ITS engineering services. Iteris' proposed team is comprised of qualified key personnel with relevant and recent experience in traffic signal synchronization and ITS projects. The firm demonstrated an understanding of the project requirements and presented a comprehensive work plan addressing key issues that are critical to the success of the project. The following is a summary of the proposal evaluation results.

Qualifications of Firm

Iteris specializes in transportation planning, engineering, and technology services since 1987. The firm has 450 employees and 19 offices across the United States, including an office in the City of Santa Ana. Iteris has experience in traffic engineering and design, ITS, transportation planning, initial impact studies, transportation modeling, systems engineering, and other transportation technologies both nationally and internationally. Iteris has extensive experience in performing services of similar scope and magnitude. Recent and relevant projects include: OCTA's Project P corridors – Bristol Street, Brookhurst Street, Katella Avenue, Main Street, and Pacific Coast Highway RTSSP projects. The City of Irvine's projects include Culver Avenue, MacArthur Boulevard, and Von Karman Avenue RTSSP projects. Additionally, Iteris has completed numerous RTSSP projects with the cities of Anaheim, Buena Park, Mission Viejo, and Santa Ana.

KOA was founded in 1987 and provides traffic engineering, civil engineering, as well as ITS-related and transportation planning services. KOA has a project office in the City of Orange and various other locations in California, with more than 114 staff members. KOA specializes in traffic engineering projects. Recent and similar projects in signal timing optimization and related services include: OCTA's Traffic Signal Synchronization Master Plan, Los Angeles County Department of Public Works Traffic Signal Synchronization Projects (TSSP), City of Azusa Traffic Management Systems Engineering, City of Coachella TSSP, in addition to various TSSP projects with the cities of Beverly Hills, Inglewood, Long Beach, and Whittier.

AGA is a multi-disciplinary engineering firm specializing in municipal and transportation engineering services. The firm was founded in 1993 and has relevant experience with traffic engineering, traffic signal synchronization, transportation planning, project management, monitoring and operational controls of traffic signal systems, and ITS-related services. AGA has an office in the City of Fullerton with 19 employees. AGA has provided services to local agencies in Southern California for traffic engineering and ITS projects.

Recent and relevant projects for OCTA and other agencies in Orange County include: Orange County Traffic Signal Coordination Program, Tustin Avenue/Rose Drive, Bolsa Avenue/First Street RTSSP, Adams Avenue RTSSP, and Antonio Parkway TSSP.

ACE specializes in multimodal transportation planning, engineering, and technology services since 1998. The firm has 35 employees and six offices, including an office in City of Irvine. ACE has demonstrated experience in traffic engineering, traffic studies, transportation planning and engineering, complete streets, smart cities, traffic signal timing, traffic coordination and operations, ITS, and automated transportation technologies. Recent and similar projects include: OCTA's traffic engineering and ITS RTSSP for Los Alisos and Garden Grove Boulevard, Irvine Boulevard RTSSP, San Clemente Camino Vera Cruz Corridor TSSP, Fairview Road Traffic Signal Synchronization (TSS) Plan, Citywide Traffic Message Center (TMC) and ITS Improvements, other regional TSS programs, and work for the Coachella Valley Association of Governments.

Staffing and Project Organization

The short-listed firms proposed qualified project managers, key personnel, and subconsultants with extensive knowledge in traffic engineering and ITS services.

Iteris' proposed project team demonstrated experience in transportation engineering, transportation planning, ITS, and traffic engineering. The project manager has 30 years of experience in the industry with transportation systems and analysis, planning and design, traffic engineering, and signal timing design and implementation. The senior advisor and quality assurance/quality control (QA/QC) manager has over 20 years of experience in leadership on numerous mobility projects internationally, with focus in the application of technologies, including the development, design, and implementation of subsystems of arterial, highway, and transit signal systems upgrades, fiber optic communication networks, and freeway traffic management systems. Iteris' senior project engineer has extensive experience in the field of transportation engineering, signal operations, managing and designing traffic engineering and ITS projects for numerous agencies, and has successfully delivered plans, specifications, and estimate packages for using a platform-based approach signal timing coordination.

The project team consists of specialists and leaders in transportation planning, civil and traffic engineering, signal synchronization projects, and advanced transportation management systems integrators. Iteris' key personnel include task leaders and support staff experienced in ITS, traffic engineering, operations, maintenance and monitoring, systems communications, traffic data collection, traffic management centers, and signal improvements.

Iteris' support team includes the ITS and signal infrastructure and installation experience of Siemens Mobility (Siemens), which is proposed to play a key role in the areas of equipment implementation, utility coordination, electrical integration, and construction. Availability of Siemens staff and resources is critical to the project goals, team collaboration, successful delivery, and implementation of the project. Iteris' project team has successfully worked together for many years on numerous traffic engineering and ITS projects, and demonstrated experience working on numerous projects of similar size and scope. Roles for assigned staff were clearly defined.

KOA's proposed project team has experienced and qualified personnel. The proposed project manager has 12 years of experience managing traffic and civil engineering projects throughout Southern California and performed similar tasks for various cities and agencies in Los Angeles County. The QA/QC manager has 38 years of experience in transportation planning and traffic design on highway, transit, and bicycle projects. These projects include design for traffic signals, street lighting, signing, and striping and worksite traffic control. The signal timing task leader has more than 28 years of experience in transportation and planning, roadway design, traffic design, and transportation modeling and studies. The key personnel have successfully worked together on similar projects and are experienced in ITS, traffic engineering, operation maintenance and monitoring, systems communications, traffic data collection, signal improvements, and demonstrated knowledge on recent relevant projects in signal synchronization, signal improvement, communication design, and equipment implementation and installation. KOA's tasks leaders and support staff have experience working together on signal timing optimization, traffic signal master plans, and various signal and ITS projects.

AGA's proposed team is experienced in traffic engineering operational projects for traffic signal timing and coordination, utilizing the firm's in-house traffic management systems. The proposed project manager has over 25 years of experience in traffic and transportation, and has managed over 11 different traffic engineering, traffic signal synchronization, and ITS projects for OCTA since 1998. AGA's proposed QA/QC manager has been extensively involved in ITS design, signal coordination planning, and traffic signal design. AGA's senior transportation engineers have been instrumental in developing hundreds of signal timing plans throughout Orange County under OCTA's TSSP. AGA's key personnel and support staff have experience in traffic operations and transportation engineering services, including traffic signal timing, operational analysis, traffic signal and communication design, and systems engineering for ITS. AGA's proposed team has worked together successfully implementing numerous transportation signal timing and synchronization projects.

ACE proposed an experienced project team with knowledge and relevance in transportation engineering, transportation planning, and traffic engineering. The proposed project manager has 20 years of experience as project manager and operations task leader in traffic operations and traffic engineering and conducting and managing traffic signal synchronization and ITS projects. ACE's proposed task leader has 29 years of experience in the field of ITS engineering, transportation planning and design, and traffic engineering services. The project team consists of a senior advisor with over 30 years of experience in traffic engineering and transportation planning. The task leaders and support team consist of transportation planners, civil and traffic engineers, and signal synchronization and traffic coordinators. ACE's key personnel are experienced in ITS, traffic engineering, traffic safety, operations, maintenance and monitoring, systems communications, data collection, and TMC and signal improvements. The project team and key support staff have worked together on recent projects of similar size and scope.

Work Plan

The work plans of all four short-listed firms met the scope of work requirements of the RFP, and each firm effectively discussed its approach to the project.

Iteris' work plan conveyed an understanding of the project's key requirements, project challenges, and proposed solutions. The work plan discussed the approach to specific tasks to be accomplished, details of each intersection, and the proposed recommendations of traffic signal equipment to improve synchronization. Iteris' team demonstrated awareness, addressed challenges, and suggested solutions due to the coronavirus (COVID-19) impacts on traffic patterns, and the potential effects of schools, parks, residences, retail shops, restaurants, and industrial areas. The work plan identified ITS and communications upgrades, fiber optic communication improvements, and traffic signal upgrades for enhancements of the signal timing and synchronization throughout each intersection. Iteris' proposed project approach discussed the current COVID-19 traffic patterns and proposed the Clear Guide smart mobility platform advanced technologies as a solution to provide real-time monitoring of traffic flow, and the firm conducted travel time studies and field observations to identify possible problems. In the interview, Iteris demonstrated understanding of the work plan, described the design, implementation, operation, and monitoring phases of the project, and presented improvements to signal timing and intersection solutions.

KOA's proposed work plan demonstrated an understanding of the project's key requirements, challenges, and applied recommendations and solutions. The work plan discussed the firm's proactive project management approach including specifics on the tasks to be performed and identified potential constraints. KOA proposed signal synchronization timing to be performed at each intersection, and suggested traffic signal upgrade recommendations. KOA demonstrated knowledge and its research of the corridor, and a thorough understanding of the project by identifying the traffic conditions, pedestrian and school activity, as well as signal synchronization timing and delays. KOA addressed the COVID-19 traffic impacts, and anticipated challenges and strategies. KOA's work plan proposed examples of signal equipment upgrades, traffic signal solutions, TMC improvements, as well as systems equipment and value-added components of performance measures. During the interview, the project team demonstrated their knowledge related to traffic synchronization projects and presented specific details of the project's challenges.

The work plan for AGA demonstrated an understanding of project requirements and challenges. The work plan discussed corridor traffic signal timing strategy and recommendations for modified traffic signal equipment improvements. AGA demonstrated knowledge of the corridor and understanding of the current traffic signal synchronization and potential impacts. AGA's work plan proposed a field review and incorporation of the latest technologies for signal traffic enhancements. The workplan discussed traffic performance operation monitoring, heavy traffic volumes, and pedestrian traffic challenges. The firm demonstrated understanding of traffic conditions and signal synchronization timing and delays. AGA discussed possible corridor issues and proposed solutions for traffic signal optimization and signal timing analysis implementation during the interview.

The work plan for ACE conveyed a clear project understanding including project management approach, QA/QC methods, proposed equipment and communication upgrades, and infrastructure signal improvements. The firm's work plan demonstrated knowledge of the traffic signal analysis and implementation plans, upgrades to equipment to improve synchronization, and identification of traffic conditions and solutions. ACE's work plan conveyed an understanding of the existing traffic conditions, specific corridor characteristics, and proposed solutions and improvements at each intersection. The work plan described reviewing existing transportation infrastructures, traffic patterns, impact studies, and corridor enhancements. The interview demonstrated their understanding of issues, proposed solutions, and equipment upgrades to improve signal synchronization; however, the interview responses lacked detail.

Procurement Summary

Based on the evaluation of the written proposals, team qualifications, and information obtained during the interviews, the evaluation committee recommends the selection of Iteris as the top-ranked firm to provide traffic and ITS engineering services for the Warner Avenue RTSSP Project. Iteris demonstrated an understanding of the project requirements and submitted a comprehensive work plan addressing key issues and proposed improvements. Iteris presented a thorough interview highlighting the firm's availability of staff and resources, which is critical to the successful delivery of the project.

Fiscal Impact

The project is included in OCTA's Fiscal Year 2020-21 Budget, Strategic Planning Division, Account 0017-7519-SPF32-P57. Staff has secured funds in the amount of \$4,092,124 (80 percent) from the SCCP. Measure M2 will provide \$818,425 (16 percent). The local agencies will provide \$204,451 (four percent) of the total project cost in matching funds.

Summary

Staff is recommending the Board of Directors authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2020 with Iteris, Inc., to provide traffic and intelligent transportation systems engineering services for the Warner Avenue Regional Traffic Signal Synchronization Program Project.

Attachments

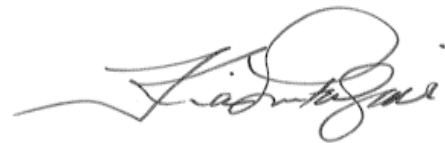
- A. Review of Proposals, Request for Proposals 0-2020 Consultant Services for Traffic and Intelligent Transportation Systems Engineering Services for Warner Avenue Regional Traffic Signal Synchronization Program Project
- B. Proposal Evaluation Criteria Matrix - (Short-Listed Firms), Request for Proposals 0-2020 Consultant Services for Traffic Engineering and Intelligent Transportation Systems Services for Warner Avenue Regional Traffic Signal Synchronization Program Project
- C. Contract History for the Past Two Years, Request for Proposals 0-2020, Consultant Services for Traffic Engineering and Intelligent Transportation Systems Services for Warner Avenue Regional Traffic Signal Synchronization Program Project

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Review of Proposals

Request for Proposals 0-2020 Consultant Services for Traffic and Intelligent Transportation Systems Engineering Services for Warner Avenue Regional Traffic Signal Synchronization Program Project

Presented to the Regional Planning and Highways Committee - November 2, 2020
Seven proposals received, four firms were interviewed, one firm is being recommended

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments
1	82	Iteris, Inc. Santa Ana, California	Siemens Mobility Aim Traffic Data LLC	Experienced firm specializing in traffic engineering, signal synchronization, transportation planning, design, and intelligent transportation systems (ITS). Proposed project manager has 30 years of experience in transportation analysis, design, traffic engineering, and signal timing optimization. Proposed team has experience in traffic engineering, intelligent transportation services, planning, impact studies, and transportation modeling. Proposed team has successfully worked together on traffic engineering and ITS projects, and demonstrated experience working on projects of similar scope and magnitude. Proposed team has experienced staff and availability for successful delivery and implementation of the project. Work plan demonstrated an understanding of project requirements, challenges, and discussed coronavirus (COVID-19) impacts, challenges, and recommendations. Interview demonstrated an understanding of the work plan and described design, implementation, operations of the project, and presented improvements and solutions.
2	78	KOA Corporation Orange, California	Kinley-Horn and Associates, Inc. Crosstown Electrical and Data, Inc. Aim Traffic Data LLC	Experienced firm in traffic engineering, transportation planning, and technology services. Project manager has over 12 years of experience in traffic and transportation. Proposed project manager and team have experience working together on signal and traffic synchronization projects. Proposed key tasks leaders and support staff are experienced in signal timing optimization, traffic signal master plans, and ITS projects. Work plan demonstrated a good understanding of the project requirements, challenges, and applied recommendations, and addressed COVID-19 impacts. Interview demonstrated knowledge of traffic synchronization projects, project's challenges, and corridor solutions.
3	71	Albert Grover & Associates, Inc. Fullerton, California	Crosstown Electrical and Data, Inc. Aim Traffic Data LLC	Experienced firm in traffic engineering, signal synchronization, and ITS. Project manager has over 25 years of experience in traffic engineering, transportation planning, and signal synchronization projects. Proposed team experienced in traffic engineering projects for traffic signal timing and coordination utilizing in-house traffic management systems. Proposed key staff have successfully worked on relevant signal timing synchronization and ITS projects. Work plan demonstrated an understanding of project requirements and project challenges. Interview discussed signal timing analysis, implementation, and corridor solutions.
4	68	Advantec Consulting Engineers, Inc. Irvine, California	Crosstown Electrical and Data, Inc. Counts Unlimited, Inc.	Experienced firm in multimodal transportation planning, engineering, and technology services. Proposed project manager has 30 years of experience in ITS and traffic engineering projects. Proposed team has experience in transportation planning, ITS, and traffic engineering projects, and works together on project of similar size and scope. Proposed key staff are experienced in ITS, traffic engineering, operations, monitoring, and systems communications. Work plan demonstrated project understanding, management approach, and proposed equipment improvements. Interview discussed issues, solutions, and upgrades; however, answers to questions lacked details.

Evaluation Panel:

Internal:
Contracts Administration and Materials Management (1)
Strategic Planning (3)
External:
City of Seal Beach (1)
City of Huntington Beach (1)

Proposal Criteria

Qualifications of the Firm
Staffing and Project Organization
Work Plan

Weight Factors

25%
40%
35%

PROPOSAL EVALUATION CRITERIA MATRIX - (Short-Listed Firms)

Request for Proposals 0-2020 Consultant Services for Traffic Engineering and Intelligent Transportation Systems Services for Warner Avenue Regional Traffic Signal Synchronization Program Project

Firm: Iteris, Inc.							Weights	Criteria Score
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	4.5	5.00	20.4
Staffing/Project Organization	4.0	4.0	3.5	4.0	4.0	4.0	8.00	31.3
Work Plan	4.5	4.5	4.0	4.0	4.0	4.5	7.00	29.8
Overall Score	83.5	83.5	76.0	80.0	80.0	86.0		82

Firm: KOA Corporation								
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.0	4.0	3.5	4.0	4.0	4.0	5.00	19.6
Staffing/Project Organization	4.0	4.0	3.5	4.0	4.0	4.0	8.00	31.3
Work Plan	4.0	4.0	3.5	3.5	4.0	4.0	7.00	26.8
Overall Score	80.0	80.0	70.0	76.5	80.0	80.0		78

Firm: Albert Grover & Associates, Inc.							Weights	Criteria Score
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.0	4.0	4.5	4.0	4.0	4.0	5.00	20.4
Staffing/Project Organization	3.0	3.5	3.5	3.5	3.0	3.0	8.00	26.0
Work Plan	3.5	3.5	4.0	3.0	3.5	3.5	7.00	24.5
Overall Score	68.5	72.5	78.5	69.0	68.5	68.5		71

Firm: Advantec Consulting Engineers, Inc.							Weights	Criteria Score
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	3.5	4.0	4.0	3.5	3.5	4.0	5.00	18.8
Staffing/Project Organization	3.0	3.0	3.5	3.0	3.0	3.0	8.00	24.7
Work Plan	3.5	3.5	3.5	3.5	3.5	3.5	7.00	24.5
Overall Score	66.0	68.5	72.5	66.0	66.0	68.5		68

The range of scores for non short-listed firms is 45 to 64

CONTRACT HISTORY FOR THE PAST TWO YEARS
Request for Proposals 0-2020 Consultant Services for Traffic Engineering and Intelligent Transportation Systems Services for Warner Avenue Regional Traffic Signal Synchronization Program Project

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Iteris, Inc. Contract Type: Firm-Fixed-Price Subconsultants: Innovative Data Acquisitions LLC Michael Baker International Crosstown Electrical & Data, Inc.	C-9-1066	Intelligent Transportation Systems and Traffic Engineering Services for Main Street Regional Traffic Signal Synchronization Program Project	December 30, 2019	June 30, 2023		\$ 3,610,264
					\$ 49,368	
					\$ 19,912	
					\$ 1,049,686	
Contract Type: Firm-Fixed-Price Subconsultants: National Data & Surveying Services Michael Baker International Crosstown Electrical & Data, Inc.	C-8-2038	Intelligent Transportation Systems and Traffic Engineering Services for Katella Avenue Regional Traffic Signal Synchronization Program Project	January 30, 2020	June 30, 2023		\$ 4,703,465
					\$ 37,649	
					\$ 88,077	
					\$ 1,037,506	
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical & Data, Inc.	C-1-3057	Trabuco Road Regional Traffic Signal Synchronization Program Project	April 8, 2014	April 30, 2019		\$ 319,861
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical & Data, Inc.	C-1-3057	Newport Boulevard South Regional Traffic Signal Synchronization Program Project	June 26, 2014	June 30, 2019		\$ 1,406,267
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical & Data, Inc.	C-4-1316	Bristol Street Regional Traffic Signal Synchronization Program Project	June 29, 2015	March 31, 2020		\$ 2,252,469
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical & Data, Inc.	C-4-1316	Pacific Coast Highway Regional Traffic Signal Synchronization Program Project	June 23, 2016	June 30, 2019		\$ 2,122,346
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical & Data, Inc.	C-4-1316	Brookhurst Street Regional Traffic Signal Synchronization Program Project	June 26, 2018	May 31, 2020		\$ 3,534,110
Contract Type: Subconsultants: Firm-Fixed-Price Eiger Techsystems Inc.	C-6-1553	Beach Boulevard Transit Signal Implementation	April 10, 2017	February 28, 2019		\$ 99,877
					\$ 15,006	
Contract Type: Contract Task Order Subconsultants: Econolite Systems Crosstown Electrical and Data, Inc. AIM Traffic Data LLC LIN Consulting, Inc.	C-0-1812	On-Call Traffic Engineering and Intelligent Transportation Systems Services	November 30, 2020	November 30, 2025		To Be Determined
Sub Total						\$18,048,659
Albert Grover and Associates, Inc. Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical and Data, Inc.	C-2-1416	Adams Avenue Regional Traffic Signal Synchronization Program Project	May 15, 2014	May 31, 2019		\$ 1,144,786
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical and Data, Inc.	C-1-2634	Antonio Parkway Regional Traffic Signal Synchronization Program Project	June 23, 2014	June 30, 2019		\$ 1,317,499
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical and Data, Inc.	C-4-1804	Alicia Parkway Regional Traffic Signal Synchronization Program Project	June 15, 2016	June 30, 2019		\$ 2,135,540
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical & Data, Inc.	C-9-1810	On-Call Traffic Engineering and Intelligent Transportation Systems Services	June 17, 2020	June 30, 2024		To Be Determined

CONTRACT HISTORY FOR THE PAST TWO YEARS
Request for Proposals 0-2020 Consultant Services for Traffic Engineering and Intelligent Transportation Systems Services for Warner Avenue Regional Traffic Signal Synchronization Program Project

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Contract Type: Firm-Fixed-Price	C-0-2019	Consultant Services for Traffic and Intelligent Transportation Systems Engineering Services for MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project	December 30, 2020	December 30, 2025		To Be Determined
Subconsultants: None						
Sub Total						\$4,597,825
Advantec Consulting Engineers, Inc.						
Contract Type: Contract Task Order	C-2-1417	Jeronimo Road Regional Traffic Signal Synchronization Program Project	May 15, 2014	May 31, 2019		\$ 307,621
Subconsultants: Pacific Traffic Data Services Crosstown Electrical & Data, Inc.						
Contract Type: Time and Expense	C-8-1627	Intelligent Transportation Systems On-Call Support Services	July 17, 2018	June 30, 2019		\$ 50,000
Subconsultants: None						
Contract Type: Contract Task Order	C-2-1418	Edinger Avenue Regional Traffic Signal Synchronization Program Project	June 18, 2016	December 31, 2018		\$ 803,019
Subconsultants: Pacific Traffic Data Services Crosstown Electrical & Data, Inc.						
Contract Type: Firm-Fixed-Price	C-8-1910	Intelligent Transportation Systems and Traffic Engineering Services for Garden Grove Boulevard	September 19, 2019	June 30, 2023		\$ 2,480,653
Subconsultants: Counts Unlimited, Inc.					\$ 27,606	
Contract Type: Firm-Fixed-Price	C-9-0940	Intelligent Transportation Systems and Traffic Engineering Services for Los Alisos Boulevard Route	September 19, 2019	June 30, 2023		\$ 2,028,365
Subconsultants: Counts Unlimited, Inc.					\$ 20,572	
Sub Total						\$5,669,658
KOA Corporation						
Contract Type: Contract Task Order	C-9-1811	On-Call Traffic Engineering and Intelligent Transportation Systems Services	September 1, 2020	June 30, 2025		To Be Determined
Subconsultants: Kimley-Horn and Associates, Inc. AIM Traffic Data LLC						
Sub Total						\$0



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Service Authority for Freeway Emergencies Call Box Upgrade and Reduction Plan

Regional Planning and Highways Committee Meeting of November 2, 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 7-0 by the Members present.

Committee Recommendation

Authorize staff to reduce the number of freeway call boxes operated by the Orange County Service Authority for Freeway Emergencies as part of a required call box radio upgrade.



November 2, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Service Authority for Freeway Emergencies Call Box Upgrade and Reduction Plan

Overview

The Orange County Service Authority for Freeway Emergencies assists motorists and mitigates traffic congestion through its Freeway Call Box, 511 Motorist Assistance and Traveler Information, and Freeway Service Patrol programs. Staff is requesting Board of Directors' approval to reduce the number of freeway call boxes while performing a required equipment upgrade.

Recommendation

Authorize staff to reduce the number of freeway call boxes operated by the Orange County Service Authority for Freeway Emergencies as part of a required call box radio upgrade.

Background

In 1988, as a result of legislation that is now a part of California Streets and Highways Code Chapter 14, Sections 2550 to 2559, the Orange County Transportation Commission was designated as Orange County's Service Authority for Freeway Emergencies (SAFE). In 1991, the Orange County SAFE, along with several other entities, became part of the Orange County Transportation Authority (OCTA). In 1992, the Orange County SAFE was expanded to include the Freeway Service Patrol (FSP) program. In 2009, the SAFE was expanded to include regional participation in the Southern California 511 Motorist Assistance and Traveler Information (511) Program.

The Orange County SAFE operates a system of call boxes located on Orange County freeways, toll roads, and select state highways. Funding for operating the call boxes comes from a \$1 registration fee on vehicles registered in Orange County. This revenue stream generated \$2.9M in fiscal year (FY) 2019-20.—Approximately \$1.1M of the \$2.9M was spent on the

call box program for call box maintenance, call center services, and cellular phone services in FY 2019-20. Remaining funds from the registration fee are used for OCTA's participating cost in the regional 511 Program and provides a portion of the required local match funding for the FSP program.

During its peak, the call box program maintained approximately 1,200 call boxes and received an average of 135 calls a day. In 2006, the call box program received only an average of 15 calls a day. Due to the significant drop in the number of calls and significantly diminished demand, the OCTA Board of Directors (Board) authorized staff to reduce the number of freeway call boxes to approximately 621. In 2015, the call box program received an average of five calls a day, and the Board authorized staff to further reduce the number of freeway call boxes to approximately 359.

Discussion

With FSP tow trucks proactively assisting motorists with disabled vehicles on Orange County freeways, increased availability of cellular telephones, and the implementation of a mobile call box functionality within the 511 Program, reliance on the call box program has continued to decrease significantly, with calls for assistance now averaging just over two calls a day. Attachment A shows the decline in call box calls beginning FY 2009-10, along with the number of 511 Program motorist aid calls received annually since its inception in July 2012.

Orange County freeway call boxes currently utilize AT&T's 3G cellular network to communicate with the contracted call box call answering center. AT&T notified California call box programs that the 3G cellular communications network will be discontinued by December 31, 2021, with reduced availability in some areas before that as AT&T begins to migrate equipment to a new 4G infrastructure. Customers utilizing AT&T's 3G cellular network must migrate to 4G communications solutions before December 31, 2021, in order to maintain service. As part of planning for a 4G radio upgrade, staff evaluated the usage and spacing of freeway call boxes and identified call boxes that may be eliminated from the program before upgrading call box radios to new 4G communication solution.

Since the last required radio upgrade in 2015, staff removed several call boxes at the request of California Department of Transportation (Caltrans) engineers, evaluated call boxes that were removed for extended periods as part of freeway construction projects, and identified call boxes that no longer had a matched pair call box on the opposite side of the freeway. Staff also examined call box usage history for all freeway call boxes, examined the availability of nearby off highway assistance, reviewed cellular service coverage maps for area

cellular service providers, considered off-peak highway traffic volumes (the availability of passing motorists), and the availability of FSP services during peak traffic hours. Through this process, staff has identified 67 freeway call boxes for permanent removal.

All area cellular service providers report full-strength coverage along freeways and state highways within Orange County, but due to the more remote nature of some highway segments, staff recommends no reductions on State Routes 74, 133, and 142.

Staff recommends an approximate 50 percent reduction in freeway call boxes on State Route 241 and on Santiago Canyon Road where call boxes are spaced at one-half mile intervals. A full list of the number of recommended removals and number of remaining call boxes by highway is included as Attachment B.

Based on the availability of other services and continuing declines in the use of freeway call boxes, staff believes that the proposed reduction in freeway call boxes is appropriate. Staff recommends that future reductions be considered when communications upgrades are required or when determined to be appropriate based on changing conditions. Until that time, staff recommends limiting permanent removals to freeway call boxes identified as potential safety concerns by California Department of Transportation engineers, or upon assessment following a construction project, along with the matching pair call box, if applicable.

Fiscal Impact

The project was approved in OCTA's Fiscal Year 2020-21 Budget, Motorist Services Department SAFE Fund, Account No.0013-7612-S1001-ASM.

Summary

Board approval is requested to reduce Orange County freeway call boxes as recommended by staff.

Attachments

- A. Annual Call Box and 511 Call Volumes, Beginning Fiscal Year 2009-10
- B. Number of Call Boxes Recommended for Removal by Highway

Prepared by:

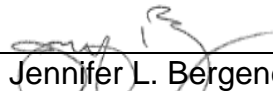


Patrick Sampson
Manager, Motorist Services
714-560-5425

Approved by:

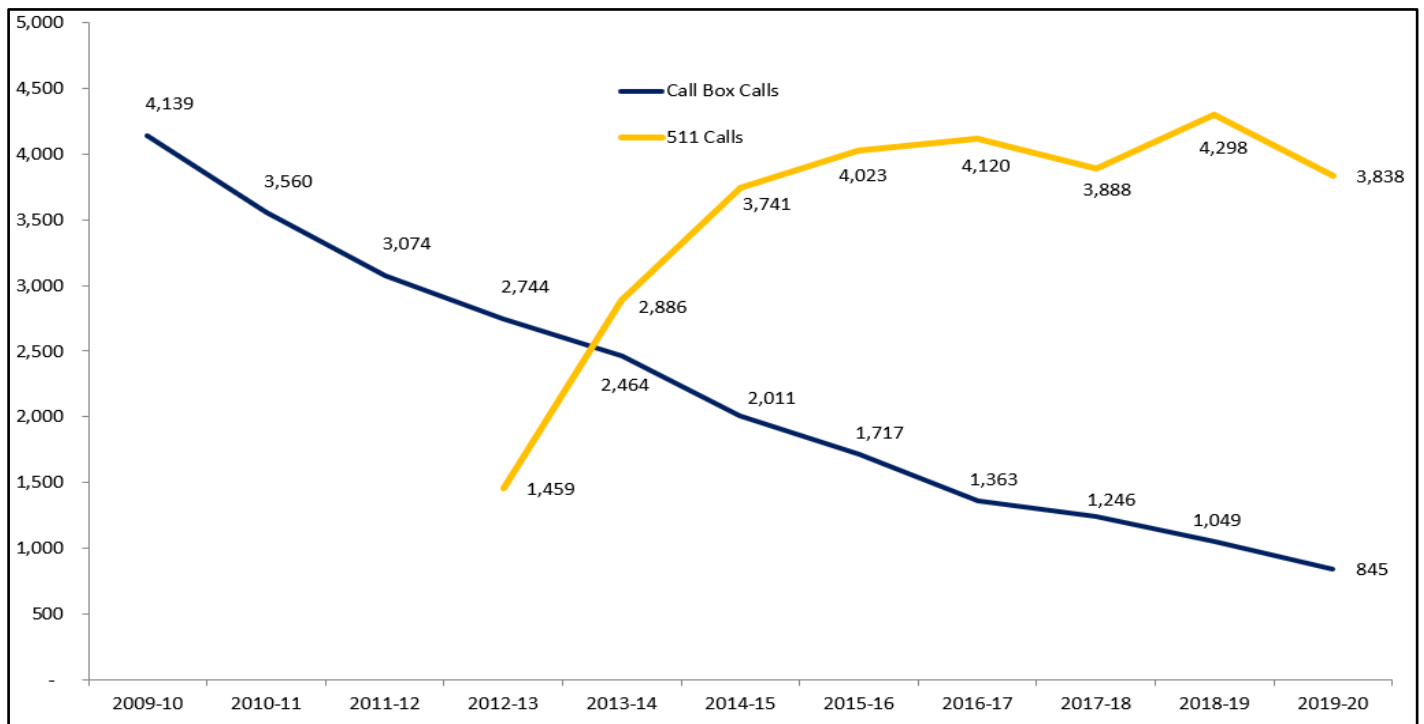


Cliff Thorne
Director, Maintenance and Motorist
Services
714-560-5975



Jennifer L. Bergener
Chief Operating Officer, Operations/
Deputy Chief Executive Officer
714-560-5462

**Annual Call Box and 511 Call Volumes
Beginning Fiscal Year 2009-10**



Motorist Aide (Mobile Call Box) Functionality within the 511 program began in fiscal year 2012-13

Number of Call Boxes Recommended for Removal by Highway

Highway	Current Boxes	Recommend Remove	Remaining Call Boxes
5	77	4	73
22	33	9	24
55	28	4	24
57	25	4	21
73	39	7	32
74	6		6
91	34	9	25
SC *	17	9	8
133	10		10
133 T**	9		9
142	3		3
241	43	19	24
261	12		12
405	16	2	14
605	7		7
Totals	359	67	292

* SC = Santiago Canyon Road, recommend reduce spacing from ½ mile to 1 mile

** T = Transportation Corridor Agencies Toll Road Segment



MEMO

November 9, 2020

To: Members of the Board of Directors
From: Darrell E. Johnson, Chief Executive Officer
Subject: **Public Comment on the Agreement for the Procurement of 40-Foot Plug-In Battery-Electric Buses**

On October 12, 2020, a public comment was received via email from Proterra Inc. (Proterra) regarding the Orange County Transportation Authority (OCTA) Board of Directors agenda item 9, Agreement for the Purchase of 40-Foot Plug-In Battery-Electric Buses (BEB). Proterra was one of two firms that submitted a quote in response to OCTA's request for quotes (RFQ), and subsequently was not recommended for award.

Proterra's public comments were related to OCTA determination not to evaluate Proterra's 600 series bus, which was included as one of two options provided in their response to the RFQ and asserted to have the most on-board energy storage and longest range available as well as a suggestion that the optional items selected in the price calculation. As a result of Proterra's public comment, the item was continued to allow staff time to review and address Proterra's assertions and concerns.

On October 13, 2020, OCTA staff met with Proterra's representatives to discuss and address their concerns. Proterra's primary concern was related to OCTA's determination to not evaluate the 660 kWh BEB, one of the two buses proposed by Proterra. According to OCTA's original scope of work included in the RFQ, proposers were required to provide a BEB that was able to meet a minimum operational range of 200 miles. As part of an addendum to the RFQ, OCTA clarified that a BEB with a battery capacity range of 466 kWh would satisfy OCTA's 200-mile minimum requirement.

The RFQ requires award to the lowest responsive bidder. As such, OCTA did not evaluate Proterra's 660 kWh BEB because doing so would have resulted in an incomparable price analysis, when evaluating Proterra's proposed 660 kWh with the RFQ specified 466kWh or 200-mile minimum, compliant BEB proposed by New Flyer, Inc.

The second concern raised by Proterra was related to the selection of optional items for price calculation. OCTA staff showed Proterra a detailed price comparison sheet that identified the exact nine optional items chosen by OCTA

for the price calculation. Of the nine optional items, eight were priced lower by Proterra when compared to New Flyer's pricing for the same options. As a result, Proterra's statement that OCTA's selection of optional items may have inflated Proterra's pricing is inaccurate. In fact, OCTA's choice of the nine optional items resulted in a reduction of Proterra's price calculation.

Based on staff's review of the BEB procurement and the follow-up meeting with Proterra, OCTA staff recommends moving forward with the original recommendation to award the ten 40-Foot Plug-In BEBs to New Flyer, and will include the previously continued item on the November 9, 2020 Board agenda for Board consideration.

If you have any questions please contact me.



COMMITTEE TRANSMITTAL

October 12, 2020

To: Members of the Board of Directors

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

Subject: Agreement for the Procurement of 40-Foot Plug-In
Battery-Electric Buses

Transit Committee Meeting of October 8, 2020

Present: Directors Davies, Do, Jones, Pulido, Shaw, and Sidhu
Absent: None

Committee Vote

Following the roll call vote, this item was declared passed 5-0 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 Agreement No. C-0-2165 between the Orange County Transportation Authority and New Flyer of America, Inc., in the amount of \$10,373,230, for the purchase of up to ten 40-foot plug-in battery-electric buses.



October 8, 2020

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Agreement for the Procurement of 40-Foot Plug-In Battery-Electric Buses

Overview

On April 27, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for quotes for the purchase of up to ten, 40-foot plug-in battery-electric buses. As a result, quotes from qualified vendors under the California Statewide Contract for Zero-Emission Transit Buses issued by the California Department of General Services have been evaluated. Board of Directors' approval is requested to award an agreement for the purchase of these buses.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2165 between the Orange County Transportation Authority and New Flyer of America, Inc., in the amount of \$10,373,230, for the purchase of up to ten 40-foot plug-in battery-electric buses.

Discussion

The California Air Resources Board (CARB) passed the Innovative Clean Transit (ICT) rule in 2018, requiring all public transit agencies to transition their bus fleets to zero-emission technologies by year 2040. The ICT rule also requires that a percentage of new bus purchases be zero-emission buses (ZEB) beginning with 25 percent in 2023 and increasing to 50 percent in 2026. Starting in 2029, bus purchases must be 100 percent ZEBs with the goal of a complete transition to ZEBs by 2040. CARB defines a ZEB as a bus with zero tailpipe emissions and is either a battery-electric bus or a fuel-cell electric bus.

The Orange County Transportation Authority (OCTA) has initiated a pilot program to test ZEBs in order to determine which technology best meets OCTA's service requirements. The pilot was initiated with the introduction of ten hydrogen

fuel-cell electric buses, which were placed into service in early 2020. Adding ten, 40-foot plug-in battery-electric buses to the pilot program will enable OCTA to gain necessary operational and technological experience for each ZEB type available in order to shape and define the fleet mix required to meet the service demands of Orange County when utilizing ZEBs.

The ZEBs currently in the market are experiencing challenges associated with vehicle operating range, charging times, cost, and infrastructure demands. Plug-in battery-electric buses require charging stations that are expected to exceed the current available electric capacity at OCTA bus facilities. In addition, battery charging times will need to be coordinated to meet bus service demands to maximize the operating range and cost effectiveness. Working through these operational and infrastructure challenges during a pilot will allow staff to compare and evaluate the operational effectiveness and limitations of this technology for large-scale deployment.

The new buses will be equipped with all OCTA-required equipment and branding requirements, which includes BRAVO! exterior paint branding for five buses and OC Bus branding for five buses for use regular service. In addition, these buses will include an on-board video surveillance system equipped with reverse-motion and interior 360-degree cameras, fire and methane detection systems, driver barriers, three-position bicycle racks, 12-inch and 15-inch awareness monitors/displays, provisions to mount devices at the front and rear doors for electronic fare transactions, tire pressure monitoring system, upgraded radio communication system (voice over internet protocol), as well as all other systems and components required for a full integration of these buses into the OCTA fleet.

The ten plug-in battery-electric buses will operate out of the Garden Grove base with in-depot charging during the evening hours. The battery storage systems can store 438 kWh of energy, providing an estimated 200 miles of range. Available seating capacity is similar to our existing fleet with 39 seated and 37 standees. Additionally, the manufacturer is providing an "Extended Warranty Propulsion System 4 years/200K miles (total of 6 years/300K miles)." Five of the ten, 40-foot plug-in battery-electric buses will be grant-funded through the California Transportation Commission Solutions for Congested Corridors Program (SCCP) under SB 1 (Chapter 5, Statutes of 2017) and the Low Carbon Transit Operations Program (LCTOP), administered by the California Department of Transportation. These buses will mark the introduction of OCTA's newest Bravo! route, Bravo! Main Street, providing rapid bus service between the Anaheim Regional Transportation Intermodal Center and South Coast Metro via Main Street. The remaining five buses will operate throughout Orange County and will be funded through LCTOP, SB 1 State of Good Repair (SGR), and

potentially the Volkswagen Environmental Mitigation Trust for California (VW Mitigation Trust), California Hybrid and Zero-Emission Truck and Bus Voucher Incentive Program (HVIP), and federal funds, if available.

Procurement Approach

The OCTA Board of Directors (Board)-approved procurement policies and procedures allow for two options to purchase new vehicles. OCTA can either issue a request for proposals (RFP) or partner with another public agency and use its existing bus agreement. Using the first option, OCTA issues an RFP containing detailed vehicle specifications. The advantage of this procurement method is that OCTA can specify exactly the type of bus desired. The challenge of this procurement option is the timeline, which may take up to 18 months from when an RFP is issued to the time when the first article is received, and then an additional 12 months to receive the remaining vehicles.

Using the second option, OCTA identifies an existing contract with another agency for the type of buses desired, containing an assignability clause, and issues a request for quotes (RFQ) to the participating firms. The advantage of this procurement method is a shortened timeline, and OCTA can begin receiving buses in a much shorter time. In some cases, this could reduce the vehicle delivery for the entire bus order by as much as six months. In addition to the base configuration of the vehicles under the existing contract, OCTA can include standard fire detection and suppression systems, and radio hardware consistent with OCTA's existing fleet.

Based on the timeframes included in the ICT rule and the need to evaluate ZEBs prior to any large-scale future fleet purchases, staff determined that the cooperative contract procurement option is the most advantageous to OCTA due to the shortened procurement and vehicle delivery time. It was determined that the California Department of General Services (DGS) completed a cooperative procurement that specified vehicles with similar specifications to OCTA's requirements. The procurement allows for any city, county, district, or other governmental body to utilize this cooperative procurement.

On April 27, 2020, OCTA issued RFQ 0-2165 to both California DGS-awarded participants, New Flyer of America, Inc. (New Flyer), and Proterra, Inc. (Proterra), to provide pricing for specific features that meet OCTA's bus requirements. On July 10, 2020, two quotes were received. Both quotes were reviewed by staff from the Contracts Administration and Materials Management and Transit Technical Services departments.

On July 30, 2020, OCTA requested clarification on some cost items submitted with the initial quote. Based on the submitted quote, the evaluation committee is recommending that New Flyer be selected to provide the vehicles. The total cost to purchase ten, 40-foot plug-in battery-electric buses from New Flyer is \$10,373,230, or \$1,037,323 per bus, which includes all OCTA required equipment.

The Federal Transit Administration (FTA) requires completion of a pre-award Buy America audit for purchases using FTA funds for rolling stock. The audit is to verify the requirement that 70 percent of the parts content of the vehicle to be purchased are made in the United States. A recipient purchasing revenue-service rolling stock with FTA funds must ensure that a pre-award audit is complete before the recipient enters into a formal contract for purchase. This purchase is contingent upon completion of the pre-award Buy America audit that will be performed by OCTA's Internal Audit Department.

Fiscal Impact

Funding for the procurement of ten, 40-foot plug-in battery-electric buses is included in the OCTA Fiscal Year 2020-21 Budget, under Account No. 2114-9024-D2116-0UU, and funded through LCTOP, SB 1 SCCP, SB 1 SGR, VW Mitigation Trust, and HVIP. Due to insufficient funding capacity throughout the state, HVIP funds may not be available. If it is determined that additional funds are needed to replace HVIP funds, staff will return with a recommendation to use Federal Congestion Mitigation and Air Quality Improvement Program funds to meet the funding need. HVIP support was estimated at \$1,205,000.

Summary

Based on the information provided, staff recommends the Board of Directors authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2165 between the Orange County Transportation Authority and New Flyer of America, Inc., in the amount of \$10,373,230, for the purchase of up to ten, 40-foot plug-in battery-electric buses.

Attachment

A. 40-Foot Plug-In Battery-Electric Bus Procurement Price Comparison

Prepared by:



Dayle Withers
Department Manager, Maintenance
(714) 560-5538

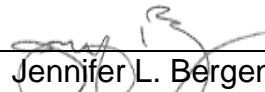
Approved by:



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



Pia Veasapen
Interim Director, Contracts
Administration and Materials
Management
(714) 560-5619



Jennifer L. Bergener
Chief Operating Officer, Operations/
Deputy Chief Executive Officer
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40-Foot Plug-In Battery-Electric Bus Procurement Price Comparison

Summary Price Calculation	NEW FLYER 40' Xcelsior Charge (438kWh)	PROTERRA 40' Catalyst E2 (440kWh)
Base Vehicle Price	\$771,673	\$796,908
ADA Equipment (Non-Taxable)	\$37,850	\$14,653
Options Total includes all OCTA requirements	\$140,114	\$151,926
Documentation Preparation Fee	\$0.00	\$0.00
Vehicle Sub-Total	\$949,637	\$963,487
<i>Sales Tax</i>	\$70,663	\$73,535
California Tire Fee	\$12	\$12
Extended Warranty Propulsion System 4 yrs/200K miles (total of 6 yrs/300K miles)	\$17,011	\$20,816
<i>Vehicle Total – (Each) Delivered</i>	\$1,037,323	\$1,057,850
<i>Grand Total – 10 Buses</i>	\$10,373,230	\$10,578,500

Acronyms

ADA – Americans with Disabilities Act

OCTA – Orange County Transportation Authority

Agreement for the Procurement of 40-Foot Plug-In Battery-Electric Buses



Background

- Innovative Clean Transit Rule
 - Zero-Emission Bus (ZEB) Fleet by 2040
 - Regulation deadlines
 - Board of Directors-Approved ZEB Roll-Out Plan
- ZEB Technologies
 - Hydrogen Fuel-Cell
 - Battery-Electric
- Current Test Fleet
 - Ten Hydrogen Fuel-Cell Buses

Procurement

- California Department of General Services
- Request for quote sent to
 - New Flyer of America, Inc.
 - Proterra, Inc.
- Lowest Quote - New Flyer of America, Inc.
 - \$1,037,323 per bus; \$10,373,230 for ten buses
 - Includes all Orange County Transportation Authority (OCTA)-required equipment.

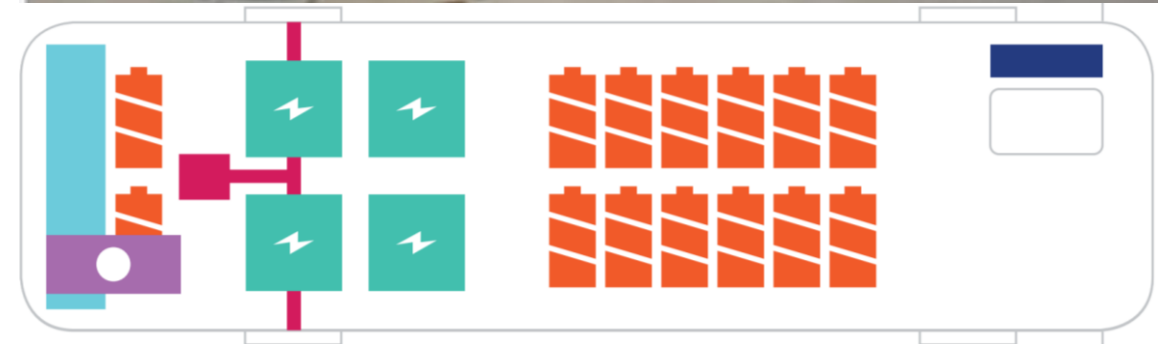
Attributes

Features

Bus	New Flyer Xcelsior
Electric Motor	Siemens drive system
Accessory Drives	Electric
Energy Storage	438kWh (est. 200-mile)
Seats / Standees	39 / 37
Bike Racks	3-position
Operator Protection	Operator Barriers
Operator Training	56 hours
Technician Training	304 hours

Warranty

Propulsion System	6 years, 300,000 miles
Structural	12 years, 500,000 miles



xcelcior CHARGE 40'

Staff Recommendation

- Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2165 between OCTA and New Flyer of America, Inc., in the amount of \$10,373,230, for the purchase of up to ten, 40-foot plug-in battery-electric buses.



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

From: Laurena Weinert, Clerk of the Board

Subject: Amendments to the Master Plan of Arterial Highways

Regional Planning and Highways Committee Meeting of November 2, 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 7-0 by the Members present.

Committee Recommendations *(reflects a recommended change from staff's recommendation)*

*** The Committee approved an amended Recommendation B, to exclude action on Item 1, viii. pertaining to Hazard Avenue between Euclid Street and Harbor Boulevard. (see Committee Discussion below for details).*

- A. Authorize the Chief Executive Officer, or his designee, to negotiate and execute a final memorandum of understanding specifying roles and responsibilities for implementation of proposed actions related to the Master Plan of Arterial Highways amendment request. Participating agencies include the cities of Fountain Valley, Santa Ana, Tustin, and the Orange County Transportation Authority.
- B. Conditionally approve the following amendment to the Master Plan of Arterial Highways to:
 - 1. Reclassify the following streets from a secondary (four-lane, undivided) arterial to a divided collector (two-lane divided):
 - i. Cambridge Street between Fairhaven Avenue and State Route 22.
 - ii. Santa Clara Avenue between Grand Avenue and Tustin Avenue.



Committee Recommendations (Continued)

- iii. Broadway Street between 1st Street and 17th Street.
- iv. Penn Way between Interstate 5 southbound on/off-ramps and Washington Avenue.
- v. Santiago Avenue between Washington Avenue and 6th Street.
- vi. Standard Avenue between 6th Street and Warner Avenue.
- vii. Civic Center Drive between Fairview Street and Bristol Street.
- ** viii. **Hazard Avenue between Euclid Street and Harbor Boulevard (This item was excluded from Committee action, see discussion below).**
- ix. Raitt Street between Segerstrom Avenue and Santa Ana Boulevard.
- x. McFadden Avenue between Harbor Boulevard and Grand Avenue.
- xi. Flower Street between Warner Avenue and First Street.
- xii. Halladay Avenue between Warner Avenue and Dyer Road.
- xiii. Chestnut Avenue between Standard Avenue and Grand Avenue.
- 2. Reclassify Civic Center Drive between French Street and Santiago Street, from a secondary (four-lane, undivided) arterial to a collector (two-lane, undivided) arterial.
- 3. Reclassify 1st Street between Bristol Street and Tustin Avenue, from a major (six-lane, divided) to a primary (four-lane, divided) arterial.
- 4. Reclassify Chestnut Avenue between Grand Avenue the eastern city limit, from a primary (four-lane, divided) to a divided collector (two-lane, divided) arterial.
- 5. Remove the following facilities from the Master Plan of Arterial Highways:
 - i. Flower Street between 17th Street and its northern terminus.
 - ii. Logan Street between Stafford Street and Santa Ana Boulevard.
 - iii. Stafford Street between proposed Logan Street and Santiago Street.

The proposed amendment will become final contingent upon the Orange County Transportation Authority (1) fully executing a final memorandum of understanding with the cities of Fountain Valley, Santa Ana, and Tustin, and (2) receiving documentation that the City of Santa Ana has complied with the requirements of the California Environmental Quality Act and have amended their general plan.

If the original proposed Master Plan of Arterial Highways amendment is modified as a result of the California Environmental Quality Act and/or general plan amendment process, the modified Master Plan of Arterial Highways amendment shall be returned to the Orange County Transportation Authority Board of Directors for consideration and action.



Committee Recommendations (Continued)

- C. Conditionally approve the amendment to the Master Plan for Arterial Highways for Fairhaven Avenue between Grand Avenue to Tustin Avenue from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided) arterial. The proposed amendment will become final contingent upon the Orange County Transportation Authority receiving documentation that the cities of Santa Ana and Orange have complied with the requirements of the California Environmental Quality Act and have amended their respective general plans.

If the cities of Santa Ana and Orange do not update their respective general plans within three years to reflect the Master Plan of Arterial Highway amendment, the contingent amendment will expire, but can be returned to the Orange County Transportation Authority Board of Directors for reconsideration and action.

If the original proposed Master Plan of Arterial Highways amendment is modified as a result of the California Environmental Quality Act and/or general plan amendment process, the modified Master Plan of Arterial Highways amendment shall be returned to the Orange County Transportation Authority Board of Directors for consideration and action.

- D. Direct the Executive Director of Planning, or his designee, to file a Notice of Exemption from the California Environmental Quality Act in support of the Master Plan of Arterial Highways amendment.
- E. Receive and file a status report on the active Master Plan of Arterial Highways amendments.

Committee Discussion


At the November 2, 2020 Regional Planning and Highways Committee (Committee) meeting, discussion ensued regarding the reduction of approximately 30 existing lane miles, the process to amend the Master Plan Arterial Highways, the technical analysis, and the City of Santa Ana's public outreach effort.

** The Committee approved staff's recommended amendment to exclude Recommendation B, Item 1, viii pertaining to roadway classification on Hazard Avenue between Euclid Street and Harbor Boulevard. The intent was to provide the cities of Garden Grove and Santa Ana (Cities) additional time to discuss the proposed reclassification on Hazard Avenue. If the Cities are able to reach consensus, the Board of Directors (Board) can consider the reclassification of Hazard Avenue at the November 9, 2020 Board meeting. Staff will provide a status in presenting the item at the Board meeting.



November 2, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Amendments to the Master Plan of Arterial Highways

Overview

The Orange County Transportation Authority administers the Master Plan of Arterial Highways, including the review and approval of amendments requested by local agencies. The City of Santa Ana has requested multiple amendments to the Master Plan of Arterial Highways. These amendments are subject to approval by the Board of Directors and are recommended to be contingent on an executed memorandum of understanding to address potential impacts. A status update on the active Master Plan of Arterial Highways amendments is also provided.

Recommendations

- A. Authorize the Chief Executive Officer, or his designee, to negotiate and execute a final memorandum of understanding specifying roles and responsibilities for implementation of proposed actions related to the Master Plan of Arterial Highways amendment request. Participating agencies include the cities of Fountain Valley, Santa Ana, Tustin, and the Orange County Transportation Authority.
- B. Conditionally approve the following amendment to the Master Plan of Arterial Highways to:
 - 1. Reclassify the following streets from a secondary (four-lane, undivided) arterial to a divided collector (two-lane divided):
 - i. Cambridge Street between Fairhaven Avenue and State Route 22.
 - ii. Santa Clara Avenue between Grand Avenue and Tustin Avenue.
 - iii. Broadway Street between 1st Street and 17th Street.
 - iv. Penn Way between Interstate 5 southbound on/off-ramps and Washington Avenue.

- v. Santiago Avenue between Washington Avenue and 6th Street.
 - vi. Standard Avenue between 6th Street and Warner Avenue.
 - vii. Civic Center Drive between Fairview Street and Bristol Street.
 - viii. Hazard Avenue between Euclid Street and Harbor Boulevard.
 - ix. Raitt Street between Segerstrom Avenue and Santa Ana Boulevard.
 - x. McFadden Avenue between Harbor Boulevard and Grand Avenue.
 - xi. Flower Street between Warner Avenue and First Street.
 - xii. Halladay Avenue between Warner Avenue and Dyer Road.
 - xiii. Chestnut Avenue between Standard Avenue and Grand Avenue.
- 2. Reclassify Civic Center Drive between French Street and Santiago Street, from a secondary (four-lane, undivided) arterial to a collector (two-lane, undivided) arterial.
 - 3. Reclassify 1st Street between Bristol Street and Tustin Avenue, from a major (six-lane, divided) to a primary (four-lane, divided) arterial.
 - 4. Reclassify Chestnut Avenue between Grand Avenue the eastern city limit, from a primary (four-lane, divided) to a divided collector (two-lane, divided) arterial.
 - 5. Remove the following facilities from the Master Plan of Arterial Highways:
 - i. Flower Street between 17th Street and its northern terminus.
 - ii. Logan Street between Stafford Street and Santa Ana Boulevard.
 - iii. Stafford Street between proposed Logan Street and Santiago Street.

The proposed amendment will become final contingent upon the Orange County Transportation Authority (1) fully executing a final memorandum of understanding with the cities of Fountain Valley, Santa Ana, and Tustin, and (2) receiving documentation that the City of Santa Ana has complied with the requirements of the California Environmental Quality Act and have amended their general plan.

If the original proposed Master Plan of Arterial Highways amendment is modified as a result of the California Environmental Quality Act and/or general plan amendment process, the modified Master Plan of Arterial Highways amendment shall be returned to the Orange County Transportation Authority Board of Directors for consideration and action.

- C. Conditionally approve the amendment to the Master Plan for Arterial Highways for Fairhaven Avenue between Grand Avenue to Tustin Avenue from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided) arterial. The proposed amendment will become final contingent upon the Orange County Transportation Authority receiving documentation that the cities of Santa Ana and Orange have complied with the requirements of the California Environmental Quality Act and have amended their respective general plans.

If the cities of Santa Ana and Orange do not update their respective general plans within three years to reflect the Master Plan of Arterial Highway amendment, the contingent amendment will expire, but can be returned to the Orange County Transportation Authority Board of Directors for reconsideration and action.

If the original proposed Master Plan of Arterial Highways amendment is modified as a result of the California Environmental Quality Act and/or general plan amendment process, the modified Master Plan of Arterial Highways amendment shall be returned to the Orange County Transportation Authority Board of Directors for consideration and action.

- D. Direct the Executive Director of Planning, or his designee, to file a Notice of Exemption from the California Environmental Quality Act in support of the Master Plan of Arterial Highways amendment.
- E. Receive and file a status report on the active Master Plan of Arterial Highways amendments.

Background

In January 2020, the City of Santa Ana (City) initiated the Circulation Element Update in combination with the overall General Plan Update. The proposed Circulation Element Update is the culmination of community outreach efforts undertaken by the City since 2011, input from neighboring local agencies, and various planning documents. The goal of these efforts is to provide active transportation options for residents through complete street improvements and vision zero policies. The City is requesting amendments to the Master Plan of Arterial Highways (MPAH) to reclassify 17 segments in order to accommodate complete street projects and remove three segments from the MPAH (Attachment A). Complete streets refer to street features that accommodate all users, including pedestrians, bicyclists, public transit users, and drivers. The 17 segments represent those arterials which require MPAH reclassifications in order to accommodate complete street improvements and are depicted in Attachment B.

Amendment to the MPAH require a review of the potential circulation implications of the change. The City utilized the General Plan Update Program Environmental Impact Report (PEIR)-Traffic Impact Study (TIS) for the MPAH amendment process. The TIS reviews existing and future traffic conditions of the current general plan and of the proposed land use and circulation element updates. Additional analysis was completed that focused on the identification of the impacts and mitigations associated with the changes to the MPAH, as opposed to the overall General Plan Update evaluated by the PEIR. The City plans to adopt the General Plan Update and PEIR in late fall 2020. The proposed MPAH amendments are recommended for conditional approval by the Orange County Transportation Authority (OCTA) Board of Directors (Board) contingent on compliance with the MPAH Guidance, and additional terms identified in the Recommendations.

Discussion

The 17 segments proposed for reclassification would result in a reduction of approximately 30 existing lane miles. Deletions and downgrades on the MPAH may be allowed if the increased traffic volumes in the affected agencies do not result in the unmitigated peak-hour intersection impacts (Guidance for Administration of the MPAH, Section 4.0 MPAH Amendment Policies). If impacts to the MPAH system are identified as a result of the proposed amendment, approval of an amendment may be subject to the execution of a memorandum of understanding (MOU) between OCTA and affected agencies, which specify roles and responsibilities for implementation of any identified mitigations. The TIS analyzed 105 intersections with 18 identified that could be impacted due to the MPAH amendment request (Attachment C). Of the 18 impacted intersections, four are located outside the City in the following jurisdictions: City of Fountain Valley (1), City of Orange (1), and the City of Tustin (2).

The City proposed a draft mitigation program to ensure that mitigations for impacted intersections, if needed in the future, would be implemented. The program would fully mitigate impacts at eight intersections (including the four intersections outside of the City) and partially mitigate impacts at two intersections. Feasible mitigations could not be developed at the remaining eight impacted intersections, all located within the City, due to right-of-way needs for proposed complete streets projects. The TIS also identified potential significant impacts to an additional five intersections due to the City's proposed Land Use Element Update. These impacts are not associated with the change to the MPAH; therefore, they are excluded from the MPAH amendment process.

Furthermore, potential impacts to high-quality transit corridors were identified. OCTA provides high-frequency (15-minute service intervals) fixed-route bus service during peak commute hours on two segments that are part of the MPAH amendment - McFadden Avenue (Route 66) and 1st Street (Route 64).

The City's proposal would remove existing and planned travel lanes to incorporate complete streets infrastructure. OCTA and City staff agreed that additional mitigation measures on these corridors are necessary to maintain or improve transit service performance.

An MOU was prepared to define the roles and responsibilities of the parties the mitigations for the proposed MPAH amendment (Attachment D). Currently, the City and the affected agencies are in agreement on a draft mitigation program. For the impacts located at the cities of Fountain Valley and Tustin, the City has agreed to pay, at minimum, their fair share cost of the mitigation measures. The proposed reclassification on Fairhaven Avenue, between Grand Avenue and Tustin Avenue, is shared with the City of Orange. For this reclassification on Fairhaven Avenue to become final, both the cities of Orange and Santa Ana will need to update their circulation elements. The reclassification results in an impact at the Tustin Avenue and Fairhaven Avenue intersection (City of Orange). The existing intersection can accommodate the proposed reclassification to a divided collector (two-lane, divided) arterial, and therefore, the City of Orange has requested not be a party to the MOU. Lastly, the City has also agreed to fund a cooperative study, led by OCTA. The study will identify feasible transit improvements for impacts on high-quality transit corridors. Roles and responsibilities for funding and implementation would be identified and coordinated with OCTA as well. The affected agencies have reviewed the TIS, addressed remaining questions with the City, and all have provided letters of support for the City's amendment request (attachments E, F, and G).

The City also shared the TIS with immediately adjacent agencies - the cities of Costa Mesa, Garden Grove, Irvine, Westminster, the County of Orange, and the California Department of Transportation. Except for the City of Garden Grove (Garden Grove), all immediately adjacent agencies have indicated their support for the City's amendment request (attachments H, I, J, K, and L). Garden Grove is the owner of the Willowick Golf Course property, which is near the proposed Hazard Avenue reclassification. Garden Grove would like to preserve existing vehicular access in the vicinity of the Willowick property while the City and Garden Grove solidify a vision for the property. Currently, the property remains classified as open space in the City's proposed Land Use Element Update. Moreover, the TIS did not identify any impacts in the vicinity of Hazard Avenue, and it is projected to operate at a segment link level of service "A" in the future year with reclassification. Therefore, there are no technical MPAH-related issues with the proposed reclassification to Hazard Avenue.

Further, the City has discussed the matter with City of Garden Grove, and there is an understanding that the parties will work to address this issue as the long-term vision for the property develops.

Based on the support from the affected agencies and technical analysis of the proposed reclassifications, staff recommends conditional approval of the MPAH amendments, authorization to negotiate and execute the final MOU, and a cooperative agreement for a transit cooperative study. If approved by the Board, the proposed amendments will not become final until OCTA receives: (1) a fully signed and executed MOU among OCTA and the cities of Fountain Valley, Santa Ana, and Tustin; and (2) documentation that the City has amended their general plan and have complied with the requirements of the California Environmental Quality Act (CEQA). Additionally, the City of Orange must also provide documentation that their general plan has been amended in compliance with CEQA before finalizing the reclassification of Fairhaven Avenue on the MPAH.

CEQA

Amendments to the MPAH are exempt from the CEQA review. As such, if the Board approves the recommendations, OCTA will file a Notice of Exemption from CEQA in support of the proposed amendment to the MPAH.

MPAH Status Update

As indicated in the status report in Attachment M, there are currently 22 active amendments proposed for the MPAH.

The City's General Plan Update also includes the conditionally-approved MPAH amendment in 2016 to support planned bikeways and accommodate the development of the OC Streetcar on Fourth Street from French Street to Grand Avenue, and on three segments of Santa Ana Boulevard: (1) Flower Street to Ross Street, (2) French Street to Santiago Street, and (3) Raitt Street to Flower Street. As indicated in Attachment A, the adoption of the General Plan Update will finalize the amendment on these four facilities.

In June 2020, OCTA received appropriate documentation to finalize and update the MPAH map to reflect conditionally-approved amendments within several other jurisdictions:

- Huntington Beach – Graham Street and Talbert Street (shared with the County of Orange), Delaware Street, 6th Street;
- Yorba Linda – Esperanza Road (shared with the County of Orange), Fairmont Boulevard Connector; and
- Westminster – Garden Grove Boulevard, Edwards Street, Trask Avenue, and Hoover Street.

Many of the other remaining amendments are awaiting local action to amend their respective general plans. Others are either under review, pending resolution of issues with other agencies, or awaiting refinement of development plans.

Summary

The City of Santa Ana has requested amendments to the Master Plan of Arterial Highways to reflect the City of Santa Ana's General Plan Update. The technical analysis indicates that -- with the recommended mitigations -- implementation of the amendments would not adversely impact the integrity of the Master Plan of Arterial Highways. Therefore, staff recommends Board of Directors' conditional approval of the requested amendments.

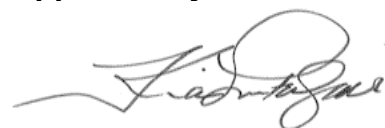
Attachments

- A. Letter from Mr. Nabil Saba, P.E., Acting Executive Director, Public Works Agency, City of Santa Ana, to Mr. Charles Larwood, Manager of Transportation Planning, Orange County Transportation Authority, Dated January 21, 2020, re: Request for Amendment to the Master Plan of Arterial Highways in Santa Ana
- B. City of Santa Ana Proposed MPAH Amendments Maps
- C. City of Santa Ana General Plan Update, Amendment to the Master Plan of Arterial Highways, Intersection Impacts
- D. Draft Memorandum of Understanding No. C-X-XXXX Between Orange County Transportation Authority and Cities of Santa Ana, Fountain Valley, Tustin for Amendment of the Master Plan of Arterial Highways
- E. Letter from Ms. Hye Jin Lee, MS, PE, Director of Public Works, City of Fountain Valley, to Mr. Nabil Saba, P.E., Executive Director, Public Works Agency, City of Santa Ana, Dated September 8, 2020, re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH) Reclassifications
- F. Letter from Mr. Christopher S. Cash, Public Works Director, City of Orange, to Mr. Nabil Saba, P.E., Executive Director, Public Works Agency, City of Santa Ana, Dated September 17, 2020, re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH) Reclassifications
- G. Letter from Ms. Krys Saldivar, Public Works Manager - Traffic/Transportation, City of Tustin, to Mr. Nabil Saba, P.E., Executive Director, Public Works Agency, City of Santa Ana, Dated October 6, 2020, re: City of Santa Ana Master Plan of Arterial Highways (MPAH) Reclassifications Letter of Support

- H. Letter from Mr. Raja Sethuraman, Public Services Director, City of Costa Mesa, to Mr. Nabil Saba, P.E., Executive Director, Public Works Agency, City of Santa Ana, Dated September 3, 2020, re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH) Reclassifications
- I. Letter from Mr. Mark A. Steuer, Director of Public Works and Transportation, City of Irvine, to Mr. Nabil Saba, P.E., Executive Director, Public Works Agency, City of Santa Ana, Dated September 15, 2020, re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH) Reclassifications
- J. Letter from Mr. Marwan Youssef, Ph.D., P.E., Public Works Director/ City Engineer, City of Westminster, to Mr. Nabil Saba, P.E., Executive Director, Public Works Agency, City of Santa Ana, September 9, 2020, re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH) Reclassifications
- K. Letter from Ms. Nardy Khan, PE/PMP, Deputy Director, Infrastructure Programs, Orange County Public Works, to Mr. Nabil Saba, P.E., Executive Director, Public Works Agency, City of Santa Ana, Dated September 3, 2020, re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH) Reclassifications
- L. Letter from Mr. Scott Shelley, Branch Chief, Regional-IGR-Transit Planning, California Department of Transportation District 12, to Mr. Verny Carvajal, Principal Planner, City of Santa Ana, Dated August 17, 2020
- M. Status Report on Active Master Plan of Arterial Highways Amendments

Prepared by:

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CITY OF SANTA ANA

PUBLIC WORKS AGENCY
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Santa Ana, California 92702
www.santa-ana.org

January 21, 2020

Mr. Charles Larwood
Manager of Transportation Planning
Orange County Transportation Authority
550 South Main Street
Orange, California 92863-1584

REQUEST FOR AMENDMENT TO THE MASTER PLAN OF ARTERIAL HIGHWAYS IN SANTA ANA

Dear Mr. Larwood:

This letter is to request initiation of the MPAH amendment process associated with the City's impending General Plan Circulation Element Update. As part of the Circulation Element Update, the circulation network within the city will be revised for consistency with the MPAH and compliance with the Complete Streets Act.

The City is currently revising the draft General Plan Update Traffic Analysis, which has been provided to Stephanie Chhan for OCTA staff review. All the requested changes are generally within the City of Santa Ana; with the exception of Fairhaven Avenue, which is shared with the City of Orange. Several roadways traverse or share boundaries with adjacent jurisdictions or have the potential to affect traffic in those jurisdictions. These jurisdictions include:

City of Costa Mesa
City of Fountain Valley
City of Garden Grove
City of Orange
City of Irvine
City of Tustin
City of Westminster
County of Orange
Caltrans District 12

SANTA ANA CITY COUNCIL

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Requested changes

A summary of the requested changes is provided in Table 1. Attachment A provides a map showing the locations of the proposed changes and Attachment B provides detailed information regarding existing classification, proposed classification, and number of lanes, ADT data, and roadway Level of Service (LOS).

Table 1 – Proposed Santa Ana MPAH Reclassifications

Roadway	Limits	Proposed Reclassification
Cambridge Street	SR-22 to Fairhaven Ave	Secondary to Divided Collector
Fairhaven Avenue	Grand Avenue to Tustin Avenue	Secondary to Divided Collector
Santa Clara Avenue	Grand Ave to Tustin Ave	Secondary to Divided Collector
Broadway	17 th St to 1 st St	Secondary to Divided Collector
Penn Way	I-5 SB Ramp to Washington Avenue	Secondary to Divided Collector
Santiago Ave	Washington Avenue to 6 th Street	Secondary to Divided Collector
Standard Avenue	6 th Street to Warner Ave	Secondary to Divided Collector
Civic Center Drive	French St to Santiago St	Secondary to Collector
Civic Center Drive	Fairview Rd to Bristol St	Secondary to Divided Collector
Hazard Ave	Euclid St to Harbor Blvd	Secondary to Divided Collector
Raitt Street	Santa Ana Blvd to Segerstrom Ave	Secondary to Divided Collector
1 st Street	Bristol St to Tustin Ave	Major to Primary
Chestnut Ave	Standard Ave to Grand Avenue	Secondary to Divided Collector
Chestnut Ave	Grand Avenue to East City Limit	Primary to Divided Collector
McFadden Avenue	Harbor Blvd to Grand Ave	Secondary to Divided Collector
Flower Street	1 st St to Warner Ave	Secondary to Divided Collector
Halladay Ave	Warner Ave to Dyer Rd	Secondary to Divided Collector
Flower Street	17 th Street to its northern terminus	Remove from MPAH
Stafford Street	Santiago Street to proposed Logan Street	Remove from MPAH
Logan Street	Stafford Street to Santa Ana Blvd	Remove from MPAH

SANTA ANA CITY COUNCIL

Mr. Charles Larwood
Page 3
January 21, 2020

The General Plan Circulation Element Update also includes the 2016 OCTA Board conditionally approved MPAH amendment to reclassify four segments to accommodate the development of the OC Streetcar and active transportation projects. The City Council adoption of the Circulation Element Update will finalize these following for reclassifications:

Roadway	Limits	Proposed Reclassification
Santa Ana Boulevard	French St to Santiago St	Primary to Divided Collector
Santa Ana Boulevard	Flower St to Ross St	Major to Primary
Santa Ana Boulevard	Raitt St to Flower St	Major to Divided Collector
4 th Street	French St to Grand Ave	Secondary to Divided Collector

If you have any questions regarding the requested changes, please contact Zed Kekula in our Traffic Engineering Division at zkekula@santa-ana.org or (714) 647-5606.

Sincerely,



Nabil Saba, P.E.
Acting Executive Director
Public Works Agency

Enclosed:

Attachment A – MPAH Amendment Map
Attachment B – MPAH Amendment Table

SANTA ANA CITY COUNCIL

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LEGEND

- Freeway
- Classify as Primary Arterial
- Classify as Divided Collector Arterial
- Classify as Collector
- Classify as Local Street / Delete from MPAH Network

ID	Roadway	Segment	Existing Year (2020)					Future Year (2045) No Project					Future Year (2045) With Project							
			Lanes*	Classification [a]	Capacity [d]	ADT [c]	V/C	Lanes*	Classification [b]	Capacity [d]	ADT [f]	V/C	Lanes*	Classification [c]	Capacity [d]	ADT [f]	V/C	Lanes*		
RECLASSIFICATION OF EXISTING MPAAH STREETS																				
22	34 th Street	Main Street to Standard Avenue	6D	Major Arterial	56,300	42,699	0.76	C	6D	Major Arterial	56,300	38,200	0.68	B	4D	Primary Arterial	31,500	32,000	0.88	D
30	34 th Street	Grand Avenue to 8 th Lane	6D	Major Arterial	56,300	28,638	0.51	A	6D	Major Arterial	56,300	29,300	0.52	A	4D	Primary Arterial	31,500	30,000	0.82	D
31	34 th Street	Cabrillo Park Drive to Tusim Avenue	6D	Major Arterial	56,300	22,083	0.39	B	6D	Major Arterial	56,300	15,600	0.28	A	4D	Primary Arterial	31,500	14,000	0.39	A
60	34 th Street	Bristol Street to Flower Street	6D	Major Arterial	56,300	39,006	0.69	B	6D	Major Arterial	56,300	26,600	0.67	A	4D	Primary Arterial	31,500	25,700	0.69	B
62	4 th Street	French Street to Standard Avenue	2D	Divided Collector	22,000	14,855	0.68	B	4U	Secondary Arterial	25,000	22,800	0.91	E	2D	Divided Collector	22,000	16,000	0.75	C
63	Broadway	17 th Street to Civic Center Drive	4D	Primary Arterial	37,500	20,630	0.55	A	4U	Secondary Arterial	25,000	29,600	1.18	F	2D	Divided Collector	22,000	22,700	1.03	F
64	Broadway	Civic Center Drive to 14 th Street	4U	Secondary Arterial	25,000	16,005	0.64	B	4U	Secondary Arterial	25,000	12,200	0.49	A	2D	Divided Collector	22,000	13,800	0.63	B
65	Cambridge Street	SR-22 to Fairhaven Avenue	2U	Collector	12,500	-	-	-	4U	Secondary Arterial	25,000	9,200	0.37	A	2D	Divided Collector	22,000	8,800	0.40	A
66	Chestnut Avenue	Standard Avenue to Lyon Street	4U	Secondary Arterial	25,000	2,587	0.10	A	4U	Secondary Arterial	25,000	11,900	0.48	A	2D	Divided Collector	22,000	7,900	0.35	A
67	Civic Center Drive	French Street to Santiago Street	2U	Collector	12,500	10,266	0.82	D	4U	Secondary Arterial	25,000	2,100	0.08	A	2D	Divided Collector	22,000	1,900	0.15	A
68	Civic Center Drive	Fairview Road to Bristol Street	4U	Secondary Arterial	25,000	13,772	0.55	A	4U	Secondary Arterial	25,000	20,300	0.83	D	2D	Divided Collector	22,000	12,300	0.55	A
61	Fairhaven Avenue	Grand Avenue to Tusim Avenue	4D	Primary Arterial	37,500	10,218	0.27	A	4D	Primary Arterial	37,500	13,500	0.36	A	2D	Divided Collector	22,000	11,100	0.50	A
17	Flower Street	34 th Street to Bishop Street	2U	Collector	12,500	15,622	1.25	F	4U	Secondary Arterial	25,000	9,400	0.38	A	2D	Divided Collector	22,000	6,900	0.31	A
69	Flower Street	Edinger Avenue to Warner Avenue	2U	Collector	12,500	10,964	0.88	D	4U	Secondary Arterial	25,000	33,300	0.53	A	2D	Divided Collector	22,000	6,300	0.29	A
70	Halliday Avenue	Warner Avenue to Dyer Road	2D	Divided Collector	22,000	-	-	-	4U	Secondary Arterial	25,000	22,100	0.88	D	2D	Divided Collector	22,000	16,000	0.73	A
71	Hazard Avenue	Euclid Street to Harbor Boulevard	4U	Secondary Arterial	25,000	9,546	0.38	A	4U	Secondary Arterial	25,000	35,400	0.62	B	2D	Divided Collector	22,000	7,900	0.36	A
36	McFadden Avenue	Fairview Street to Buitt Street	4D	Primary Arterial	37,500	20,997	0.56	A	4U	Secondary Arterial	25,000	20,000	0.80	C	2D	Divided Collector	22,000	11,500	0.53	A
58	McFadden Avenue	Main Street to Flower Street	2U	Collector	12,500	14,051	1.20	F	4U	Secondary Arterial	25,000	23,300	0.93	E	2D	Divided Collector	22,000	14,300	0.54	A
72	McFadden Avenue	1-5 St Ramps to Santa Ana Boulevard	2U	Collector	12,500	16,064	1.29	F	4U	Secondary Arterial	25,000	24,700	0.99	F	2D	Divided Collector	22,000	14,300	0.65	B
73	Penn Way / Santiago Street	Santa Ana Boulevard to 14 th Street	4U	Secondary Arterial	25,000	-	-	-	4U	Secondary Arterial	25,000	26,300	1.05	F	2D	Divided Collector	22,000	19,400	0.88	D
74	Railt Street	Warner Avenue to Segurition Avenue	2U	Collector	12,500	9,278	0.80	C	4U	Secondary Arterial	25,000	23,100	0.92	E	2D	Divided Collector	22,000	15,500	0.70	B
75	Santa Ana Boulevard	French Street to Santiago Street	4D	Primary Arterial	37,500	14,746	0.39	A	4U	Secondary Arterial	25,000	20,000	0.80	C	2D	Divided Collector	22,000	11,500	0.53	A
76	Santa Ana Boulevard	Flower Street to Ross Street	2D	Divided Collector	22,000	6,616	0.30	A	4D	Primary Arterial	37,500	16,500	0.44	A	2D	Divided Collector	22,000	13,500	0.61	B
21	Santa Ana Boulevard	Railt Street to Bristol Street	6D	Major Arterial	56,300	14,689	0.16	A	6D	Major Arterial	56,300	22,200	0.39	A	4D	Primary Arterial	31,500	15,800	0.42	A
77	Santa Ana Boulevard	Grand Avenue to Tusim Avenue	4U	Secondary Arterial	25,000	4,236	0.17	A	6D	Major Arterial	56,300	27,000	0.48	A	2D	Divided Collector	22,000	13,000	0.59	A
26	Santa Clara Avenue	Chestnut Avenue to McFadden Avenue	2U	Collector	12,000	10,465	0.85	D	4U	Secondary Arterial	25,000	10,800	0.43	A	2D	Divided Collector	22,000	8,700	0.40	A
78	Standard Avenue	Edinger Avenue to Warner Avenue	4U	Secondary Arterial	25,000	12,871	0.51	A	4U	Secondary Arterial	25,000	39,600	0.78	C	2D	Divided Collector	22,000	11,000	0.50	A
79	Standard Avenue	Edinger Avenue to Warner Avenue	4U	Secondary Arterial	25,000	12,852	0.51	A	4U	Secondary Arterial	25,000	38,200	0.73	C	2D	Divided Collector	22,000	10,000	0.45	A
DELETIONS FROM MPAAH NETWORK																				
82	Flower Street	17 th Street to Northern Turnover	2D	Divided Collector	22,000	11,155	0.51	A	2D	Divided Collector	22,000	5,900	0.27	A	2D	Divided Collector	22,000	4,700	0.21	A
83	Lyons Street	Civic Center Drive to Santa Ana Boulevard	2U	Collector	12,500	-	-	-	2U	Collector	12,500	-	-	-	2U	Collector	12,500	-	-	-
84	Lyons Street	Lyons Street to Santa Ana Boulevard	2U	Collector	12,500	-	-	-	2U	Collector	12,500	-	-	-	2U	Collector	12,500	-	-	-

* Use configuration - Number of Unimodal and Divided Lanes.

[a] Classification per current MPAAH.

[b] Assumes MPAAH buildout lane configurations.

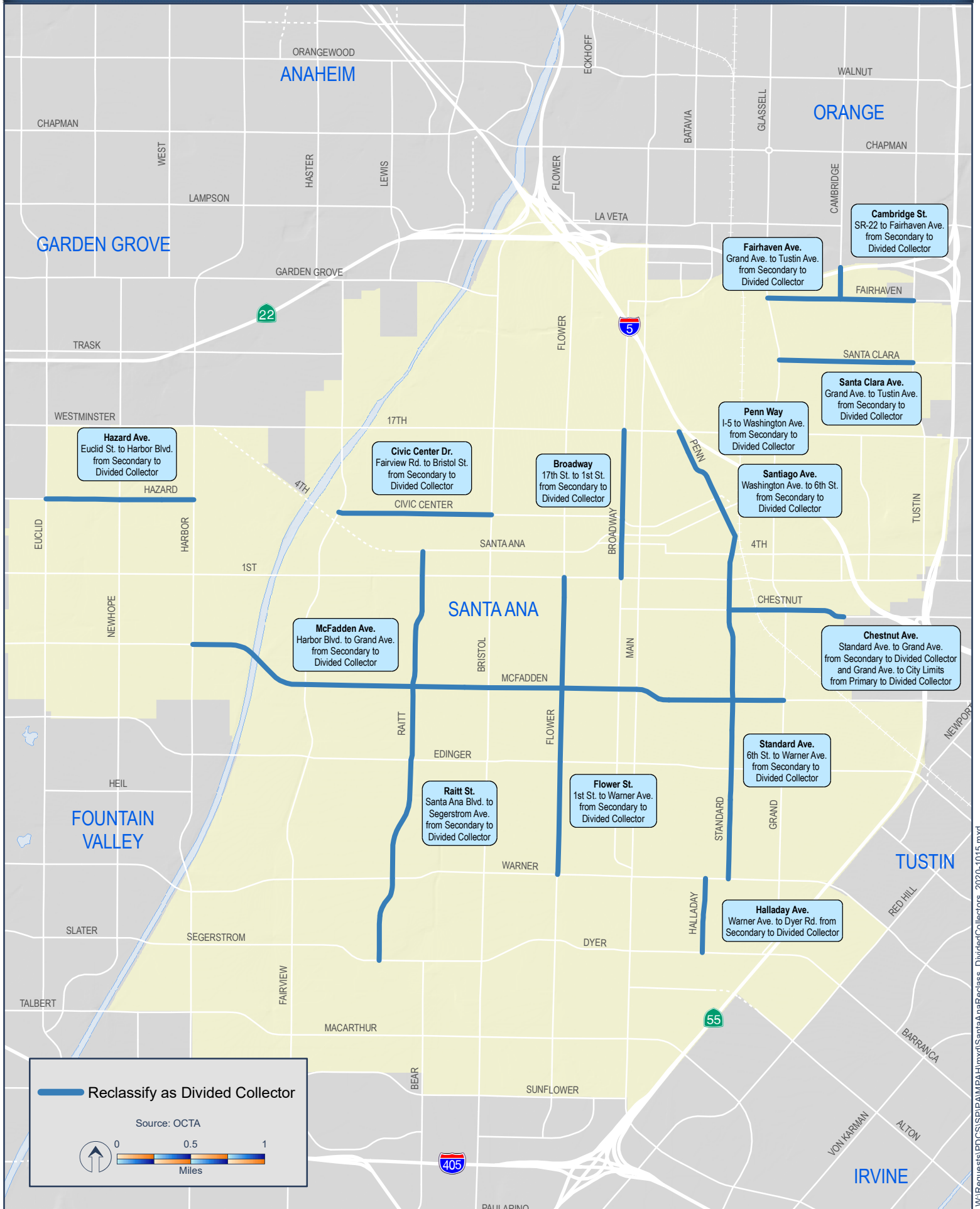
[c] Capacity per current MPAAH.

[d] Existing year counts developed by applying 1% growth factor to 2019 counts.

[f] Forecast volumes from OCTAD.

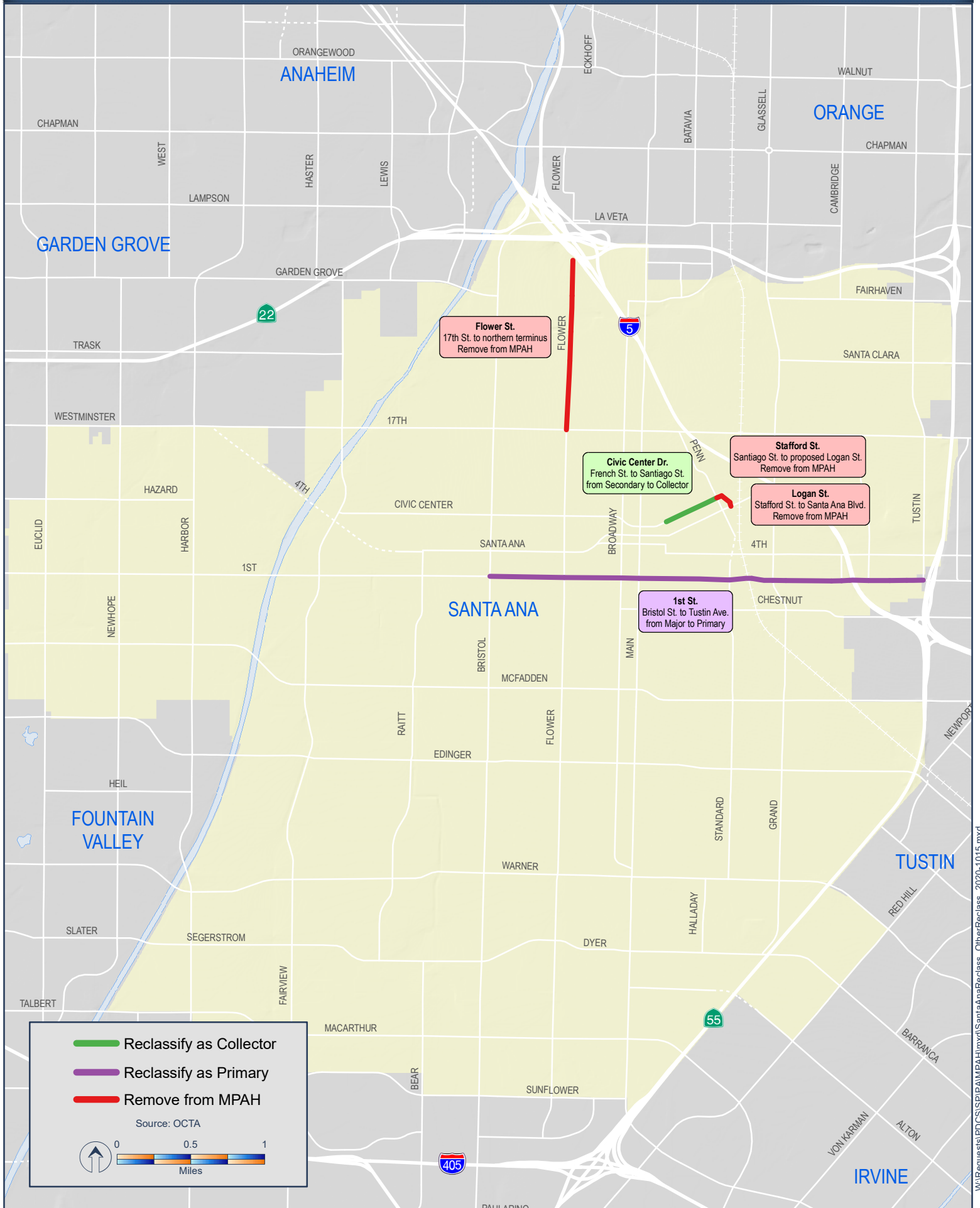
City of Santa Ana
Proposed MPAH Amendments Maps

City of Santa Ana Proposed MPAH Amendments Reclassifications to Divided Collector



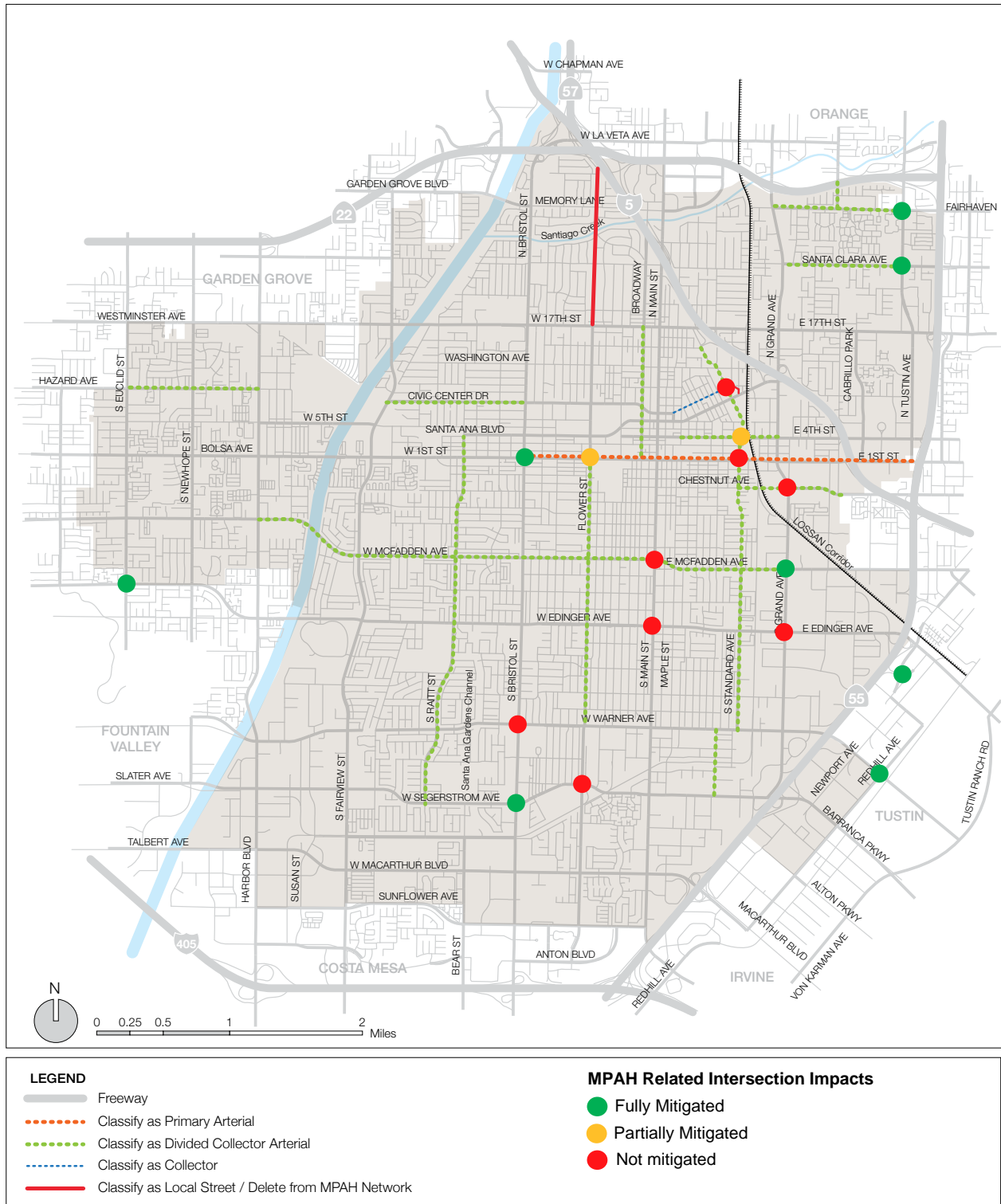
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City of Santa Ana Proposed MPAH Amendments Reclassifications and Deletions



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City of Santa Ana General Plan Update Amendment to the Master Plan of Arterial Highways Intersection Impacts



MEMORANDUM OF UNDERSTANDING NO. C-X-XXXX

MEMORANDUM OF UNDERSTANDING NO. C-X-XXXX

BETWEEN

ORANGE COUNTY TRANSPORTATION AUTHORITY

AND

CITIES OF SANTA ANA, FOUNTAIN VALLEY, TUSTIN

FOR

AMENDMENT OF THE MASTER PLAN OF ARTERIAL HIGHWAYS

THIS MEMORANDUM OF UNDERSTANDING (hereinafter referred to as "MOU") is effective this _____ day of _____, 2020, by and between the Orange County Transportation Authority, 550 South Main Street, P.O. Box 14184, Orange, California 92863-1584 (hereinafter referred to as "AUTHORITY"), and the City of Santa Ana, City of Fountain Valley, and the City of Tustin (hereinafter collectively referred to as "AGENCIES" and individually as "AGENCY"). AUTHORITY and each AGENCY are sometimes referred to collectively in this MOU as the "PARTIES" and individually as "PARTY."

RECITALS

WHEREAS, AUTHORITY administers the Master Plan of Arterial Highways (hereinafter referred to as "MPAH") including the review and approval of amendments requested by local agencies; and

WHEREAS, the CITY of Santa Ana has prepared an update of their General Plan which includes changes to their Circulation Element to enhance bicycle and pedestrian facilities along arterial roadways and changes to their Land Use Element for consistency with population and housing projections developed by the Southern California Association of Regional Government's Regional Transportation Plan/Sustainable Communities Strategies (adopted May 7, 2020); and

WHEREAS, the CITY of Santa Ana's updates to the Circulation Element will require roadway reconfigurations and/or reductions of existing or planned travel lanes to roadway segments on the MPAH; and

1 **WHEREAS**, the CITY of Santa Ana has requested an Amendment to the MPAH as set forth in
2 Exhibit A, entitled "Amendment to the MPAH," attached to and, by this reference, incorporated in and
3 made a part of this agreement; and

4 **WHEREAS**, traffic analyses conducted as part of the MPAH amendment process determined that
5 the Amendment to the MPAH would result in projected changes to future traffic patterns; and

6 **WHEREAS**, these projected changes in future traffic patterns results in a determination that
7 appreciable impacts may occur in the CITIES of Santa Ana, Fountain Valley, Orange and Tustin; and

8 **WHEREAS**, AGENCIES have established Level of Service (LOS) "D" as their minimum
9 acceptable LOS and an appreciable impact is defined as an increase in Intersection Capacity Utilization
10 ("ICU") of 0.01, or otherwise adopted by the respective AGENCY, for intersections currently operating at
11 an unacceptable level of service; and

12 **WHEREAS**, Exhibit B titled "SUMMARY OF MPAH AMENDMENT APPRECIABLE IMPACTS
13 AND TRAFFIC SHARE", provides a summary of the appreciable impacts occurring at intersections as a
14 result of the Amendment to the MPAH (in ICU for city controlled facilities and Highway Capacity Manual
15 [HCM] for state controlled facilities); and

16 **WHEREAS**, the CITIES of Orange, Fountain Valley, and Tustin are Affected Agencies, having
17 appreciable impacts occurring within their jurisdictions as a result of the CITY of Santa Ana's Amendment
18 to the MPAH; and

19 **WHEREAS**, the CITY of Orange is also an Affected Agency because the CITY of Santa Ana's
20 Amendment to the MPAH includes reclassifying a roadway shared between the CITIES of Santa Ana
21 and Orange, Fairhaven Avenue between Grand Avenue to Tustin Street; and

22 **WHEREAS**, both the CITIES Santa Ana and Orange must amend their respective General Plans
23 and comply with the California Environmental Quality Act (CEQA) to finalize the Fairhaven Avenue
24 amendment per the Guidance to the Master Plan of Arterial Highways; and

25 **WHEREAS**, the Affected Agencies have reviewed the CITY of Santa Ana's Amendment to the
26 MPAH; and

1 **WHEREAS**, the Affected Agencies have provided letters of support for the CITY of Santa Ana's
2 Amendment to the MPAH; and

3 **WHEREAS**, the CITY of Orange has requested to not be a Party to this MOU; and

4 **WHEREAS**, AUTHORITY provides high quality transit service with 15-minute headways during
5 peak commute hours on the 1st Street corridor and McFadden Avenue corridor; and

6 **WHEREAS**, the CITY of Santa Ana proposes to reclassify the 1st Street corridor and McFadden
7 Avenue corridor as part of the Amendment to the MPAH; and

8 **WHEREAS**, the reclassifications of the 1st Street corridor and McFadden Avenue corridor will
9 result in lane reductions; and

10 **WHEREAS**, lane reductions on the 1st Street corridor and McFadden Avenue corridor may result
11 in reduced travel speeds and therefore longer average transit travel times which in turn may lower bus
12 ridership; and

13 **WHEREAS**, improvements have been identified to mitigate potential impacts, preserve the
14 operational integrity of the MPAH system, and maintain or improve AUTHORITY's high-quality transit
15 service; and

16 **WHEREAS**, AUTHORITY, as the transportation agency for Orange County, and the CITIES of
17 Santa Ana, Fountain Valley, and Tustin desire to enter into an MOU to work as partners to mitigate
18 impacts from the CITY of Santa Ana's requested Amendment to the MPAH; and

19 **WHEREAS**, AUTHORITY's Board of Directors approved this Amendment to the MPAH, subject
20 to approval of a general plan amendment by the CITIES of Santa Ana and Orange, and authorized
21 negotiation and execution of an MOU with the cities of Santa Ana, Fountain Valley, and Tustin for the
22 implementation of proposed intersection mitigation improvements on November 9, 2020. Exhibit C to this
23 MOU contains the background for the Amendment to the MPAH, as it is the Staff Report approved by the
24 AUTHORITY's Regional Planning & Highways Committee on November 2, 2020 and by the
25 AUTHORITY's Board of Directors on November 9, 2020; and
26

1 **WHEREAS**, all PARTIES agree upon Exhibit D, "MITIGATION IMPROVEMENTS AND
2 MONITORING PROGRAM" which identifies improvements that could mitigate the appreciable impacts
3 resulting from the implementation of the CITY of Santa Ana's Amendment to the MPAH; and

4 **NOW, THEREFORE**, it is mutually understood and agreed by the PARTIES as follows:

5 **ARTICLE 1. COMPLETE AGREEMENT:**

6 A. This MOU, including all exhibits and documents incorporated herein and made applicable
7 by reference, constitutes the complete and exclusive statement of the term(s) and condition(s) of the
8 MOU between the PARTIES concerning the Amendment to the MPAH and supersedes all prior
9 representations, understandings and communications concerning the same subject matter between the
10 PARTIES. The invalidity, in whole or part, of any term or condition of this MOU shall not affect the validity
11 of other term(s) or conditions(s) of this MOU. The above referenced recitals are true and correct and are
12 incorporated by reference herein.

13 B. Any PARTY'S failure to insist on any instance(s) of performance of any term(s) or
14 condition(s) of this MOU shall not be construed as a waiver or relinquishment of rights to such
15 performance or to future performance of such term(s) or condition(s), and obligations in respect thereto
16 shall continue in full force and effect.

17 **ARTICLE 2. MUTUAL RESPONSIBILITIES OF ALL PARTIES:**

18 A. Each PARTY to this MOU agrees to cooperate and coordinate with the other PARTIES to
19 this MOU and their respective staff, contractors, consultants, and vendors, etc. providing services
20 required under this MOU to the extent practicable.

21 B. All PARTIES to this MOU agree to work diligently together, and in good faith, toward the
22 resolution of any unforeseen issues and disputes arising out of the performance of this MOU.

23 **ARTICLE 3. RESPONSIBILITIES OF AUTHORITY:**

24 AUTHORITY agrees to the following responsibilities:

25 A. AUTHORITY shall administer the MPAH, including updating the MPAH to reflect the
26 Amendment to the MPAH upon fulfillment of the following conditions:

1. AUTHORITY's Board of Directors' conditional approval of the Amendment to the

MPAH. With the exception of Fairhaven Avenue, the AUTHORITY's Board of Directors' approval of the Amendment to the MPAH will not become final until conditions 2 and 3 below have been satisfied. For the amendment on Fairhaven Avenue, the AUTHORITY'S Board of Directors' approval will not become final until conditions 3 and 4 below has been satisfied;

2. Receipt of an original, fully executed MOU (signed by all PARTIES);
3. Receipt of documentation that that the CITY of Santa Ana has amended their General Plan to reflect the Amendment to the MPAH;
4. Receipt of documentation that that the CITY Orange has amended their General Plan to reflect Fairhaven Avenue between Grand Avenue to Tustin Avenue as a divided collector (two-lane, divided).

B. AUTHORITY shall lead a cooperative study funded by the CITY of Santa Ana to identify appropriate and feasible transit improvements (including but not limited to queue-jump lanes and transit signal priorities) to maintain or improve AUTHORITY'S high quality transit service on the 1st Street corridor and McFadden Avenue corridor. The cooperative study will identify the funding and implementation responsibilities between the CITY of Santa Ana and AUTHORITY. The recommendations from the cooperative study shall be incorporated into the design of the complete street projects along the 1st Street corridor and McFadden Avenue corridor, unless otherwise agreed upon.

C. AUTHORITY shall utilize the funding provided by the CITY of Santa Ana on the cooperative study.

D. AUTHORITY and the CITY of Santa Ana shall mutually coordinate implementation of feasible transit improvements identified from the cooperative study to maintain or improve AUTHORITY'S high-quality transit service. AUTHORITY and CITY of Santa Ana shall implement the improvements prior to or at the time of construction of the complete street projects along the 1st Street corridor and McFadden Avenue corridor, unless otherwise agreed upon.

ARTICLE 4. RESPONSIBILITIES OF CITY OF SANTA ANA:

The CITY of Santa Ana agrees to the following responsibilities:

1 A. The CITY of Santa Ana shall amend the Circulation Element of its General Plan to reflect
2 the Amendment to the MPAH, and in doing so, shall comply with the requirements of the California
3 Environmental Quality Act.

4 B. The CITY of Santa Ana shall implement the mitigation improvements for impacted
5 intersections within the CITY of Santa Ana's jurisdiction. The CITY of Santa Ana's proposed mitigation
6 measures for impacts within the CITY of Santa Ana's jurisdiction are identified in Exhibit D, as well as
7 detailed below:

- 8 1. Bristol Street and 1st Street: The CITY of Santa Ana shall add an eastbound right-
9 turn pocket. The CITY of Santa Ana shall not reduce the existing westbound lane
10 configuration when implementing the 1st Street complete street project. The
11 westbound approach lane configuration shall remain as one left lane, one thru lane,
12 and one thru-right lane. The CITY of Santa Ana shall include this mitigation
13 improvement in their Capital Improvement Plan and implement the project (1) within
14 the CIP horizon year; (2) before the Intersection Capacity Utilization (ICU) exceeds
15 the pre-amendment to the MPAH ICU trigger; or (3) during construction of the CITY
16 of Santa Ana's complete street project(s) if the intersection improvement falls along
17 such a facility, whichever occurs first.
- 18 2. Bristol Street and Segerstrom Avenue: The CITY of Santa Ana shall add a
19 northbound right-turn pocket. The CITY of Santa Ana shall construct the eastbound
20 and westbound approach lane configurations as one left turn, two thru lanes, and
21 one thru-right lane. The CITY of Santa Ana shall include this mitigation improvement
22 in their Capital Improvement Plan and implement the project (1) within the CIP
23 horizon year; (2) before the Intersection Capacity Utilization (ICU) exceeds the pre-
24 amendment to the MPAH ICU trigger; or (3) during construction of the CITY of Santa
25 Ana's complete street project(s) if the intersection improvement falls along such a
26 facility, whichever occurs first.
3. Flower Street and 1st Street: The CITY of Santa Ana shall not reduce the existing

northbound lane configuration when implementing the Flower Street complete street project. The northbound approach lane configuration shall remain as one left turn lane, two thru lanes, and one right turn lane.

4. Standard Avenue and 4th Street: This intersection does not currently exist. The CITY of Santa Ana will construct the intersection as identified in Exhibit D. The northbound and southbound lanes shall be constructed as one left turn lane, one thru lane, and one right turn lane when the intersection is established. The eastbound and westbound lanes shall be constructed as one left turn lane, one thru lane, and one thru-right lane when the intersection is established.
5. Grand Avenue and McFadden Avenue: The CITY of Santa Ana shall not reduce the existing eastbound lane configuration when implementing the McFadden Avenue complete street project. The eastbound approach lane configuration shall remain as one left lane, one thru lane, and one thru-right lane.
6. Tustin Avenue and Santa Clara Avenue: The CITY of Santa Ana shall not reduce the existing eastbound and westbound lane configuration when constructing the Santa Clara Avenue complete street project. The eastbound and westbound lane configuration shall remain as one left turn lane, one thru lane, and one thru-right lane.

C. The CITY of Santa Ana shall transfer a lump sum of \$250,000 to AUTHORITY within 30 days of the execution of this MOU to fund a cooperative study led by AUTHORITY. The cooperative study will identify appropriate and feasible transit improvements (including but not limited to transit signal priority and/or queue-jumping lanes) to maintain or improve AUTHORITY'S high quality transit service on the 1st Street corridor and McFadden Avenue corridor. The cooperative study shall identify the funding and implementation responsibilities between the CITY of Santa Ana and AUTHORITY. The recommendations from the cooperative study shall be incorporated into the design of the complete street projects along the 1st Street corridor and McFadden Avenue corridor, unless otherwise agreed upon.

D. The CITY of Santa Ana and AUTHORITY shall mutually coordinate implementation of feasible transit improvements identified from the cooperative study to maintain or improve AUTHORITY'S

1 high-quality transit service. CITY of Santa Ana and AUTHORITY shall implement the improvements prior
2 to or at the time of construction of the complete street projects along the 1st Street corridor and McFadden
3 Avenue corridor, unless otherwise agreed upon.

4 E. The CITY of Santa Ana enters into this MOU in order for the above mitigation measures
5 to be implemented.

6 F. The CITY of Santa Ana shall coordinate with the CITIES of Fountain Valley and Tustin to
7 fund mitigation improvements for impacts due to the amendment to the MPAH outside of the CITY of
8 Santa Ana. Proposed mitigation improvements and 2020 estimated costs for the proposed mitigation
9 improvements are included in Exhibit D. If an alternative improvement is identified beyond those listed on
10 Exhibit D, or if a buyout option is desired, there must be agreement for the alternative amongst the
11 appropriate jurisdictions. At the time of mitigation improvement implementation or buy out, the CITY of
12 Santa Ana shall incorporate cost changes, which may include cost changes based on the California
13 Construction Cost Index or the County of Orange's assessment of land value, to their funding contribution
14 to the CITIES of Fountain Valley and Tustin. This includes the following intersections:

- 15 1. Euclid Street and Edinger Avenue: This intersection is located within CITY of Fountain
16 Valley. Prior to the ICU LOS at the intersection of Euclid Street and Edinger Avenue
17 exceeding the pre-amendment to the MPAH ICU LOS of 0.99, the CITY of Santa Ana
18 shall fund, at minimum, their fair share cost allocation for mitigation improvement at
19 the Euclid Street and Edinger Avenue intersection.
- 20 2. Red Hill Avenue and Warner Avenue: This intersection is shared with the CITY of
21 Tustin. The CITY of Santa Ana shall monitor the Red Hill Avenue and Warner Avenue
22 intersection every two years, and shall provide the monitoring results to the CITY of
23 Tustin. Monitoring shall begin two years after the MOU is executed. Prior to the ICU
24 LOS at the intersection of Red Hill Avenue and Warner Avenue exceeding the pre-
25 amendment to the MPAH ICU LOS of 0.88, the CITY of Santa Ana shall fund the cost
26 of the Red Hill Avenue and Warner Avenue improvement.

G. The CITY of Santa Ana shall maintain funding available, for a minimum of 10 years, to

1 contribute their fair share cost allocation to the agency leading the mitigation improvement, as identified
2 in Exhibit D, at the SR-55 NB Ramps/Del Amo Avenue and Newport Avenue intersection. The CITY of
3 Santa Ana shall incorporate cost changes, which may include cost changes based on the California
4 Construction Cost Index or the County of Orange's assessment of land value, at the time of mitigation
5 improvement implementation. This funding shall be provided to the agency leading and implementing the
6 improvement at this intersection.

7 H. The CITY of Santa Ana shall provide status reports to AUTHORITY on the progress of
8 the cooperative transit study and subsequent implementation of transit improvements and strategies,
9 Article 4 Subsections C and D, every odd year through the MPAH Certification Review Process of the
10 Measure M2 Eligibility Submittal.

11 **ARTICLE 5. RESPONSIBILITIES OF THE CITY OF FOUNTAIN VALLEY:**

12 The CITY of Fountain Valley agrees to the following responsibilities:

13 A. CITY of Fountain Valley enters into this MOU to implement one of the three proposed
14 mitigation improvements at the Euclid Street and Edinger Avenue intersection, as identified in Exhibit D.
15 The improvement is not meant to be prescriptive. If an alternative improvement, which meets the overall
16 objective of achieving and/or maintaining the pre-amendment to the MPAH ICU, is identified then that
17 improvement shall be considered acceptable and shall be implemented as a substituted solution if there
18 is agreement amongst the CITIES of Fountain Valley and Santa Ana.

19 B. CITY of Fountain Valley should include the mitigation improvement in their next CIP. The
20 improvement should be implemented prior to the intersection reaching the pre-amendment to the MPAH
21 ICU LOS of 0.99, LOS E as shown in Exhibit D.

22 C. CITY of Fountain Valley shall utilize funding provided by the CITY of Santa Ana to
23 implement the mitigation improvement.

24 **ARTICLE 6. RESPONSIBILITIES OF THE CITY OF TUSTIN:**

25 The CITY of Tustin agrees to the following responsibilities:

26 A. CITY of Tustin enters into this MOU to implement the proposed mitigation improvement
measure at the Red Hill Avenue and Warner Avenue intersection, as identified in Exhibit D. The

1 improvement is not meant to be prescriptive. If an alternative improvement, which meets the overall
2 objective of achieving and/or maintaining the pre-amendment to the MPAH ICU, is identified then that
3 improvement shall be considered acceptable and shall be implemented as a substituted solution if there
4 is agreement amongst the CITIES of Tustin and Santa Ana.

5 B. CITY of Tustin should include the mitigation improvement in their next CIP. The
6 improvement should be implemented prior to the intersection reaching the pre-amendment to the MPAH
7 ICU LOS of 0.88, LOS D, as shown in Exhibit D.

8 C. CITY of Tustin shall utilize funding provided by the CITY of Santa Ana to implement the
9 mitigation improvement.

10 **ARTICLE 7. DELEGATED AUTHORITY:**

11 The actions required to be taken by the AGENCIES in the implementation of this MOU are
12 delegated to each AGENCY's City Manager, or designee. Required actions to be taken by the
13 AUTHORITY in the implementation of this MOU are delegated to AUTHORITY's Chief Executive Officer,
14 or designee.

15 **ARTICLE 8. INDEMNIFICATION:**

16 A. Each PARTY shall indemnify, defend and hold harmless all other PARTIES, its officers,
17 directors, employees and agents from and against any and all claims (including attorney's fees and
18 reasonable expenses for litigation or settlement) for any loss or damages, bodily injuries, including death,
19 worker's compensation subrogation claims, damage to or loss of use of property, arising from the
20 negligent acts, omissions or willful misconduct by any PARTY, its officers, directors, employees or agents
21 in connection with or arising out of the performance of this MOU.

22 B. Indemnification and defense obligations of this MOU shall survive its expiration or
23 termination.

24 **ARTICLE 9. ADDITIONAL PROVISIONS**

25 The PARTIES agree to the following:
26

MEMORANDUM OF UNDERSTANDING NO. C-X-XXXX

1 A. Termination: This MOU shall continue in full force and effect until all terms and conditions
2 of this MOU are implemented, unless terminated earlier by mutual written consent by all the PARTIES to
3 this MOU.

4 B. This MOU may only be amended in writing at any time by the consent of all PARTIES.
5 No amendment shall have any force or effect unless executed in writing by all PARTIES.

6 C. AUTHORITY and AGENCIES shall comply with all applicable federal, state, and local
7 laws, statutes, ordinances and regulations in the performance of this MOU.

8 D. Successors in Interest: This MOU shall be binding upon and shall inure to the benefit of
9 the parties hereto and their respective heirs, personal representatives, successors, and assigns.

10 E. Attorney's Fees: In the event any action is brought between the PARTIES hereto relating
11 to this MOU or the breach thereof, the prevailing PARTY in such action shall be entitled to recover from
12 the other PARTY reasonable expenses, attorneys' fees and costs in connection with such action or
13 proceeding.

14 F. Legal Authority: Each of the undersigned represents and warrants that they are
15 authorized to execute this MOU on behalf of said PARTIES and that, by so executing this MOU, the
16 PARTIES hereto are formally bound to the provisions of this MOU.

17 G. Severability: If any term, provision, covenant or condition of this MOU is held to be invalid,
18 void or otherwise unenforceable, to any extent, by any court of competent jurisdiction, the remainder of
19 this MOU shall not be affected thereby, and each term, provision, covenant or condition of this MOU shall
20 be valid and enforceable to the fullest extent permitted by law.

21 H. Counterparts of Agreement: This MOU may be executed and delivered in any number of
22 counterparts, each of which, when executed and delivered shall be deemed an original and all of which
23 together shall constitute the same agreement. Facsimile signatures will be permitted.

24 I. Force Majeure: Any PARTY shall be excused from performing its obligations under this
25 MOU during the time and to the extent that it is prevented from performing by an unforeseeable cause
26 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;

MEMORANDUM OF UNDERSTANDING NO. C-X-XXXX

or a material act or omission by any other PARTY; when satisfactory evidence of such cause is presented to the other PARTIES, 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.

J. Assignment: Neither this MOU, nor any PARTY's rights, obligations, duties, or authority hereunder may be assigned in whole or in part by any PARTY without the prior written consent of all other PARTIES in their sole and absolute discretion. Any such attempted assignment shall be deemed void and of no force and effect. Consent to one assignment shall not be deemed consent to any subsequent assignment, nor the waiver of any right to consent to such subsequent assignment.

K. Obligations To Comply with Law: Nothing herein shall be deemed nor construed to authorize or require any PARTY to issue bonds, notes or other evidence of indebtedness under terms, in amounts, or for purposes other than as authorized by local, state or federal law.

L. Governing Law: The laws of the State of California and applicable local and federal laws, regulations and guidelines shall govern this MOU.

M. Notices: Any notices, requests, or demands made between the PARTIES pursuant to this MOU are to be directed as follows:

/

To CITY OF Santa Ana:	To AUTHORITY:
City of Santa Ana	Orange County Transportation Authority
20 Civic Center Plaza Santa Ana, CA 92701	550 South Main Street P. O. Box 14184 Orange, CA 92863-1584
Attention: Kristine Ridge City Manager Tel: (714) 647-5200 Email: kridge@santa-ana.org	Attention: Meena Katakia, Manager, Capital Programs Tel: (714) 560-5694 Email: mkatakia@octa.net

/

MEMORANDUM OF UNDERSTANDING NO. C-X-XXXX

To CITY OF FOUNTAIN VALLEY:	To CITY OF TUSTIN:
City of Fountain Valley	City of Tustin
10200 Slater Avenue	300 Centennial Way
Fountain Valley, CA 92708	Tustin, CA 92780
Attention: Robert J. Houston City Manager	Attention: Matthew S. West City Manager
Tel:	Tel:
Email:	Email: Citymanager@tustinca.org

/

N. Successors and Assigns: The provisions of this MOU shall bind and inure to the benefit of each of PARTY hereto, and all successors or assigns of any PARTY hereto.

This MOU shall continue in full force and effect until all terms and conditions of this MOU are implemented, unless terminated earlier by written consent of all the PARTIES.

The above understandings are a guide to the intent and policies of the PARTIES to this MOU. This MOU shall be effective upon execution by all PARTIES.

IN WITNESS WHEREOF, the PARTIES hereto have caused this Memorandum of Understanding No. C-X-XXXX to be executed on the date first written above.

CITY OF SANTA ANA

ORANGE COUNTY TRANSPORTATION AUTHORITY

By: _____
Kristine Ridge
City Manager

By: _____
Darrell E. Johnson
Chief Executive Officer

ATTEST:

By: _____
Daisy Gomez
City Clerk

APPROVED AS TO FORM:

APPROVED AS TO FORM:

By: _____
Sonia Carvalho
City Attorney

By: _____
James Donich
General Counsel

APPROVAL RECOMMENDED:

By: _____
Nabil Saba
Executive Director, Public Works Agency

By: _____
Kia Mortazavi
Executive Director, Planning

Dated: _____

Dated: _____

Attachments:

Exhibit A: Amendment to the MPAH

Exhibit B: Summary of MPAH Amendment Appreciable Impacts and Traffic Share

Exhibit C: Amendment to the Master Plan of Arterial Highways Staff Report to the OCTA Board of Directors dated November 9, 2020

Exhibit D: Mitigation Improvements and Monitoring Program

IN WITNESS WHEREOF, the PARTIES hereto have caused this Memorandum of Understanding No. C-X-XXXX to be executed on the date first written above.

CITY OF FOUNTAIN VALLEY

By: _____
XXXX
City Manager

APPROVED AS TO FORM:

By: _____
XXXX
City Attorney

Dated: _____

DRAFT

IN WITNESS WHEREOF, the PARTIES hereto have caused this Memorandum of Understanding
No. C-X-XXXX to be executed on the date first written above.

CITY OF TUSTIN

By: _____
XXXX
City Manager

APPROVED AS TO FORM:

By: _____
XXXX
City Attorney

Dated: _____

DRAFT



EXHIBIT A: AMENDMENT TO THE MPAH



MEMORANDUM OF UNDERSTANDING NO. C-X-XXXX

Roadway	Limits	Proposed Reclassification
Cambridge Street	Fairhaven Avenue to SR-22	Secondary to Divided Collector
Fairhaven Avenue	Grand Avenue to Tustin Avenue	Secondary to Divided Collector
Santa Clara Avenue	Grand Avenue to Tustin Avenue	Secondary to Divided Collector
Broadway	17 th Street to 1 st Street	Secondary to Divided Collector
Penn Way	I-5 SB Ramp to Washington Avenue	Secondary to Divided Collector
Santiago Avenue	Washington Avenue to 6 th Street	Secondary to Divided Collector
Standard Avenue	6 th Street to Warner Avenue	Secondary to Divided Collector
Civic Center Drive	French Street to Santiago Street	Secondary to Collector
Civic Center Drive	Fairview Road to Bristol Street	Secondary to Divided Collector
Hazard Ave	Euclid Street to Harbor Boulevard	Secondary to Divided Collector
Raitt Street	Santa Ana Boulevard to Segerstrom Avenue	Secondary to Divided Collector
1 st Street	Bristol Street to Tustin Avenue	Major to Primary
Chestnut Avenue	Standard Avenue to Grand Avenue	Secondary to Divided Collector
Chestnut Avenue	Grand Avenue to East City Limit	Primary to Divided Collector
McFadden Avenue	Harbor Boulevard to Grand Avenue	Secondary to Divided Collector
Flower Street	1 st Street to Warner Avenue	Secondary to Divided Collector
Halladay Avenue	Warner Avenue to Dyer Road	Secondary to Divided Collector
Flower Street	17 th Street to its northern terminus	Remove from MPAH
Stafford Street	Santiago Street to proposed Logan Street	Remove from MPAH
Logan Street	Civic Center Drive to Santa Ana Boulevard	Remove from MPAH



EXHIBIT B: SUMMARY OF MPAH AMENDMENT APPERCIABLE IMPACTS AND TRAFFIC SHARE

Intersection	Jurisdiction	Peak Hour	No Project 2045 LOS		Amendment to the MPAH LOS		Difference in ICU/HCM	Share
			ICU/HCM	LOS	ICU/HCM	LOS		
Euclid Street and Edinger Avenue	Fountain Valley	AM	0.99	E	1.01	F	0.02	9.0%
Bristol Street and 1st Street	Santa Ana	AM	0.77	C	0.9	E	0.13	N/A
		PM	0.83	D	0.97	E	0.14	
Bristol Street and Segerstrom Avenue	Santa Ana	PM	0.87	D	0.92	E	0.05	N/A
Flower Street and 1st Street	Santa Ana	PM	0.88	D	1.22	F	0.34	N/A
Standard Avenue and 4th Street	Santa Ana	AM	0.94	E	1.34	F	0.4	N/A
		PM	0.89	D	1.34	F	0.45	N/A
Grand Avenue and McFadden Avenue	Santa Ana	AM	0.89	D	1.01	F	0.12	N/A
Tustin Avenue and Santa Clara Avenue	Santa Ana	AM	1.04	F	1.10	F	0.06	N/A
SR-55 NB Ramps/Del Amo Avenue and Newport Avenue	Tustin / Caltrans	PM	39.1	D	46.2	D	7.1	10.6%
Red Hill Avenue and Warner Avenue	Tustin / Santa Ana	PM	0.88	D	0.9	E	0.07	100%



**EXHIBIT C: Amendment to the Master Plan of Arterial Highways Staff Report to the OCTA Board
of Directors dated November 9, 2020**

DRAFT



EXHIBIT D: MITIGATION IMPROVEMENTS AND MONITORING PROGRAM

The table below identifies mitigation improvements agreed upon by all PARTIES. These improvements are not meant to be prescriptive. If a PARTY can identify an alternative improvement which meets the overall objective of achieving and/or maintaining the pre-Amendment to the MPAH ICU, then those improvements can be considered an acceptable alternatives and implemented as a substitute solution if agreed upon by the appropriate PARTY(IES).

Intersection	Jurisdiction	Mitigation Improvement	2045 No Project ¹ ICU/HCM, LOS	2020 Estimated Cost ²
Euclid Street and Edinger Avenue	Fountain Valley	<ul style="list-style-type: none"> Option 1: Convert westbound right turn to shared thru-right Option 2: Add a second eastbound left turn lane Option 3: Add second left turn lanes in the eastbound and westbound directions. 	AM: 0.99, E	Option 1: \$9,262.50 Option 2: \$957,738.11 Option 3: \$972,274.36
Bristol Street and 1st Street	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project configuration for westbound approach <ul style="list-style-type: none"> Westbound approach to be: 1 left turn, 2 thru-lanes, 1 thru-right Add eastbound right-turn pocket 	AM: 0.90, E PM: 0.90, E	N/A

¹ The No Project 2045 Intersection Capacity Utilization (ICU)/Highway Capacity Manual (HCM), Level of Service (LOS) is also known as the pre-amendment to the MPAH ICU. For intersections operating at an acceptable LOS in the 2045 No Project, the improvement / mitigation should be implemented before the intersection reaches an unacceptable LOS.

² The 2020 Estimate Costs were provided by the CITY of Santa Ana, and agreed upon by the CITIES of Fountain Valley and Tustin. At the time of mitigation improvement implementation or buy out, the CITY of Santa Ana shall incorporate cost changes, which may include cost changes based on the California Construction Cost Index or the County of Orange's assessment of land value, to their funding contribution to the CITIES of Fountain Valley and Tustin.

Bristol Street and Segerstrom Avenue	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project configurations for eastbound/westbound approaches <ul style="list-style-type: none"> Eastbound/Westbound approaches to be: 1 left turn, 2 thru, 1 thru-right Add northbound right turn pocket 	PM: 0.90, E	N/A
Flower Street and 1st Street	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project configurations for northbound approach <ul style="list-style-type: none"> Northbound approach to be: 1 left turn, 2 thru, 1 right turn 	PM: 0.90, E	N/A
Standard Avenue and 4th Street	Santa Ana	<ul style="list-style-type: none"> Construct this intersection with the following approaches <ul style="list-style-type: none"> Northbound/Southbound to be: 1 left turn, 1 thru, 1 right turn Eastbound/Westbound to be: 1 left turn, 1 thru, 1 thru-right 	AM: 0.94, E PM: 0.90, E	N/A
Grand Avenue and McFadden Avenue	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project configuration for eastbound approach <ul style="list-style-type: none"> Eastbound approach to be: 1 left turn, 1 thru, 1 thru-right 	AM: 0.90, E	N/A
Tustin Avenue and Santa Clara Avenue	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project lane configurations for eastbound and westbound approaches <ul style="list-style-type: none"> Eastbound/Westbound to be: 1 left turn, 1 thru, 1 thru-right 	AM: 1.82, F	N/A
SR-55 NB Ramps/Del Amo Avenue and Newport Avenue	Tustin / Caltrans ³	Add a second southbound right-turn lane	PM: 39.1, D	\$1,178,909.23
Red Hill Avenue and Warner Avenue	Tustin / Santa Ana	Add a second eastbound left-turn lane	PM: 0.88, D	\$376,494.75

³ The SR-55 NB Ramps/Del Amo Avenue and Newport Avenue intersection is a Caltrans intersection located within the City of Tustin. Any changes to this intersection require Caltrans' approval. The MOU has identified that the City of Santa Ana shall maintain funding available, for a minimum of 10 years, to contribute their fair share cost allocation to the agency leading the improvement at this intersection.



CITY OF FOUNTAIN VALLEY- PUBLIC WORKS

10200 SLATER AVENUE FOUNTAIN VALLEY, CA 92708-4736 (714) 593-4433, FAX: (714) 593-4554

September 8, 2020

Mr. Nabil Saba, P.E.
Executive Director
Public Works Agency
City of Santa Ana
20 Civic Center Plaza
Santa Ana, CA 92701

**RE: CITY OF SANTA ANA PROPOSED MASTER PLAN OF ARTERIAL HIGHWAYS
(MPAH) RECLASSIFICATIONS**

Dear Nabil,

The City of Fountain Valley reviewed the July 2020 traffic study prepared by IBI Group analyzing the proposed Master Plan of Arterial Highways (MPAH) reclassifications in various locations throughout the City of Santa Ana. Since the Cities of Santa Ana and Fountain Valley share the city boundary, we have a few intersections that are impacted. However, after the review of this traffic study and discussions with your consultant and other surrounding cities, we are able to resolve our concerns. The City of Fountain Valley is supportive of the City of Santa Ana's request for an MPAH amendment for these roadway changes and we look forward to working with you and the City of Santa Ana for any future collaborative endeavors.

Thank you for the opportunity to review the report and provide comments. In another matter, I want to extend my sincere congratulation on your appointment as the Executive Director of Public Works for the City Santa Ana. I look forward to an in-person meeting soon at one of our other meetings that all have gone virtual. I look forward to working with you.

Sincerely,

A handwritten signature in cursive script that reads "Hye Jin Lee".

Hye Jin Lee, MS, PE
Director of Public Works
CITY OF FOUNTAIN VALLEY
Public Works Department
10200 Slater Avenue
Fountain Valley, CA 92708

C: Temo Galvez, P.E., Deputy Public Works Director/City Engineer
File.



CITY OF ORANGE

PUBLIC WORKS DEPARTMENT
www.cityoforange.org

ENGINEERING DIVISION
(714) 744-5544
FAX: (714) 744-5573

MAINTENANCE DIVISION
(714) 532-6480
FAX: (714) 532-6444

TRAFFIC DIVISION
(714) 744-5540
FAX: (714) 744-5573

WATER DIVISION
(714) 288-2475
FAX: (714) 744-2973

September 17, 2020

Nabil Saba, P.E.
Executive Director
Public Works Agency
City of Santa Ana
20 Civic Center Plaza
Santa Ana, CA 92701

**Re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH)
Reclassifications**

Dear Mr. Saba,

The City of Orange has reviewed the July 2020 traffic study prepared by IBI Group analyzing proposed Master Plan of Arterial Highways (MPAH) reclassifications in various locations throughout Santa Ana. Following review of this traffic study and discussions between our cities, the City of Orange does not have any outstanding concerns regarding potential traffic impacts from these proposed reclassifications. We are supportive of the City of Santa Ana's request for an MPAH amendment, specifically the downward reclassification of Fairhaven Avenue, from a secondary arterial to a divided collector.

Should you have any questions, please contact City Traffic Engineer Larry Tay at (714) 744-5534 or myself at (714) 744-5545.

Sincerely,

 A handwritten signature in black ink, appearing to read "Chris Cash", with a long horizontal flourish extending to the right.

Christopher S. Cash
Public Works Director

cc: Larry Tay, City Traffic Engineer



Department of Public Works
Douglas S. Stack, P.E.
Director



October 6, 2020

Nabil Saba, P.E.
Executive Director
Public Works Agency
City of Santa Ana
20 Civic Center Plaza
Santa Ana, CA 92701

**RE: City of Santa Ana Master Plan of Arterial Highways (MPAH) Reclassifications
Letter of Support**

Dear Mr. Saba:

The City of Tustin has reviewed IBI Group's August 2020 traffic study, which analyzes the proposed Master Plan of Arterial Highways (MPAH) reclassifications of various streets in Santa Ana, and also the corresponding Memorandum of Understanding (MOU) Term Sheet. Both of which have been revised in response to Tustin's comments in a letter dated September 15, 2020.

Following review of these documents and discussions between our cities, the City of Tustin does not have any other outstanding concerns of the potential traffic impacts from the proposed MPAH reclassifications, specifically at the intersection of Red Hill Avenue and Warner Avenue. Therefore the City of Tustin is supportive of the City of Santa Ana's request for an MPAH amendment, particularly of First Street and Chestnut Avenue (i.e., Main Street in Tustin), which is consistent with OCTA's recent approval of the MPAH reclassification of the same streets in Tustin.

Thank you for the opportunity to participate in Santa Ana's quest for an amendment to the County MPAH to reclassify select streets in their City.

Sincerely,

A handwritten signature in blue ink that reads 'KSaldivar'.

Krys Saldivar
Public Works Manager-Traffic/Transportation

cc: Douglas S. Stack, Director of Public Works/City Engineer
Ken Nishikawa, Deputy Director of Public Works/Engineering
Justina Willkom, Acting Director of Community Development
Scott Reekstin, Principal Planner

Attachments

**Santa Ana General Plan Update
Draft Term Sheet - Memorandum of Understanding**

The objective of this Term Sheet is to develop consensus on the principal terms and conditions of the Memorandum of Understanding (MOU) for the Master Plan of Arterial Highways (MPAH) amendment related to the Santa Ana General Plan Update. This Term Sheet is intended for discussion purposes only, and is not a legally binding document nor a commitment to amend the MPAH.

Background	The City of Santa Ana's updates to the Circulation Element will require roadway reconfigurations and/or reductions of existing or planned travel lanes to roadway segments on the MPAH. This will require an amendment to the MPAH. Traffic analyses conducted as part of the MPAH Cooperative Study Process determined that the amendment to the MPAH may result in appreciable impacts.
Parties	Orange County Transportation Authority (OCTA), City of Santa Ana, City of Fountain Valley, and City of Tustin
Impacts	<p>The Amendment to the MPAH may result in the following appreciable impacts:</p> <p>105 Intersections Analyzed</p> <ul style="list-style-type: none"> • 18 intersections impacted due to MPAH reclassifications. • 4 of the 18 intersections are located within another agency's jurisdiction. <p>Transit Operations Impacts</p> <ul style="list-style-type: none"> • Reclassifications and removal of transit lanes may result in impacts to OCTA's high quality transit service (15-min headway) in the City of Santa Ana. • Reclassifications proposed on McFadden Avenue (Route 66) and 1st Street (Route 64), and impacts span across the City.
Pending Procedural Commitments	<ul style="list-style-type: none"> • OCTA files California Environmental Quality Act Notice of Exemption to amend the MPAH. • Cities of Santa Ana and Orange update their General Plan to reflect amendment. • OCTA amends the MPAH once the MOU signed by all Parties and General Plans have been updated by Santa Ana and Orange.
Proposed Intersection Improvements / Mitigation Measures	<p>Intersection Impacts –Improvement / Mitigation Measures</p> <ul style="list-style-type: none"> • Mitigations identified at 10 of the 18 impacted intersections (8 fully mitigated, 2 partial). <ul style="list-style-type: none"> ▪ 4 intersections outside Santa Ana fully mitigated. • Feasible mitigations could not be developed at 8 of the 18 impacted intersections. These 8 intersections are in the City of Santa Ana. <p>Funding</p> <p>The City of Santa Ana may not utilize Measure M2 competitive funds on intersection mitigations.</p>

Proposed Mitigations/Improvements

Table 1 provides details on the proposed improvements to mitigate the intersection impacts from the MPAH amendment request. The costs of the proposed improvements will be identified in the MOU, and will include a provision for cost changes based on the California Construction Cost Index. If an alternative improvement is identified beyond those listed on Table 1, or if a buyout option is desired, there must be agreement for the alternative amongst the appropriate jurisdictions.

- Impacted intersections outside of Santa Ana (4 intersections)
 - **Intersection #3: Euclid Street/Edinger Avenue**
 - City of Fountain Valley should include the improvement in their CIP. The improvement should be implemented prior to the intersection reaching the pre-amendment to the MPAH ICU.
 - The City of Santa Ana shall fund, at minimum, their fair share of the improvements for the Euclid Street and Edinger Avenue intersection.
 - **Intersection #91: Tustin Street/Fairhaven Avenue**
 - This intersection will remain at its existing configuration. Therefore the City of Orange has opted to not be a party to this MOU.
 - **Intersection #98: Red Hill Avenue/Warner Avenue**
 - City of Tustin should include the improvement in their CIP. The improvement should be implemented prior to the intersection reaching the pre-amendment to the MPAH ICU.
 - The City of Santa Ana will monitor the Red Hill Avenue and Warner Avenue intersection every two years, and will provide monitoring results to the City of Tustin. Monitoring will begin two years after the MOU is executed.
 - Once the pre-amendment to the MPAH ICU level is reached, the City of Santa Ana will pay for the cost of the Red Hill Avenue and Warner Avenue improvement.
 - **Intersection #96: SR-55 NB Ramps / Del Amo Avenue and Newport Avenue**
 - The City of Santa Ana shall maintain funding available for a minimum of 10 years to contribute their fair share of the improvement to the agency leading the improvement at this intersection.
- Impacted intersections within Santa Ana (6 intersections)
 - **Intersection #44 (Flower Street & 1st Street)**
 - City of Santa Ana shall not reduce the existing northbound lane configuration.
 - **Intersections #81 (Grand Avenue & McFadden Avenue) and #92 (Santa Clara Avenue & Tustin Avenue)**
 - City of Santa Ana shall not reduce the existing lane configurations.

	<ul style="list-style-type: none"> ○ Intersection #63 (Standard Avenue & 4th Street) <ul style="list-style-type: none"> ▪ City of Santa Ana shall construct NB/SB: 1L, 1T, 1R and EB/WB: 1L, 1T, 1TR. ○ Intersections #34 (Bristol Street & 1st Street) and #37 (Bristol Street & Segerstrom Avenue) <ul style="list-style-type: none"> ▪ City of Santa Ana shall add the improvement to their CIP and implement the project (1) within the CIP horizon year; (2) before the ICU exceeds the pre-amendment to the MPAH ICU trigger; or (3) during construction of the City of Santa Ana's complete street project(s) if the intersection improvement falls along such a facility, whichever occurs first.
Proposed Transit Improvements	<p>Transit Operation Impacts</p> <ul style="list-style-type: none"> • OCTA shall lead a cooperative study funded by the City of Santa Ana to identify appropriate and feasible transit improvements (including but not limited to queue-jump lanes and transit signal priorities) to maintain or improve OCTA's high quality transit service. The cooperative study shall not exceed \$250,000. • The cooperative study shall be completed prior to the construction of the complete street projects along 1st Street and McFadden Avenue. • City of Santa Ana and OCTA shall coordinate to implement transit improvements identified from the cooperative study. The cooperative study will identify the funding and implementation responsibilities between the City of Santa Ana and OCTA. If improvements are located along facilities proposed for MPAH reclassification, the improvements shall be made prior to or at the time of construction of the complete street project. • The City of Santa Ana may apply for grant or Measure M2 funding to implement the transit improvements.
Progress	The City of Santa Ana shall provide OCTA with a status report on the progress of the cooperative study and subsequent implementation of transit improvements and strategies every odd year through the MPAH Certification Review Process of the Measure M2 Eligibility Submittal.
Amendments	MOU may only be amended in writing at any time by the consent of all Parties. No amendment shall have any force or effect unless executed in writing by all Parties.
Termination	The MOU shall continue in full force and effect until all terms and conditions of this MOU are implemented, unless terminated earlier by mutual written consent by the parties to this MOU.

Table 1: Intersection LOS Improvement / Mitigation Measures

ID	INTERSECTION	JURISDICTION	IMPROVEMENT / MITIGATION	2045 No Project ¹ ICU, LOS
3	Euclid Street and Edinger Avenue	Fountain Valley	<ul style="list-style-type: none"> Option 1: Convert WB-RT to shared TR Option 2: Add a LT lane EB direction only. Option 3: Add a LT lane for both EB and WB directions. 	AM: 0.99, E
34	Bristol Street and 1st Street	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project configuration for WB approach <ul style="list-style-type: none"> WB approach to be: 1L, 2T, 1TR Add EB right-turn pocket 	AM: 0.90, E PM: 0.90, E
37	Bristol Street and Segerstrom Avenue	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project configurations for EB/WB approaches <ul style="list-style-type: none"> EB/WB approaches to be: 1LT, 2T, 1TR Add NB right-turn pocket 	PM: 0.90, E
44	Flower Street and 1st Street	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project configurations for NB approach <ul style="list-style-type: none"> NB approach to be: 1L, 2T, 1R 	PM: 0.90, E
63	Standard Avenue and 4th Street	Santa Ana	<ul style="list-style-type: none"> Construct this intersection with the following approaches <ul style="list-style-type: none"> NB / SB to be: 1L, 1T, 1 R EB / WB to be: 1L, 1T, 1TR 	AM: 0.94, E PM: 0.90, E
81	Grand Avenue and McFadden Avenue	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project configuration for EB approach <ul style="list-style-type: none"> EB approach to be: 1L, 1T, 1TR 	AM: 0.90, E
91	Tustin Street and Fairhaven Avenue	Orange	<ul style="list-style-type: none"> Maintain the existing lane configuration at this intersection. Orange has requested to opt out of the MOU. 	N/A
92	Tustin Avenue and Santa Clara Avenue	Santa Ana	<ul style="list-style-type: none"> Maintain 2045 No Project lane configurations for EB and WB approaches <ul style="list-style-type: none"> EB and WB approaches to be: 1L, 1T, 1TR 	AM: 1.82, F
96	SR-55 NB Ramps / Del Amo Avenue and Newport Avenue	Caltrans (in Tustin)	<ul style="list-style-type: none"> Add a second SB right-turn lane 	PM: 39.1, D
98	Red Hill Avenue and Warner Avenue	Tustin / Santa Ana	<ul style="list-style-type: none"> Add a second left-turn lane to the EB approach. 	PM: .88, D

¹ The No Project 2045 Intersection Capacity Utilization (ICU), Level of Service (LOS) is also known as the pre-amendment to the MPAH ICU. For intersections operating at an acceptable LOS in the 2045 No Project, the improvement / mitigation should be implemented before the intersection reaches an unacceptable LOS.

Eastbound Dual Left Turn Lanes on Warner Avenue at Red Hill Avenue

Preliminary Cost Estimate

Date: 09/24/20

By: Ruben Castañeda

Detail	Construction Note	Bid Item #	Units	Total	Price	Cost
1	Mobilization		LS	1	\$15,000.00	\$15,000.00
2	Traffic Control		LS	1	\$20,000.00	\$20,000.00
3	Install Thermoplastic White Lane Line Per City of SA (1125B-1, Detail "1")		LF	1600	\$1.00	\$1,600.00
4	Install Thermoplastic Turn Lane Line Per City of SA (1125B-1, Detail "2")		LF	350	\$2.50	\$875.00
5	Install Thermoplastic Double Yellow Line Per City of SA (1125B-1, Detail "4")		LF	20	\$5.00	\$100.00
6	Install Thermoplastic White Lane Line Extension Per City of SA STD. Plan NO. 1125B-2. Detail "8"		LF	150	\$2.00	\$300.00
7	Install Thermoplastic 4" Yellow Left Edge Line (CT A20B, Detail "25A")		SF	500	\$2.00	\$1,000.00
8	Install Thermoplastic Legends and Arrows, as Shown		EA	6	\$250.00	\$1,500.00
9	Install Thermoplastic 12" Wide White Crosswalk Lines		SF	220	\$3.00	\$660.00
10	Remove Conflicting striping (Grinding/Sandblasting)		LF	1600	\$2.00	\$3,200.00
11	Remove Legends and Arrows (Grinding/Sandblasting)		EA	2	\$200.00	\$400.00
12	Install New 2" Square Steel Post and Sign Per (STD. Plan 1504)		EA	2	\$275.00	\$550.00
13	Install New Sign on Traffic Signal Mast Arm		EA	1	\$450.00	\$450.00
14	PCC Curb (Type B-1)		LF	500	\$45.00	\$22,500.00
15	Raised Median Concrete		SF	1000	\$30.00	\$30,000.00
16	AC Pavement Per Plan (assumed 15" deep lift street section)		TN	375	\$150.00	\$56,250.00
17	Unclassified Excavation (assumed 15" deep excavation)		CY	244	\$200.00	\$48,800.00
18	Install new sign(s) and post		EA	2	\$150.00	\$300.00
19	Install Type "E" Loop		EA	9	\$350.00	\$3,150.00
20	Install Type "D" Bike Loop		EA	5	\$450.00	\$2,250.00
21	Remove and Salvage Traffic Signal Pole and Mastarm		LS	1	\$5,000.00	\$5,000.00
22	Traffic Signal Rewire Intersection		LS	1	\$15,000.00	\$15,000.00
23	Furnish and Install Traffic Signal Pole, Mastarm and Foundation		LS	1	\$50,000.00	\$50,000.00
					SUBTOTAL	\$278,885.00
					TOTAL PROJECT COST	\$278,885.00
					10% CONTINGENCY	\$27,888.50
					15% CONSTRUCTION\ENGINEERING	\$41,832.75
					GRAND TOTAL PROJECT COST	\$348,606.25



CITY OF COSTA MESA

CALIFORNIA 92628-1200

P. O. BOX 1200

FROM THE OFFICE OF THE DIRECTOR, DEPARTMENT OF PUBLIC SERVICES

September 3, 2020

Nabil Saba, P.E.
Executive Director
Public Works Agency
City of Santa Ana
20 Civic Center Plaza
Santa Ana, CA 92701

RE: CITY OF SANTA ANA PROPOSED MASTER PLAN OF ARTERIAL HIGHWAYS (MPAH) RECLASSIFICATIONS

Dear Mr. Saba:

The City of Costa Mesa has reviewed the July 2020 traffic study prepared by IBI Group analyzing proposed Master Plan of Arterial Highways (MPAH) reclassifications in various locations throughout Santa Ana (see attached map). Following review of this traffic study and discussions between our cities, the City of Costa Mesa does not have any outstanding concerns regarding potential traffic impacts from these proposed reclassifications. We are supportive of the City of Santa Ana's request for an MPAH amendment for these roadway changes.

If you have any questions, please do not hesitate to contact Jennifer Rosales at 714-754-5343 or by email at jennifer.rosales@costamesaca.gov.

Sincerely,

Raja Sethuraman
Public Services Director

c Jennifer Rosales, Transportation Services Manager

Enclosure





September 15, 2020

Mr. Nabil Saba, P.E.
Executive Director
Public Works Agency
City of Santa Ana
20 Civic Center Plaza
Santa Ana, CA 92701

**Re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH)
Reclassifications**

Dear Mr. Saba,

Thank you for the opportunity to review the July 2020 traffic study prepared by IBI Group analyzing proposed Master Plan of Arterial Highways (MPAH) reclassifications in various locations throughout the City of Santa Ana. Following review of this traffic study and discussions between our cities, the City of Irvine does not have any outstanding concerns regarding potential traffic impacts from these proposed reclassifications. We are supportive of the City of Santa Ana's request for an MPAH amendment for these roadway changes.

If you have any questions or require additional information from the City, please contact Melissa Dugan, Supervising Transportation Analyst at 949-724-7384 or mdugan@cityofirvine.org.

Sincerely,

Mark A. Steuer
Director of Public Works and Transportation



City of Westminster

8200 Westminster Boulevard, Westminster, CA 92683 714.898.3311
www.westminster-ca.gov

September 9, 2020

Nabil Saba, P.E.
Executive Director
Public Works Agency
City of Santa Ana
20 Civic Center Plaza
Santa Ana, CA 92701

TRI TA
Mayor

KIMBERLY HO
Vice Mayor

SERGIO CONTRERAS
Council Member

TAI DO
Council Member

CHI CHARLIE NGUYEN
Council Member

SHERRY JOHNSON
Interim City Manager

Re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH) Reclassifications

Dear Mr. Saba,

The City of Westminster has reviewed the July 2020 Traffic Analysis prepared by IBI Group regarding the proposed Master Plan of Arterial Highways (MPAH) reclassifications at various locations throughout Santa Ana. Following review of this traffic analysis and discussions between our cities and OCTA, the City of Westminster does not have any outstanding concerns regarding potential traffic impacts from these proposed reclassifications. We are supportive of the City of Santa Ana's request for an MPAH Amendment for these roadways.

Sincerely,

Marwan Youssef, Ph.D., P.E.
Public Works Director/City Engineer



County Administration South
601 North Ross Street
Santa Ana, CA 92701

P.O. Box 4048
Santa Ana, CA 92702

(714) 667-8800

info@ocpw.ocgov.com

OCPublicWorks.com

 Administrative Services

 OC Development Services

 OC Facilities Design & Construction Management

 OC Facilities Maintenance & CUF

 OC Fleet Services

 OC Construction

 OC Environmental Resources

 OC Operations & Maintenance

 OC Infrastructure Programs

 OC Survey



September 3, 2020

Nabil Saba, P.E.
Executive Director
Public Works Agency
City of Santa Ana
20 Civic Center Plaza
Santa Ana, CA 92701

Re: City of Santa Ana Proposed Master Plan of Arterial Highways (MPAH) Reclassifications

Dear Mr. Saba,

Orange County Public Works has reviewed the July 2020 traffic study prepared by IBI Group analyzing proposed Master Plan of Arterial Highways (MPAH) reclassifications in various locations throughout Santa Ana.

Overall, Orange County Public Works is supportive of the proposed amendments. As the studies progress, we are requesting that the following key comments be addressed:

- **Broadway between 1st and 17th (Secondary to Divided Collector)**
Broadway is one of the streets being amended; therefore, the report should include both Roadway Segment and Intersection LOS analysis for current year (2020) conditions as well as a future year (2045) forecast c.
- **1st Street between Bristol St. and Tustin Ave (Major to Primary)**
Currently the roadway segment between Main Street to Standard Avenue carries an ADT of 42,699 and the LOS is C as a Major Arterial, which is the acceptable LOS Per Orange County Highway Design Manual. Amending the roadway to a Primary will result in an unacceptable LOS on this segment.

Thank you for the opportunity to provide comments on the draft study report. Should you have questions on our comments, please do not hesitate to contact my staff, Wei Zhu, at (714) 647-3976 or wei.zhu@ocpw.ocgov.com

Sincerely,



Nardy Khan, PE/PMP
Deputy Director, Infrastructure Programs

Attachment: 20.07.21 SAGP Traffic Impact Analysis_ocpw comments

DEPARTMENT OF TRANSPORTATION

DISTRICT 12

1750 EAST FOURTH STREET, SUITE 100

SANTA ANA, CA 92705

PHONE (657) 328-6267

FAX (657) 328-6510

TTY 711

www.dot.ca.gov*Making Conservation
a California Way of Life.*

August 17, 2020

Mr. Verny Carvajal
City of Santa Ana
20 Civic Center Plaza
Santa Ana, CA 92701

File: IGR/CEQA
SCH#: 2020029087
DOC#: 12-ORA-2018-01424
I-5, SR 22, SR 55

Dear Mr. Carvajal,

Thank you for including the California Department of Transportation (Caltrans) in the review of the Traffic Impact Study (TIS) for the proposed Update for the Santa Ana Master Plan for Arterial Highway (MPAH). The mission of Caltrans is to provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability.

The project proposes to make amendments to classifications of OCTA's Master Plan of Imperial Highways. The project amendments are Citywide, near Caltrans facilities on Interstate 405 (I-405), State Route 22 (SR 22), and SR 55. Caltrans is a responsible agency and has the following comments:

Transportation Planning:

1. Caltrans fully supports the City's efforts to providing multimodal transportation options through the OC Streetcar. Amendments to the MPAH should reflect current and future plans for OC Streetcar alignment and expansion. Ensure the any amendments would support any land use changes that may come during the lifetime of the OC Streetcar.
2. Ensure that any amendments to the MPAH will not impede on bicycle and pedestrian circulation, connectivity, and safety.

Traffic Operations:

3. Please explain the methodology for acquiring traffic volumes at intersections within Caltrans Right-of-Way. If traffic volumes were taken as throughput counts (traffic discharged counts during green phases) and not demand counts (traffic counts upon arrival to the intersections, the analysis may underestimate the extent of delays at the intersections.

Throughput counts may not reflect the future traffic conditions and underestimate the extent of the delays at the intersections.

Permits:

4. Any project work proposed in the vicinity of the State ROW would require an encroachment permit and all environmental concerns must be adequately addressed. If the environmental documentation for the project does not meet Caltrans's requirements for work done within State ROW, additional documentation would be required before approval of the encroachment permit. Please coordinate with Caltrans to meet requirements for any work within or near State ROW. For specific details for Encroachment Permits procedure, please refer to the Caltrans's Encroachment Permits Manual at:
<http://www.dot.ca.gov/hq/traffops/developserv/permits/>

Please continue to keep us informed of this project and any future developments that could potentially impact State transportation facilities. If you have any questions or need to contact us, please do not hesitate to contact Jude Miranda at (657) 328-6229 or Jude.Miranda@dot.ca.gov.

Sincerely,



SCOTT SHELLEY
Branch Chief, Regional-IGR-Transit Planning
District 12

Status Report on Active Master Plan of Arterial Highways Amendments

	City	Street	From	To	Type of Amendment	Status
1	Costa Mesa	Bluff Road	19th Street	Victoria Street	Delete.	On hold pending final consensus on Banning Ranch Circulation Plan.
2	Costa Mesa	19th Street	Placentia Avenue	West City Line	Reclassify from Primary to Divided Collector.	On hold pending coordination with City of Newport Beach General Plan Update.
3	County of Orange / Lake Forest	Santiago Canyon Road	SR-241 NB Ramp	Live Oak Canyon	Reclassify from Primary to Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
4	County of Orange/ Irvine	Jeffrey Road	SR-241	Santiago Canyon Road	Delete.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
5	County of Orange	Black Star Canyon	Silverado Canyon Road	Orange/Riverside County Line	Delete.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
6	County of Orange	Chiquita Canyon Drive	Fauna Drive	Esencia Drive	Reclassify from Secondary to Divided Collector.	Amendment request received September 15, 2020 and is currently under OCTA staff review.
7	County of Orange	Fauna Drive	Chiquita Canyon Drive	Esencia Drive	Reclassify from Secondary to Collector.	Amendment request received September 15, 2020 and is currently under OCTA staff review.
8	County of Orange	Esencia Drive	Andaza Street	Fauna Drive	Reclassify from Secondary to Collector.	Amendment request received September 15, 2020 and is currently under OCTA staff review.
9	County of Orange /San Clemente	Cristianitos Road Extension	South of Cow Camp Road	Current Terminus	Replace with Los Patrones Parkway Extension from south of Cow Camp Road to La Pata as a Primary Arterial.	Amendment request received September 15, 2020 and is currently under OCTA staff review.
10	San Clemente	N. El Camino Real	Avenida Pico	Camino Capistrano	Reclassify from Secondary to Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
11	San Clemente	Camino Del Rio	Camino De Los Mares	Avenida La Pata	Reclassify from Secondary to Divided Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.

Status Report on Active Master Plan of Arterial Highways Amendments

	City	Street	From	To	Type of Amendment	Status
12	San Clemente	Camino De Los Mares	Camino Vera Cruz	Camino Del Rio	Reclassify from Secondary to Divided Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
13	San Clemente	Camino Mira Costa	Camino De Estrella	Camino Capistrano	Reclassify from Secondary to Divided Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
14	San Clemente	Camino Capistrano	Del Gado Road	Coast Hwy/ N El Camino Real	Reclassify from Secondary to Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
15	San Clemente	South El Camino Real	Avenida Mendocino	Southern City Limit	Reclassify from Secondary to Divided Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
16	San Clemente	Camino Vera Cruz	Riachuelo	Via Blanco/ Arbolado	Reclassify from Secondary to Divided Collector.	Amendment request received October 5, 2020 and is currently under OCTA staff review.
17	Santa Ana	Fourth Street	French Street	Grand Avenue	Reclassify from Secondary to Divided Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
18	Santa Ana	Santa Ana Boulevard	Raitt Street	Flower Street	Reclassify from Major to Divided Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
19	Santa Ana	Santa Ana Boulevard	Flower Street	Ross Street	Reclassify from Major to Primary.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.
20	Santa Ana	Santa Ana Boulevard	French Street	Santiago Street	Reclassify from Primary to Divided Collector.	The amendment was conditionally approved by the Board. Waiting for documentation confirming completion of CEQA and general plan change.

Status Report on Active Master Plan of Arterial Highways Amendments

	City	Street	Status
21	Santa Ana	<p>The City of Santa Ana is proposing a citywide Master Plan of Arterial Highways amendment.</p> <p>This amendment will reclassify:</p> <ul style="list-style-type: none"> - Cambridge Street between, Fairhaven Avenue and SR-55 Freeway, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Santa Clara Avenue, between Grand Avenue and Tustin Avenue, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Broadway Street, between 1st Street and 17th Street, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Penn Way, between I-5 SB on/off ramps and Washington Avenue, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Santiago Avenue, between Washington Avenue and 6th Street, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Standard Avenue, between 6th Street and Warner Avenue, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Civic Center Drive, between French Street and Santiago Street, from a Secondary (four-lane, undivided) to a Collector (two-lane, undivided) arterial. - Civic Center Drive between Fairview Street and Bristol Street, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Hazard Avenue, between Euclid Street and Harbor Boulevard, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Raitt Street, between Segerstrom Avenue and Santa Ana Boulevard, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - 1st Street between Bristol Street and Tustin Avenue, from a Major (six-lane, divided) to a Primary (four-lane divided) arterial. - Chestnut Avenue, between Standard Avenue and Grand Avenue from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Chestnut Avenue, between Grand Avenue the eastern city limit, from a Primary (four-lane, divided) to a Divided Collector (two-lane, divided) arterial. - McFadden Avenue, between Harbor Boulevard and Grand Avenue, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Flower Street, between Warner Avenue and First Street, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. - Halladay Avenue, between Warner Avenue and Dyer Road, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial. 	Amendment is being presented to the Board for consideration.

Status Report on Active Master Plan of Arterial Highways Amendments

	City	Street				Status
21 con't	Santa Ana	This amendment will remove the following segments from the Master Plan of Arterial Highways: <ul style="list-style-type: none"> - Flower Street, between 17th Street and its northern terminus. - Logan Street, between Stafford Street and Santa Ana Boulevard. - Stafford Street, between proposed Logan Street and Santiago Street. 				Amendment is being presented to the Board for consideration.
22	Santa Ana/Orange	Fairhaven Avenue	Grand Avenue	Tustin Avenue	Reclassify from Secondary to Divided Collector.	Amendment is being presented to the Board for consideration.
Memorandum of Understanding	Costa Mesa/ Fountain Valley/ Huntington Beach	Garfield Avenue/ Gisler Avenue Crossing over the Santa Ana River	Santa Ana River Westbank	Santa Ana River Eastbank	Reclassify from Secondary to Right-of-Way Reserve Status.	The cities of Costa Mesa, Fountain Valley, Huntington Beach, and OCTA entered a memorandum of understanding (C-6-0834). Reasonable progress has been made on implementation of 19 of the 25 mitigation measures that were specified. All improvements are required to be completed by 2025, at which time OCTA will revisit the designation of the Garfield Avenue/Gisler Avenue Bridge.

CEQA – California Environmental Quality Act
 Board – Board of Directors
 I-5 – Interstate 5
 NB – Northbound
 SR-55 – State Route 55
 SR-241 - State Route 241
 NB - Northbound
 OCTA - Orange County Transportation Authority
 SB - Southbound

Amendments to the Master Plan of Arterial Highways

Background

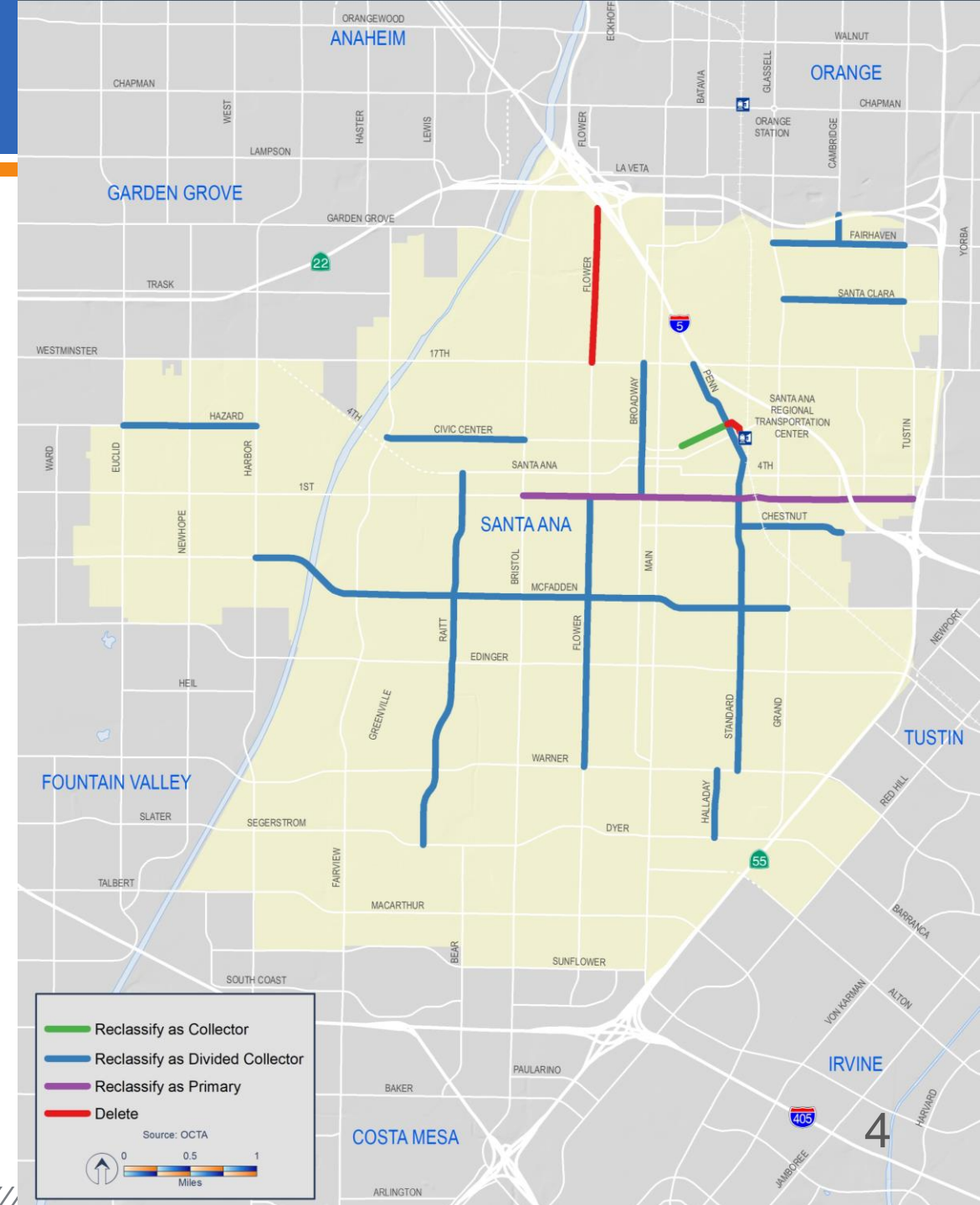
- The City of Santa Ana (Santa Ana) proposed a Circulation Element update to add active transportation options for pedestrians and bicyclists
- The changes require an MPAH amendment to maintain Measure M2 consistency
- Santa Ana submitted request for amendment in January 2020
- City Council adoption is anticipated on November 17, 2020₂

MPAH Amendment Process – Review and Consensus

- MPAH amendment requires:
 - OCTA to review the request and traffic study
 - OCTA to engage affected agencies to ensure consensus on the MPAH amendment
- Traffic study shared with the following nine agencies:
 - Costa Mesa
 - Fountain Valley
 - Garden Grove
 - Irvine
 - Orange
 - Tustin
 - Westminster
 - County of Orange
 - Caltrans

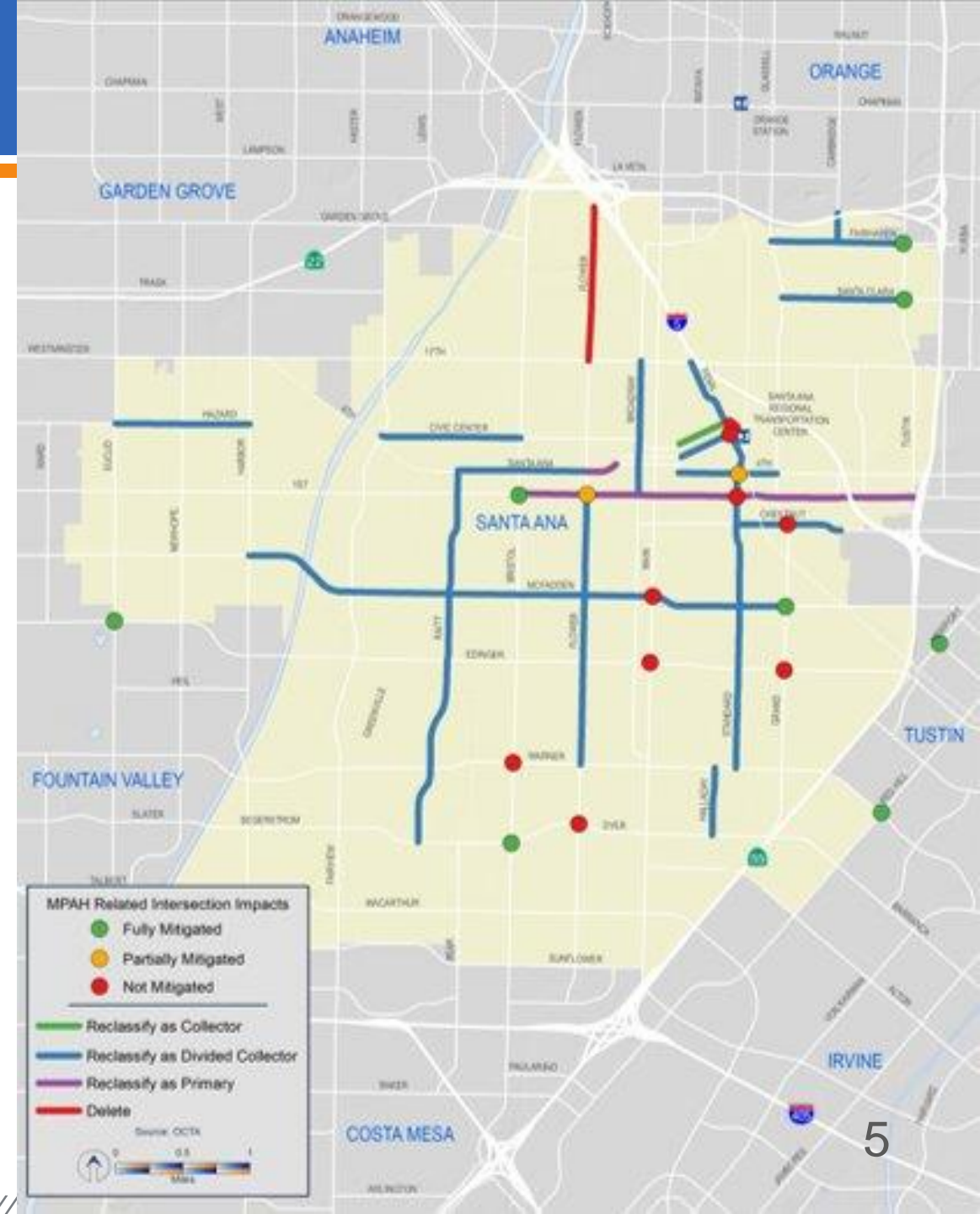
Proposed Amendments

- Reclassify 17 arterial segments
 - Reduces lanes on existing and planned streets
- Remove three arterial segments
 - Streets will be considered local and no longer on the MPAH



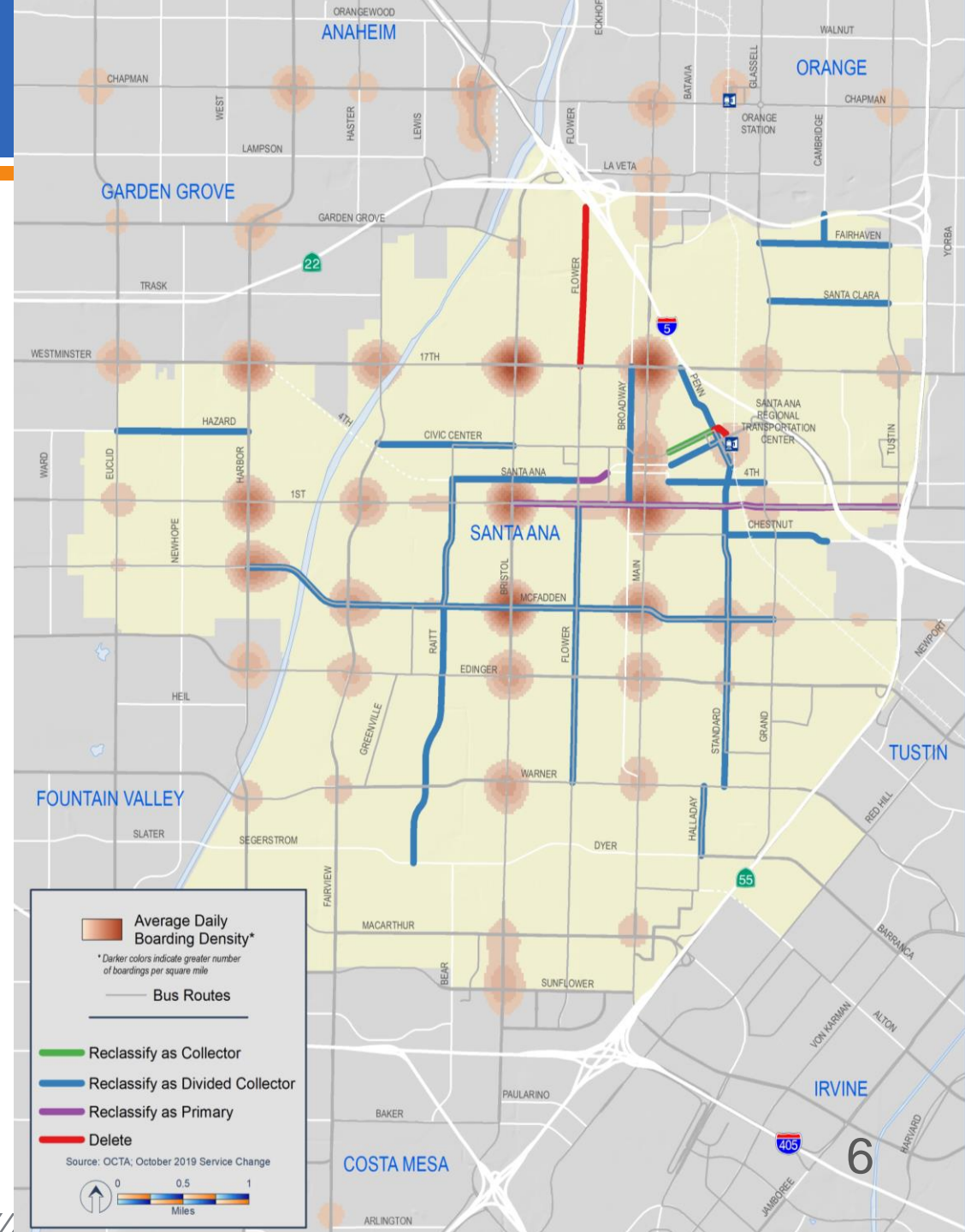
Traffic Study Results

- 105 intersections analyzed
- 18 intersections impacted
- All impacted intersections outside Santa Ana are fully mitigated
- Santa Ana is modifying a segment bordering the City of Orange
 - No impact to the City of Orange



Transit Impacts

- Lane reductions may slow transit speed
- OCTA bus routes effected:
 - 64 – 1st Street
 - 66 – McFadden Avenue



Memorandum of Understanding & Support Letters

- Participating Parties: OCTA and the cities of Santa Ana, Fountain Valley, and Tustin
- Agreed-upon mitigation measures
 - Intersections – Santa Ana to fund its fair share of the improvements
 - Transit – Santa Ana to fund cooperative study led by OCTA to identify transit improvements
- Santa Ana received letters of support from eight adjacent agencies
- Santa Ana has sent a letter to the City of Garden Grove regarding the intent to coordinate the future of the Willowick Golf Course property 7

Next Steps

- Staff recommends conditional approval of the MPAH amendments
 - MPAH amendment for all segments except Fairhaven Avenue to be finalized when:
 - The MOU is signed by all Parties; and
 - Santa Ana's General Plan has been updated
 - Santa Ana and the City of Orange to address Fairhaven Avenue changes through General Plan updates
 - MPAH amendment finalized when Santa Ana and Orange General Plans have been updated
- Santa Ana General Plan Public Hearings
 - Planning Commission – November 5th
 - City Council – November 17th



COMMITTEE TRANSMITTAL

November 9, 2020

To: Members of the Board of Directors

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

Subject: Measure M2 Next 10 Delivery Plan: Market Conditions Key Indicators Analysis and Forecast

Executive Committee Meeting of November 2, 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

Continue to monitor market conditions key indicators and their effects on the Next 10 Delivery Plan and provide updates to the Board of Directors as appropriate.



November 2, 2020

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Measure M2 Next 10 Delivery Plan: Market Conditions Key Indicators Analysis and Forecast

Overview

At the request of the Board of Directors, the Orange County Transportation Authority monitors construction market conditions. Annually, a report on Market Conditions Key Indicators Analysis and Forecast is presented to the Board of Directors to provide insight into potential project delivery cost drivers that could affect the Measure M2 Next 10 Delivery Plan. An updated forecast has been prepared. A presentation on the results of this effort is provided.

Recommendation

Continue to monitor market conditions key indicators and their effects on the Next 10 Delivery Plan and provide updates to the Board of Directors as appropriate.

Background

On November 7, 2006, Orange County voters approved the renewal of Measure M (M2), the one-half cent sales tax for transportation improvements. The Orange County Transportation Authority (OCTA) Board of Directors (Board) continues to advance the implementation of M2 commitments by adopting a series of delivery plans. The delivery plans are designed to validate the ability to implement all projects and programs through 2041 as promised to the voters. The delivery plans consider the cost and timing of the transportation improvements, fluctuations in sales tax revenue projections, access to external revenue, and the use of bonding when necessary.

In 2016, the Board directed staff to acquire better insight into the construction market outlook. The intent was to provide insight into near-term construction market conditions in tandem with the revenue outlook to assist with prudent project delivery decisions. OCTA retained the Orange County Business Council (OCBC), led by Dr. Wallace Walrod, Chief Economic Advisor to OCBC,

and Dr. Marlon Boarnet, Professor and Chair of the Department of Urban Planning and Spatial Analysis at the University of Southern California.

The results of the initial analysis were presented to the Board in September 2017. The analysis identified several near-term cost indicators that could influence the construction market and, by extension, the M2 project delivery. These included: the pace of transportation construction programs in the neighboring counties (resulting in the strained supply of materials and workers), construction wage pressures, sustained low statewide unemployment, and residential construction demand. Overall, OCBC's analysis identified a strong potential that during the Next 10 delivery years, OCTA could experience an increasing cost environment.

Following the presentation, the Board directed staff to continue to work with OCBC to monitor and track the indicators and provide the Board with updates to cost risk factors on project delivery. In response, OCBC spent early 2018 analyzing trends and creating an Infrastructure Construction Cost Index (ICCI) model. On September 10, 2018, OCBC presented their ICCI model and their forecast for 2018, 2019, and 2020 cost fluctuation range to the Board.

Discussion

OCBC continues to analyze trends in material costs, labor costs, and general economic conditions and trends. Relevant data for each model component is analyzed to determine a range of potential cost impacts. The fall 2020 update provides a three-year forecast through 2023 and is summarized in Attachment A. The attachment also lists the forecasts from prior years for reference and shows how well the forecasts have held up. The full report on the ICCI model update is included as Attachment B.

The ICCI model is designed to be a forecasting tool, with scores indicating public construction forecast cost fluctuations. Index scores of two and three indicate somewhat normal inflationary environments. A value of four is a high inflation environment. A value of one is a low inflation/deflationary environment. Values of zero and five correspond to the extreme conditions observed in Orange County immediately before and during the Great Recession and the high cost inflation environment that occurred in the building boom years of the early 2000s.

Using the ICCI model, OCBC estimates a score of one in 2021 and 2022, and a score of three in 2023. An ICCI score of one represents a potential range of cost fluctuation of negative two to one percent, and a score of three represents a potential cost increase range of two percent to six percent.

OCBC Orange County Transportation ICCI Score, 2021-2023		
Year	Index Score	Range of Cost Fluctuation
2021	1	-2% to 1%
2022	1	-2% to 1%
2023	3	2% to 6%

The update points to tempering market conditions compared to the spring 2020 forecast as cost pressures have slowed in the most recent data available. For example, a change from a low unemployment economy to that of a high unemployment economy due to the coronavirus (COVID-19) pandemic has lowered the risk for higher labor costs. In addition, building permits in California have slowed down, and building material costs have stabilized. As in prior forecasts and especially with COVID-19, OCBC indicates that OCTA will also need to be aware and ready to respond to cost pressures that cannot be modeled. Examples of such forces include:

- Tariffs and associated effects on the cost of materials from the nation's changing trade policy;
- Regulatory requirements and changes that create additional hurdles during the bidding process; and
- Future potential economic shutdowns related to COVID-19 spread.

Overall, OCBC's analysis identifies a potential that during 2021 and 2022, OCTA is likely to experience a low inflation cost environment followed by a more normal inflationary environment in 2023. OCTA is well-positioned to take advantage of the low inflation cost environment, as the M2 State Route 55 Widening Project between Interstate 405 and Interstate 5 and will be seeking construction bids within this timeframe.


Summary

OCTA has prepared an update on construction market conditions to help with M2 project delivery planning. The update considers fluctuations in material costs, labor costs, and general economic conditions and trends. The Market Conditions Key Indicators Analysis and Forecast concludes that OCTA may experience a tempering cost environment in 2021 and 2022, with potential cost increase ranging from two to six percent in 2023.

Attachments

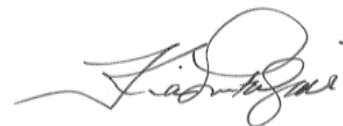
- A. Orange County Business Council, Orange County Transportation Infrastructure Construction Cost Index Score, Fall 2018 through Fall 2020 Forecasts
- B. Orange County Business Council, Orange County Transportation Infrastructure Construction Cost Pressure Index, Fall 2020, Prepared for the Orange County Transportation Authority

Prepared by:



Francesca Ching
Section Manager,
M2 Program Management Office
(714) 560-5625

Approved by:



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

**Orange County Business Council
Orange County Transportation Infrastructure Construction
Cost Index Score
Fall 2018 through Fall 2020 Forecasts**

Fall 2018

OCBC Orange County Transportation ICCI Score, 2018-2020		
Year	Index	Cost Increase Range (annual)
2018	4	6% - 11%
2019	3	2% - 6%
2020	3	2% - 6%

Spring 2019

OCBC Orange County Transportation ICCI Score, 2019-2021		
Year	Index	Cost Increase Range (annual)
2019	4	6% - 11%
2020	3	2% - 6%
2021	3	2% - 6%

Fall 2019

OCBC Orange County Transportation ICCI Score, 2020-2022		
Year	Index	Cost Increase Range (annual)
2020	3	2% - 6%
2021	3	2% - 6%
2022	3	2% - 6%

Spring 2020

OCBC Orange County Transportation ICCI Score, 2020-2022		
Year	Index	Cost Increase Range (annual)
2020	3	2% - 6%
2021	2	1% - 2%
2022	2	1% - 2%

Fall 2020

OCBC Orange County Transportation ICCI Score, 2021-2023		
Year	Index	Cost Increase Range (annual)
2021	1	-2% - 1%
2022	1	-2% - 1%
2023	3	2% - 6%

Orange County Business Council
Orange County Transportation Infrastructure Construction Cost Pressure Index
Fall 2020
Prepared for the Orange County Transportation Authority

OCBC Research Team

Dr. Wallace Walrod – Chief Economic Advisor, Orange County Business Council.

Dr. Marlon Boarnet – Professor and Chair, Department of Urban Planning and Spatial Analysis, University of Southern California.

Benjamin Palmer – Research Associate, Orange County Business Council.

Background and Purpose

As a supplementary examination to the Next 10: Market Conditions Forecast and Risk Analysis study delivered by Orange County Business Council (OCBC) in September 2017, the Orange County Transportation Authority (OCTA) Board of Directors (Board) requested further study and exploration of potential cost fluctuations beyond existing cost analysis from the California Department of Transportation's (Caltrans) Construction Cost Index (CCI) and internal OCTA analysis. The OCTA Board requested an ongoing analysis of construction cost factors, with periodic updates. In response, the OCBC team developed the Orange County Transportation Infrastructure Construction Cost Pressure Index, which is updated every six months.

To develop the cost pressure index, the OCBC team analyzed annual trends in material costs, labor costs and general economic conditions to determine a range of potential cost increases with a time horizon that is typically three years into the future. The index updates begin by collecting relevant market data and indicators and then performing data analytics on to assess current cost pressure and forecast future cost pressure. In doing so, and providing these findings to the OCTA's Board, more accurate budgets can be determined reducing the potential risk of cost pressure and project delivery slowdowns due to financial constraints. This memo describes the September 2020 update, with annual cost pressure index forecasts to 2023.

Findings and Discussion

OCBC has updated the Orange County Transportation Infrastructure Construction Cost Pressure Index forecast for the remainder of 2020 and for 2021, 2022 and 2023. Results, and a comparison to the previous February 2020 forecasts, are shown below.

Year	Index	Cost Increase Range (annual)	Index (Feb. 2020) with annual cost increase range
2020	0	-17% to -2%	3 (2% to 6%)
2021	1	-2% to 1%	2 (1% to 2%)
2022	1	-2% to 1%	2 (1% to 2%)
2023	3	2% to 6%	not estimated

Orange County Business Council
Orange County Transportation Infrastructure Construction Cost Pressure Index
Fall 2020
Prepared for the Orange County Transportation Authority

The cost pressure index value for 2020 has dropped precipitously, from a 3 (2% to 6% annual cost increases) in February to a 0 (a deflationary cost environment, -2% to -17% annual cost changes) in the current update. Note that an index of zero corresponds to the most extreme deflationary time periods observed in the infrastructure construction environment in California in the past 30 years. For the balance of 2020, the cost pressure index predicts a deflationary environment. Following that, the index rises to a 1 for the next two years (annual cost changes from -2% to 1%) and then recovers to a more normal value of 3 (2% to 6% annual cost increases) in 2023.

The key model inputs for this update are being driven by the 2nd quarter (Q2) of 2020. Key data items, including the unemployment rate in California and the cost of infrastructure building materials, are based on the most recent data which compares Q2 2020 with Q2 2019. Those data reflect the pandemic-related recession during Q2 but do not reflect any economic recovery after June 2020.

All key index values, but especially California's unemployment rate and building materials cost values, dropped on an annualized basis based on changes from Q2 2019 to Q2 2020. Orange County construction wage data post-pandemic are not yet available – the most recent wage data are for the 1st quarter (Q1) of 2020.

The cost pressure index model shows clear declining cost pressure, with a predicted deflationary cost environment for the balance of 2020. Note the quadrupling of the California unemployment rate (Table 1), which is based on changes in Q2 of 2020. Moving forward, the unemployment rate in the state could decline as the economy recovers. The model is built to be robust to large movements in the input data, but we recommend continued monitoring to assess the effect of future changes in the economic environment. If the Q2 2020 data which are currently driving the model improve as the economy reopens, the construction cost environment may continue to change.

The key structural change in the past six months is the shift from a low unemployment to a high unemployment economy. Housing production continues to slow statewide. Materials costs, as of Q2 2020, were down (see the appendix.) The key question is whether the unemployment rate changes will persist and how economic factors will translate into construction wages.

Overall, the model suggests the county is currently in, on average, a deflationary environment for infrastructure costs, with a near-zero inflation environment forecast for 2021 and 2022, with modest deflation possible in those years. There is no sign of upward cost pressure as of the most recent data. Given the rapid changes in economic conditions, frequent updates to the model are recommended.

Orange County Business Council
Orange County Transportation Infrastructure Construction Cost Pressure Index
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Recent Data Trends

Table 1 shows the values for 2016 through 2019 and the 2020 values based on projections from quarterly data. The construction wage data for 2020 are based on projections from the 1st quarter of 2020, with other 2020 values are based on Q2 2020 data. Building permitting in California is slowing and the unemployment rate quadrupled on an annual basis from Q2 2019 to Q2 2020. Building materials costs have fallen for all tracked materials with the exception of Portland Cement Concrete (pavement).

Table 1: Infrastructure Cost Correlates, Annual Percentage Changes, 2016-2020

Year	California Building Permits	% change year-on-year	California Unemployment Rate	% change year-on-year	OC Construction Labor Costs (average annual wage)	% change year-on-year
2016	102,350	4.2%	5.5%	-11.6%	\$67,179	3.8%
2017	114,780	12.1%	4.8%	-12.9%	\$71,474	6.4%
2018	113,502	-1.1%	4.2%	-12.1%	\$74,669	4.5%
2019	109,904	-3.2%	4.0%	-4.8%	\$77,289	4.5%
2020*	84,707	-23%	16.6%	315%	\$80,743 **	3.7%

* 2020 values projected from year-on-year changes in quarterly data, Q2 of 2019 to Q2 of 2020.

** Based on Q1 2020 data.

The Caltrans Construction Cost Index (CCI) dropped 25% from Q1 to Q2 of 2020 – a large decline but not unprecedented. The Caltrans CCI dropped by 20% quarter to quarter in Q2 2014, Q2 2015, and Q4 2019.

Forecasting Method

OCBC used a series of regression analyses and forward-looking projections to create the Infrastructure Construction Cost Pressure Index. This Index provides a ranking from 0 to 5, with each rank corresponding to a range of percent changes in overall construction costs. Table 2 below highlights each Index ranking and the proposed range of cost fluctuations which have been provided on a low, midpoint, and high scale.

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Table 2: OCBC OC Transportation Infrastructure Construction Cost Pressure Index Score Ranking

Implied Range of Construction Cost Change

Index Score	Low	Midpoint	High
0	-17%	-9.5%	-2%
1	-2%	-0.5%	1%
2	1%	1.5%	2%
3	2%	4%	6%
4	6%	8.5%	11%
5	11%	25.5%	40%

These ranges are built to be forecasting tools, with scores indicating public construction forecast cost increase. Values of 2 and 3 indicate somewhat normal inflationary environments. A value of 4 is a high inflation environment. A value of 1 is a low inflation/deflationary environment. Values of 0 and 5 correspond to the most extreme conditions observed in Orange County over the past three decades, and hence the ranges for those values are wide due to the unusual nature of the highly deflationary environment that occurred immediately prior to and during the Great Recession and the high cost inflation environment that occurred in the building boom years of the early 2000s.

Methodology

To determine the Transportation Infrastructure Construction Cost Pressure Index, the OCBC team started by aggregating several datasets, measures, and indicators on an annual basis as far back as 1972. Among others, these measures included the Caltrans CCI, state-level building permits and unemployment rates, material costs, and construction labor costs.

The OCBC team examined how the various measures and indicators of construction costs varied with changes in (1) building permitting activity, (2) unemployment rates, (3) materials costs, (4) labor costs, and recent past trends in construction inflation. Using statistical analyses, the research team has built a forecasting model that projects forward cost increases and predicted cost increases are grouped into the categorical ranges shown above.

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Orange County Transportation Infrastructure Construction Cost Pressure Index
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Appendix: Changes in Infrastructure Materials Costs 2016-2020 (all values are percent year-on-year changes)

Year	Aggregate	PPC Pavement	PCC Structure	Steel Structure	Steel Bar
2016	9.4%	8.5%	7.6%	26.3%	35%
2017	24.2%	106.8%	26.9%	-51.0%	-21%
2018	18.9%	25.9%	17.2%	-58.8%	9.4%
2019	4.6%	-11%	-4.2%	0.8%	53.4%
2020*	-15.9%	58.8%	-24.5%	-51.9%	-75.2%

* 2020 values projected from year-on-year changes in quarterly data, Q2 2019 to Q2 2020.

Measure M2 Next 10 Delivery Plan: Market Conditions Key Indicators Analysis and Forecast

Orange County Transportation Infrastructure Construction Cost Pressure Index, Fall 2020

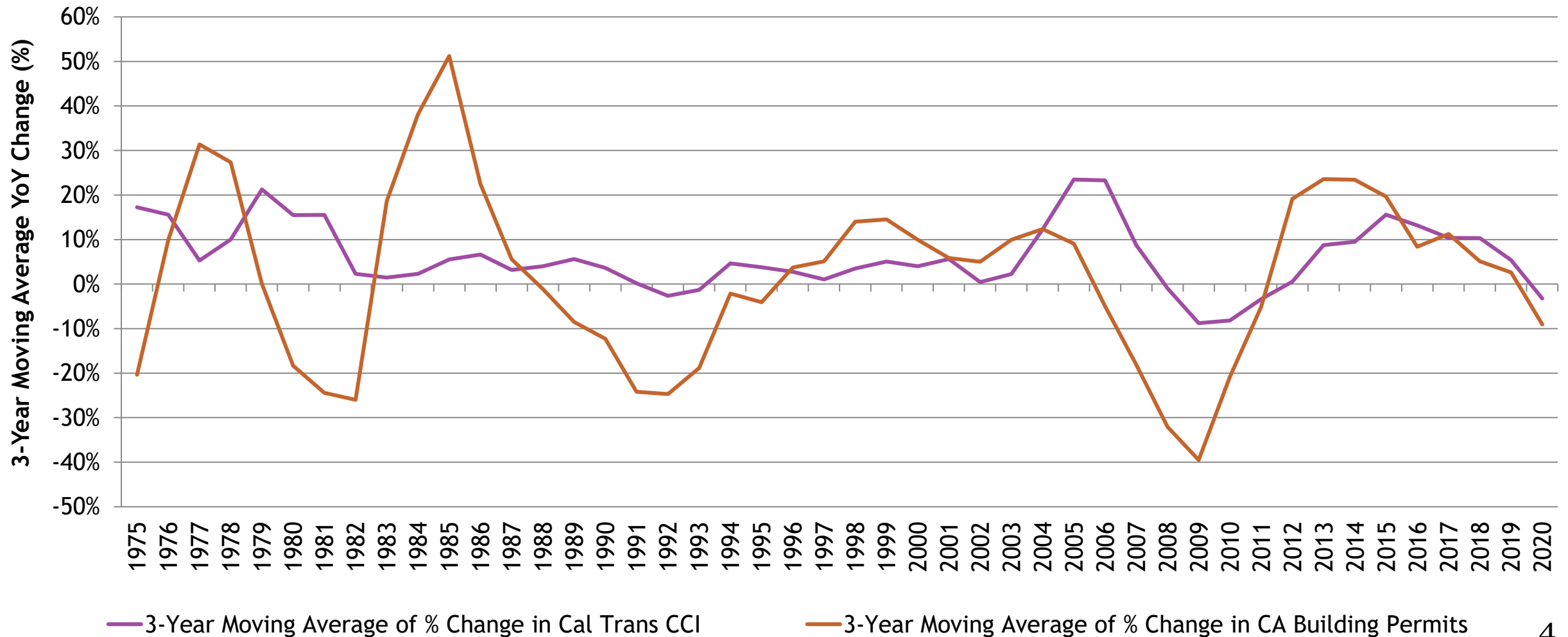
Orange County Business Council

September 2020

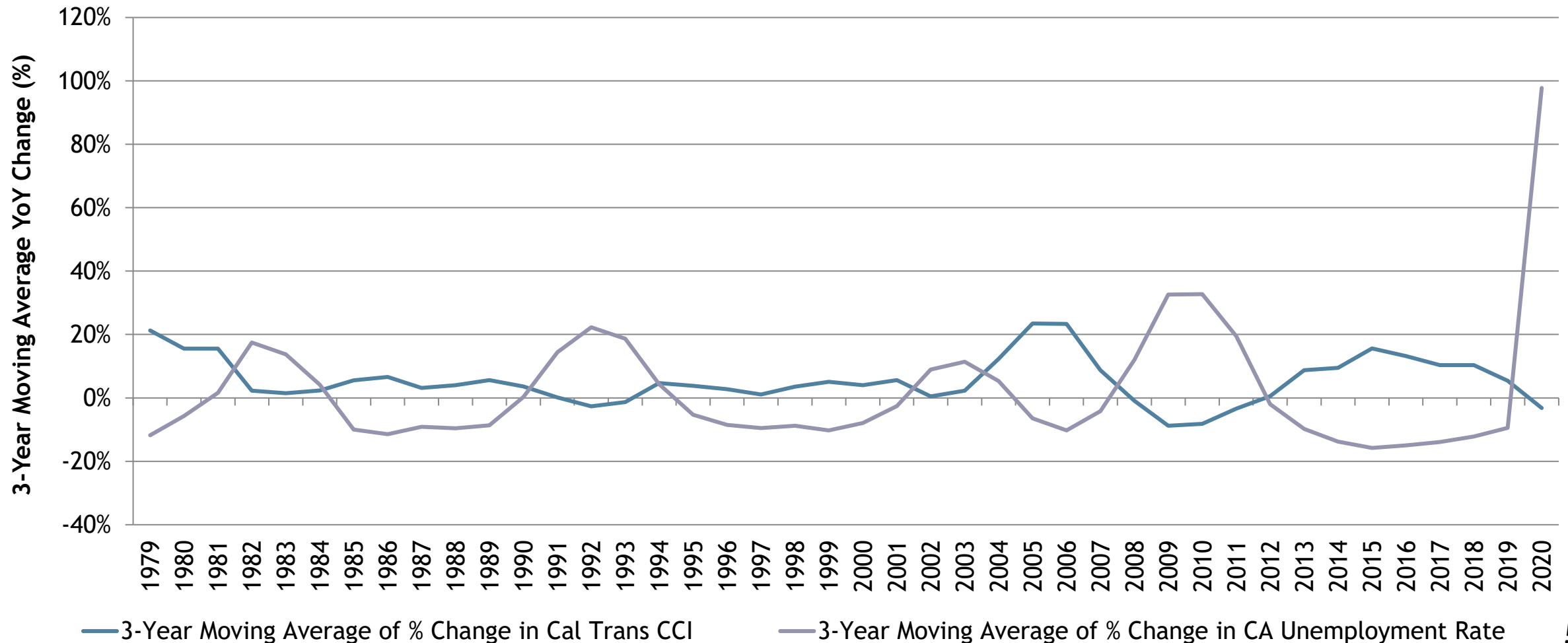
Orange County Transportation Infrastructure Construction Cost Pressure Index Model Components

- Economic Trends - State-level building permits and unemployment rate (Census and California Employment Development Department (EDD));
- Material Costs - Construction Aggregate, PCC Pavement, PCC Structural Concrete, Structural Steel and Bar Steel (Caltrans).
- Labor Costs - Localized construction wages of NAICS defined sectors provided by Bureau of Labor Statistics (BLS).
- Economic Conditions - Tight economy in 2002-2005 and slack economy in 2007-2011.

3-Year Moving Average of Year-Over-Year Percent Change in Caltrans CCI and Building Permits



3-Year Moving Average of Year-Over-Year Percent Change in Caltrans CCI and CA Unemployment Rates



Forecast and Range of Orange County Transportation Infrastructure Cost Increases by Index Value

- 2020 - Forecasted Index Value: 0
- 2021 - Forecasted Index Value: 1
- 2022 - Forecasted Index Value: 1
- 2023 - Forecasted Index Value: 3

Range of Cost Fluctuations by Index Score			
Index	Low	Medium	High
0	-17%	-9.5%	-2%
1	-2%	-0.5%	1%
2	1%	1.5%	2%
3	2%	4%	6%
4	6%	8.5%	11%
5	11%	25.5%	40%

Cost Pressures Have Shifted, Both Structurally and Due to COVID-19

- Statewide building permit issuance continues to decline;
- California unemployment rate quadrupled in Q2 2020 relative to Q2 2019 (4% to 16.6%);
- Increasing, yet uncertain Orange County construction labor costs; and
- Building material costs have nearly all declined.

Year-over-Year Changes in California Building Permits, California Unemployment Rate and Orange County Construction Labor Costs, 2016-2019

Year	California Building Permits	% change year-on-year	California Unemployment Rate	% change year-on-year	OC Construction Labor Costs (avg. annual wage)	% change year-on-year
2016	102,350	4.2%	5.5%	-11.6%	\$67,179	3.8%
2017	114,780	12.1%	4.8%	-12.9%	\$71,474	6.4%
2018	113,502	-1.1%	4.2%	-12.1%	\$74,669	4.5%
2019	109,904	-3.2%	4.0%	-4.8%	\$77,289	4.5%
2020*	84,707	-23%	16.6%	315%	\$80,743 **	3.7%

* 2020 values projected from year-on-year changes in quarterly data, 2nd quarter 2019 to 2nd quarter 2020.

** Based on 1st quarter 2020 data.

OCBC Infrastructure Construction Cost Forecast

- Systematic Risks - currently experiencing large fluctuations due to COVID-19
 - Construction/building environment
 - State's economy influencing demand and cost
 - Direct measures of labor and materials cost

OCBC OC Transportation Infrastructure Construction Cost Index Score, 2020-2023		
Year	Index Score	Range of Cost Fluctuation
2020	0	-17% to 2%
2021	1	-2% to 1%
2022	1	-2% to 1%
2023	3	2% to 6%

- Idiosyncratic Risks - not predictable and therefore not in model
 - Tariffs and associated effects on cost of materials, from changing trade policy
 - Regulatory requirements/changes creating additional hurdles to the bidding process
 - Future potential economic shutdowns related to COVID-19 spread/second wave

Questions



November 9, 2020

To: Members of the Board of Directors

From: Darrell E. Johnson, Chief Executive Officer

Subject: 2020 Board of Directors and Chief Executive Officer Initiatives and Action Plan – Third Quarter Progress Report

A handwritten signature in blue ink, appearing to read 'Darrell E. Johnson', is located to the right of the 'From:' line.

On January 27, 2020, the Board of Directors (Board) approved the 2020 Board and Chief Executive Officer (CEO) Initiatives (Attachment A) and Action Plan (Attachment B). The Action Plan consisted of five Board initiatives broken down into nine CEO initiatives monitored through 97 milestones. However, because of the unprecedented impacts of the coronavirus (COVID-19) pandemic, adjustments to the milestones were required. On May 22, 2020, a revised Action Plan was presented to the Board reflecting an updated total of 92 milestones. This report summarizes the Orange County Transportation Authority's (OCTA) progress on advancing these initiatives between July 1, 2020 and September 30, 2020. At the conclusion of the third quarter (Q3), 54 of the 92 milestones have been completed. Highlights of these accomplishments are provided below.

Q3 Progress Report

During Q3 of calendar year 2020, 20 milestones were scheduled for completion. As of the end of Q3, 14 of 20 milestones have been completed. Some of the Q3 highlights include:

- Obtaining legal possession of the right-of-way necessary for the Interstate 405 Improvement Project construction;
- Extension of the College Pass Program with Rancho Santiago Community College District Continuing Education, Santa Ana College, and Saddleback College;
- Issuance and award of a request for proposals to develop a Hazard Mitigation Plan; and
- Approval for the purchase of zero-emission operator relief vehicles from a statewide contract through the California Department of General Services.

The six milestones not completed that were assigned to Q3 are summarized in Attachment B. Schedule adjustments were necessary due to the inability to have in-person discussions, scheduling conflicts with anticipated conferences, and other impacts and delays as a result of COVID-19. In addition, OCTA completed six milestones one quarter early, during the second quarter (Q2), including completion of the near zero-emission engine installation on 20 articulated buses and conducting the annual credit rating meeting, which was held virtually. Additionally, there were also two milestones from Q2 that were completed in Q3. These include presentation of the Transit Police Services contract to the Board and ratification of the Transportation Communications Union Collective Bargaining Agreement.

The Q3 progress report is complete and included for your review. As we continue to navigate the impacts of COVID-19, OCTA is proactively and strategically addressing the immediate needs of the public, our customers, and agency employees to continue keeping Orange County moving. Please contact me at (714) 560-5343 with any questions or suggestions.

DEJ:ls
Attachments

2020 BOARD AND CEO INITIATIVES

BALANCED & FORWARD THINKING



STEVE JONES
Chairman

DARRELL E. JOHNSON
Chief Executive Officer

ACTION PLAN - REVISED

ORANGE COUNTY TRANSPORTATION AUTHORITY

2020 BOARD AND CEO INITIATIVES

BALANCED & FORWARD THINKING



STEVE JONES
Chairman

DARRELL E. JOHNSON
Chief Executive Officer

2020 Board Initiatives

1. Comprehensive Mobility Solutions
2. Regional Leadership and Public Transparency
3. Resiliency, Sustainability and Innovation
4. Fiscal Accountability
5. Organizational Excellence

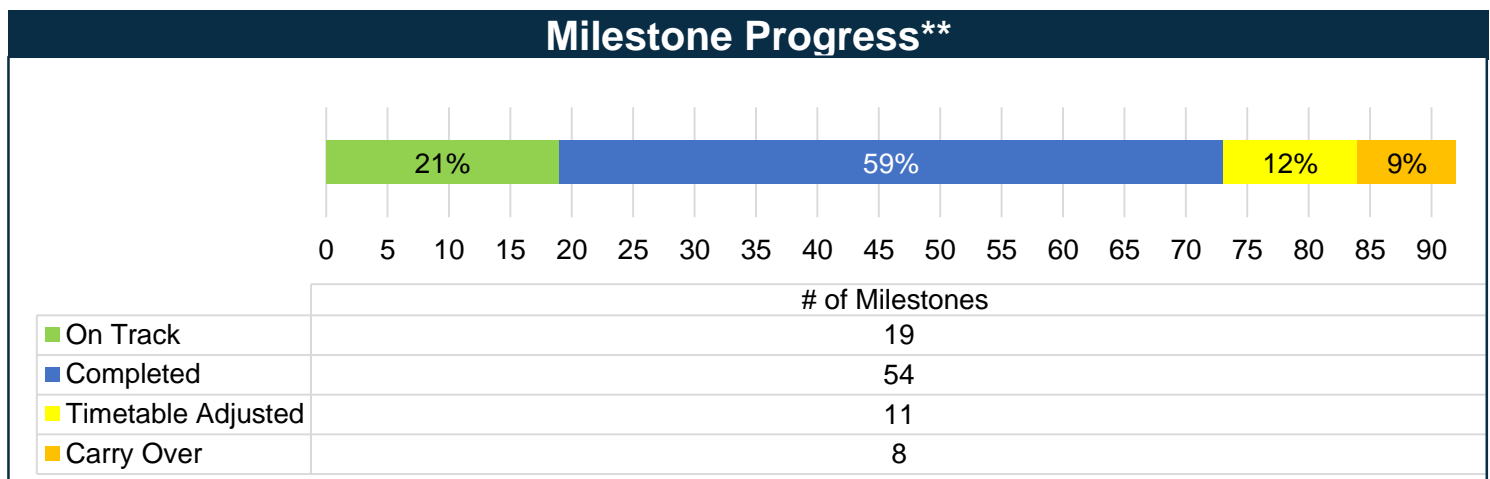
2020 CEO Initiatives

1. Enhance Transit Service Quality and Customer Experience
2. Deliver OC Go - Next 10 Plan Commitments
3. Collaborate with Local and Regional Partners
4. Ensure Public Accountability and Transparency
5. Advance Climate Resiliency and Sustainability
6. Promote and Deploy Innovative Technology
7. Champion Fiscal Responsibility
8. Strengthen Safety and Security Measures
9. Develop and Maximize Workforce Potential

2020 CEO Milestone Summary

Number of Milestones by Quarter		
Quarter Due	Original	Revised*
First Quarter	15	15
Second Quarter	30	31
Third Quarter	24	20
Fourth Quarter	28	26
TOTAL	97	92

* Explanation for revised milestones can be found on page 3.



**Due to rounding, total percentage may be greater than 100%.

Action Plan Review - Coronavirus Pandemic

On February 27, 2020, the Orange County Transportation Authority (OCTA) activated its Emergency Operations Center (EOC) and implemented its Emergency Operations Plan (EOP) in response to potential impacts from the coronavirus (COVID-19), which subsequently was declared a pandemic by the World Health Organization.

On March 4, 2020, Governor Newsom declared a State of Emergency to help the state prepare for a broader spread of COVID-19. On March 19, 2020, the Governor issued a stay-at-home order to protect the health and well-being of all California residents and slow the spread of COVID-19. Public transportation and infrastructure projects are designated by the state and federal governments as critical infrastructure projects. OCTA has taken steps to continue operations serving the public with essential transit service, capital project implementation, and is playing a vital role with the County of Orange EOC.

OCTA is closely monitoring risks and the financial implications of the pandemic including identifying any necessary changes to the OCTA budget, Measure M2 projects and program delivery and OCTA's bus operations. There is a great deal of uncertainty regarding the severity of the fiscal impact. OCTA is implementing proactive and strategic measures to ensure the health of the public and OCTA employees, supporting the County of Orange in the ongoing emergency response to the COVID-19 pandemic, and ensuring that short- and long-term agency programs can be successfully delivered. Due to the unprecedented pandemic, a review of the current Action Plan milestones was initiated to ensure they continue to reflect OCTA's needs and goals. Although our goals remain unchanged, timing of certain projects have been adjusted to allow OCTA to focus on management and recovery plans due to the health crisis. The tables on pages 3 and 4 summarize milestones that have been identified as impacted and require adjustments. These milestones along with their status will also be reflected in their respective assigned quarters and be designated with a "COVID-19" label identifying the change.

Milestones Adjusted

#	Project/ Program	Objective	Milestone	COVID-19 Impact
1.	Transportation Communications Union Collective Bargaining Agreement	Negotiate and Renew Agreement	Present parts clerks and facilities technicians agreement to Board - Q2	Current contract expired April 30, 2020. Negotiations continue. Current contract terms remain status quo. Timetable adjusted to Q3.
2.	Agency Climate Resiliency and Sustainability Practices	Perform Gap Analysis on Agency Sustainability Practices and Preparedness for Natural and Human Induced Hazards	Inventory agency-wide practices, including comparative analysis with peer agencies and present next steps for Plan development to ESC – Q2	Data collection and inventory processes to perform a thorough Gap Analysis have been limited. Timetable adjusted to Q4.
3.	Transportation Needs Assessment	Conduct Assessment to Gain Insight on Current and Potential Customers	Provide <i>results update</i> to Board - Q3	Assessment was put on hold in mid-March. Staff will conduct informal, qualitative surveys with current customers and diverse communities to seek feedback on priorities and needs. Milestone wording was modified and timetable adjusted to Q4.
4.	Credit Ratings	Maintain OCTA's Positive Credit Rating	Conduct annual rating agency <i>trip meeting</i> - Q3	A virtual meeting was still held. Milestone wording was modified.

Milestones Adjusted (Continued)

#	Project/ Program	Objective	Milestone	COVID-19 Impact
5.	OC ACCESS	Ensure Service Continuity	Present OC ACCESS Service Provider RFP to Board - Q2	The contractor requested a six-month extension of the current agreement, which will go to the Board in June. The existing milestone is timetable adjusted to Q4.
6.	Coach Operator Security	Enhance Security Measures for Coach Operators- Annual Security Update	Provide update in closed session to Board - Q1	COVID-19 has affected the ability to measure effectiveness of various security measures. The milestone wording was modified and the milestone is timetable adjusted to Q4.
7.	APTA Expo	Host International Conference	Lead efforts to host APTA Expo 2020 in Anaheim - Q4	Due to health and safety concerns amidst the ongoing COVID-19 pandemic, the APTA Expo has been rescheduled to allow the hosts more time to plan, prepare, and better organize a safer event for attendees. The existing milestone is carried over to Q1 of 2021.

Milestones Added

#	Project/ Program	Objective	Milestone	COVID-19 Impact
1.	COVID-19 Task Force	COVID-19 planning and response actions	Initiate the COVID-19 Task Force to develop plans and monitor timely implementation of necessary actions to mitigate organizational, employee and customer risk. Present COVID-19 After-Action Report to Board - Q4	Added new milestone to Q4.
2.	Post-COVID-19 Bus Service Plan	Restore appropriate levels of bus service post COVID-19	Present post-COVID-19 bus service plan to Board - Q2	Added new milestone to Q2.

Milestones Removed - To be reconsidered in 2021 as appropriate

#	Project/ Program	Objective	Milestone	COVID-19 Impact
1.	OC Bus 2.0	Develop Strategies for Service Improvement	Present Improvement Plan to Board—Q3	Milestone replaced with the added post-COVID-19 Bus Service Plan milestone.
2.	Bravo Service Enhancements	Develop BRAVO Enhancement Strategy	Create a speed and amenity task force and present recommendations to Board—Q3	Milestone superceded with the added post-COVID-19 Bus Service Plan milestone.
3.	Strategic Transit Technology Plan	Develop Road Map for Future Transit Technology Improvements	Initiate procurement for consultant services—Q3	Milestone superceded with the added post-COVID-19 Bus Service Plan milestone.
4.	Employee Rotation Program	Develop Employees through Job Rotation	Launch annual program to develop future leaders with a broadened understanding of OCTA—Q3	Program postponed to ensure a complete experience. Carryover to 2021.
5.	OCTA Innovation Ideas	Explore Innovation Opportunities through Inter-divisional Team Meetings	Present biannual updates to Board—Q2 and Q4	Staff resources focused on post-COVID-19 service recovery plans. This will be reconsidered in 2021.

Milestones Removed - To be reconsidered in 2021 as appropriate

#	Project/ Program	Objective	Milestone	COVID-19 Impact
6.	Agency Climate Resiliency and Sustainability Strategies	Create a Comprehensive Plan	Using information from the gap analysis completed in Q2, initiate procurement to develop a Climate Resiliency and Sustainability Plan — Q4	The Agency Climate Resiliency and Sustainability Practices milestone was timetable adjusted to Q4, this will be reconsidered in 2021.
7.	Treasury Functional Review (2019 Carryover – Revised)	Conduct an External Review of Treasury Functions	Initiate procurement for consultant services — Q4	Staff resources focused on COVID-19 review of debt and investment portfolios. This milestone will be removed. There is no imminent need; the latest Treasury audit had no findings.

FIRST QUARTER (Q1)**12 of 15 Completed - 80%**

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
1.	Bus Fleet	Ensure Asset Preservation	Present 40-foot bus replacement RFP to Board - Q1	March 23, 2020 – presented to Board approval to release RFP.				
2.	OC ACCESS	Review OC ACCESS Service	Present results and recommendations from service delivery model study to ESC - Q1	February 24, 2020 - presented to ESC.				
3.	Orange County Rail Maintenance Facility (2019 Carryover)	Build a Local Rail Maintenance Facility	Begin environmental and preliminary design - Q1	April 22, 2020 - Contract to begin environmental and preliminary design executed.				
4.	San Juan Creek Railroad Bridge	Ensure Asset Preservation	Obtain environmental approval and initiate ROW acquisition to replace 100 year-old Railroad Bridge - Q1	March 26, 2020 - FTA issued environmental approval to initiate ROW acquisition.				
5.	I-5, SR-73 to El Toro Road (2019 Carryover)	Begin Construction	Initiate construction activities for Segment 1 on I-5 between SR-73 and Oso Parkway - Q1	January 15, 2020 - construction contract approved to initiate construction activities.				
6.	OC Streetcar (2019 Carryover)	Award Operations and Maintenance Contract	Present recommendation for contract award to Board - Q1	May 22, 2020 - presented to Board. Award of the contract				
7.	SR-91, SR-55 to SR-57	Begin Design	Present release of RFP for design of Segment 3 on SR-91 between Acacia Avenue to La Palma Avenue to Board - Q1	March 9, 2020 - presented release of RFP to Board.				
8.	Fare Collection System	Modernize Fare Collection System	Present Farebox replacement alternatives to Transit Committee - Q1	May 14, 2020 - presented award of the design contract to study farebox replacement to Transit Committee to better define scope and cost of modernizing OCTA's fare collection system.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

FIRST QUARTER (Q1) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
9.	OC Flex	Test New Transit Delivery Models	Provide an update with recommendations on next steps to Board - Q1	January 27, 2020 - update provided to Board with a recommendation to extend OC Flex to October 2020.				
10.	Signal Synchronization Technology	Future Proof Infrastructure	Initiate discussions with local agencies on advanced signal system improvements - Q1	February 11, 2020 - discussions were initiated at the Traffic Forum. Local agencies were interested, although many expressed concerns with aging infrastructure and resource availability.				
11.	Coach Operator Security	Annual Security Update	Provide update in closed session to Board - Q1	COVID-19 has affected the ability to measure effectiveness of various security measures. Staff requested additional law enforcement resources in the FY 21 budget to enhance security for coach operators. Anticipated to present update at the end of the year.				COVID-19
12.	Facility Security Camera System (2019 Carryover)	Secure All OCTA Facilities	Complete security camera installation - Q1	October 31, 2020 - anticipated to complete security camera installation. Delay is due to difficulties with fiber optic cabling and integration into software and additional safety submittals and coordination required.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

FIRST QUARTER (Q1) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
13.	Leadership Development Academy (LDA)	Provide Professional Development Programs	Select and launch the fourth cohort of the LDA to grow the next generation of leaders - Q1	January 16, 2020 - launched LDA with 15 participants. All 15 LDA participants continue the program. Class sessions are conducted virtually and are now three to four hours in length, as opposed to a full day. Job Shadowing will be postponed until it can be safely conducted in person. Due to COVID-19 delays, the program is scheduled to wrap up mid-year 2021.				
14.	Transit Master Plan	Seek Direction of Future Transit Options	Present prior Transit Master Plan for discussion to Transit Committee - Q1	Due to the inability to have in-person discussions, the Transit Master Plan will be delayed to 2021. There will now be two workshops, called "Future of Transit," that are anticipated to be held next year. This will be carried over to 2021.				
15.	M2 Eligibility - City of Santa Ana and City of Stanton	Ensure Timely Audit Of Expenditure Report and Maintenance of Effort (MOE)	Upon receipt, audit City of Santa Ana's and City of Stanton's Expenditure Reports and MOE requirements to bring recommendation at earliest meeting for action to Board - Q1	March 23, 2020 - presented audit findings to Board; April 13, 2020 - presented eligibility recommendations to Board.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

SECOND QUARTER (Q2)

26 of 31 Completed - 84%

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
1.	Fullerton Transportation Center Revitalization	Enhance Passenger Experience	Complete construction - Q2	May 22, 2020 - completed construction and Fullerton Transportation Center now reopen.				
2.	OC ACCESS	Ensure Asset Preservation	Present OC ACCESS vehicle replacement contract to Board - Q2	April 27, 2020 - presented vehicle replacement contract to Board.				
3.	OC ACCESS	Ensure Service Continuity	Present OC ACCESS Service Provider RFP to Board - Q2	October 12, 2020 - anticipated to present to Board. Due to COVID-19, the contractor requested a six-month extension of the current agreement. As a result, the milestone was timetable adjusted to Q4.				
4.	Anaheim Canyon Metrolink Station Improvement(2019 Carryover)	Initiate Construction for Passenger Enhancements	Present recommendation for construction contract award to Board - Q2	October 2020 - anticipated contract award to Board. There is an access easement needed from a private property that could hold up the release of plans for bid; alternative construction access options have been developed; ROW agreements are being negotiated and finalized.				
5.	Community-Based Transit Circulators	Fund Community Based Transit Options	Present recommendations for Transit Circulator projects (Project V) grant awards to Board - Q2	April 13, 2020 - presented recommendations for grant awards to Board.				
6.	I-5, El Toro Interchange	Seek Consensus on Project Alternative	Provide progress report on path forward based on input from the affected cities to Board - Q2	March 9, 2020 - provided progress report to Board.	Early Complete			
7.	I-5, I-405 to SR-55	Initiate Design Phase	Present release of RFP for design of Segment 2 on I-5 between Yale Avenue and SR-55 to Board - Q2	June 22, 2020 - RFP release presented to Board.				
8.	I-5, SR-73 to El Toro Road	Initiate Construction	Achieve Ready to List status for Segment 3 on I-5 between Alicia Parkway and El Toro Road - Q2	April 4, 2020 - achieved Ready to List status.				
9.	I-605/Katella Avenue Interchange	Begin Design	Present release of RFP for design consultant services to Board - Q2	April 13, 2020 - presented RFP release to Board.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

SECOND QUARTER (Q2) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
10.	Placentia Metrolink Station (2019 Carryover - Revised)	Provide Construction Start Progress	Provide update on agreements necessary to initiate construction to Transit Committee - Q2	August 10, 2020 - update to Board; August 3, 2020 - update to Executive Committee as part of quarterly Capital Action Plan Update. Approval to construct the project remains dependent on further negotiations and finalization of the Metrolink/BNSF Railway shared use agreement; invitation for construction bids is now anticipated for release in January 2021. This will be carried over to Q1 of 2021.				
11.	SR-55, I-405 to I-5	Complete Design	Submit 100 percent design plans for approval to Caltrans - Q2	April 29, 2020 - submitted to Caltrans.				
12.	SR-55, I-5 to SR-91	Complete Environmental	Submit final environmental document for approval to Caltrans - Q2	March 13, 2020 - submitted final environmental document to Caltrans. The Final Project Report was signed on March 30, 2020.	Early Complete			
13.	SR-91, SR-55 to SR-57	Begin Design	Present recommendation for award of design contract for Segment 2 on SR-91 between La Palma Avenue and SR-55 to Board - Q2	February 10, 2020 - presented recommendation to Board.	Early Complete			
14.	SR-91, SR-55 to SR-57 (2019 Carryover)	Complete Environmental	Submit final environmental document for approval to Caltrans - Q2	June 3, 2020 - submitted final environmental document to Caltrans.				
15.	Streets and Roads	Fund Streets and Roads Improvements	Present recommendations for RCP (Project O) and RTSSP (Project P) projects grant awards to Board - Q2	May 11, 2020 - presented recommendations for grant awards to Board.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

SECOND QUARTER (Q2) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
16.	Agency Climate Resiliency and Sustainability Practices	Perform Gap Analysis on Agency Sustainability Practices and Preparedness for Natural and Human Induced Hazards	Inventory agency-wide practices, including comparative analysis with peer agencies and present next steps for Plan development to ESC – Q2	Data collection and inventory processes to perform a thorough Gap Analysis have been limited. In some cases, face-to-face interaction with employees at the bus bases is necessary to obtain adequate feedback and information. This will be timetable adjusted to Q4.				COVID-19
17.	Zero-Emission Bus Roll Out	Prepare Roll Out Plan for Zero-Emission Bus Implementation	Present for adoption to Board - Q2	June 22, 2020 - presented to and approved by the Board.				
18.	Dynamic Digital Bus Stop Signage	Deploy Pilot Real Time Bus Digital Signs	Provide an interim update on implementation to ESC – Q2	June 8, 2020 - provided update to ESC.				
19.	Fullerton Park and Ride Joint Development	Opportunities for Public/Private Partnership to Increase Transit Interest	Present the results from the study for future consideration of joint development opportunities to Board – Q2	October 12, 2020 - anticipated to present to Board; October 8, 2020 - anticipated to present to Transit Committee.				
20.	Mobility On Demand	Support Mobility on Demand	Provide update on demand responsive services proposed through Project V to Board - Q2	April 13, 2020 - provided update on demand responsive services as part of Project V programming recommendations to Board.				
21.	OCTA's Operating and Capital Budget	Develop a FY 2020-21 Balanced Budget	Present a comprehensive balanced OCTA FY 2020 - 21 Budget for adoption to Board - Q2	June 8, 2020 - presented budget to Board. The FY 21 budget public hearing was held at the Board meeting on June 8.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

SECOND QUARTER (Q2) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
22.	Cybersecurity Training	Protect OCTA's Information Systems	Require completion of annual cybersecurity training for all employees - Q2	June 30, 2020 - cybersecurity training deadline for all employees.				
23.	Cybersecurity Training	Protect OCTA's Information Systems	Continue implementation of Cyber Security Roadmap and provide an update to Executive Committee - Q2	April 6, 2020 - provided update to Executive Committee.				
24.	Transit Police Services (TPS)	Protect OCTA Operations	Present contract for TPS to Board - Q2	July 13, 2020 - contract presented to Board. Adjusted due to delay in receipt of key documents.				
25.	Early Career Academy (ECA)	Provide Early Career Development to Grow New Professionals	Select and launch the second cohort of the ECA - Q2	Two of the original 11 ECA participants have left the organization. The program launched on June 15, 2020 virtually and continues monthly with virtual sessions. The program will now close in January 2021.				
26.	Personnel and Salary Resolution	Update Personnel Policies	Present recommendations to Board - Q2	June 8, 2020 - presented to Board with FY 21 OCTA budget.				
27.	Transportation Communications Union Collective Bargaining Agreement	Negotiate and Renew Agreement	Present parts clerks and facilities technicians agreement to Board - Q2	August 24, 2020 - agreement was reached with Transportation Communications Union and ratified by the Board.			COVID-19	
28.	Beach Boulevard Corridor Study	Study Corridor Transportation Improvement Options	Present draft final report to RPH - Q2	April 6, 2020 - presented draft final report to RPH; to Board on April 27, 2020.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

SECOND QUARTER (Q2) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
29.	I-5, Pico to San Diego County Line	Initiate the Environmental Phase to complete Orange County's High-Occupancy Vehicle Lane System	Provide update to Board - Q2	June 22, 2020 - RFP released for PA/ED services to Board; June 8, 2020 - PA/ED coop with Caltrans to Board.				
30.	SAFE Rule	Monitor Implementation of SAFE Rule	Provide an update to Legislative and Communications Committee - Q2	April 16, 2020 - provided an update to Legislative and Communications Committee.				
31.	Post-COVID-19 Bus Service Plan	Restore appropriate levels of bus service post COVID-19	Present post-COVID-19 bus service plan to Board - Q2	May 22, 2020 - presented June 2020 Bus Service Change to Board; August 2020 - anticipated October Service Plan to Board.		COVID-19		

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

THIRD QUARTER (Q3)

14 of 20 Completed - 70%

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
1.	Human Services Transportation Coordinated Plan	Coordinate Transportation Delivery Services	Present final plan to Board - Q3	This item has been delayed due to the impacts of COVID-19 on community and stakeholder outreach. November 23, 2020 - anticipated to present final plan to Board; November 12, 2020 - anticipated to present to Transit Committee.				
2.	I-405 Improvement Project (2019 Carryover)	Complete Possession of Property Rights	Complete ROW Phase (obtain legal possession) - Q3	July 22, 2020 - obtained legal possession.				
3.	Hazard Mitigation Plan	Develop a Plan of Actions	Issue an RFP for a Plan of Sustained Actions Needed to Reduce Risks to Life and Property from All Hazards - Q3	July 16, 2020 - kick-off meeting completed; June 30, 2020 - RFP awarded; May 12, 2020 - RFP issued.				
4.	Near Zero-Emission Engines	Install Cleanest CNG Engine Technology	Complete near zero-emission engine installation on 20 articulated buses - Q3	June 24, 2020 - Completed installation on 20 articulated buses.		Early Complete		
5.	Zero-Emission Battery-Electric Buses	Evaluate Large Bus (BRAVO) Battery-Electric Technology	Present release of vehicle procurement RFP to Board - Q3	April 27, 2020 – RFP release presented to Board.		Early Complete		
6.	Zero-Emission Bus Update	Report on Transit Technology	Present fleet and equipment performance update to Board - Q3	September 28, 2020 - provided update to Board.				
7.	Zero-Emission Relief Vehicles	Reduce Emissions From Coach Operator Relief Vehicles	Present request for purchase of zero-emission vehicles to Board - Q3	August 10, 2020 – approval for the purchase of zero-emission vehicles from the California Statewide contract presented and approved by the Board.				
8.	Express Lanes Network Study	Assess Freeway Operations Strategies	Present recommendations to RPH Committee - Q3	Delayed to December 2020 - anticipated to present recommendations to RPH Committee.				
9.	405 Express Lanes Back Office System	Implement Transaction Processing System	Present the RFP for back office system and customer service to Board - Q3	June 22, 2020 - RFP approved by the Board and released.		Early Complete		

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

THIRD QUARTER (Q3) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
10.	Credit Ratings	Maintain OCTA's Positive Credit Rating	Conduct annual rating agency meeting - Q3	June 18-19, 2020 - virtual meetings held. OCTA provided updates on major programs and projects and the challenges related to COVID-19 were highlighted. OCTA's conservative and strategic financial planning was discussed, in addition to OCTA's strong cash and reserve positions.		COVID-19		
11.	Express Lanes Roadside Assistance	Ensure Roadside Safety	Present release of SR-91 and I-405 Express Lanes Roadside Assistance RFP to Board - Q3	August 10, 2020 - release of RFP to Board.				
12.	Safety Management System	Ensure Operational Safety	Present the Public Transportation Agency Safety Plan (PTASP) to Board - Q3	May 11, 2020 - presented PTASP to Board for adoption.		Early Complete		
13.	Coach Operator Collective Bargaining Agreement	Negotiate and Renew Agreement	Present agreement to Board - Q3	June 8, 2020 - Agreement has been reached and ratified by Teamsters membership. Contract was approved in closed session.		Early Complete		
14.	Employee Health Insurance Renewal Programs	Secure Competitive Health Benefits	Present health insurance recommendations to Board - Q3	August 24, 2020 - presented recommendations to Board.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

THIRD QUARTER (Q3) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
15.	College Pass Program	Initiate Post Pilot Next Steps	Work with colleges to extend the pass program beyond the pilot phase for Santa Ana College and Rancho Santiago Community College District Continuing Education - Q3	Rancho Santiago Community College District Continuing Education program approved contract amendment to extend the program. September 14, 2020 - Santa Ana College provided formal approval. Saddleback College joined the program this fall.				
16.	OC to LA Transit Connections Study	Study Regional Transit Connection Opportunities	Present update to Transit Committee - Q3	This item has been delayed and will be included in the second "Future of Transit" workshop anticipated to be held next year. This will be carried over to 2021.				
17.	SR-91 Implementation Plan	Collaborate with RCTC to Update the Plan in Support of Regional SR-91 Corridor Transportation Improvements	Present Plan to Board – Q3	July 13, 2020 - draft 2020 SR-91 Implementation Plan presented to Board; January 22, 2020 - PDT Meeting held ; June 5, 2020 - presented draft plan to 91 Advisory Committee; July 6, 2020 - presented draft plan to RPH.				
18.	Diversity Outreach	Conduct Diversity Outreach Programs to Support Capital Projects, Planning Studies and Marketing	Provide annual update to Board Q3	October 26, 2020 - anticipated update to Board; October 15, 2020 - anticipated update to Legislative and Communications Committee. Delays were due to anticipated scheduling conflicts with the Mobility 21 conference.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

THIRD QUARTER (Q3) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
19.	Legislative Priorities	Provide End of Session Report	Discuss outcomes of legislative priorities, including protection of toll agency interoperability and enforcement practices and any reform of the Transportation Development Act with Legislative and Communications Committee - Q3	November 19, 2020 - anticipated to provide end-of-year report to Legislative and Communications Committee.				
20.	Transportation Needs Assessment	Conduct Assessment to Gain Insight on Current and Potential Customers	Provide update to Board - Q3	Due to COVID-19, this comprehensive research effort was unable to be accomplished because of its high-contact nature of working with the public to get feedback. Staff will conduct an informal, qualitative survey with diverse communities to seek feedback on priorities and needs.				COVID-19
	OC Bus 2.0	Develop Strategies for Service Improvement	Present Improvement Plan to Board - Q3	Milestone superceded with the added post-COVID-19 Bus Service Plan milestone.			COVID-19	
	Bravo Service Enhancements	Develop BRAVO Enhancement Strategy	Create a speed and amenity task force and present recommendations to Board - Q3	Milestone superceded with the added post-COVID-19 Bus Service Plan milestone.			COVID-19	
	Strategic Transit Technology Plan	Develop Road Map for Future Transit Technology Improvements	Initiate procurement for consultant services - Q3	Milestone superceded with the added post-COVID-19 Bus Service Plan milestone.			COVID-19	
	Employee Rotation Program	Develop Employees through Job Rotation	Launch annual program to develop future leaders with a broadened understanding of OCTA - Q3	The program is able to provide a full and meaningful experience when started at the beginning of the calendar or fiscal year. This will be carried over to 2021.			COVID-19	

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

FOURTH QUARTER (Q4)

2 of 26 Completed -

8%

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
1.	I-405 Improvement Project	Continue to Advance Construction	Complete McFadden Avenue bridge - Q4	Mid-October 2020 - anticipated to complete bridge and open to traffic.				
2.	Next 10 Plan	Ensure M2 Delivery Commitment	Review and present status of the Next 10 Plan deliverables to Board - Q4	The Next 10 Plan is now tentatively scheduled for February 8, 2021 to capture some project updates and allow for additional analysis and strategic planning with the lower sales tax revenue forecast. This will be carried over to Q1 of 2021.				
3.	OC Streetcar	Ensure Vehicle Delivery	Finish assembly of one complete vehicle - Q4	Currently on schedule, based on Siemens' baseline schedule.				
4.	SR-55, I-405 to I-5	Initiate Construction	Achieve Ready to List status - Q4	Due to delays to ROW acquisition and the eminent domain process, as well as impacts from COVID-19, Ready to List status is now projected for next year. This will be carried over to Q2 of 2021.				
5.	Congestion Management Program / SB 743 (Chapter 386, Statutes of 2013) Consistency	Support SB 743 requirements	Develop VMT Analysis Guidelines and present recommendations to ESC - Q4	February 4, 2020 - Consultant selected to develop VMT analysis guidelines.				
6.	M2 Environmental Cleanup Program	Fund Water Quality Improvements	Present programming recommendations for Tier 1 Projects (Project X) grant awards to Board - Q4	October 12, 2020 - anticipated recommendations for grant awards to Board.				
7.	OC Flex	Test New Transit Delivery Models	Upon completion of the micro-transit pilot program, present results and recommendations to ESC - Q4	Due to COVID-19, the pilot program will not be completed, but updates to ESC will continue. December 14, 2020 - anticipated update to ESC; September 14, 2020 - presented updates to ESC.				
8.	Comprehensive Annual Financial Report (CAFR)	Ensure Accountability and Transparency	Obtain an unmodified opinion from the external auditors and provide the annual financial statements to Board - Q4	November 23, 2020 - anticipated to provide CAFR to Board.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

FOURTH QUARTER (Q4) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
9.	Comprehensive Business Plan	Develop OCTA's Business Plan	Provide a summary of OCTA's FY 2020-21 long-term financial plan for adoption to Board - Q4	The CBP is scheduled to follow the Next 10 Plan, which has been moved to Q1 of next year. As a result, the CBP will be carried over to Q1 of 2021.				
10.	Federal Obligation Authority Plan	Maximize Federal Formula Funding Opportunities	Present the Federal Obligation Authority Plan to Board – Q4	January 11, 2021 - anticipated to present to Board; January 4, 2021 - anticipated to present to RPH. SB 1 (Chapter 5, Statutes of 2017) Competitive Programs approvals will not be announced until November/December, which will delay the Plan. This will be carried over to Q1 of 2021.				
11.	New Budget Software Implementation	Ensure Long Term OCTA Budget System Support	Transition from internally developed software to commercial software during 2020 for development of FY 2021-22 budget - Q4	December 2020 - anticipated training kickoff in new system for the development of FY 2021-22 budget. Implementation will take six months.				
12.	Crisis Communication	Ensure Agency and Staff Preparedness	Conduct a tabletop exercise for the Crisis Communications team and revise Crisis Communications Plan as appropriate – Q4	Mid-November - anticipated to conduct tabletop exercise.				
13.	APTA Expo	Host International Conference	Lead efforts to host APTA Expo 2020 in Anaheim - Q4	Following Federal, State, and Local Public Health guidance regarding the COVID-19 pandemic, OCTA, APTA, and Visit Anaheim staff determined that the APTA Expo would be rescheduled to March 14-17, 2021 still to be held at the Anaheim Convention Center. This will be carried over to Q1 of 2021.				

COVID-19

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

FOURTH QUARTER (Q4) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
14.	South Orange County Multimodal Study	Study Regional Multimodal Transportation Improvement Options	Provide an update to Board - Q4	August 10, 2020 - provided update to Board; August 3, 2020 - provided update to RPH.			Early Complete	
15.	241/91 Express Lanes Connector (ELC)	Provide 241/91 ELC Project Progress	Provide an update on the status of the project with a discussion on the development of the agreements related to the term sheet to Board - Q4	November 23, 2020 - anticipated update to Board. Representatives from RCTC, TCA, and OCTA continue to meet on a monthly basis to negotiate deal points for the agreements to construct, operate, and maintain the 241/91 ELC facility.				
16.	State Active Transportation Program	Support Local Efforts to Secure Active Transportation Funding	Provide an update and priorities to Board - Q4	December 14, 2020 - anticipated update to Board.				
17.	Federal Transportation Reauthorization	Monitor Reauthorization Efforts	Report on discussions consistent with legislative platforms to Board - Q4	July 27, 2020 - presented update on the House proposed reauthorization bill; February 24, 2020 - principles presented to Board.				
18.	Legislative Platforms	Set Legislative Priorities	Present 2021 state and federal legislative platforms to Board - Q4	November 23, 2020 - anticipated to present to Board. Schedule for development of the platforms was adopted by the Board on June 22, 2020. Drafts will go to Board in October 2020.				
19.	OC Streetcar	Continue to Advance Construction	Report on status of construction to meet March 2022 service startup date Q1 - Q4	March 23, June 22, and September 14, 2020 - provided update to Board.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

FOURTH QUARTER (Q4) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
20.	Outreach Activities	Conduct Outreach to Support Capital Projects and Planning Studies	Provide quarterly I-405 and OC Streetcar updates and other projects and studies as appropriate to Board - Q1-Q4	January 13, 2020 - presented I-405 updates to Board; March 23, 2020 - presented OC Streetcar updates to Board; April 27, 2020 - presented Beach Boulevard Study to Board; May 22, 2020 - presented I-405 updates to Board; June 22, 2020 - presented OC Streetcar updates to Board; August 10, 2020 - presented I-5 South and South OC Study updates to Board; September 14, 2020 - presented OC Streetcar updates to Board; September 28, 2020 - presented I-405 updates to Board.				
21.	Active Transportation Initiatives	Implement Programs in Support of Non-Motorized Transportation	Provide biannual updates on Safe Routes to School, OC Loop and Safety Programs to Board - Q2 and Q4	June 8, 2020 - provided update to Board and December 14, 2020 - anticipated update to Board.				
22.	M2 Environmental Mitigation Programs	Ensure Comprehensive Freeway Program Mitigation	Present biannual progress reports to Board - Q2 and Q4	July 13, 2020 - progress report and updates presented to Board and December 14, 2020 - anticipated to present to Board.				
23.	Legislative Forums	Communicate Transportation Needs and Challenges	Conduct forums with local delegation representatives and present report to ESC - Q2 and Q4	August 25, 2020 - second forum held; May 19, 2020 - first forum with delegation offices held.				
24.	Marketing Activities	Promote and Educate Public on OCTA Services	Present biannual updates on ongoing campaigns promoting bus, rail, OC Flex, rideshare, vanpool services and bus service changes to Legislative and Communications Committee - Q2 and Q4	June 18, 2020 - presented updates to Legislative and Communications Committee and November 19, 2020 - anticipated updates to Legislative and Communications Committee.				

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

FOURTH QUARTER (Q4) (Continued)

#	Project/ Program	Objective	Milestone	Notes	Q1	Q2	Q3	Q4
25.	Regional Planning Activities	Highlight Transportation Planning Activities	Present biannual reports on activities underway that impact OCTA and the Southern California Region to Board - Q2 and Q4	May 11, 2020 - presented to Board and November 2020 - anticipated to present to Board.				
26.	COVID-19 Task Force	COVID-19 planning and response actions	Initiate the COVID-19 Task Force to develop plans and monitor timely implementation of necessary actions to mitigate organizational, employee and customer risk. Present COVID-19 After-Action Report to Board - Q4	COVID-19 Task Force continues to be active and meets weekly. Security and Emergency Preparedness initiated the After-Action Report efforts to include early response actions/efforts.				
	Treasury Functional Review (2019 Carryover - Revised)	Conduct an External Review of Treasury Functions	Initiate procurement for consultant services - Q4	There is no imminent need and given COVID-19, we will be dedicating Treasury time and resources elsewhere. In addition, the latest Treasury audit had no findings.				COVID-19
	Agency Climate Resiliency and Sustainability Strategies	Create a Comprehensive Plan	Using information from the gap analysis completed in Q2, initiate procurement to develop a Climate Resiliency and Sustainability Plan - Q4	The Agency Climate Resiliency and Sustainability Practices milestone was timetable adjusted to Q4, this will be reconsidered in 2021.				COVID-19
	OCTA Innovation Ideas	Explore Innovation Opportunities through Inter-divisional Team Meetings	Present biannual updates to Board - Q2 and Q4	Staff resources focused on post-COVID-19 service recovery plans. This will be reconsidered in 2021.				COVID-19

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

Acronyms

APTA – American Public Transit Association	Q1 – First Quarter
BRC – Budget Review Committee	Q2 – Second Quarter
Board – Board of Directors	Q3 – Third Quarter
Caltrans – California Department of Transportation	Q4 – Fourth Quarter
CBP – Comprehensive Business Plan	RCTC – Riverside County Transportation Commission
CNG – Compressed Natural Gas	RCP – Regional Capacity Program
ESC – Executive Steering Committee	RPH – Regional Planning and Highways Committee
EV – Electric Vehicle	RFP – Request for Proposals
FTA – Federal Transit Administration	ROW – Right-of-Way
FY – Fiscal Year	RTSSP – Regional Transportation Signal Synchronization Program
I-5 – Interstate 5	RCTC – Riverside County Transportation Commission
I-405 – Interstate 405	SR-55 – State Route 55
I-605 – Interstate 605	SR-57 – State Route 57
IFB – Invitation for Bids	SR-73 – State Route 73
M2 – Measure M2	SR-91 – State Route 91
NTP – Notice to Proceed	SAFE – Safer Affordable Fuel Efficiency
PA/ED – Project Approval/Environmental Document	TCA – Transportation Corridor Agencies
PDT – Project Development Team	VMT – Vehicle Miles Traveled