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## **BOARD AGENDA**

Orange County Transportation Authority Board Meeting  
Orange County Transportation Authority Headquarters  
Board Room - Conference Room 07-08  
550 South Main Street  
Orange, California  
**Monday, January 11, 2021 at 9:00 a.m.**

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

### **Agenda Descriptions**

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

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

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

### **Guidance for Public Access to the Board of Directors/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.



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## **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 [ClerkOffice@octa.net](mailto:ClerkOffice@octa.net).

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

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





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## **BOARD AGENDA**

### **Call to Order**

### **Roll Call**

### **Invocation**

Director Wagner

### **Pledge of Allegiance**

Director Muller

### **Special Calendar**

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

**1. Administration of the Oath of Office to New and Returning Orange County Transportation Authority Board of Directors**

Oath of Office will be administered to new Board Members Brian Goodell and Vicente Sarmiento and returning Board Members Andrew Do, Joseph Muller, Mark Murphy, Tim Shaw, and Donald P. Wagner.

**2. Election of Orange County Transportation Authority Board of Directors Chair**

The Orange County Transportation Authority Board of Directors annually, at its first meeting in January, shall elect a Chair.

**3. Election of Orange County Transportation Authority Board of Directors Vice Chair**

The Orange County Transportation Authority Board of Directors annually, at its first meeting in January, shall elect a Vice Chair.

**4. Salute to Outgoing Chairman Steve Jones**

The Orange County Transportation Authority will thank Chairman Steve Jones for his work in leading the 2020 Board of Directors.



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**BOARD AGENDA****Consent Calendar (Items 5 through 14)**

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****5. Approval of Minutes**

Approval of the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of December 14, 2020.

**6. 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.

**7. 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 jurisdictions. The County of Orange and the City of San Clemente have requested amendments to the Master Plan of Arterial Highways that are recommended for approval. An update on pending Master Plan of Arterial Highways amendments is also provided.



## BOARD AGENDA

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### 7. (Continued)

#### Recommendations

- A. Conditionally approve the following amendments to the Master Plan of Arterial Highways to reclassify the facilities listed below in the unincorporated area of the County of Orange and/or the City of San Clemente:

##### County of Orange

- Reclassify Chiquita Canyon Drive between north of Fauna Drive and Esencia Drive from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided);
- Reclassify Fauna Drive between Chiquita Canyon Drive and Esencia Drive from a secondary (four-lane, undivided) arterial to a collector (two-lane, undivided) arterial; and
- Reclassify Esencia Drive between Andaza Street and Fauna Drive from a secondary (four-lane, undivided) arterial to a collector (two-lane, undivided) arterial.

##### County of Orange and City of San Clemente

- Delete planned Cristianitos Road south of Cow Camp Road and replace with Los Patrones Parkway extension from south of Cow Camp Road to Avenida La Pata as a primary (four-lane, divided) arterial.

##### City of San Clemente

- Reclassify Camino Vera Cruz between Camino De Los Mares and Carreterra from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided); and
- Reclassify Camino De Los Mares between Camino Del Rio and the City of San Clemente's eastern limit from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided).



## **BOARD AGENDA**

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### **7. (Continued)**

Each of the proposed amendments will become final, contingent upon the Orange County Transportation Authority receiving documentation confirming that the respective agency or agencies have amended their general plans accordingly and have complied with the requirements of the California Environmental Quality Act.

If a general plan is not updated within three years to reflect the proposed Master Plan of Arterial Highway amendment, the contingent amendment will expire, but can be returned to the Orange County Transportation Authority's Board of Directors for reconsideration and action.

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

- B. 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.
- C. Receive and file a status report on the active Master Plan of Arterial Highways amendments.

### **8. Orange County Transportation Authority State and Federal Grant Programs - Update and Recommendations**

Denise Arriaga Ibarra/Kia Mortazavi

#### **Overview**

The Orange County Transportation Authority provides grants to local agencies through various state and federal funding programs. Status reports on these programs, as well as project changes, are presented for review and approval.



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**BOARD AGENDA****8. (Continued)****Recommendations**

- A. Approve the requests to delay the City of Costa Mesa Adams Avenue and Pinecreek Drive Intersection Project and the County of Orange OC Loop Carbon Canyon Bikeway Gap Closure (Segment D) Project.
- B. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.

**Orange County Transit District Consent Calendar Matters****9. Approval to Release Request for Proposals for Detail Bus Cleaning and Pesticide Application Services**

Marie Latino/Jennifer L. Bergener

**Overview**

The Orange County Transportation Authority utilizes a fleet of 778 buses to provide both directly operated and contract operated fixed route OC Bus service and OC ACCESS services throughout Orange County. These buses routinely require pesticide application and detail cleaning after the application of the pesticides. Staff is requesting the Board of Directors' approval to release a request for proposals for detail bus cleaning and pesticide application services.

**Recommendations**

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2702 to provide detail bus cleaning and pesticide application services.
- B. Approve the release of Request for Proposals 0-2702 for detail bus cleaning and pesticide application services.



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**BOARD AGENDA****Orange County Local Transportation Authority Consent Calendar Matters****10. Cooperative Agreement with the California Department of Transportation for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5**

Ross Lew/James G. Beil

**Overview**

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation for construction capital and construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2726 between the Orange County Transportation Authority and California Department of Transportation, in the amount of \$255,320,000, comprised of a construction capital share of \$213,460,000, and a construction management services share of \$41,860,000, for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

**11. Supplemental Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 - Archaeological Treatment Plan**

Jeff Mills/James G. Beil

**Overview**

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. A supplemental contract change order is needed to implement and maintain an archaeological treatment plan and continue archaeological monitoring.



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

Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 57.2 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$2,500,000, to implement and maintain an archaeological treatment plan and continue archaeological monitoring for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.

**12. Measure M2 Quarterly Progress Report for the Period of July 2020 Through September 2020**

Francesca Ching/Kia Mortazavi

**Overview**

Staff has prepared the Measure M2 quarterly progress report for the first quarter of fiscal year 2020-21, covering July 2020 through September 2020, for consideration by the Orange County Transportation Authority Board of Directors. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

**Recommendation**

Received and file as an information item.

**13. Measure M2 Environmental Mitigation Program Update**

Lesley Hill/Kia Mortazavi

**Overview**

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

**Recommendation**

Receive and file as an information item.



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## **BOARD AGENDA**

- 14. State Route 55 Improvement Project from Interstate 5 Funding Plan Update and SB 1 (Chapter 5, Statutes of 2017) Grant Acceptance**  
Adriann Cardoso/Kia Mortazavi

### **Overview**

In early December 2020, California Transportation Commission awarded the Orange County Transportation Authority \$140 million in competitive SB 1 (Chapter 5, Statutes of 2017) Trade Corridor Enhancement Program and SB 1 Local Partnership Program-Competitive funding. Board of Directors' approval is requested to formally accept the grant awards and program additional federal funds to support the implementation of the State Route 55 Improvement Project from Interstate 405 to Interstate 5.

### **Recommendations**

- A. Adopt Resolution No. 2021-001, to accept the Trade Corridor Enhancement Program Grant Award from the California Transportation Commission for \$115 million, to commit to the required match of 30 percent for the State Route 55 Improvement Project from Interstate 405 to Interstate 5, and to negotiate and execute any grant required agreements.
- B. Adopt Resolution No. 2021-002, to accept the Local Partnership Program-Competitive Grant Award from the California Transportation Commission for \$25 million, to commit to the required match of 50 percent for the State Route 55 Improvement Project from Interstate 405 to Interstate 5, and to negotiate and execute any grant required agreements.
- C. Authorize the use of up to \$36 million in additional federal Surface Transportation Block Grant Program Funds, up to \$22 million in federal Congestion Mitigation and Air Quality Improvement Program funds, and the reduction of Measure M2 Freeway Program funds of \$29.5 million for the State Route 55 Improvement Project from Interstate 405 to Interstate 5.
- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate programming of the project.





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**BOARD AGENDA****Regular Calendar****Orange County Local Transportation Authority Regular Calendar Matters****15. Interstate 405 Improvement Project Update**

Jeff Mills/James G. Beil

**Overview**

The Orange County Transportation Authority is currently underway with the implementation of the Interstate 405 Improvement Project. This report provides a project update.

**Recommendation**

Receive and file as an information item.

**Discussion Items****16. Board of Directors and Chief Executive Officer Initiatives - End-of-Year 2020 Report**

Darrell E. Johnson

**Overview**

At the end of the calendar year, the Chief Executive Officer discusses the activities and accomplishments from the 2020 Chief Executive Officer Initiatives and Action Plan with the Board of Directors. This report summarizes the fourth quarter activities of calendar year 2020 (October through December) and provides an end-of-year summary. The Chief Executive Officer Initiatives and Action Plan directly support the values, vision, mission, and goals of the Orange County Transportation Authority Strategic Plan and 2020 Chairman of the Board of Directors' Initiatives.



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## **BOARD AGENDA**

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

There are no Closed Sessions scheduled.

- 21. Adjournment**

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, January 25, 2021**, 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 December 14, 2020, regular meeting of the Orange County Transportation Authority (OCTA) and affiliated agencies was called to order by Chairman Jones at 9:00 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 a quorum of the Board of Directors (Board) as follows:

Directors Present: Steve Jones, Chairman

***Via teleconference:***

Lisa A. Bartlett  
Doug Chaffee  
Ryan Chamberlain  
Barbara Delgleize  
Michael Hennessey  
Gene Hernandez  
Joseph Muller  
Mark A. Murphy  
Richard Murphy  
Tim Shaw  
Harry S. Sidhu  
Michelle Steel  
Donald P. Wagner

Director Absent: Andrew Do, Vice Chairman

Also Present: Darrell E. Johnson, Chief Executive Officer (CEO)  
Jennifer L. Bergener, Deputy CEO/Chief Operating Officer  
Gina Ramirez, Deputy Clerk of the Board  
Sahara Meisenheimer, Deputy Clerk of the Board  
James Donich, General Counsel (via teleconference)

## **Invocation**

Director Hernandez gave the invocation.

## **Pledge of Allegiance**

Director Hernandez led in the Pledge of Allegiance.

## **Special Calendar**

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

#### **1. Salute to Outgoing Orange County Transportation Authority Board of Directors**

Darrell E. Johnson, CEO, presented OCTA Resolutions of Appreciation Nos. 2020-289 and 2020-290 to outgoing Board Members Richard Murphy and Michelle Steel. Slides were shown on the screen to salute both Directors R. Murphy and Steel.

## **Consent Calendar (Items 2 through 24)**

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

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

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of November 23, 2020.

#### **3. Proposed 2021 Board of Directors Meetings Calendar**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to approve the Orange County Transportation Authority and affiliated agencies 2021 Board of Directors meetings calendar.

#### **4. Coronavirus Update**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to receive and file as an information item.

**5. State Route 241/91 Express Lanes Connector Update**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to receive and file as an information item.

**6. Agreement for Roadway Operations and Maintenance Services for the 91 Express Lanes in Orange County**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

- A. Approve the selection of DeAngelo Brothers, LLC, as the firm to provide roadway operations and maintenance services for the 91 Express Lanes in Orange County.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2433 between the Orange County Transportation Authority and DeAngelo Brothers, LLC, in the amount of \$5,848,720, to provide roadway operations and maintenance services for the 91 Express Lanes in Orange County for a four-year initial term effective January 1, 2021, through December 31, 2024, with two, three-year option terms.

**7. Orange County Transportation Authority Toll Violations and Enforcement Ordinance**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to adopt the proposed Ordinance No. 2020-01, with the amended schedule of penalties effective January 1, 2021.

**8. Fiscal Year 2019-20 Comprehensive Annual Financial Report, Management Letter and 91 Express Lanes Fund Financial Statements**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

- A. Receive and file the fiscal year 2019-20 Comprehensive Annual Financial Report and the 91 Express Lanes Fund Financial Statements.
- B. Receive and file the Orange County Transportation Authority Management Letter for fiscal year 2019-20, as an information item.
- C. Direct staff to implement auditor recommendations related to internal controls.

**9. Orange County Transportation Authority Investment and Debt Programs Report - October 2020**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to receive and file as an information item.

**10. Active Transportation Program Local Project Prioritization**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

- A. Approve the Orange County 2021 Active Transportation Program Local Project Prioritization point assignments for submittal to the Southern California Association of Governments.
- B. Authorize the Chief Executive Officer or his designee to approve future project scope changes and substitutions as needed for the 2021 Active Transportation Program Projects.
- C. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate the above actions.

**11. Consultant Selection for 2022 Long-Range Transportation Plan and Program Environmental Impact Report**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

- A. Approve the selection of LSA Associates, Inc., as the firm to prepare the 2022 Long-Range Transportation Plan and Program Environmental Impact Report.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2523 between the Orange County Transportation Authority and LSA Associates, Inc., in the amount of \$983,500, to prepare the 2022 Long-Range Transportation Plan and Program Environmental Impact Report.

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

### **12. Request to Release Request for Proposals for Operation of the Customer Information Center**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2698 for selection of a firm to operate the Customer Information Center.
- B. Approve the release of Request for Proposals 0-2698 for selection of a firm to operate the Customer Information Center for a three-year initial term with two, two-year options.

### **13. Amendment to Agreement with First Transit, Inc., for the Provision of Contracted Fixed-Route Service**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 11 to Agreement No. C-4-1737 between the Orange County Transportation Authority and First Transit, Inc., to allow reimbursement of specific expenses related to the coronavirus pandemic for an amount of up to \$1,819,942, for the period June 14, 2020 through May 31, 2021.

### **14. Approval to Release Request for Proposals for OC ACCESS and OC Flex Services**

This item was pulled by Director Muller, who inquired about including an application into the Request for Proposal (RFP). This application would provide geographic locations of the OC ACCESS buses and allow legal guardians and parents to locate where the bus is and when and where their children are getting on and off the bus.

Jack Garate, Department Manager of Contract Transit Services, responded that the Orange County Transportation Authority (OCTA) is currently looking at compatible technologies for OCTA's Trapeze system and how other agencies are using the technologies and vetting the existing applications.

Director Muller inquired about the timeline and OCTA partnering with existing technology, instead of recreating an application to give people options and make OCTA's service more efficient.

**14. (Continued)**

Mr. Johnson, CEO, stated that staff would still encourage the Board to release the RFP as planned. Staff would continue to review compatible technologies and report to the Board and the Transit Committee.

A motion was made by Director Muller, seconded by Director Delgleize, and following a roll call vote, declared passed 13-0, to:

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2150 to select a firm to manage and operate the OC ACCESS paratransit services.
- B. Approve the release of Request for Proposals 0-2150 for the OC ACCESS paratransit services effective January 1, 2022 through December 31, 2025, with two, two-year option terms.

**15. Bus Operations Performance Measurements Report for the First Quarter of Fiscal Year 2020-21**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to receive and file as an information item.

**16. February 2021 Bus Service Change**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to receive and file as an information item.

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

**17. Approval to Release Request for Proposals for the Preparation of Plans, Specifications, and Estimates for the Interstate 5 Widening Project Between Interstate 405 and Yale Avenue**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:



**17. (Continued)**

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2637 for consultant services for the preparation of plans, specifications, and estimates for the Interstate 5 Widening Project between Interstate 405 and Yale Avenue.
- B. Approve the release of Request for Proposals 0-2637 for consultant services for the preparation of plans, specifications, and estimates for the Interstate 5 Widening Project between Interstate 405 and Yale Avenue.

**18. Environmental Mitigation Program Endowment Fund Investment Report for September 30, 2020**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to receive and file as an information item.

**19. Agreement for Measure M2 Environmental Mitigation Program Interim Preserve Maintenance**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

- A. Approve the selection of RECON Environmental, Inc., as the firm to provide maintenance services on the seven Orange County Transportation Authority Preserves.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2477 between the Orange County Transportation Authority and RECON Environmental, Inc., in the amount of \$1,200,000, for a five-year initial term, with two, one-year option terms, to provide maintenance services for the Measure M2 Environmental Mitigation Program Interim Preserve maintenance.

**20. Award of Agreement for Property Patrol Services**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

**20. (Continued)**

- A. Approve the selection of High Level Security Solutions, Inc., as the firm to conduct property patrol services for the seven Orange County Transportation Authority properties.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2492 between the Orange County Transportation Authority and High Level Security Solutions, Inc., in the amount of \$400,000, for a five-year initial term, with two, one-year option terms, to provide property patrol services for the seven Measure M2 Environmental Mitigation Program properties.

**21. Comprehensive Transportation Funding Programs Semi-Annual Review - September 2020**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

- A. Approve adjustments to Comprehensive Transportation Funding Programs projects, Local Fair Share and Senior Mobility Program funds.
- B. Authorize the Chief Executive Officer to negotiate and execute cooperative agreement amendments for all active Project V services in order to incorporate proposed coronavirus-related grant term adjustments, up to 24 months.

**22. 2021 Technical Steering Committee Membership**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to approve the proposed 2021 Technical Steering Committee membership.

**23. Measure M2 Annual Eligibility Review**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

- A. Approve all Orange County local agencies as eligible to continue to receive Measure M2 net revenues.
- B. Approve adjustments to Measure M2 maintenance of effort benchmarks for the City of Buena Park from \$4,206,464 and 5.99 percent to \$4,184,754 and 5.96 percent, and the City of Villa Park from \$360,429 and 9.68 percent to \$373,104 and 10.02 percent.

## **Orange County Service Authority For Freeway Emergencies Consent Calendar Matters**

### **24. Approval to Release Request for Proposals for Call Box Maintenance Services**

A motion was made by Director M. Murphy, seconded by Director Shaw, and following a roll call vote, declared passed 13-0, to:

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2632 for call box maintenance services.
- B. Approve the release of Request for Proposals 0-2632 for call box maintenance services effective July 1, 2021 through June 30, 2027, for an initial term of six years, with one, two-year option term.

## **Regular Calendar**

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

### **25. Interstate 405 Improvement Project Funding Update**

Jeff Mills, Senior Program Manager, presented a PowerPoint presentation as follows:

- Project Location and Key Features;
- Current Project Status;
- Project Bridge Map;
- Risks Materialized to Date;
- Estimate at Completion;
- Potential Funding/Financial Plan; and
- Recommendations.

Director Shaw inquired about accelerating some of the construction work due to the Coronavirus (COVID-19) pandemic since everyone is working from home, and the traffic volumes are much lighter than expected.

Mr. Mills responded that staff was very successful in implementing additional closures and extended nighttime closures. When the pandemic first started, particularly in the March through May timeframe, there were significantly lower traffic volumes at that time. OCTA was able to take advantage of that and accelerate some of the work on the freeway. After that time in the summer, it got back up to about 95 percent of normal. And even with this second shut down, traffic volumes have not reduced to a level where the staff has been able to do that. OCTA staff are reviewing traffic volumes on a week over week basis and looking for that opportunity again.

**25. (Continued)**

A motion was made by Director Hernandez, seconded by Director M. Murphy, and following a roll call vote, declared passed 12-0, to:

- A. Authorize the use of an additional \$180,234,000 in Measure M2 funds for the Interstate 405 Improvement Project to increase the overall project budget from \$1,900,000,000 to \$ 2,080,234,000.
- B. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program and execute or amend all necessary agreements to facilitate the above action.
- C. Pursuant to the Public Contract Code, find that satisfactory progress is being made on the project and authorize the Chief Executive Officer to negotiate and execute a contract change order to reduce retention withholding from five percent to three percent on future invoices from OC 405 Partners, and authorize the Chief Executive Officer to release retention to OC 405 Partners, in an amount not to exceed \$10,000,000, at 75 percent of substantial completion of the project, and to release retention to OC 405 Partners, in an amount not to exceed \$5,000,000, at 90 percent of substantial completion of the project.

Director Sidhu was not present to vote on this item.

**Orange County Transit District Regular Calendar Matters**

**26. Fiscal Year 2020-21 Comprehensive Business Plan - Bus Program Assumptions**

Mr. Johnson, CEO, provided opening comments and introduced Sean Murdock, Director of Finance and Administration.

Sean Murdock, Director of Finance and Administration, presented a PowerPoint presentation on the following:

- Background;
- Bus Program Operating Revenue;
- Projected Fixed-Route Service Levels;
- Projected Paratransit Trips;
- Revenue and Cost Pressures;
- Revenue Pressures;
- Fiscal Year 2021 Bus Program Operating Budget;
- Paratransit Cost - % of Total Operating Cost;
- Future Capital Cost for Bus Replacement;
- Primary Revenue Assumptions;

**26. (Continued)**

- Primary Cost Assumptions;
- Future Considerations and;
- Next Steps.

Chairman Jones stated that since Vice Chair Andrew Do could not attend today's meeting, he requested some of the Directors present at the December 7th Executive Committee to incorporate some of this feedback.

A discussion ensued regarding the following:

- Control paratransit costs better;
- Fare Policy Changes;
- Zone or tiered based fare approach;
- Definition of "complimentary service" in terms of paratransit;
- Continue to maintain the paratransit service;
- Suggestion to work on a tiered/zone basis; and
- An application that can educate our riders on what is available near their location.

Director M. Murphy commented on recognizing that OCTA's data is new and not necessarily predictable. He also concurred with Vice Chair Do to wait for the next quarters' report ~~will~~ to clarify the funding side.

Chairman Jones stated it would be prudent for OCTA to use this opportunity as the staff learns more information in the months to figure out how to right-size the program between bus ridership and ACCESS.

Mr. Johnson, CEO, commented that OCTA is trying to find a balance between the requirements of the Americans with Disabilities Act, the expectations of the constituents in Orange County, and the significant revenue downturns. Staff can go back and develop opportunities for consideration after the next sales tax true up for the second quarter.

A motion was made by Director Delgleize, seconded by Director Muller, and following a roll call vote, declared passed 13-0, to direct staff to incorporate Board of Directors' feedback on the bus program assumptions for the Fiscal Year 2020-21 Comprehensive Business Plan.

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

### **27. Measure M2 Next 10 Delivery Plan: Context and Options**

Mr. Johnson, CEO, provided opening comments and introduced Kia Mortazavi, Executive Director of Planning, who presented a PowerPoint presentation as follows:

- M2 Delivery Plan Goals;
- M2 Delivery Plan Timeline;
- M2 Transportation Investment Plan;
- M2 Sales Tax Revenue Forecast;
- Maintain Schedules Option;
- Lower Debt Option;
- Balanced Option; and
- Next Steps.

Mr. Johnson, CEO, reported at the December 7, 2020, Executive Committee meeting, the Executive Committee and staff discussed options for update on the Measure M2 Next 10 Delivery Plan.

The Committee suggested that staff pursue a financially prudent course of action with a proactive stance on project delivery while remaining flexible given current events' fluidity. There was also a desire to leverage external funding to offset some of the Measure M2 financial impacts. The Committee was interested in keeping projects moving to lower the risk of future project delivery requirements. Staff agreed to revise the "balanced" option according to the discussion. Staff also offered to review the fiscal year 2020-21 second-quarter financial information before presenting a revised Measure M2 Next 10 Delivery Plan to the Committee and Board in early 2021.

A lengthy discussion ensued regarding:

- Clarifying all options presented are within the context of keeping promises made to the voters by Measure M.
- Benefits to the public with a balanced approach and keeping our timelines on our projects and our improvements.

A motion was made by Director M. Murphy, seconded by Director R. Murphy, and following a roll call vote, declared passed 13-0, to:

- A. Direct staff to incorporate feedback provided by the Board of Directors for the pending Next 10 Delivery Plan update.
- B. Extend the Next 10 Delivery Plan timeframe from 2026 to 2030.

## **Discussion Items**

### **28. Public Comments**

The DCOB stated that a public comment was received from Craig A. Durfey on December 11, 2020. The Board was emailed the comment on December 11, 2020 at 4:32 p.m. and the comment will be retained as part of the record for today's Board meeting.

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

Mr. Johnson, CEO, reported on the following:

Recognition of the December Employees of the Month -

- Operations Employee of the Month is Adam Young.
  - Mr. Young is a Coach Operator at the Garden Grove base who started his driving career with OCTA in November 2019.
- Maintenance Employee of the Month is Rodolfo Rodriguez.
  - Mr. Rodriguez joined OCTA in December 1989 and is currently a Journeyman Mechanic at the Santa Ana Base. He is also a vital member of the team performing the COVID-19 mitigations on our buses.
- Administrative Employee of the Month is Karen DeCrescenzo.
  - Ms. DeCrescenzo is a Human Resources Department Manager who joined OCTA more than four years ago. She has been instrumental in developing OCTA's COVID-19 response efforts, ensuring our employees' health and well-being.
- OCTA's December Employees of the Month were congratulated.

2020 Accomplishments Report

- OCTA has had to overcome unprecedented challenges this year, but thanks to the Board's leadership and vision OCTA achieved a series of accomplishments throughout the year to keep Orange County moving.
- Staff has highlighted this in the 2020 Accomplishments Report, which is available online and several hard copies are available.
- A link will be provided in the weekly update today and please share it through your communication channels. The public can find it at [OCTA.net/2020accomplishments](https://OCTA.net/2020accomplishments).

**29. (Continued)**

- The report is framed around the five strategic Board initiatives established at the beginning of the year.
- Mr. Johnson, CEO, looks forward forward to working with the returning and incoming Board members in 2021.
- OCTA bid farewell to Directors Richard Murphy and Michelle Steel earlier this morning. Below is an impressive and likely record-setting fun fact:
  - OCTA's outgoing Board Members in 2020 have a combined total of nearly 65 years of dedicated service to OCTA: Director Winterbottom (27 years), Pulido (23 years), Steel (six years), Davies (four years), and R. Murphy (four years).
- Mr. Johnson, CEO, wished everyone a very happy and safe holiday season.

**30. Directors' Reports**

Director Steel thanked the Board and staff for their support while serving on the Board.

Director R. Murphy thanked the staff for their support while serving on the Board.

Director Shaw wished the outgoing Members the best and that they served OCTA very well.

Director Delegeize thanked the outgoing Board Members for their service on the OCTA Board and that she enjoyed working with those Members.

Chairman Jones thanked outgoing Directors R. Murphy and Steel for their years of service on the Board.

**31. Closed Session**

There were no Closed Sessions scheduled.



**32. Adjournment**

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, January 11, 2021**, at the Orange County Transportation Authority Headquarters, Board Room - Conference Room 07-08, 550 South Main Street, Orange, California.

ATTEST:

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Gina Ramirez  
Deputy Clerk of the Board

---

Steve Jones  
Chairman



**MATERIALS WILL BE PROVIDED UNDER  
SEPARATE COVER PRIOR TO THE  
JANUARY 11, 2021  
BOARD OF DIRECTORS MEETING.**



## COMMITTEE TRANSMITTAL

**January 11, 2021**

**To:** Members of the Board of Directors  
**From:** Andrea West, Interim Clerk of the Board *Andrea West*  
**Subject:** Amendments to the Master Plan of Arterial Highways

### Regional Planning and Highways Committee Meeting of January 4, 2021

**Present:** Directors Bartlett, Chaffee, Delgleize, Muller, and Murphy  
**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 5-0 by the Members present.

### **Committee Recommendations**

- A. Conditionally approve the following amendments to the Master Plan of Arterial Highways to reclassify the facilities listed below in the unincorporated area of the County of Orange and/or the City of San Clemente:

#### County of Orange

- Reclassify Chiquita Canyon Drive between north of Fauna Drive and Esencia Drive from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided);
- Reclassify Fauna Drive between Chiquita Canyon Drive and Esencia Drive from a secondary (four-lane, undivided) arterial to a collector (two-lane, undivided) arterial; and
- Reclassify Esencia Drive between Andaza Street and Fauna Drive from a secondary (four-lane, undivided) arterial to a collector (two-lane, undivided) arterial.

#### County of Orange and City of San Clemente

- Delete planned Cristianitos Road south of Cow Camp Road and replace with Los Patrones Parkway extension from south of Cow Camp Road to Avenida La Pata as a primary (four-lane, undivided) arterial.



**Committee Recommendation (Continued)**

City of San Clemente

- Reclassify Camino Vera Cruz between Camino De Los Mares and Carreterra from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided); and
- Reclassify Camino De Los Mares between Camino Del Rio and the City of San Clemente's eastern limit from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided).

Each of the proposed amendments will become final, contingent upon the Orange County Transportation Authority receiving documentation confirming that the respective agency or agencies have amended their general plans accordingly and have complied with the requirements of the California Environmental Quality Act.

If a general plan is not updated within three years to reflect the proposed Master Plan of Arterial Highways amendment, the contingent amendment will expire, but can be returned to the Orange County Transportation Authority's Board of Directors for reconsideration and action.

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

- B. Direct staff to file a Notice of Exemption from the California Environmental Quality Act in support of the Master Plan of Arterial Highways amendment.
- C. Receive and file a status report on the active Master Plan of Arterial Highways amendments.

**Note:**

An error was found on Page 1, Recommendation A, under County of Orange and City of San Clemente, of the staff report: The last sentence should read (four-lane, divided) arterial instead of (four-lane, undivided) arterial.



**January 4, 2021**

**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 jurisdictions. The County of Orange and the City of San Clemente have requested amendments to the Master Plan of Arterial Highways that are recommended for approval. An update on pending Master Plan of Arterial Highways amendments is also provided.

### **Recommendations**

- A. Conditionally approve the following amendments to the Master Plan of Arterial Highways to reclassify the facilities listed below in the unincorporated area of the County of Orange and/or the City of San Clemente:

#### County of Orange

- Reclassify Chiquita Canyon Drive between north of Fauna Drive and Esencia Drive from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided);
- Reclassify Fauna Drive between Chiquita Canyon Drive and Esencia Drive from a secondary (four-lane, undivided) arterial to a collector (two-lane, undivided) arterial; and
- Reclassify Esencia Drive between Andaza Street and Fauna Drive from a secondary (four-lane, undivided) arterial to a collector (two-lane, undivided) arterial.

#### County of Orange and City of San Clemente

- Delete planned Cristianitos Road south of Cow Camp Road and replace with Los Patrones Parkway extension from south of Cow Camp Road to Avenida La Pata as a primary (four-lane, divided) arterial.

**City of San Clemente**

- Reclassify Camino Vera Cruz between Camino De Los Mares and Carreterra from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided); and
- Reclassify Camino De Los Mares between Camino Del Rio and the City of San Clemente's eastern limit from a secondary (four-lane, undivided) arterial to a divided collector (two-lane, divided).

Each of the proposed amendments will become final, contingent upon the Orange County Transportation Authority receiving documentation confirming that the respective agency or agencies have amended their general plans accordingly and have complied with the requirements of the California Environmental Quality Act.

If a general plan is not updated within three years to reflect the proposed Master Plan of Arterial Highways amendment, the contingent amendment will expire, but can be returned to the Orange County Transportation Authority's Board of Directors for reconsideration and action.

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

- B. Direct staff to file a Notice of Exemption from the California Environmental Quality Act in support of the Master Plan of Arterial Highways amendment.
- C. Receive and file a status report on the active Master Plan of Arterial Highways amendments.

***Background***

The County of Orange (County) submitted a request to amend the Master Plan of Arterial Highways (MPAH) to reclassify Chiquita Canyon Drive, Fauna Drive, and Esencia Drive, and to replace the planned Cristianitos Road, south of Cow Camp Road, with the Los Patrones Parkway extension (Attachment A).

This MPAH amendment request originated from two concurrent efforts. Rancho Mission Viejo (RMV) and the County refined the Ranch Plan Planned Community land-use plan and determined that the internal street network and the location of key land-uses result in lower than previously estimated vehicle traffic on Chiquita Canyon Drive, Fauna Drive, and Esencia Drive. Concurrently, the Orange County Transportation Authority (OCTA), the Transportation Corridor Agencies (TCA), and the California Department of Transportation were coordinating on the South County Traffic Relief Effort and reached consensus on three key south Orange County transportation improvement projects. One of the key projects was a non-tolled Los Patrones Parkway extension from Cow Camp Road to Avenida La Pata. The OCTA Board of Directors (Board) directed staff to work with TCA, the County, and other stakeholders to prepare a project development plan for the non-tolled extension to Los Patrones Parkway. These working sessions identified adding the Los Patrones Parkway extension to the County's general plan and OCTA's MPAH. Due to the proximity of these arterial changes to one another, the County conducted a comprehensive traffic analysis of Chiquita Canyon Drive, Fauna Drive, Esencia Drive, and Los Patrones Parkway extension.

Separately, the City of San Clemente (City) submitted letters requesting reclassifications to the MPAH for (1) Camino Vera Cruz from Camino De Los Mares to Carretera and (2) Camino De Los Mares from Camino Del Rio to the eastern city limit (attachments B and C). Both facilities are currently classified as secondary (four-lane, undivided) arterials. The City is requesting to reclassify these arterials as divided collector (two-lane, divided) arterials. The reclassifications will provide right-of-way necessary to improve safety with buffered bicycle lanes while maintaining compliance with the MPAH.

The requested amendments are illustrated in Attachment D.

### ***Discussion***

Staff reviewed the traffic analyses provided by the County and City and concluded that the requested MPAH amendments are appropriate from a long-range planning perspective. Additionally, future traffic volumes appear to be accommodated with the proposed changes and are forecast to remain at generally acceptable levels of service (LOS).

County – RMV reclassifications and Los Patrones Parkway Extension

The County's traffic analysis of the four arterial reclassifications evaluated the impacts on 48 roadways and 17 intersections within the study area for weekday AM peak hour, PM peak hour, and daily traffic volumes.

The average daily traffic (ADT) volumes for existing (2019) conditions and the future (2045) forecast with reclassifications are provided below:

| Roadway                           | Existing (2019) ADT | Future (2045) with<br>Reclassifications ADT |
|-----------------------------------|---------------------|---|
| Chiquita Canyon Drive             | 4,150 - 6,100       | 3,600                                       |
| Fauna Drive                       | 2,200               | 4,400                                       |
| Esencia Drive                     | 2,500               | 2,000                                       |
| Los Patrones Parkway<br>extension | Not Applicable      | 22,000                                      |

Chiquita Canyon Drive, Fauna Drive and Esencia Drive are located in Planning Area 2 of the Ranch Plan Planned Community, which is nearly built out. The MPAH roadway capacity values indicate that a divided collector (two-lane, divided) can accommodate 15,000 ADT, and a collector (two-lane, undivided) can accommodate 10,000 ADT while still maintaining favorable performance conditions. As such, future ADT volumes can be accommodated with the proposed reclassifications, while supporting acceptable LOS.

The Los Patrones Parkway extension is primarily within the jurisdiction of the County but terminates within the City at the intersection of Avenida La Pata. Therefore, the County is serving as the lead agency for this MPAH amendment and implementation with support from the City, as indicated in the attached letter (Attachment E). Both the County and City will need to update their general plans to include the Los Patrones Parkway extension before the MPAH amendment is finalized.

The future (2045) forecast ADT volume is approximately 22,000 on the proposed Los Patrones Parkway extension, which would operate at a segment link LOS A for a primary (four-lane, divided) arterial. The addition of the Los Patrones Parkway extension causes a redistribution of traffic from existing roadways, such as La Pata and Ortega Highway, to the proposed extension. The traffic analysis showed that nearly all study intersections are projected to operate at an acceptable LOS D or better. One future year deficient intersection is projected not to meet the MPAH performance standard. However, the proposed MPAH amendment does improve the projected conditions from LOS F in the no project case to LOS E with the proposed extension.



**City – Camino Vera Cruz and Camino De Los Mares**

The existing (2018) traffic volume is below 10,000 ADT on Camino Vera Cruz and Camino De Los Mares. Assuming the proposed reclassifications, the future (2045) traffic model forecasts traffic volumes to be under 14,000 ADT. The MPAH roadway capacity values indicate that a divided collector (two-lane, divided) can accommodate 15,000 ADT while still maintaining acceptable performance conditions. Therefore, the proposed lane reconfigurations can support existing and future traffic volumes in the project vicinity while meeting MPAH performance requirements.

**California Environmental Quality Act**

Amendments to the MPAH are exempt from the California Environmental Quality Act (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 F, there are currently 23 active amendments proposed for the MPAH. Many of the remaining amendments are awaiting local action to amend their respective general plans. Others are either under review, are in the cooperative study process, are pending resolution of issues with other agencies, or are awaiting refinement of development plans.

***Summary***


The County of Orange and the City of San Clemente submitted requests to amend the Master Plan of Arterial Highways. Staff reviewed the traffic data supporting the amendment requests and has concluded that the proposed changes are appropriate from a long-range planning perspective. Based upon the provided traffic analyses, the requirements of the Master Plan of Arterial Highways have been met, and Board of Directors' approval of the reclassifications is recommended. A summary of pending Master Plan of Arterial Highways amendments is also provided for Board of Directors' review.

**Attachments**

- A. Letter from Khalid Bazmi, P.E., Chief Deputy Director/County Engineer, OC Public Works, to Mr. Kurt Brotcke, Director, Strategic Planning, Orange County Transportation Authority, Dated September 15, 2020, Subject: MPAH Amendment Request for Chiquita Canyon Drive, Fauna Drive, Esencia Drive, and Los Patrones Parkway Extension
- B. Letter from Tom Bonigut, P.E., Public Works Director/City Engineer, City of San Clemente, to Kurt Brotcke, Director of Strategic Planning, Orange County Transportation Authority, Dated December 1, 2020, Re: Follow Up to Request to Modify the Lane Configuration on Master Plan of Arterial Highways (MPAH) Segment – Camino Vera Cruz
- C. Letter from Tom Bonigut, P.E., Public Works Director/City Engineer, City of San Clemente, to Kurt Brotcke, Director of Strategic Planning, Orange County Transportation Authority, Dated December 1, 2020, Re: Request to modify the lane configuration on Master Plan of Arterial Highways (MPAH) Segment – Camino De Los Mares (Camino Del Rio to Eastern Terminus)
- D. County of Orange and City of San Clemente MPAH Amendment Requests
- E. Letter from Laura Ferguson, Mayor Pro Tem, City of San Clemente, to James Treadaway, Director of OC Public Works, County of Orange, Dated October 21, 2020, Subject: Los Patrones Parkway Extension Project – 2021 M2 Regional Capacity Program
- F. Status Report on Active Master Plan of Arterial Highways Amendments

**Prepared by:**

Stephanie Chhan  
Transportation Analyst  
(714) 560-5572

**Approved by:**

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



County Administration South  
601 North Ross Street  
Santa Ana, CA 92701

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info@ocpw.ocgov.com

OCPublicWorks.com



Administrative  
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OC Environmental  
Resources



OC Operations &  
Maintenance



OC Infrastructure  
Programs



OC Survey



September 15, 2020

Mr. Kurt Brotcke, Director  
Strategic Planning  
Orange County Transportation Authority  
550 S. Main Street  
Orange, CA 92863-1584

Subject: MPAH Amendment Request for Chiquita Canyon Drive, Fauna Drive, Esencia Drive, and Los Patrones Parkway Extension

Dear Mr. Brotcke:

Orange County Public Works (OCPW) is requesting formal initiation of a Master Plan of Arterial Highways (MPAH) Amendment that includes Chiquita Canyon Drive, Fauna Drive, Esencia Drive, and Los Patrones Parkway Extension located primarily within unincorporated Orange County in the Ranch Plan Area of Rancho Mission Viejo.

OCPW proposes the following modifications to the MPAH:

- Reclassification of Chiquita Canyon Drive north of Fauna Drive to Esencia Drive from its current secondary arterial designation to a divided collector.
- Reclassification of Fauna Drive east of Chiquita Canyon Drive to Esencia Drive from its current secondary arterial designation to a collector.
- Reclassification of Esencia Drive north of Andaza Street to Fauna Drive from its current secondary arterial designation to a collector.
- Replacement of Cristianitos Road Extension with Los Patrones Parkway Extension (LPPE) south of Cow Camp Road to Avenida La Pata as a primary arterial.

The requested MPAH changes are primarily within unincorporated Orange County, with the southern terminus of Los Patrones Parkway Extension adjacent to the City of San Clemente. Other stakeholders of the project include the City of San Clemente, the City of San Juan Capistrano, the City of Dana Point, and the Capistrano Unified School District, all of which are in support of the amendment request (see attached support letters). A draft Traffic Study Report to support the requested amendments was shared with OCTA on August 21. The final Traffic Study Report will be submitted in early October.

Should you have any questions regarding this request, please contact me or my staff, Wei Zhu, at (714) 647-3976.

Sincerely,

Khalid Bazmi, P.E.  
Chief Deputy Director/County Engineer  
Orange County Public Works

**cc:** Nardy Khan, OCPW/OC Infrastructure Programs  
Denis Bilodeau, OCPW/Traffic & Development Support  
Wei Zhu, OCPW/Traffic & Development Support

**Attachments:** Letter of Support – City of San Clemente  
Letter of Support – City of San Juan Capistrano  
Letter of Support – City of Dana Point  
Resolution – Capistrano Unified School District



# City of San Clemente City Manager

Robert C. Dunek, Interim City Manager

Phone: (949) 361-8321

[dunekr@san-clemente.org](mailto:dunekr@san-clemente.org)

February 27, 2020

Mr. Shane Silsby, Director  
Orange County Public Works  
601 N. Ross Street  
Santa Ana, CA 92701

Mr. Darrell Johnson, Chief Executive Officer  
Orange County Transportation Authority  
550 S. Main Street  
Orange, CA 92868

BY ELECTRONIC EMAIL TO: [SHANE.SILSBY@OCPW.OCGOV.COM](mailto:SHANE.SILSBY@OCPW.OCGOV.COM) AND [DJOHNSON@OCTA.NET](mailto:DJOHNSON@OCTA.NET)

**RE: Support for Amendment to the Master Plan of Arterial Highways (MPAH), dated February 14, 2020**

Dear Mr. Silsby and Mr. Johnson:

The City of San Clemente has reviewed the *Request for Amendment to the Master Plan of Arterial Highways (MPAH) in Southeast Orange County in the Ranch Plan Area of Rancho Mission Viejo – Chiquita Canyon Road, Fauna Drive, Esencia Drive, Cow Camp Road, and Cristianitos Road*, filed with the County on February 14, 2020, and are supportive of the application.

Over many years, we have witnessed the capacity of the County and OCTA to work with a broad network of stakeholders to execute and deliver meaningful traffic relief and we remain hopeful that this MPAH will lead to a positive result for mobility in South Orange County.

Sincerely,

Robert C. Dunek  
Interim City Manager

cc: San Clemente City Council  
Supervisor Lisa Bartlett  
Mike Balsamo, Rancho Mission Viejo

32400 PASEO ADELANTO  
SAN JUAN CAPISTRANO, CA 92675  
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[www.sanjuancapistrano.org](http://www.sanjuancapistrano.org)



MEMBERS OF THE CITY COUNCIL

TROY BOURNE  
SERGIO FARIAS  
BRIAN L. MARYOTT  
DEREK REEVE  
JOHN TAYLOR

March 3, 2020

Mr. Shane Silsby, Director  
Orange County Public Works  
601 N. Ross Street  
Santa Ana, CA 92701

Mr. Darrell Johnson, Chief Executive Officer  
Orange County Transportation Authority  
550 S. Main Street  
Orange, CA 92868

BY ELECTRONIC EMAIL TO: SHANE.SILSBY@OCPW.OCGOV.COM AND  
DJOHNSON@OCTA.NET

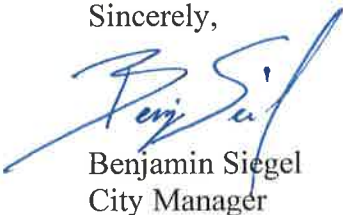
**RE: Support for Amendment to the Master Plan of Arterial Highways (MPAH),  
dated February 14, 2020**

Dear Mr. Silsby and Mr. Johnson:

The City of San Juan Capistrano has reviewed the *Request for Amendment to the Master Plan of Arterial Highways (MPAH) in Southeast Orange County in the Ranch Plan Area of Rancho Mission Viejo – Chiquita Canyon Road, Fauna Drive, Esencia Drive, Cow Camp Road, and Cristianitos Road*, filed with the County on February 14, 2020, and is supportive of the application.

Over many years, we have witnessed the capacity of the County and OCTA to work with a broad network of stakeholders to execute and deliver meaningful traffic relief and we remain hopeful that this MPAH will lead to a positive result for mobility in South Orange County.

Sincerely,



Benjamin Siegel  
City Manager

c: Supervisor Lisa Bartlett  
Tom Toman, San Juan Capistrano Director of Public Works  
Mike Balsamo, Rancho Mission Viejo

*San Juan Capistrano: Preserving the Past to Enhance the Future*





February 27, 2020

Mr. Shane Silsby, Director  
Orange County Public Works  
601 N. Ross Street  
Santa Ana, CA 92701

Mr. Darrell Johnson, Chief Executive Officer  
Orange County Transportation Authority  
550 S. Main Street  
Orange, CA 92868

BY ELECTRONIC EMAIL TO: SHANE.SILSBY@OCPW.OCGOV.COM AND  
DJOHNSON@OCTA.NET

**RE: Support for Amendment to the Master Plan of Arterial Highways (MPAH),  
dated February 14, 2020**

Dear Mr. Silsby and Mr. Johnson:

The city of Dana Point has reviewed the *Request for Amendment to the Master Plan of Arterial Highways (MPAH) in Southeast Orange County in the Ranch Plan Area of Rancho Mission Viejo – Chiquita Canyon Road, Fauna Drive, Esencia Drive, Cow Camp Road, and Cristianitos Road*, filed with the County on February 14, 2020, and are supportive of the application.

Over many years, we have witnessed the capacity of the County and OCTA to work with a broad network of stakeholders to execute and deliver meaningful traffic relief and we remain hopeful that this MPAH will lead to a positive result for mobility in South Orange County.

Sincerely,

Mark Denny, City Manager  
City of Dana Point

Cc: Matt Sinacori, Dana Point Director of Public Works  
Mike Balsamo, Rancho Mission Viejo

CAPISTRANO UNIFIED SCHOOL DISTRICT  
San Juan Capistrano, California

**RESOLUTION NO. 1920-45**

**RESOLUTION SUPPORTING RANCHO MISSION VIEJO, LLC'S REQUEST FOR  
AMENDMENT TO THE MASTER PLAN OF ARTERIAL HIGHWAYS**

*WHEREAS*, on February 14, 2020, the developer Rancho Mission Viejo, LLC (RMV) submitted to the Orange County Public Works a Request for Amendment to the Master Plan of Arterial Highways (MPAH) in Southeast Orange County in the Ranch Plan Area of Rancho Mission Viejo—*Chiquita Canyon Road, Fauna Drive, Esencia Drive, Cow Camp Road, and Cristianitos Road* containing the following five requested Amendments:

1. Reduce Chiquita Canyon Drive from a Secondary Arterial Highway to a Divided Collector
2. Reduce Fauna Drive from a Secondary Arterial Highway to a Collector
3. Reduce Esencia Drive from a Secondary Arterial Highway to a Collector
4. Reduce Cow Camp Road from a Primary Arterial Highway (4 lanes) to a Primary Asymmetric Arterial Highway (3 lanes)
5. Realign Cristianitos Road from Cow Camp Road to Avenida La Pata (to the east away from San Juan Hills High School), to be renamed Los Patrones Parkway.

*WHEREAS*, RMV requested Amendments 1 through 4 because after the build out of Planning Areas 1 and 2, updated traffic modeling confirms that these roads do not have to be as expansive, as originally thought; and

*WHEREAS*, RMV requested Amendment 5 because the terminus of Cristianitos Road is no longer a logical termination, given TCA's withdrawal of the "Green Alignment" for the SR-241 toll extension; and

*WHEREAS*, the reclassification of the roads in Amendments 1 through 4 would not likely create significant impacts on the District's schools or operations; and

*WHEREAS*, Amendment 5 would realign Cristianitos Road into an extension of Los Patrones Parkway from Cow Camp Road to South of San Juan Hills High School, would move traffic away from San Juan Hills High School, and may provide an attractive alternative route for the SR-241 toll road extension instead of along Avenida La Pata or the other alternatives being considered in the South County Traffic Relief Effort; and

*NOW, THEREFORE BE IT RESOLVED* that the Board of Trustees of the Capistrano Unified School District hereby supports RMV's Request for Amendment of the MPAH because Amendments 1 through 4 reduce the classification of four road segments to a lower level, and



Amendment 5 would displace the Los Patrones Parkway extension away from San Juan Hills High School so that typical significant impacts of air quality, dust, noise, and traffic would be remote. This alignment would promote the safety, health, and learning environment at San Juan Hills High School and the need for potentially disruptive mitigation measures or conditions of approval may not be needed.

*PASSED AND ADOPTED* by the Board of Trustees of the Capistrano Unified School District on March 18, 2020, by the following vote:

|         |       |
|---------|-------|
| AYES    | ( 4 ) |
| NOES    | ( 0 ) |
| ABSTAIN | ( 0 ) |
| ABSENT  | ( 1 ) |

I, Gila Jones, of the Capistrano Unified School District Board of Trustees, hereby certify that the above and foregoing Resolution was duly and regularly adopted by the said Board at the meeting on this 18<sup>th</sup> day of March 2020, by a roll call vote.

  
\_\_\_\_\_  
Gila Jones  
Clerk of the Board of Trustees

  
\_\_\_\_\_  
Kirsten M. Vital  
Superintendent  
Secretary of the Board of Trustees



# City of San Clemente Public Works Department

Tom Bonigut, Public Works Director/City Engineer  
(949) 361-6187

December 1, 2020

Sent via email to:  
[kbrotcke@octa.net](mailto:kbrotcke@octa.net)

Kurt Brotcke  
Director of Strategic Planning  
Orange County Transportation Authority  
550 S. Main Street  
Orange, CA 92863-1584

**RE: Follow Up to Request to modify the lane configuration on Master Plan of Arterial Highways (MPAH) Segment – Camino Vera Cruz.**

Dear Mr. Brotcke:

This letter is to follow up on the City's subject request dated October 5, 2020. The City appreciates your interim approval of this request dated October 27, 2020, after which the City formally concurred with the interim approval conditions via letter dated November 2, 2020. After that time, OCTA staff noted that, for MPAH mapping purposes, it would be better to slightly extend the northern limit of the requested reclassification from Riachuelo as originally requested by the City, north to the northern terminus of Camino Vera Cruz at Camino De Los Mares. The City concurs with this minor modification, therefore, we request the limits of the subject reclassification be from Carretera at the southern end to Camino De Los Mares at the northern end.

Please contact me if you have any questions.

Sincerely,

Tom Bonigut, P.E.  
Public Works Director/City Engineer

C: Ziad Mazboudi, Deputy Public Works Director  
Nestor Mangohig, Senior Traffic Engineer  
Charlie Larwood, OCTA  
Gregory Nord, OCTA  
Stephanie Chhan, OCTA



# City of San Clemente

## Public Works Department

Tom Bonigut, Public Works Director/City Engineer  
(949) 361-6187

October 5, 2020

Sent via email to:  
[kbrotcke@octa.net](mailto:kbrotcke@octa.net)

Kurt Brotcke  
Director of Strategic Planning  
Orange County Transportation Authority  
550 S. Main Street  
Orange, CA 92863-1584

**RE: Request to modify the lane configuration on Master Plan of Arterial Highways (MPAH)  
Segment – Camino Vera Cruz.**

Dear Mr. Brotcke:

The City of San Clemente is requesting an interim approval from OCTA to modify the lane configuration on Master Plan of Arterial Highways (MPAH) Segment – Camino Vera Cruz from Riachuelo to Carretera (refer to Attachment 1 for location map).

The City is proposing to modify the existing lane configuration of this segment of Camino Vera Cruz which is adjacent to and near Truman Benedict Elementary and Bernice Ayer Middle Schools. The proposed lane configuration, described below, will address several community concerns including:

- Parked and/or idling vehicles within the bike lane on the Camino Vera Cruz school frontage force bicycles to veer into the adjacent vehicle lane along with motor vehicles travelling on the downhill grade.
- Speeding vehicles, particularly travelling on the downhill grade.
- Parking demand related to sports and other park activities will send vehicles into the adjacent neighborhoods to search for parking.
- Sight distance limited for vehicles entering Camino Vera Cruz from Riachuelo, Bello Panorama, and Arbolado due to roadway curvature and geometrics.

Camino Vera Cruz is a four-lane divided roadway from Camino De Los Mares to Avenida Pico, and is shown on the MPAH as a Secondary Arterial. The proposed lane reconfiguration is depicted in Attachment 2 and consists of the following:

- Maintain a 10-foot wide striped median with left turn lanes at intersections.
- Eliminate one vehicle lane in each direction from about Riachuelo to Carretera with appropriate lane drops, resulting in one 10-foot wide vehicle lane in each direction.

- Provide 8-foot wide parking lanes and buffered bicycles lanes (generally 2-foot wide buffer area with seven-foot wide bicycle lane) on both sides of Camino Vera Cruz.

The proposed lane reconfiguration will provide the following benefits:

- On-street parking in the vicinity of the lane reconfiguration limits would provide additional parking and/or pick-up/drop-off space for school activity and would accommodate overflow parking related to sports and other park activities.
- Pedestrians crossing Camino Vera Cruz would only cross two through vehicle lanes instead of four.
- Platoon effect would provide for a level of speed management on a reduced lane section since a single leading vehicle would attenuate speeds of the vehicles behind it.
- Wider bike lanes.
- Bike lane buffer would provide further separation between the bicycle and vehicle travel lanes.

The daily traffic level on Camino Vera Cruz in the project vicinity, based on 2018 traffic counts, range from about 8,600 to 9,300 vehicles per day (vpd). The City's 2030 traffic model forecasts long-term volumes to be in the 9,000 to 10,000 vpd range. The MPAH roadway capacity values indicate that a two-lane Divided Arterial can accommodate 15,000 vpd while still maintaining favorable performance conditions. Therefore, the proposed lane reconfiguration can support existing and forecast traffic volumes in the project vicinity while meeting vehicular Level of Service (LOS) requirements.

Please contact me if you have any questions regarding this MPAH amendment request.

Sincerely,



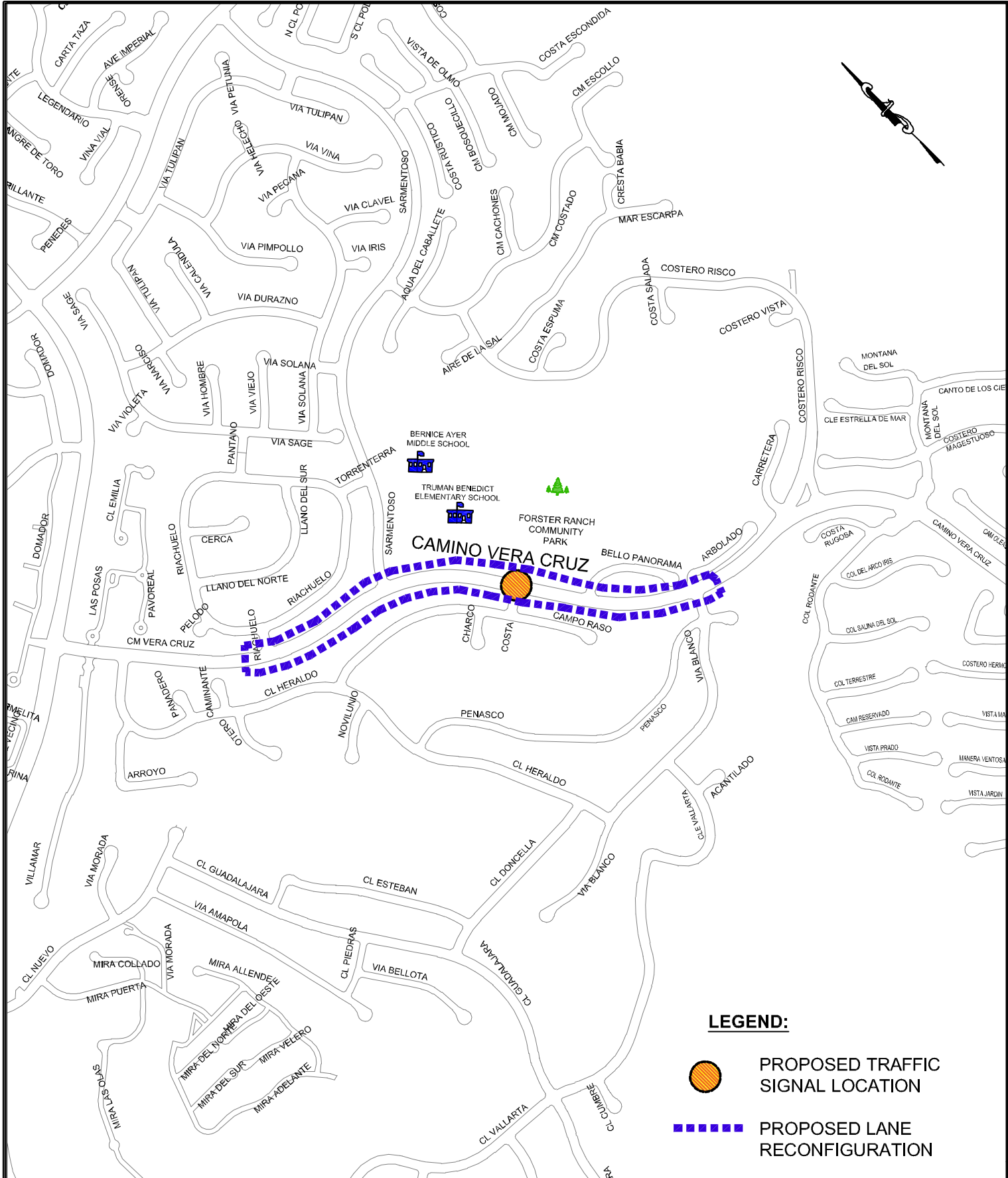
Tom Bonigut, P.E.  
Public Works Director/City Engineer

C: Ziad Mazboudi, Deputy Public Works Director  
Nestor Mangohig, Senior Traffic Engineer  
Charlie Larwood, OCTA  
Gregory Nord, OCTA  
Stephanie Chhan, OCTA



Attachments:

1. Location Map
2. Camino Vera Cruz Conceptual Striping Schematic

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**LEGEND:**

-  PROPOSED TRAFFIC SIGNAL LOCATION
-  PROPOSED LANE RECONFIGURATION

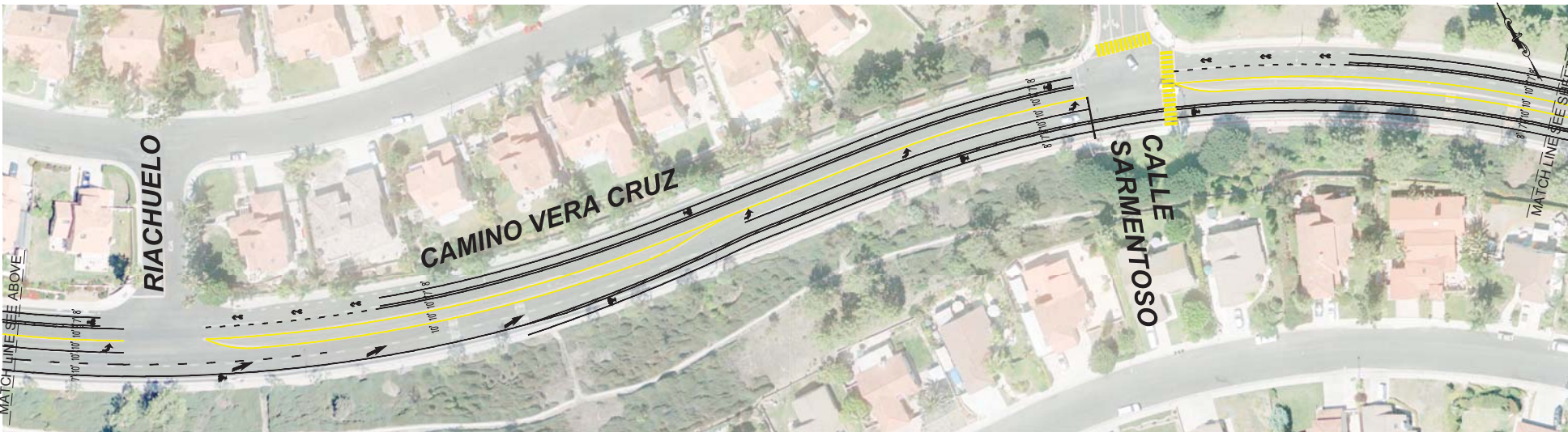
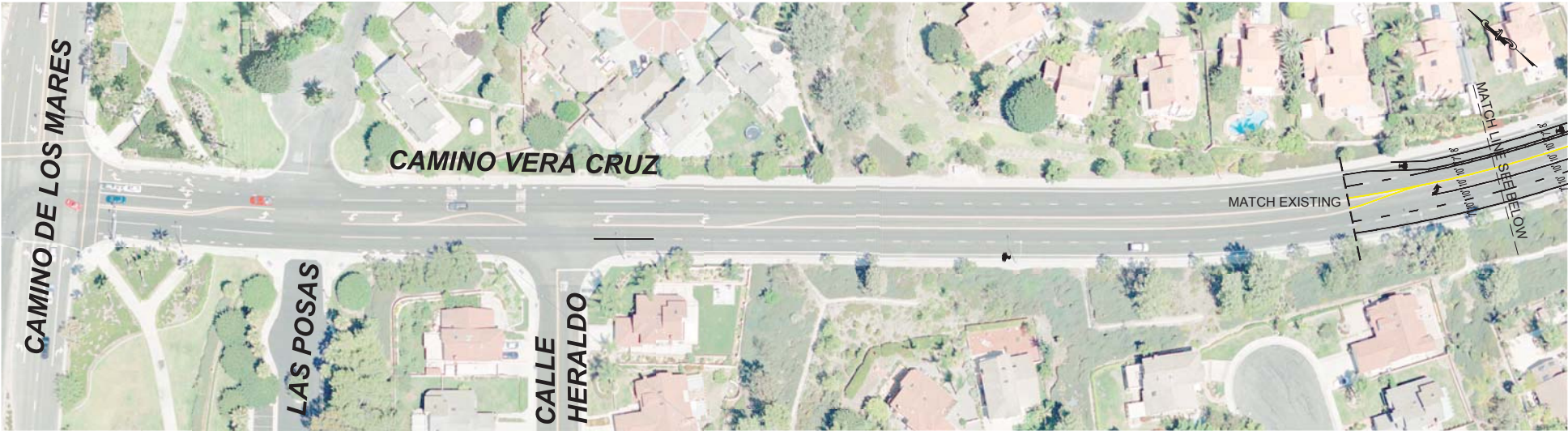



**CITY OF SAN CLEMENTE**  
910 CL Negocio, Suite 100  
San CLEMENTE, CA 92673  
Tel (949) 361-6100  
Fax (949) 361-8316

**VICINITY MAP**  
CAMINO VERA CRUZ/COSTA  
INTERSECTION IMPROVEMENTS




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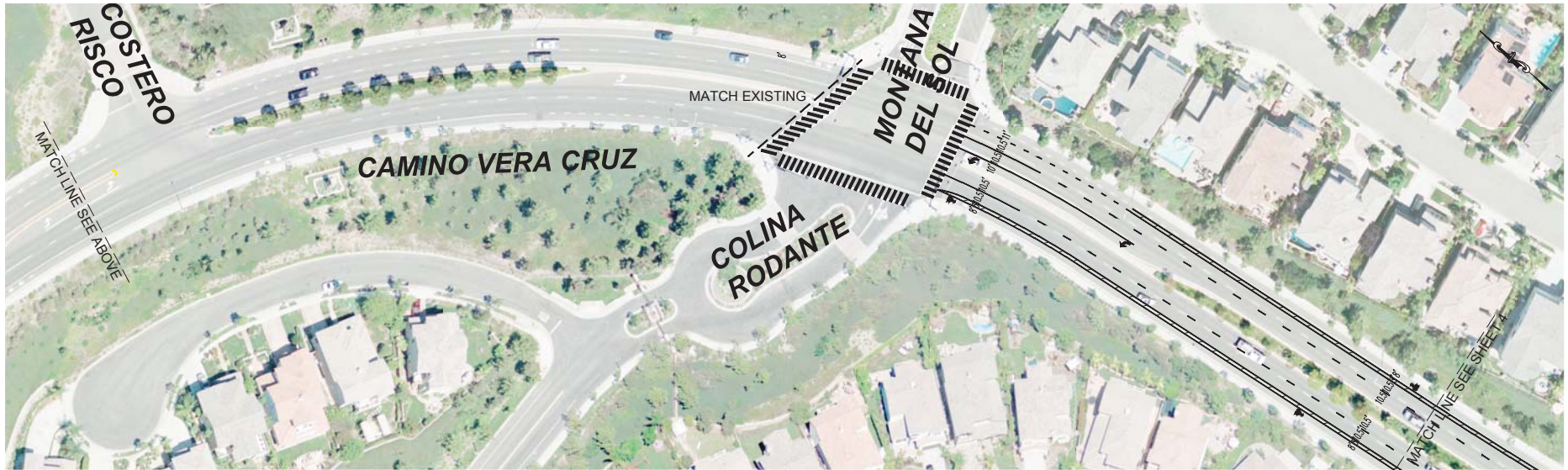
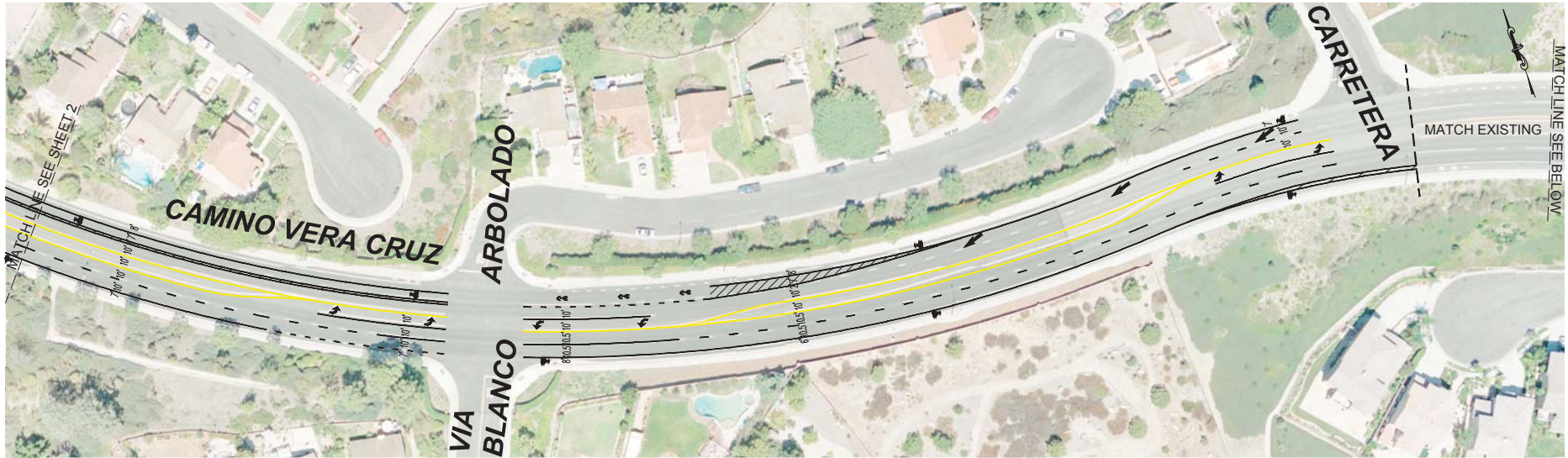
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|------------|--|-------------|--|-----|--------|------------|--|-----------|--|------------------------------|--|---------------|---|----------------------|--|
| REV. DATE: |  | DESCRIPTION |  | BY: | APP'D: | REFERENCES |  | APPROVALS |  | ENGINEERING SCALE :          |  | DATE:         |  | DRAWING NO:          |  |
|            |  |             |  |     |        |            |  |           |  | DRAWN BY :                   |  | DESIGNED BY : |   | CITY OF SAN CLEMENTE |  |
|            |  |             |  |     |        |            |  |           |  | CHECKED BY :                 |  |               |   | Project No. 17347    |  |
|            |  |             |  |     |        |            |  |           |  | APPROVED :                   |  | DATE:         |   | SHEET 1              |  |
|            |  |             |  |     |        |            |  |           |  | THOMAS A. BONIGUT RCE 53861  |  |               |   | OF 4                 |  |
|            |  |             |  |     |        |            |  |           |  | DEPUTY PUBLIC WORKS DIRECTOR |  |               |   |                      |  |






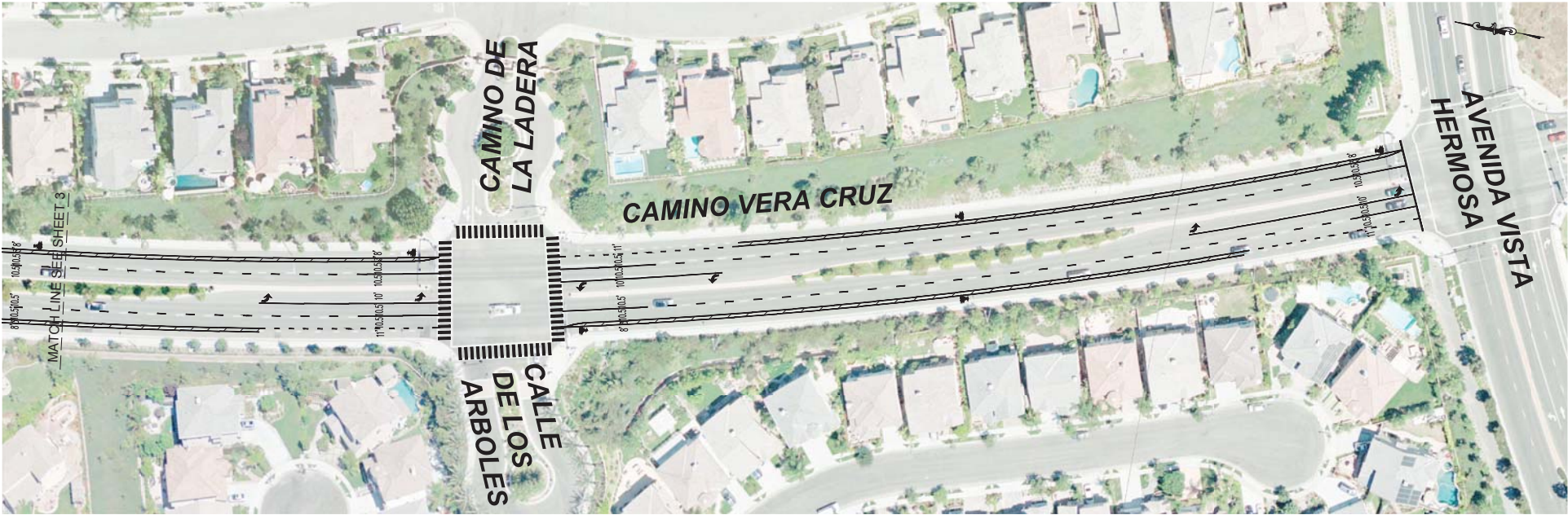
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| REV. DATE: |  | DESCRIPTION |  | BY: | APP'D: | REFERENCES |  | APPROVALS |  | ENGINEERING SCALE :   |  | DATE:         |  | CAMINO VERA CRUZ<br>Project No. 17347<br>CITY OF SAN CLEMENTE |  | DRAWING NO: |  |
|            |  |             |  |     |        |            |  |           |  | DRAWN BY :  |  | DESIGNED BY : |   |   |  | SHEET 2     |  |
|            |  |             |  |     |        |            |  |           |  | CHECKED BY :  |  |               |   |   |  | OF 4        |  |
|            |  |             |  |     |        |            |  |           |  | APPROVED :  |  | DATE:         |   |   |  |             |  |
|            |  |             |  |     |        |            |  |           |  | THOMAS A. BONIGUT RCE 53861<br>DEPUTY PUBLIC WORKS DIRECTOR |  |               |   |   |  |             |  |






|            |  |             |  |     |        |            |  |           |  |   |               |   |                      |  |
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| REV. DATE: |  | DESCRIPTION |  | BY: | APP'D: | REFERENCES |  | APPROVALS |  | ENGINEERING SCALE :   | DATE:         |  | DRAWING NO:          |  |
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|            |  |             |  |     |        |            |  |           |  | CHECKED BY :  |               |   | Project No. 17347    |  |
|            |  |             |  |     |        |            |  |           |  | APPROVED :  | DATE:         |   | CITY OF SAN CLEMENTE |  |
|            |  |             |  |     |        |            |  |           |  | THOMAS A. BONIGUT RCE 53961<br>DEPUTY PUBLIC WORKS DIRECTOR |               |   | SHEET 3              |  |
|            |  |             |  |     |        |            |  |           |  |   |               |   | OF 4                 |  |





|            |  |             |  |     |        |            |  |           |  |   |  |               |   |   |  |             |  |
|------------|--|-------------|--|-----|--------|------------|--|-----------|--|---|--|---------------|---|---|--|-------------|--|
| REV. DATE: |  | DESCRIPTION |  | BY: | APP'D: | REFERENCES |  | APPROVALS |  | ENGINEERING SCALE :   |  | DATE:         |  | CAMINO VERA CRUZ<br>Project No. 17347<br>CITY OF SAN CLEMENTE |  | DRAWING NO: |  |
|            |  |             |  |     |        |            |  |           |  | DRAWN BY :  |  | DESIGNED BY : |   |   |  | SHEET 4     |  |
|            |  |             |  |     |        |            |  |           |  | CHECKED BY :  |  |               |   |   |  | OF 4        |  |
|            |  |             |  |     |        |            |  |           |  | APPROVED :  |  | DATE:         |   |   |  |             |  |
|            |  |             |  |     |        |            |  |           |  | THOMAS A. BONIGUT RCE 53861<br>DEPUTY PUBLIC WORKS DIRECTOR |  |               |   |   |  |             |  |



# City of San Clemente Public Works Department

Tom Bonigut, Public Works Director/City Engineer  
(949) 361-6187

December 1, 2020

Sent via email to:  
[kbrotcke@octa.net](mailto:kbrotcke@octa.net)

Kurt Brotcke  
Director of Strategic Planning  
Orange County Transportation Authority  
550 S. Main Street  
Orange, CA 92863-1584

**RE: Request to modify the lane configuration on Master Plan of Arterial Highways (MPAH)  
Segment – Camino De Los Mares (Camino Del Rio to eastern terminus).**

Dear Mr. Brotcke:

On November 23, 2016 the City received interim approval to reclassify a portion of Camino De Los Mares (from Camino Vera Cruz to Camino Del Rio) from a secondary arterial to a divided collector. The City intended to extend that reclassification request to include the remaining portion of Camino Los Mares from Camino Del Rio to the eastern terminus at the City limit/Prima Deshecha landfill boundary, but inadvertently omitted that section. Traffic volumes on this segment of Camino De Los Mares are even less than for the segment for which reclassification was approved, since that roadway only serves two small residential side streets before ending at the City limit which is also the Prima Deshecha landfill boundary. Therefore, the City requests to also reclassify this segment as follows:

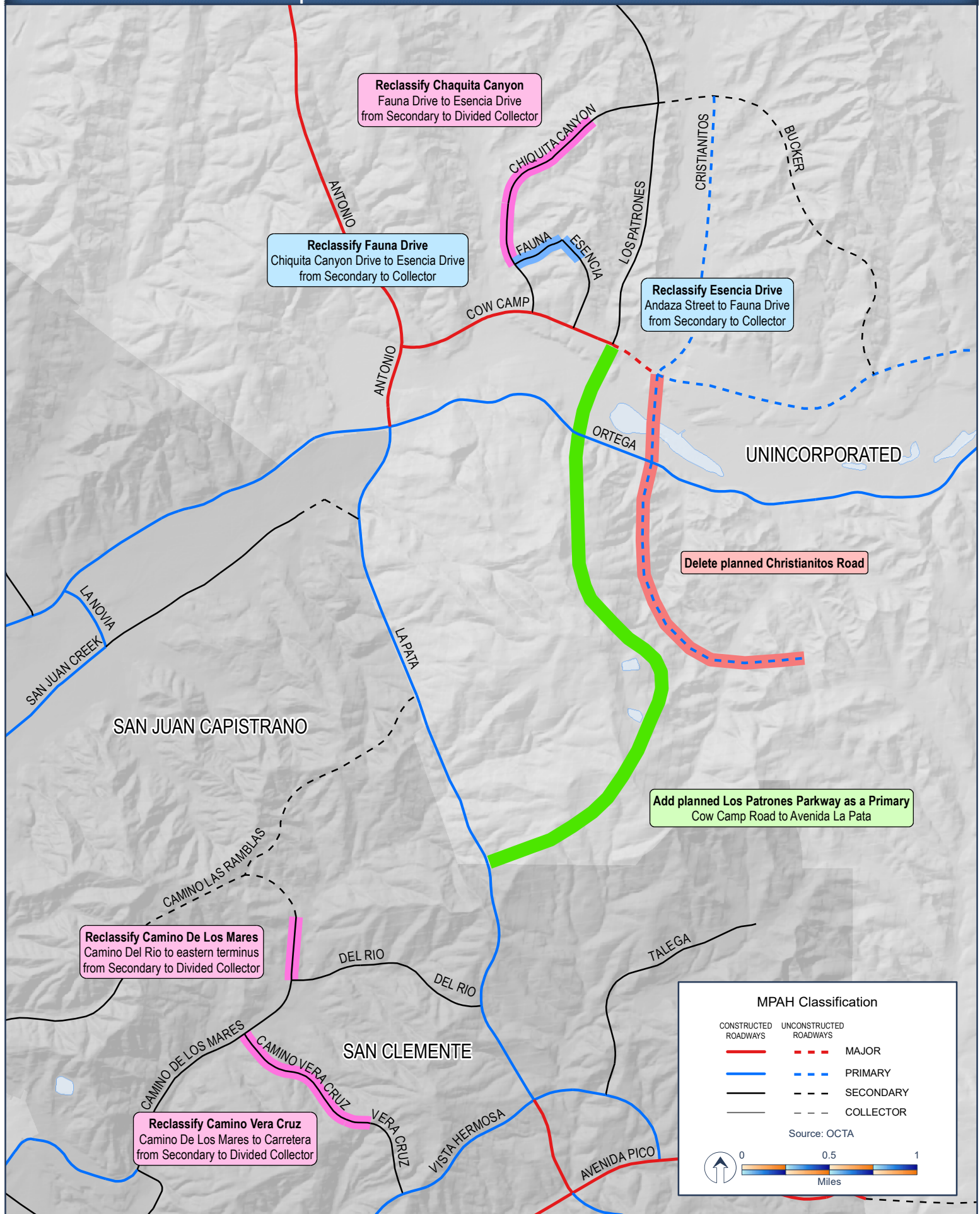
- Camino De Los Mares, from Camino Del Rio to the eastern terminus
- Reclassify from secondary arterial to divided collector

As we have discussed with you and your staff, the City will soon complete a General Plan Amendment (planned for no later than first quarter of calendar 2021) that will incorporate these and several other interim approvals, so that after that time all interim approvals will be made permanent for update on the MPAH. Please contact me if you have any questions.

Sincerely,

Tom Bonigut, P.E.  
Public Works Director/City Engineer

C: Ziad Mazboudi, Deputy Public Works Director  
Nestor Mangohig, Senior Traffic Engineer  
Charlie Larwood, OCTA  
Gregory Nord, OCTA  
Stephanie Chhan, OCTA







Office of Mayor and City Councilmembers

Phone: (949) 361-8322

Website: <http://san-clemente.org>

E-mail: [CityCouncil@san-clemente.org](mailto:CityCouncil@san-clemente.org)

*Laura Ferguson, Mayor Pro Tem*

*Chris Hamm, Councilmember*

*Kathy Ward, Councilmember*

*Gene James, Councilmember*

*Erik Sund, Interim City Manager*

October 21, 2020

James Treadaway  
Director of OC Public Works  
601 N. Ross Street  
Santa Ana, CA 92701

Subject: Los Patrones Parkway Extension Project – 2021 M2 Regional Capacity Program

Dear Mr. Treadaway,

On behalf of the City of San Clemente, I am writing to support the County of Orange's grant application entitled "Los Patrones Parkway Extension Project" for the 2021 M2 Regional Capacity Program. The grant funding will be used to complete the Planning and Environmental Clearance phase of the Project. San Clemente has been an enthusiastic advocate for the Project since it was first scoped by the County on January 29, 2019. The City fully supports implementation of this non-tolled County arterial as a traditional MPAH project without Caltrans's or TCA's participation as lead or sponsoring agency.

As a County arterial, the Project will improve north-south regional mobility in South Orange County and accommodate regional travel demand by extending the existing Los Patrones Parkway at the terminus of Cow Camp Road with two lanes in each direction to Avenida La Pata. This Project accomplishes those improvements at a fraction of the cost of the toll road contemplated previously and will make transportation funds that might have been committed to those projects available for other urgent projects elsewhere in the County.

Understanding the Project will connect to Avenida La Pata and serve as gateway to San Clemente, the City of San Clemente will collaborate as a responsible agency with the County of Orange during the various project phases to ensure the Project is compatible with our standards and operational needs, including Project design, capacity, signals, and intersections.

Should you have any questions regarding this letter, please contact Interim City Manager Erik Sund at (949) 361-8341.

Sincerely,

Laura Ferguson  
Mayor Pro Tem

cc: City Council  
Erik Sund, Assistant City Manager  
Scott Smith, City Attorney

### 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 is being presented to the Board for consideration.  |
| 7  | County of Orange               | Fauna Drive                 | Chiquita Canyon Drive  | Esencia Drive                | Reclassify from Secondary to Collector.   | Amendment is being presented to the Board for consideration.  |
| 8  | County of Orange               | Esencia Drive               | Andaza Street          | Fauna Drive                  | Reclassify from Secondary to Collector.   | Amendment is being presented to the Board for consideration.  |
| 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 is being presented to the Board for consideration.  |
| 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**

|    | <b>City</b>  | <b>Street</b>        | <b>From</b>         | <b>To</b>                      | <b>Type of Amendment</b>                        | <b>Status</b>   |
|----|--------------|----------------------|---------------------|--------------------------------|---|---|
| 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/<br>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     | Camino De Los Mares | Carreterra                     | Reclassify from Secondary to Divided Collector. | Amendment is being presented to the Board for consideration.  |
| 17 | San Clemente | Camino De Los Mares  | Camino Del Rio      | East City Limit                | Reclassify from Secondary to Divided Collector. | Amendment is being presented to the Board for consideration.  |
| 18 | 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. |
| 19 | 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. |
| 20 | 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. |
| 21 | 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   |
|----|-----------|---|--|
| 22 | 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"> <li>- Cambridge Street between, Fairhaven Avenue and SR-55 Freeway, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- Santa Clara Avenue, between Grand Avenue and Tustin Avenue, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- Broadway Street, between 1st Street and 17th Street, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- 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.</li> <li>- Santiago Avenue, between Washington Avenue and 6th Street, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- Standard Avenue, between 6th Street and Warner Avenue, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- Civic Center Drive, between French Street and Santiago Street, from a Secondary (four-lane, undivided) to a Collector (two-lane, undivided) arterial.</li> <li>- Civic Center Drive between Fairview Street and Bristol Street, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- Hazard Avenue, between Euclid Street and Harbor Boulevard, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- Raitt Street, between Segerstrom Avenue and Santa Ana Boulevard, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- 1st Street between Bristol Street and Tustin Avenue, from a Major (six-lane, divided) to a Primary (four-lane divided) arterial.</li> <li>- Chestnut Avenue, between Standard Avenue and Grand Avenue from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- Chestnut Avenue, between Grand Avenue the eastern city limit, from a Primary (four-lane, divided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- McFadden Avenue, between Harbor Boulevard and Grand Avenue, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- Flower Street, between Warner Avenue and First Street, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> <li>- Halladay Avenue, between Warner Avenue and Dyer Road, from a Secondary (four-lane, undivided) to a Divided Collector (two-lane, divided) arterial.</li> </ul> | <p>The amendment was conditionally approved by the Board. Waiting for execution of memorandum of understanding, and documentation confirming completion of CEQA and general plan change.</p> |



## Status Report on Active Master Plan of Arterial Highways Amendments

|                             | City  | Street  |                             |                             |   | Status  |
|-----------------------------|---|---|-----------------------------|-----------------------------|---|---|
| 22<br>con't                 | Santa Ana   | This amendment will remove the following segments from the Master Plan of Arterial Highways: <ul style="list-style-type: none"> <li>- Flower Street, between 17th Street and its northern terminus.</li> <li>- Logan Street, between Stafford Street and Santa Ana Boulevard.</li> <li>- Stafford Street, between proposed Logan Street and Santiago Street.</li> </ul> |                             |                             |   | The amendment was conditionally approved by the Board. Waiting for execution of memorandum of understanding, and documentation confirming completion of CEQA and general plan change.   |
| 23                          | Santa Ana/Orange                                    | Fairhaven Avenue  | Grand Avenue                | Tustin 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.   |
| Memorandum of Understanding | Costa Mesa/<br>Fountain Valley/<br>Huntington Beach | Garfield Avenue/<br>Gisler Avenue<br>Crossing over the Santa Ana River  | Santa Ana River<br>Westbank | Santa Ana River<br>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



## COMMITTEE TRANSMITTAL

**January 11, 2021**

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

**From:** Andrea West, Interim Clerk of the Board *Andrea West*

**Subject:** Orange County Transportation Authority State and Federal Grant Programs – Update and Recommendations

### Regional Planning and Highways Committee Meeting of January 4, 2021

**Present:** Directors Bartlett, Chaffee, Delgleize, Muller, and Murphy  
**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 5-0 by the Members present.

### **Committee Recommendations**

- A. Approve the requests to delay the City of Costa Mesa Adams Avenue and Pinecreek Drive Intersection Project and the County of Orange OC Loop Carbon Canyon Bikeway Gap Closure (Segment D) Project.
- B. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.



**January 4, 2021**

**To:** Regional Planning and Highways Committee  
**From:** Darrell E. Johnson, Chief Executive Officer  
**Subject:** Orange County Transportation Authority State and Federal Grant Programs – Update and Recommendations

### **Overview**

The Orange County Transportation Authority provides grants to local agencies through various state and federal funding programs. Status reports on these programs, as well as project changes, are presented for review and approval.

### **Recommendations**

- A. Approve the requests to delay the City of Costa Mesa Adams Avenue and Pinecreek Drive Intersection Project and the County of Orange OC Loop Carbon Canyon Bikeway Gap Closure (Segment D) Project.
- B. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.

### **Background**

The Orange County Transportation Authority (OCTA) issues periodic state and federally-funded calls for projects (call). Examples of prior calls include the Bicycle Corridor Improvement Program (BCIP), State-Local Partnership Program (SLPP) formula grant call, and Arterial Pavement Management (APM) Program.

Example revenues for the prior calls include federal Congestion Mitigation and Air Quality Improvement Program funds, federal Surface Transportation Block Grant Program funds, State Proposition 1B SLPP funds, and Mobile Source Air Pollution Reduction Review Committee funds. In order to meet OCTA, state, and federal requirements, project-specific amendments are requested by local agencies and are presented for Board of Directors' review and approval.

***Discussion***

Since 2012, the OCTA Board of Directors (Board) has programmed \$95.358 million in state and federal funds to Orange County local agencies through the BCIP, SLPP, and APM calls, for a total of 177 phases of work for 152 projects. A summary of the project phases is provided in the table below, and additional detail on the status of the active projects is provided in Attachment A.

| Project Phase Status | Environmental/<br>Engineering | Right-of-Way (ROW) | Construction | Total |
|----------------------|-------------------------------|--------------------|--------------|-------|
| Planned              | 4                             | 4                  | 14           | 22    |
| Started              | 10                            | 1                  | 11           | 22    |
| Completed            | 12                            | -                  | 109          | 121   |
| Cancelled            | 1                             | -                  | 11           | 12    |
| Total                | 27                            | 5                  | 145          | 177   |

Note:

BCIP projects may have more than one phase of work.

Planned – Indicates that the funds for this phase have not been obligated.

Started – Indicates that the funds for this phase have been obligated.

Completed – Indicates that the work related to this phase is complete.

**Program Amendments**

For this review period, Board approval is requested to approve program year amendments for two projects. The City of Costa Mesa and the County of Orange are requesting delays to the construction phase of the Adams Avenue and Pinecreek Drive Intersection Project and the OC Loop Carbon Canyon Bikeway Gap Closure (Segment D) Project to allow time to complete design and ROW activities. The City of Costa Mesa's environmental phase required additional time for completion, which delayed the design phase of work. The County of Orange project is impacted by complex ROW issues and concurrent projects within the project area. Additionally, both projects experienced delays due to the impacts of the Coronavirus. Details on the requests are provided in Attachment B.

The Capital Funding Program Report, which summarizes the current programming of OCTA-issued state- and federally-funded calls based on actions that may be recommended in this report, as well as prior Board actions, is included as Attachment C.

***Summary***

Status reports from the BCIP, SLPP, and APM Program are provided for review. Staff recommends Board approval for delay requests for two local agency projects.

***Attachments***

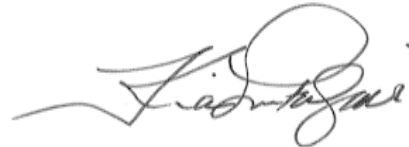
- A. State and Federal Grant Programs Project Status, As of January 4, 2021
- B. State and Federal Grant Programs, Bicycle Corridor Improvement Program Requests
- C. Capital Funding Program Report

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**State and Federal Grant Programs Project Status**  
**As of January 4, 2021**

| 2012 BCIP  |  |       |              |                |                    |
|------------|--|-------|--------------|----------------|--------------------|
| Agency     | Project Title  | Phase | Allocation   | Matching Funds | Total Project Cost |
| Costa Mesa | Bicycle Racks at City Facilities                       | C     | \$ 33,974    | \$ 5,076       | \$ 39,050          |
| Costa Mesa | Placentia Avenue Bicycle Signal                        | C     | \$ 212,531   | \$ 31,757      | \$ 244,288         |
| Irvine     | Peters Canyon Off-Street Bikeway Lighting Improvements | C     | \$ 652,500   | \$ 97,500      | \$ 750,000         |
|            | 2012 BCIP Phases Completed                             | 23    | \$ 6,158,700 | \$ 1,271,365   | \$ 7,430,065       |
|            | 2012 BCIP Phases In Progress                           | 1     | \$ 652,500   | \$ 97,500      | \$ 750,000         |
|            | 2012 BCIP Total Program <sup>1</sup>                   | 24    | \$ 6,811,200 | \$ 1,368,865   | \$ 8,180,065       |

| 2014 BCIP        |   |       |              |                |                    |
|------------------|---|-------|--------------|----------------|--------------------|
| Agency           | Project Title   | Phase | Allocation   | Matching Funds | Total Project Cost |
| Huntington Beach | Utica Avenue Bicycle Boulevard                        | C     | \$ 682,260   | \$ 170,570     | \$ 852,830         |
| La Habra         | La Habra Union Pacific Rail Line Bikeway <sup>2</sup> | R     | \$ 91,760    | \$ 708,240     | \$ 800,000         |
|                  | 2014 BCIP Phases Completed                            | 4     | \$ 418,476   | \$ 3,940,884   | \$ 4,359,360       |
|                  | 2014 BCIP Phases In Progress                          | 2     | \$ 774,020   | \$ 878,810     | \$ 1,652,830       |
|                  | 2014 BCIP Total Program <sup>1</sup>                  | 6     | \$ 1,192,496 | \$ 4,819,694   | \$ 6,012,190       |

| 2016 BCIP        |  |       |              |                |                    |
|------------------|--|-------|--------------|----------------|--------------------|
| Agency           | Project Title  | Phase | Allocation   | Matching Funds | Total Project Cost |
| Anaheim          | Nohl Ranch Open Space Trail                                  | E,R   | \$ 650,400   | \$ 162,600     | \$ 813,000         |
| County of Orange | Peters Canyon Bikeway Extension                              | E     | \$ 883,520   | \$ 120,480     | \$ 1,004,000       |
| County of Orange | OC Loop Carbon Creek Channel (Segment D) Bikeway Gap Closure | E,R   | \$ 1,551,440 | \$ 211,560     | \$ 1,763,000       |
| County of Orange | OC Loop El Cajon Bikeway Gap Closure (Segment H)             | E,C   | \$ 2,107,054 | \$ 287,326     | \$ 2,394,380       |
| Fullerton        | Citywide Bicycle and Pedestrian Improvement Project          | C     | \$ 578,886   | \$ 78,939      | \$ 657,825         |

**Notes:**

1. Total does not include cancelled projects.
2. Mobile Air Pollution Reduction Committee County Transportation Commission funds.

**State and Federal Grant Programs Project Status  
As of January 4, 2021**

| <b>2016 BCIP (continued)</b>               |  |              |                      |                       |                           |                              |
|--|--|--------------|----------------------|-----------------------|---------------------------|------------------------------|
| <b>Agency</b>                              | <b>Project Title</b>   | <b>Phase</b> | <b>Allocation</b>    | <b>Matching Funds</b> | <b>Total Project Cost</b> | <b>Status</b>                |
| Fullerton                                  | Wilshire Avenue Bicycle Boulevard                                      | C            | \$ 2,220,267         | \$ 302,764            | \$ 2,523,031              | Completed                    |
| Garden Grove                               | City of Garden Grove, Bicycle Corridor Improvements                    | E,C          | \$ 1,094,357         | \$ 149,230            | \$ 1,243,587              | Started - E<br>Planned - C   |
| Irvine                                     | Jeffrey Open Space Trail and I-5 Bicycle and Pedestrian Bridge Project | E            | \$ 1,056,000         | \$ 144,000            | \$ 1,200,000              | Started                      |
| Newport Beach                              | Newport Beach Bicycle and Pedestrian Bridge Project                    | C            | \$ 2,349,600         | \$ 587,400            | \$ 2,937,000              | Planned                      |
| Santa Ana                                  | Bristol Street Protected Bicycle Lanes                                 | E,C          | \$ 2,271,006         | \$ 309,681            | \$ 2,580,687              | Completed - E<br>Started - C |
| Santa Ana                                  | Bristol Street - Edinger Avenue Class II Bicycle Lanes                 | E,C          | \$ 735,703           | \$ 100,326            | \$ 836,029                | Completed - E<br>Started - C |
| Santa Ana                                  | Hazard Avenue Protected Bicycle Lanes                                  | E,C          | \$ 1,035,242         | \$ 141,173            | \$ 1,176,415              | Completed - E<br>Started - C |
| Santa Ana                                  | Citywide Bicycle Racks   | E,C          | \$ 1,100,000         | \$ 150,000            | \$ 1,250,000              | Completed - E<br>Started - C |
| Tustin                                     | Main Street/El Camino Real Improvements                                | C            | \$ 2,213,613         | \$ 301,856            | \$ 2,515,469              | Cancelled                    |
| <b>2016 BCIP Phases Completed</b>          |  | <b>6</b>     | <b>\$ 3,330,176</b>  | <b>\$ 454,122</b>     | <b>\$ 3,784,298</b>       |                              |
| <b>2016 BCIP Phases In Progress</b>        |  | <b>15</b>    | <b>\$ 14,303,299</b> | <b>\$ 2,291,357</b>   | <b>\$ 16,594,656</b>      |                              |
| <b>2016 BCIP Total Program<sup>1</sup></b> |  | <b>21</b>    | <b>\$ 17,633,475</b> | <b>\$ 2,745,479</b>   | <b>\$ 20,378,954</b>      |                              |

|   |           |                  |
|---|-----------|------------------|
| <b>2016 BCIP from Savings and Cancellations</b> | <b>\$</b> | <b>2,213,613</b> |
|---|-----------|------------------|

| <b>2019 BCIP</b> |  |              |                   |                       |                           |   |
|------------------|--|--------------|-------------------|-----------------------|---------------------------|---|
| <b>Agency</b>    | <b>Project Title</b>   | <b>Phase</b> | <b>Allocation</b> | <b>Matching Funds</b> | <b>Total Project Cost</b> | <b>Status</b>                             |
| Brea             | OC Loop Brea Gap Closure   | E, R , C     | \$ 6,047,538      | \$ 2,967,750          | \$ 9,015,288              | Planned - E<br>Planned - R<br>Planned - C |
| Buena Park       | Valley View Street and SCE Trail Crossing Bicycle/ Pedestrian Traffic Signal | C            | \$ 508,279        | \$ 90,886             | \$ 599,165                | Cancelled                                 |
| Costa Mesa       | Adams Avenue and Pinecreek Drive Intersection Project                        | E, C         | \$ 620,336        | \$ 316,659            | \$ 936,995                | Started - E<br>Planned - C                |
| County of Orange | Santa Ana Gardens Channel Bikeway Extension Project                          | C            | \$ 1,308,572      | \$ 823,992            | \$ 2,132,564              | Planned                                   |
| County of Orange | OC Loop Carbon Canyon (Segment D) Bikeway Gap Closure Project                | C            | \$ 4,000,000      | \$ 1,685,383          | \$ 5,685,383              | Planned                                   |
| Irvine           | JOST I-5 Bicycle Pedestrian Bridge   | C            | \$ 4,000,000      | \$ 8,426,028          | \$ 12,426,028             | Planned                                   |

**State and Federal Grant Programs Project Status  
As of January 4, 2021**

| <b>2019 BCIP</b>                           |   |              |                      |                       |                           |                            |
|--|---|--------------|----------------------|-----------------------|---------------------------|----------------------------|
| <b>Agency</b>                              | <b>Project Title</b>  | <b>Phase</b> | <b>Allocation</b>    | <b>Matching Funds</b> | <b>Total Project Cost</b> | <b>Status</b>              |
| La Habra                                   | La Habra Union Pacific Rail Line Bikeway  | R            | \$ 1,948,800         | \$ 487,200            | \$ 2,436,000              | Planned                    |
| Mission Viejo                              | District 5 Regional Bikeways - Mission Viejo N/S Corridor and Jeronimo/Chrisanta Trail          | E            | \$ 220,000           | \$ 30,000             | \$ 250,000                | Started                    |
| Orange                                     | Santiago Creek Multipurpose Extension Project   | E            | \$ 345,794           | \$ 97,532             | \$ 443,326                | Started                    |
| Placentia                                  | Atwood Multipurpose Trail   | E            | \$ 280,000           | \$ 70,000             | \$ 350,000                | Started                    |
| San Clemente                               | S. El Camino Real Lane Reconfiguration and Buffered Bike Lane Project <sup>3</sup>              | C            | \$ 1,075,115         | \$ 400,650            | \$ 1,475,765              | Planned                    |
| Santa Ana                                  | Bristol Street Protected Bicycle Lanes - Phase II Warner to St. Andrew <sup>3</sup>             | C            | \$ 1,508,045         | \$ 347,393            | \$ 1,855,438              | Planned                    |
| Santa Ana                                  | Bristol Street Protected Bicycle Lanes - Phase III St. Andrew to Edinger <sup>3</sup>           | E, C         | \$ 743,274           | \$ 598,356            | \$ 1,341,630              | Planned - E<br>Planned - C |
| Santa Ana                                  | Bristol Street Protected Bicycle Lanes - Phase IV Civic Center Drive to Washington <sup>3</sup> | C            | \$ 793,760           | \$ 229,490            | \$ 1,023,250              | Planned                    |
| Santa Ana                                  | Bristol Street Protected Bicycle Lanes - Phase V 1st Street to Civic Center Drive <sup>3</sup>  | E, C         | \$ 1,320,320         | \$ 598,273            | \$ 1,918,593              | Planned - E<br>Planned - C |
| Santa Ana                                  | Warner Avenue Protected Bicycle Lanes   | E, C         | \$ 1,116,126         | \$ 326,079            | \$ 1,442,205              | Started - E<br>Planned - C |
| <b>2019 BCIP Phases Completed</b>          |   | <b>0</b>     | <b>\$ -</b>          | <b>\$ -</b>           | <b>\$ -</b>               |                            |
| <b>2019 BCIP Phases In Progress</b>        |   | <b>21</b>    | <b>\$ 25,327,680</b> | <b>\$ 17,404,785</b>  | <b>\$ 42,732,465</b>      |                            |
| <b>2019 BCIP Total Program<sup>1</sup></b> |   | <b>21</b>    | <b>\$ 25,327,680</b> | <b>\$ 17,404,785</b>  | <b>\$ 42,732,465</b>      |                            |

|   |                   |
|---|-------------------|
| <b>2019 BCIP from Savings and Cancellations</b> | <b>\$ 508,279</b> |
|---|-------------------|

**Notes:**

3. Project was conditionally awarded.

| <b>2014 APM Program</b> |   |              |                   |                       |                           |               |
|-------------------------|---|--------------|-------------------|-----------------------|---------------------------|---------------|
| <b>Agency</b>           | <b>Project Title</b>                            | <b>Phase</b> | <b>Allocation</b> | <b>Matching Funds</b> | <b>Total Project Cost</b> | <b>Status</b> |
| Costa Mesa              | Bristol Street - I-405 to Randolph Avenue       | C            | \$ 500,000        | \$ 500,000            | \$ 1,000,000              | Started       |
| Costa Mesa              | Bear Street - Wakeham Place to I-405            | C            | \$ 300,000        | \$ 300,000            | \$ 600,000                | Started       |
| County of Orange        | Crown Valley Parkway and Oso Parkway            | C            | \$ 500,000        | \$ 563,950            | \$ 1,063,950              | Completed     |
| Placentia               | Placentia Avenue - Chapman Avenue to Ruby       | C            | \$ 500,000        | \$ 1,003,318          | \$ 1,503,318              | Completed     |
| Santa Ana               | Warner Avenue - West City Limit to Grand Avenue | C            | \$ 500,000        | \$ 1,250,000          | \$ 1,750,000              | Started       |
| Santa Ana               | First Street - Harbor Boulevard to Grand Avenue | C            | \$ 500,000        | \$ 1,250,000          | \$ 1,750,000              | Started       |



**State and Federal Grant Programs Project Status  
As of January 4, 2021**

| 2014 APM Program (continued)                  |   |       |                      |                      |                      |           |
|---|---|-------|----------------------|----------------------|----------------------|-----------|
| Agency  | Project Title   | Phase | Allocation           | Matching Funds       | Total Project Cost   | Status    |
| Santa Ana                                     | Fairview Street - Segerstrom Avenue to North City Limit | C     | \$ 500,000           | \$ 1,250,000         | \$ 1,750,000         | Started   |
| Villa Park                                    | Taft Avenue - Santiago Boulevard to Lemon Street        | C     | \$ 385,997           | \$ 385,997           | \$ 771,994           | Completed |
| <b>2014 APM Phases Completed</b>              |   | 37    | <b>\$ 17,564,978</b> | <b>\$ 26,408,336</b> | <b>\$ 43,973,314</b> |           |
| <b>2014 APM Phases In Progress</b>            |   | 5     | <b>\$ 2,300,000</b>  | <b>\$ 4,550,000</b>  | <b>\$ 6,850,000</b>  |           |
| <b>2014 APM Phase Subtotals</b>               |   |       | <b>\$ 19,864,978</b> | <b>\$ 30,958,336</b> | <b>\$ 50,823,314</b> |           |
| <b>APM Available from Savings<sup>4</sup></b> |   |       | <b>\$ -</b>          | <b>\$ -</b>          | <b>\$ 2,508,000</b>  |           |
| <b>2014 APM Total Program</b>                 |   | 42    | <b>\$ 19,864,978</b> | <b>\$ 30,958,336</b> | <b>\$ 53,331,314</b> |           |

**Notes:**

4. Includes savings from deobligations of completed projects.

| SLPP - 51 Completed Projects |                      |                      |                      |
|------------------------------|----------------------|----------------------|----------------------|
|                              | Allocation           | Match                | Total Project Cost   |
| <b>SLPP Phases Completed</b> | <b>\$ 24,528,000</b> | <b>\$ 28,219,918</b> | <b>\$ 52,747,918</b> |
| <b>SLPP Total Program</b>    | <b>\$ 24,528,000</b> | <b>\$ 28,219,918</b> | <b>\$ 52,747,918</b> |

APM - Arterial Pavement Management  
 BCIP - Bicycle Corridor Improvement Program  
 C - Construction  
 E - Engineering  
 I-405 - Interstate 405  
 I-5 - Interstate 5  
 N/S - North/South  
 R - Right-of-Way  
 SCE - Southern California Edison  
 SLPP - State-Local Partnership Program

Planned - Indicates that the funds for this phase have not been obligated.  
 Started - Indicates that the funds for this phase have been obligated.  
 Completed - Indicates that the work related to this phase is complete.

**State and Federal Grant Programs  
Bicycle Corridor Improvement Program Requests**

| Program Year Amendment Requests<br>As of January 4, 2021 |   |               |                           |             |  |
|--|---|---------------|---------------------------|-------------|--|
| Agency   | Project Title   | Delayed Phase | Approved Fiscal Year (FY) | Proposed FY | Delay Reason   |
| Costa Mesa   | Adams Avenue and Pinecreek Drive Intersection         | Construction  | 2020-21                   | 2021-22     | The project was authorized to proceed with preliminary engineering in FY 2019-20. The City of Costa Mesa expects to award a contract for the final design of the project in February 2021, and to complete design in late summer 2021. The construction phase is requested to be amended to allow time for the project to complete prior phases of work. This request is recommended for approval.   |
| County of Orange   | OC Loop Carbon Canyon Bikeway Gap Closure (Segment D) | Construction  | 2020-21                   | 2022-23     | The project was authorized to proceed with preliminary engineering in FY 2018-19 and the project has completed 65% design. Additionally, the right-of-way phase which was authorized in FY 2019-20 is underway and requires several construction easements. The construction phase amendment will allow additional time to complete design and right-of-way activities, and will also address delivery delays associated with a planned (separate) bridge project in the project area, which must be completed prior to the installation of the bikeway. This request is recommended for approval. |



# Capital Funding Program Report

Board of Directors (Board) Approval - July 13, 2020

| Local Road Project  |        |                    |                 |     |                  |                  |     |                 |                 |                  |                  |
|---|--------|--------------------|-----------------|-----|------------------|------------------|-----|-----------------|-----------------|------------------|------------------|
| Project Title   | M Code | Total Funding      | Federal Funds   |     |                  | State Funds      |     |                 | Local Funds     |                  |                  |
|   |        |                    | STBG/CMAQ       | FTA | Other Fed.       | STIP             | SB1 | Other State     | M1              | M2               | Other Local      |
| State-Local Partnership Program (SLPP) formula grant call                           | M1/Q   | \$54,445           |                 |     |                  |                  |     | \$24,945        | \$1,280         | \$27,249         | \$971            |
| M2 Project O Regional Capacity Program call   | O      | \$296,202          |                 |     |                  |                  |     | \$24,254        |                 | \$271,948        |                  |
| SR-57 truck climbing lane phase I - Lambert Road interchange improvement            | O      | \$121,500          |                 |     | \$7,719          | \$74,705         |     |                 |                 | \$19,254         | \$19,822         |
| M2 Project P Regional Signal Synchronization Program call                           | P      | \$105,490          | \$1,774         |     |                  |                  |     | \$11,762        | \$4,546         | \$87,408         |                  |
| M2 Project Q Fair Share Program (FY 2016-17 through FY 2021-22)                     | Q      | \$361,621          |                 |     |                  |                  |     |                 |                 | \$361,621        |                  |
| M2 Project X Environmental Clean Up   | X      | \$52,458           |                 |     |                  |                  |     |                 |                 | \$52,458         |                  |
| Active Transportation Program - regional call                                       |        | \$72,406           | \$311           |     | \$66,421         | \$92             |     |                 |                 |                  | \$5,582          |
| Active Transportation projects  |        | \$17,784           |                 |     |                  | \$15,650         |     |                 |                 |                  | \$2,134          |
| ARRA transportation enhancements  |        | \$6,833            |                 |     | \$4,049          |                  |     |                 | \$500           |                  | \$2,284          |
| Arterial Pavement Management Program  |        | \$50,888           | \$19,930        |     |                  |                  |     |                 |                 |                  | \$30,958         |
| Atlanta Avenue widening   |        | \$4,160            | \$2,278         |     |                  |                  |     |                 |                 |                  | \$1,882          |
| Bicycle Corridor Improvement Program (BCIP)   |        | \$72,144           | \$49,803        |     |                  |                  |     |                 |                 |                  | \$22,341         |
| Bristol Street widening   |        | \$44,750           |                 |     |                  |                  |     |                 |                 |                  | \$44,750         |
| Local Agency American Reinvestment and Recovery Act of 2009 rehabilitation projects |        | \$32,369           |                 |     | \$32,369         |                  |     |                 |                 |                  |                  |
| M1 Combined Transportation Funding Program (CTFP)                                   |        | \$34,000           |                 |     |                  |                  |     |                 | \$34,000        |                  |                  |
| SCAG Sustainability Planning Grants   |        | \$720              |                 |     | \$671            |                  |     |                 |                 |                  | \$49             |
| Traffic Signal Improvements   |        | \$15,000           |                 |     |                  | \$12,000         |     |                 |                 |                  | \$3,000          |
| Transportation Enhancement Activities   |        | \$22,172           |                 |     | \$15,628         |                  |     |                 |                 |                  | \$6,544          |
| Del Obispo widening   | M1     | \$6,419            | \$3,740         |     |                  |                  |     |                 |                 |                  | \$2,679          |
| <b>Local Road Project Totals</b>  |        | <b>\$1,371,361</b> | <b>\$77,836</b> |     | <b>\$126,857</b> | <b>\$102,447</b> |     | <b>\$60,961</b> | <b>\$40,326</b> | <b>\$819,938</b> | <b>\$142,996</b> |
| <b>Federal Funding Total</b>  |        | <b>\$204,693</b>   |                 |     |                  |                  |     |                 |                 |                  |                  |
| <b>State Funding Total</b>  |        | <b>\$163,408</b>   |                 |     |                  |                  |     |                 |                 |                  |                  |
| <b>Local Funding Total</b>  |        | <b>\$1,003,260</b> |                 |     |                  |                  |     |                 |                 |                  |                  |
| <b>Total Funding (000's)</b>  |        | <b>\$1,371,361</b> |                 |     |                  |                  |     |                 |                 |                  |                  |

| Local Road Project Completed                    |        |               |               |     |            |             |     |             |             |          |             |
|---|--------|---------------|---------------|-----|------------|-------------|-----|-------------|-------------|----------|-------------|
| Project Title                                   | M Code | Total Funding | Federal Funds |     |            | State Funds |     |             | Local Funds |          |             |
|   |        |               | STBG/CMAQ     | FTA | Other Fed. | STIP        | SB1 | Other State | M1          | M2       | Other Local |
| Grand Avenue widening, 1st Street to 4th Street | O      | \$12,537      | \$6,708       |     |            |             |     |             |             |          | \$5,829     |
| Kraemer Boulevard grade separation              | O      | \$63,830      | \$22,044      |     |            |             |     | \$16,973    |             | \$22,981 | \$1,832     |
| Lakeview Avenue grade separation                | O      | \$110,702     | \$37,102      |     | \$9,709    |             |     | \$27,520    |             | \$21,616 | \$14,755    |
| Orangethorpe Avenue grade separation            | O      | \$106,043     | \$38,240      |     | \$18,600   |             |     | \$30,324    |             | \$16,182 | \$2,697     |
| Placentia Avenue grade separation               | O      | \$64,539      |               |     |            |             |     | \$33,386    |             | \$27,453 | \$3,700     |
| Raymond Avenue grade separation                 | O      | \$126,317     |               |     |            |             |     | \$95,351    |             | \$23,402 | \$7,564     |
| State College Boulevard grade separation        | O      | \$99,631      | \$31,541      |     | \$10,887   |             |     | \$34,785    |             | \$11,400 | \$11,018    |
| Tustin Avenue/Rose Drive grade separation       | O      | \$96,638      | \$45,957      |     |            |             |     | \$22,534    |             | \$26,384 | \$1,763     |



# Capital Funding Program Report

Board of Directors (Board) Approval - July 13, 2020

| Local Road Project Completed   |        |                  |                  |     |                 |             |     |                  |                |                  |                 |
|--|--------|------------------|------------------|-----|-----------------|-------------|-----|------------------|----------------|------------------|-----------------|
| Project Title  | M Code | Total Funding    | Federal Funds    |     |                 | State Funds |     |                  | Local Funds    |                  |                 |
|  |        |                  | STBG/CMAQ        | FTA | Other Fed.      | STIP        | SB1 | Other State      | M1             | M2               | Other Local     |
| M2 Fair Share State - Local Partnership Grant Program                      | Q      | \$7,032          |                  |     |                 |             |     | \$3,516          |                | \$3,516          |                 |
| Antonio Parkway widening   |        | \$32,553         | \$15,499         |     |                 |             |     |                  |                |                  | \$17,054        |
| Firestone Boulevard widening at Artesia Boulevard                          |        | \$2,468          | \$2,059          |     |                 |             |     |                  |                |                  | \$409           |
| I-5 at La Paz interchange improvements                                     | M1     | \$8,942          | \$2,800          |     |                 |             |     |                  | \$1,792        |                  | \$4,350         |
| Imperial Highway Smart Streets   | M1     | \$1,900          |                  |     |                 |             |     | \$200            | \$200          |                  | \$1,500         |
| Traffic Light Synchronization Program (TLSP), county-wide - Proposition 1B | M1     | \$8,000          |                  |     |                 |             |     | \$4,000          | \$4,000        |                  |                 |
| <b>Local Road Project Completed Totals</b>                                 |        | <b>\$741,132</b> | <b>\$201,950</b> |     | <b>\$39,196</b> |             |     | <b>\$268,589</b> | <b>\$5,992</b> | <b>\$152,934</b> | <b>\$72,471</b> |
| <b>Federal Funding Total</b>   |        | <b>\$241,146</b> |                  |     |                 |             |     |                  |                |                  |                 |
| <b>State Funding Total</b>   |        | <b>\$268,589</b> |                  |     |                 |             |     |                  |                |                  |                 |
| <b>Local Funding Total</b>   |        | <b>\$231,397</b> |                  |     |                 |             |     |                  |                |                  |                 |
| <b>Total Funding (000's)</b>   |        | <b>\$741,132</b> |                  |     |                 |             |     |                  |                |                  |                 |

## Acronyms:

Aux - Auxilliary

CMAQ - Congestion Mitigation Air Quality Improvement Program

FTA - Federal Transit Administration

FY - Fiscal Year

HOT - High-Occupancy Toll

HOV - High-Occupancy Vehicle

Hwy - Highway

I-405 - Interstate 405

I-5 - Interstate 5

I-605 - Interstate 605

LA - Los Angeles

M Code - Project Codes in Measure M1 and M2

M1 - Measure M1

M2 - Measure M2

N/B - Northbound

OC - Orange County

OCTA - Orange County Transportation Authority

PCH - Pacific Coast Highway

RSTP - Regional Surface Transportation Program

S/B - Southbound

S/O - South of

SS - Southside

STBG - Surface Transportation Block Grant


STIP - State Transportation Improvement Program

W/B - Westbound



**January 11, 2021**

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

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

**Subject:** Approval to Release Request for Proposals for Detail Bus Cleaning and Pesticide Application Services

### **Overview**

The Orange County Transportation Authority utilizes a fleet of 778 buses to provide both directly operated and contract operated fixed route OC Bus service and OC ACCESS services throughout Orange County. These buses routinely require pesticide application and detail cleaning after the application of the pesticides. Staff is requesting the Board of Directors' approval to release a request for proposals for detail bus cleaning and pesticide application services.

### **Recommendations**

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2702 to provide detail bus cleaning and pesticide application services.
- B. Approve the release of Request for Proposals 0-2702 for detail bus cleaning and pesticide application services.

### **Discussion**

Transit buses routinely require detail cleaning and pesticide application services to effectively control pests. The Orange County Transportation Authority (OCTA) pest management program consists of contracted services for licensed application of pesticides, placement of bait, and detail cleaning after baiting. Detail cleaning is an important element of the program, providing for pest prevention as well as removal of chemical residue that follows pesticide applications. OCTA has historically used a contractor experienced in this type of work, and appropriately certified to handle the chemicals used for this service. The contractor will provide required scheduled pesticide and bait application up to four times per year on buses and a complete interior detail

cleaning after pesticide application on these buses. The current agreement for these services will expire on April 30, 2021, and a new agreement is necessary to ensure continuity of these services.

***Procurement Approach***

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

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

Qualifications of the firm was assigned a 30 percent weighting to include a proven history of the firm in successfully completing similar projects. In addition, it is important to consider information regarding requirements to have the resources and related licensing and experience in the application of pesticides, as well as detail bus cleaning capabilities. Work plan was weighted at 25 percent because proposals should address each section of the work plan in sufficient detail to demonstrate a clear understanding of the scope of work, and the firm's ability to provide extensive cleaning and pesticide bait application. Staffing and project organization has the rating of 20 percent because the objectives of the scope of work require specific skillsets and backgrounds for key personnel. Cost and price is also a critical element to ensure services are received at a fair cost and was weighted at 25 percent.

The contract for this procurement will be for an initial term of three years with one, two-year option term. The total budget for the initial term of this project is anticipated to be approximately \$1,076,727.

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

**Fiscal Impact**

The project is included in the OCTA Fiscal Year 2020-21 Budget, Transit Division, Maintenance Department, Accounts 2162-7613-D3107-2WP, 2168-7613-D3107-2WP and 2194-7613-D3107-2WP, and Transit

Division, Contracted Services, Accounts 2136-7613-D1208-0B2, 2137-7613-D2114-0B1, 2138-7613-D2108-0GH and 2148-7613-D2140-0JT, and is funded through the Local Transportation Fund.

***Summary***

Board approval is requested to release RFP 0-2702 for pesticide application services and detail bus cleaning, as well as approval of the proposed evaluation criteria and weightings.

***Attachment***

- A. Draft Request for Proposals (RFP) 0-2702, Detail Bus Cleaning and Pesticide Application Services

**Prepared by:**



Marie Latino  
Section Manager, Maintenance  
Resource Management  
714-560-5323

**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  
714-560-5462

**DRAFT REQUEST FOR PROPOSALS (RFP) 0-2702**

# **DETAIL BUS CLEANING AND PESTICIDE APPLICATION SERVICES**



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

**Key RFP Dates**

|                                      |                          |
|--------------------------------------|--------------------------|
| <b>Issue Date:</b>                   | <b>January 11, 2021</b>  |
| <b>Pre-Proposal Conference Date:</b> | <b>January 18, 2021</b>  |
| <b>Question Submittal Date:</b>      | <b>January 19, 2021</b>  |
| <b>Proposal Submittal Date:</b>      | <b>February 10, 2021</b> |
| <b>Interview Date:</b>               | <b>March 2, 2021</b>     |



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January 11, 2021

**NOTICE OF REQUEST FOR PROPOSALS (RFP)**

**RFP: 0-2702: "DETAIL BUS CLEANING AND PESTICIDE APPLICATION SERVICES"**

**TO: ALL OFFERORS**

**FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY**

The Orange County Transportation Authority (Authority) invites proposals from qualified contractors to provide detailed bus cleaning and pesticide application services. The budget for this effort is \$1,076,727 for a three-year initial term.

**Proposals must be submitted electronically through the following URL link: <https://www.octa.net/Proposal Upload Link> at or before 2:00 p.m. on February 10, 2021. Select "RFP 0-2702" from the drop-down menu and follow the instructions as prompted.**

**PLEASE NOTE:**

**Hard copy proposal submission will not be accepted for this RFP. Proposals must be submitted electronically at the link stated above and by the date and time as indicated.**

Proposals and amendments to proposals received after the date and time specified above will not be accepted.

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

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

To receive all further information regarding this RFP 0-2702, firms and subconsultants must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

**Category:**

**Maintenance Services -  
Equipment  
Maintenance Services -  
Facility  
Facility; Equipment, Supplies**

**Commodity:**

**Bus Wash Equipment -  
Service  
Janitorial - Cleaning Services  
Janitorial Services  
Pest Control  
Janitorial - Cleaning  
Equipment**

**A pre-proposal conference will be held on January 18, 2021 at 1:30 p.m. via teleconference only.**

**\*IN-PERSON ATTENDANCE IS NOT AVAILABLE\***

**The pre-proposal conference will be open for attendance via teleconference only. The specific call-in number for this conference is (714) 558-5200, Conference ID: 153450#. The conference will begin promptly at 1:30 p.m., on January 18, 2021. Callers are requested to dial in and mute the call.**

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

The Authority has established March 2, 2021, as the date to conduct interviews. All prospective Offerors will be asked to keep this date available.

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

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

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

**SECTION I: INSTRUCTIONS TO OFFERORS**

**SECTION I. INSTRUCTIONS TO OFFERORS**

**A. PRE-PROPOSAL CONFERENCE**

A pre-proposal conference will be held on January 18, 2021 at 1:30 p.m. via teleconference only.

**\*IN-PERSON ATTENDANCE IS NOT AVAILABLE\***

The pre-proposal conference will be open for attendance via teleconference only. The specific call-in number for this conference is (714) 558-5200, Conference ID: 153450#. The conference will begin promptly at 1:30 p.m., on January 18, 2021. Callers are requested to dial in and mute the call.

**B. EXAMINATION OF PROPOSAL DOCUMENTS**

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

**C. ADDENDA**

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

**D. AUTHORITY CONTACT**

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

Yvette Crowder, Senior Contract Administrator  
Contracts Administration and Materials Management Department  
600 South Main Street  
P.O. Box 14184  
Orange, CA 92863-1584  
Phone: 714.560.5616, Fax: 714.560.5792  
Email: [ycrowder@octa.net](mailto:ycrowder@octa.net)

Commencing on the date of the issuance of this RFP and continuing until award of the contract or cancellation of this RFP, no proposer, subcontractor, lobbyist or agent hired by the proposer shall have any contact or communications regarding

this RFP with any Authority's staff; member of the evaluation committee for this RFP; or any contractor or consultant involved with the procurement, other than the Contract Administrator named above or unless expressly permitted by this RFP. Contact includes face-to-face, telephone, electronic mail (e-mail) or formal written communication. Any proposer, subcontractor, lobbyist or agent hired by the proposer that engages in such prohibited communications may result in disqualification of the proposer at the sole discretion of the Authority.

## **E. CLARIFICATIONS**

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

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

### **2. Submitting Requests**

- a. All questions, including questions that could not be specifically answered at the pre-proposal conference, must be put in writing and must be received via email to [ycrowder@octa.net](mailto:ycrowder@octa.net) no later than 4:30 p.m., on January 19, 2021.
- b. Requests for clarifications, questions, and comments must be clearly labeled, "RFP 0-2702, Detail Bus Cleaning and Pesticide Application Services, Written Questions". The Authority is not responsible for failure to respond to a request that has not been labeled as such.

### **3. Authority Responses**

Responses from the Authority will be posted on CAMM NET, no later than January 22, 2021. Offerors may download responses from CAMM NET at <https://cammnet.octa.net>.

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

|                                  |                                |
|----------------------------------|--------------------------------|
| <u>Category:</u>                 | <u>Commodity:</u>              |
| Maintenance Services - Equipment | Bus Wash Equipment - Service   |
| Maintenance Services - Facility  | Janitorial - Cleaning Services |
|                                  | Janitorial Services            |
| Facility; Equipment, Supplies    | Pest Control                   |

**Janitorial - Cleaning Equipment**

Inquiries received after 4:30 p.m. on January 19, 2021 will not be responded to.

**F. SUBMISSION OF PROPOSALS**

**1. Date and Time**

**Proposals must be submitted electronically through the following URL link: <https://www.octa.net/Proposal Upload Link> at or before 2:00 p.m. on February 10, 2021. Select “RFP 0-2702” from the drop-down menu and follow the instructions as prompted.**

**PLEASE NOTE:**

**Hard copy proposal submission will not be accepted for this RFP. Proposals must be submitted electronically at the link stated above and by the date and time as indicated.**

**2. Acceptance of Proposals**

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

**G. PRE-CONTRACTUAL EXPENSES**

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

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

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

**H. JOINT OFFERS**

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

**I. TAXES**

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

**J. PROTEST PROCEDURES**

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

**K. CONTRACT TYPE**

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be a time-and-expense contract specifying fully-burdened unit-price per bus rates and anticipated expenses for work specified in the scope of work, included in the RFP as Exhibit A. The Agreement will have a three-year initial term with one, two-year option term.

**L. CONFLICT OF INTEREST**

All Offerors responding to this RFP must avoid organizational conflicts of interest which would restrict full and open competition in this procurement. An



organizational conflict of interest means that due to other activities, relationships or contracts, an Offeror is unable, or potentially unable to render impartial assistance or advice to the Authority; an Offeror's objectivity in performing the work identified in the Scope of Work is or might be otherwise impaired; or an Offeror has an unfair competitive advantage. Conflict of Interest issues must be fully disclosed in the Offeror's proposal.

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

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

**M. CODE OF CONDUCT**

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

**SECTION II: PROPOSAL CONTENT**

## **SECTION II. PROPOSAL CONTENT**

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

#### **1. Format**

Proposals should be typed with a standard 12-point font, double-spaced. Proposals should not include any unnecessarily elaborate or promotional materials. Proposals should not exceed fifty (50) pages in length, excluding any appendices, cover letters, resumes, or forms.

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

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

- a. Identification of Offeror that will have contractual responsibility with the Authority. Identification shall include legal name of company, corporate address, telephone and fax number, and email address. Include name, title, address, email address, and telephone number of the contact person identified during period of proposal evaluation.
- b. Identification of all proposed subcontractors including legal name of company, contact person's name and address, phone number and fax number, and email address, and relationship between Offeror and subcontractors, if applicable.
- c. Acknowledgement of receipt of all RFP addenda, if any.
- d. A statement to the effect that the proposal shall remain valid for a period of not less than 120 days from the date of submittal.
- e. Signature of a person authorized to bind Offeror to the terms of the proposal.
- f. Signed statement attesting that all information submitted with the proposal is true and correct.

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

##### **a. Qualifications, Related Experience and References of Offeror**

This section of the proposal should establish the ability of Offeror to satisfactorily perform the required work by reasons of: experience in performing work of a similar nature; demonstrated competence in the services to be provided; strength and stability of the firm; staffing

capability; work load; record of meeting schedules on similar projects; and supportive client references.

Offeror to:

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

**b. Proposed Staffing and Project Organization**

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

Offeror to:

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

**c. Work Plan**

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

Offeror to:

- (1) Describe the approach to completing the services specified in the Scope of Work. The approach to the work plan shall be of such detail to demonstrate the Offeror's ability to accomplish the project objectives and overall schedule.
- (2) Outline sequentially the activities that would be undertaken in completing the services and specify who would perform them.
- (3) Identify methods that Offeror will use to ensure quality control as well as budget and schedule control for the project.
- (4) Identify any special issues or problems that are likely to be encountered in this project and how the Offeror would propose to address them.
- (5) Offeror is encouraged to propose enhancements or procedural or technical innovations to the Scope of Work that do not

materially deviate from the objectives or required content of the project.

**d. Exceptions/Deviations**

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

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

**e. Public Records Act Indemnification**

Proposals received by Authority are subject to the California Public Records Act, Government Code section 6250 et seq. (the "Act"), except as otherwise provided in the Act. Proposers should familiarize themselves and exceptions thereto. In no event shall the Authority or any of its agents, representatives, consultants, directors, officers, or employees be liable to a Proposer for the disclosure of any materials or information submitted in response to the RFP. Proposers must complete and sign the Exhibit H, Public Records Act Indemnification

– Proposal Documents, and submit it with the proposal. Failure to complete Exhibit H may cause the proposal to be deemed non-responsive to this RFP and may no longer continue in the evaluation process.

If a California Public Records Act request is received by Authority for the release of information identified by Proposer as propriety, trade secret, or confidential, the request will be referred to Proposer for review and consideration. If Proposer requests that the information be withheld from release, Proposer shall provide such request in writing with the legal basis under the Act for each requested withholding. Failure to notify the Authority in writing of its desire to withhold the records within three business days and/or to timely provide a legal basis for the withholding of documents, regardless of any marking or designation of such documents, shall constitute a waiver of any claims Proposer may have had related to such disclosure.

Authority will review the request, determine if the disclosure of the records is required by law, and notify Proposer of such determination. If Authority determines that the disclosure of records is required by law, Authority will notify Proposer of such determination and provide Proposer the opportunity to seek a protective order or other appropriate legal relief to protect the records.

Proposer shall defend and hold harmless Authority from any legal action arising from such withholding, as further detailed in Exhibit H, Public Records Act Indemnification – Proposal Documents.

#### **4. Cost and Price Proposal**

As part of the cost and price proposal, the Offeror shall submit proposed pricing to provide the services for the services described in Exhibit A, Scope of Work.

The Offeror shall complete the "Price Summary Sheet" form included with this RFP (Exhibit B), and furnish any narrative required to explain the prices quoted in the schedules. It is anticipated that the Authority will issue a time-and-expense price contract specifying unit-pricing per bus cleaning and pesticide application, and anticipated expenses to complete the Scope of Work.

#### **5.**

##### **Appendices**

Information considered by Offeror to be pertinent to this project and which has not been specifically solicited in any of the aforementioned sections may be placed in a separate appendix section. Offerors are cautioned,

however, that this does not constitute an invitation to submit large amounts of extraneous materials. Appendices should be relevant and brief.

## **B. FORMS**

### **1. Campaign Contribution Disclosure Form**

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

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

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

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

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

A separate form must be completed for each identified contract. Each form must be signed by the Offeror confirming that the information provided is true and accurate. Offeror is required to submit the completed form(s) as part of its proposal.

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

Offerors shall complete the form entitled "Proposal Exceptions and/or Deviations" provided in this RFP and submit it as part of the original proposal. For each exception and/or deviation, a new form should be used,



identifying the exception and/or deviation and the rationale for requesting the change. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed nor considered by the Authority.

**4. Public Records Act Indemnification Form**

Offerors shall complete and sign the form entitled "Public Records Act Indemnification" provided in this RFP and submit it as part of the proposal. Proposers must complete and sign either Option 1 or Option 2 whichever applies.

**SECTION III: EVALUATION AND AWARD**

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

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

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

- 1. Qualifications of the Firm 30%**  
 Technical experience in performing work of a closely similar nature; strength and stability of the firm; strength, stability, experience and technical competence of subcontractors; assessment by client references.
- 2. Staffing and Project Organization 20%**  
 Qualifications of project staff, particularly key personnel and especially the Project Manager; key personnel's level of involvement in performing related work cited in "Qualifications of the Firm" section; logic of project organization; adequacy of labor commitment; concurrence in the restrictions on changes in key personnel.
- 3. Work Plan 25%**  
 Depth of Offeror's understanding of Authority's requirements and overall quality of work plan; logic, clarity and specificity of work plan; reasonableness of proposed schedule; utility of suggested technical or procedural innovations.
- 4. Cost and Price 25%**  
 Reasonableness of unit-price per bus rates for the services; competitiveness with other offers received; adequacy of data in support of figures quoted.

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

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

During the evaluation period, the Authority may interview some or all of the proposing firms. The Authority has established March 2, 2021, as the date to conduct interviews. All prospective Offerors are asked to keep this date available. No other interview dates will be provided, therefore, if an Offeror is unable to attend the interview on this date, its proposal may be eliminated from further discussion.

The interview may consist of a short presentation by the Offeror after which the evaluation committee will ask questions related to the firm's proposal and qualifications.

At the conclusion of the proposal evaluations, Offerors remaining within the competitive range may be asked to submit a Best and Final Offer (BAFO). In the BAFO request, the firms may be asked to provide additional information, confirm or clarify issues and submit a final cost/price offer. A deadline for submission will be stipulated.

At the conclusion of the evaluation process, the evaluation committee will recommend to the Transit Committee, the Offeror with the highest final ranking or a short list of top ranked firms within the competitive range whose proposal(s) is most advantageous to the Authority. The Board Committee will review the evaluation committee's recommendation and forward its decision to the full Board of Directors for final action.

**C. AWARD**

The Authority will evaluate the proposals received and will submit, with approval of the Regional Planning and Highways Committee, the proposal considered to be the most competitive to the Authority's Board of Directors, for consideration and selection. The Authority may also negotiate contract terms with the selected Offeror prior to award, and expressly reserves the right to negotiate with several Offerors simultaneously and, thereafter, to award a contract to the Offeror offering the most favorable terms to the Authority.

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

The selected Offeror will be required to submit to the Authority's Accounting department a current IRS W-9 form prior to commencing work.

**D. NOTIFICATION OF AWARD AND DEBRIEFING**

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

Offerors who were not awarded the contract may obtain a debriefing concerning the strengths and weaknesses of their proposal. Unsuccessful Offerors, who wish to be debriefed, must request the debriefing in writing or electronic mail and the

Authority must receive it within three (3) business days of notification of the contract award.

**EXHIBIT A: SCOPE OF WORK**

**SCOPE OF WORK**

**Detail Bus Cleaning and Pesticide Application**

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## **1. GENERAL**

The Orange County Transportation Authority (OCTA) requires detailed bus cleaning and pesticide application services for approximately four hundred ninety-two (492) 40-foot transit buses, thirty-six (36) articulated 60-foot buses, two hundred forty-six (246) 23-foot and four (4) 20-foot cutaway paratransit buses at five (5) locations located throughout Orange County from Contractor as specified in this scope of work.

Cleaning is an important element of the program, providing pest prevention as well as removal of chemical residue that follows pesticide application.

OCTA's pest management program consists of licensed pesticide application and contractor provided detail-cleaning services. Contractor must possess all necessary licenses and certifications (Pest Control Business License, Qualified Applicator License or Certificate and Structural Pest Control Board License) as required by the State of California, Department of Pesticide Regulation and Department of Consumer Affairs, Structural Pest Control Board prior to contract award.

## **2. REQUIREMENTS**

### **2.1. Labor and Materials**

Contractor shall provide on a scheduled basis all labor and materials to perform pesticide application and bus cleaning services for OCTA.

### **2.2. Task Understanding**

OCTA shall require that Contractor fully understands the tasks of pesticide application and bus cleaning; therefore, unless specifically indicated otherwise, the participation of OCTA shall be limited to contract management, scheduling, and payment.

### **2.3. Scheduling**

A schedule shall be developed as a guideline that facilitates pesticide bait replacement and cleaning of all buses on a three (3)-month cycle subject to adjustments for heavily utilized buses. The 20-foot and 23-foot paratransit buses will be cleaned twice annually. This schedule shall maximize weekend cleaning to minimize weekday service disruption. The weekend shall be defined as starting at 12:01 AM Saturday and ending at 11:59 PM Sunday, during this time period the maximum number of buses will be made available. Contractor shall provide cleaning crews at the maintenance bases during this period to perform the services for the base locations listed in section 3. The exact hours will be agreed upon with Contractor.

### **2.4. Point of Contact**

Contractor shall provide a single point of contact, with a back-up, for the term of the contract. The contact shall be capable of managing/supervising all aspects of the project as well as subcontractor coordination.

## 2.5. Supervision

Contractor's work force shall be supervised, and the supervisor shall be capable of providing a level of quality control that eliminates unacceptable workmanship.

## 2.6. Labor

Contractor shall provide a qualified labor force sufficient in number to satisfactorily complete all specific requirements in the prescribed time period. Contractor is required to have at least one (1) employee on location, while work is in progress, who speaks and understands the English language. All project-associated personnel shall comply with OCTA work and safety rules when on OCTA sites. Contractor's employees shall park in the designated employee parking areas at each Maintenance and Operations Base.

## 2.7. Uniforms

Contractor's employees must be clothed in a work uniform that is common, distinguishable, professional, and is suitable for seasonal change when performing services on OCTA's property. Uniforms are to be provided by Contractor and shall include Contractor's company name/logo. Steel-toe closed-toe shoes are required on property at all times.

## 2.8. Equipment

Contractor shall furnish, at its own expense, all equipment necessary to properly perform specified work and maintain established standards. Equipment shall be maintained in good, safe working condition, and when not in use, secured in Contractor provided storage units. These storage units must be lockable and will be located in approved locations.

## 2.9. Supplies

All pesticides, cleaning supplies, and related equipment shall be provided by Contractor. Contractor shall not use any petroleum-based cleaners, or any cleaner that leaves a film residue on the interior of the bus. Contractor may only use products that have been reviewed by OCTA's Safety Department. Substitutions of products must be submitted to OCTA's Safety Department prior to use on OCTA property. All Safety Data Sheets (SDS) for products to be used as pesticides or cleaning agents shall be updated on a continuous basis and made available at all times when the products are being utilized. Submittal of SDS's for pesticide chemicals shall be reviewed and acceptable by OCTA's Safety and Environmental Department prior to pesticide chemicals being allowed onto OCTA Property

## 2.10. Acceptance Inspection

Each scheduled bus shall be inspected by OCTA's project coordinator to verify completion as a condition of payment. The inspection shall consist of a visual check to ensure the level of quality specified within the work plan. The inspection will include a white towel wipe down of the cleaned areas to see if dirt is still present. Buses failing to pass the inspection may, at OCTA's discretion, be made available for Contractor correction, or payment to Contractor may be reduced.

Contractor must complete OCTA's "Verification of Work for Bus Cleaning" form for each bus cleaned at each location which will be provided by OCTA. This form requires sign off by OCTA's designated project coordinator at each location. The original form shall remain at OCTA's locations. Copies shall be retained by Contractor. The form is required for payment of Contractor invoices.

#### 2.11. Transportation

Buses shall be delivered to the cleaning area by maintenance personnel for the scheduled service. After cleaning, maintenance personnel shall return the buses to the designated parking stall. No laundry facilities will be provided for the cleaning crews.

#### 2.12. Facility/Utilities

OCTA shall provide all facilities and utilities to perform the cleaning services. The bus cleaning shall only be performed in the designated cleaning areas at each of the maintenance bases. The vacuum system at the cleaning stations is to be used for dry vacuum process only. This system will not be used to vacuum water or wet materials.

### 3. LOCATIONS

The following are the current applicable OCTA facility locations.

- Santa Ana - 4301 West MacArthur Blvd. Santa Ana, CA 92704
- Garden Grove Base – 11790 Cardinal Circle, Garden Grove, CA 92843
- Irvine, Sand Canyon - 14736 Sand Canyon Road, Irvine, CA 92618
- Anaheim – 1717 E. Via Burton, Anaheim, CA 92806
- Irvine, Construction Circle - 16281 Construction Circle West, Irvine, CA 92606

### 4. WORK PLAN

The following guidelines shall represent minimum bus detailing services:

#### 4.1. Bus Cleaning After Pesticide Application

This service shall be sub-divided into two (2) areas, the basic task required each time a bus is scheduled, and supplemental tasks, which may be required on an as-needed basis.

#### 4.2. Sample Bus

A first article sample bus will be provided to Contractor and this bus will have all pesticide and cleaning services performed by Contractor. OCTA's project manager will inspect this bus, which shall be representative of the workmanship, methods, and material relative to the basis and continuation of the contract.

#### 4.3. Basic Tasks

Contractor must perform all the following basic tasks after pesticide application (approximately four hundred seventy-two (472), 40-foot transit buses, thirty-six (36), articulated 60-foot buses):

a. Driver's Area:

- Clean driver's area with appropriate chemical identified in Section 2.09 of scope of work, to include dash panel, side panels, and vinyl/plastic portion of seat and visors. Wipe down farebox.

b. Passenger Area:

- Clean passenger's area with appropriate chemical identified in Section 2.09 of scope of work, to include side panels, ceiling, ventilation vents, vents/hatches, vertical/horizontal handrails, window frames and vinyl/plastic/metal portion of seats. Chemicals used on these surfaces cannot leave a residue on rails, walls, etc. that can cause damage to passenger clothing. Contractor must not use heavy duty cleaning pads that can damage any surfaces.
- Contractor must clean window frames, casing and glass with an alcohol-free cleaner.

c. Seats:

- Clean all seats to include cushions and backs, by brushing, vacuuming and, if required, gum removal and/or local scrubbing of spots/stains. OCTA employees will lift the seat so Contractor employees can clean underneath the seat at the back of the bus, and over the engine compartment when requested. Contractor will request replacement of damaged seats from OCTA cleaning coordinator, when required.

d. Floors:

- Clean flooring areas with appropriate floor cleaner that will not damage appearance of the floor, to include driver's area, passenger area, wheel housings, steps, and ramps/wheelchair lifts. All trash must be removed from floors by sweeping, scrubbing, mopping and final damp wiping to dry the floor. All gum, spots, and stains shall be removed from the floor. No residue shall be left behind from the floor cleaner. Yellow sections of the floor require brush cleaning and should be free of scuff marks and debris. They should have a bright appearance.

e. Interior Glass:

- Clean all glass/acrylic and/or window protectors with glass cleaner including all mirrors.

f. Exterior Glass:

- Clean all exterior glass/acrylic of water spotting including all mirrors.

- g. All hardware (screws and metal plates) within the passenger seating areas of the buses are to be thoroughly cleaned for seats, bench seats and hand rails. Brushes will be required to remove the dirt that accumulates around and in the screw heads.
- h. All Extreme care must be taken, and safeguards established to protect all electrical components and systems from water damage during the cleaning process. UNDER NO CIRCUMSTANCES WILL FREE FLOWING WATER (WATER HOSES), BE ALLOWED IN THE INTERIOR OF THE BUS. CONTRACTOR MUST USE DAMP MOPS AND RAGS ONLY. Only lint free micro-fiber towels must be used to eliminate lint residue and remnants.
- i. Remove graffiti with approved chemicals identified in Section 2.09 of scope of work. Remove all gum from floors, behind bench seats, and under seats.
- j. On board signage cannot be removed. Only dust cleaning of signs is allowed. Bus books and brochures shall be removed before cleaning and returned once cleaning is completed. Bus books and brochures must not be thrown away.
- k. Prior to leaving the base, all standing water and debris must be swept clean from the bus cleaning bays. The area shall be left clean.

#### 4.4. Paratransit Vehicles

Provide cleaning and detailing in accordance with the item identified below: (approximately two hundred forty-eight (248), 23-foot and four (4) 20-foot cutaway buses):

- a. Clean Interior in accordance with section 4.3 where applicable.

#### 4.5. Pest Management

Transit buses routinely require services in an effort toward effective pest management, specifically cockroaches. OCTA's pest management program consists of Contractor services with the licensed application of pesticides and cleaning.

#### 4.6. Pesticide Application

The application of pesticide shall be performed prior to each scheduled basic cleaning. Bait specifically targeted for cockroaches shall be placed routinely, and a more aggressive pesticide consisting of spraying/fogging shall be performed on an as required basis, in conjunction with a scheduled basic cleaning.

Prior to any application of pesticide, a Chemical Application Notice as required by California Code of Regulations, Department of Pesticide Regulation, Structural Pest Control Board, and Cal-OSHA will be completed and presented to the shift supervisor. A copy will be furnished as a posting copy that is to be posted on the employee bulletin board or other conspicuous area for a period of no less than twenty-four (24) hours post application.

#### 4.7. Bait Application

The bait material shall have no volatile organic compounds, solvent systems, or odors to produce an adverse effect on passengers or OCTA personnel.

- a. Bait shall be applied prior to each basic cleaning. The bait shall be applied throughout the buses in voids, behind panels, under the rear seat and in crevices where cockroaches may thrive.
- b. The bait shall have a minimum life span in the field of ninety (90) days.

#### 4.8. Spraying/Fogging

The treatment shall be conducted immediately prior to cleaning to allow the materials as long a time as possible in the vehicle. If required, this more aggressive pesticide application shall conform to the following guidelines, this is only needed on an as-needed basis when infestation exists:

- a. Spraying:
  - Application shall consist of spraying pyrethrin via an aliphatic hydrocarbon or chlorinated hydrocarbon carrier. Spray shall be applied at the floor to side wall interface, rear floor to seat deck interface, side wall to passenger seat rail track, front floor to lower dash panel interface and under the rear most passenger bench seat. The bait shall have a minimum life span in the field of ninety (90) days.
- b. Fogging:
  - Fogging shall be performed immediately following the spraying application in adequate quantity to stimulate insect movement. The intent of fogging shall be to cause the insects to travel through the areas that had been previously sprayed with pyrethrin.
- c. Buses to be sprayed/fogged shall have signage displayed on the front windshield and each door to prevent entry. Buses shall be treated and then remain in place for a period from 3 to 4 hours. Afterwards, they shall be aired out for a period of at least (one) 1 hour. At this time, signage will be removed, and the bus cleared for occupancy.
- d. During the period between May 1 and September 30, up to thirty (30) buses per week at each location, in addition to the regularly scheduled weekly buses, shall receive appropriate treatment for other pests such as spiders, fleas, lice and ants. This treatment will be in addition to the normal baiting applications.

#### 4.9. Products

All pesticide and chemical agents to be utilized for the abatement program shall be approved for use by state and federal regulatory agencies governing the application of pest control agents. All products must be reviewed by OCTA's Safety Department.

#### 4.10. Personnel

All application of pesticides shall be performed by licensed personnel.

#### 4.11. Other Pests

If other pests such as spiders, fleas, lice, and ants are detected, Contractor shall provide appropriate treatment.

#### 4.12. Supplemental Cleaning Tasks

The following cleaning tasks may be required on an as needed basis, with no guaranteed usage. OCTA's project manager will make the determination which if any supplemental tasks will be performed:

- a. Clean and seal exterior bus windows; using Navajo Pumice for glass, and Cerium Oxide for acrylic, buff and clean all exterior windows free of water spotting mineral deposits and scale. After thorough cleaning, apply OCTA reviewed sealant.
- b. Non-Revenue Passenger Vehicles – Provide cleaning and detailing in accordance with the items identified below:
  - Scrub entire front dash, scrub plastic sidekick panels in driver's and passenger's foot area.
  - Scrub all four doors to include center door beam between the front and rear doors.
  - Shampoo front seats, rear back seats, and clean center console.
  - Shampoo all seat belts.
  - Shampoo entire interior carpet of car.
  - Wash exterior of car and all four tires.
  - Armor-All front dash, center console, and all doors to include center door beam, and tires. Do not Armor-All steering wheel or steering column.
  - Wax exterior of vehicle with approved car wax, buffing is preferred.

### 5. WORK RULES

#### 5.1. Check In

Contractor shall check in with the maintenance supervisor on duty upon arrival on property and sign the visitor log. Contractor shall check out via reverse procedure when ready to depart.

#### 5.2. General Safety

##### 5.2.1. Personal Protective Equipment

- Contractors, and all associated sub-tier contractors, vendors and suppliers are required to provide their own personal protective equipment (PPE), including

eye, head, foot, and hand protection, respirators, reflective safety vests, and all other PPE required to perform their work safely on OCTA property.

- American National Standards Institute class two (2) reflective vests are to be worn at all times while on OCTA properties.

#### 5.2.2. Vehicles

- Contractor shall ensure that all Contractor vehicles, including those of its sub-tier contractors, suppliers, vendors and employees are parked in designated parking areas, are identified by company name and/or logo, and comply with traffic routes, and posted traffic signs in areas other than the employee parking lots.
- Traffic speed shall not exceed 10mph while on OCTA property.

#### 5.2.3. Electronic Devices

- All parties must avoid distractions such as cell phones, two-way radios, or other such activities while driving or walking in the OCTA bus yards.



**EXHIBIT B: COST AND PRICE FORMS**

**PRICE SUMMARY SHEET**

**REQUEST FOR PROPOSALS (RFP) 0-2702**

Based on the Authority's requirements, on an as-scheduled/as-needed basis, no guaranteed usage, for Bus Cleaning and Pesticide Application Services as outlined in the "Scope of Work". Pricing listed is for each of the work tasks as described in the Scope of Work. Prices shall include direct costs, indirect costs, supplies and profits. Pricing shall take into consideration any and all changes to minimum wage during the initial term and option term of the contract.

| <b>Task No.</b>   | <b>Description</b>   | <b>Initial Term<br/>05/01/21 - 04/30/22<br/>Price per Bus<br/>(each)</b> | <b>Initial Term<br/>05/01/22 – 04/30/23<br/>Price per Bus<br/>(each)</b> | <b>Initial Term<br/>05/01/23 – 04/30/24<br/>Price per Bus<br/>(each)</b> | <b>Two-Year Option<br/>05/01/24– 04/30/26<br/>Price per Bus<br/>(each)</b> |
|---|--|--|--|--|--|
| 40-foot transit buses including all labor and supplies (approx. 492 buses). |  |  |  |  |  |
| 1   | QUARTERLY CLEANING TASKS: as described in the Scope of Work, Section 4.3 a-k   |  |  |  |  |
| 2   | QUARTERLY PESTICIDE/BAIT APPLICATION: as described in the Scope of Work, Sections 4.6 and 4.7                          |  |  |  |  |
| 3   | SPRAYING/FOGGING (supplemental as required) As described in the Scope of Work, section 4.8                             |  |  |  |  |
| 4   | INTERIOR CLEANING (supplemental as required) Following spraying/fogging as described in the Scope of Work, section 4.8 |  |  |  |  |
| <b>SUBTOTAL:</b>  |  |  |  |  |  |
| 60-foot transit buses including all labor and supplies (approx. 36 buses).  |  |  |  |  |  |
| 5   | QUARTERLY BASIC CLEANING TASKS: as described in the Scope of Work, Section 4.3 a-k                                     |  |  |  |  |
| 6   | QUARTERLY PESTICIDE/BAIT APPLICATION: as described in the Scope of Work, Sections 4.6 and 4.7                          |  |  |  |  |
| 7   | SPRAYING/FOGGING (supplemental as required) As described in the Scope of Work, section 4.8                             |  |  |  |  |
| 8   | INTERIOR CLEANING (supplemental as required) Following spraying/fogging as described in the Scope of Work, section 4.8 |  |  |  |  |
| <b>SUBTOTAL:</b>  |  |  |  |  |  |

| <b>PRICE SUMMARY SHEET - Continued</b>   |  |  |  |  |  |
|--|--|--|--|--|--|
| <b>Task No.</b>  | <b>Description</b>   | <b>Initial Term<br/>05/01/21 – 04/30/22<br/>Price per Bus<br/>(each)</b> | <b>Initial Term<br/>05/01/22 – 04/30/23<br/>Price per Bus<br/>(each)</b> | <b>Initial Term<br/>05/01/23 – 04/30/24<br/>Price per Bus<br/>(each)</b> | <b>Two-Year Option<br/>05/01/24– 04/30/26<br/>Price per Bus<br/>(each)</b> |
| Paratransit buses including all labor and supplies (approx. 246 23-foot and four (4) 20-foot buses). |  |  |  |  |  |
| 9  | SEMI-ANNUAL; BASIC<br>CLEANING TASKS:<br>as described in the Scope of<br>Work, Section 4.3 a-k                                     |  |  |  |  |
| 10   | SEMI-ANNUAL<br>PESTICIDE/BAIT<br>APPLICATION:<br>as described in the Scope of<br>Work, Sections 4.6 and 4.7                        |  |  |  |  |
| 11   | SPRAYING/FOGGING<br>(supplemental as required)<br>As described in the Scope of<br>Work, section 4.8                                |  |  |  |  |
| 12   | INTERIOR CLEANING<br>(supplemental as required)<br>Following spraying/fogging as<br>described in the Scope of<br>Work, section 4.8 |  |  |  |  |
| <b>SUBTOTAL:</b>   |  |  |  |  |  |
| <b>SUPPLIMENTAL CLEANING TASKS</b>   |  |  |  |  |  |
| 13   | Window Cleaning and<br>Sealing (40-foot buses):<br>as described in the Scope of<br>Work, Section 4.12 a<br>(approx. 100)           |  |  |  |  |
| 14   | Window Cleaning and<br>Sealing (60-foot buses):<br>as described in the Scope of<br>Work, Section 4.12 a<br>(approx. 36)            |  |  |  |  |
| 15   | Window Cleaning and<br>Sealing (20 & 23-foot buses):<br>as described in the Scope of<br>Work, Section 4.12 a<br>(approx. 70)       |  |  |  |  |
| 16   | Non-Revenue Passenger<br>Vehicle annual cleaning:<br>as described in the Scope of<br>Work, Section 4.12 b<br>(approx. 60)          |  |  |  |  |
| <b>SUBTOTAL:</b>   |  |  |  |  |  |
| <b>TOTAL:</b>  |  |  |  |  |  |

Additional expenses required and authorized by the Authority, but not included in this Agreement will be reimbursed either (a) “at cost” or (b) up to the applicable current rate listed in this Schedule II, whichever is less.

Supporting documentation must accompany invoice.

Additional sheets may be included.

Please note the following:

- The Authority will not reimburse Contractor for hours charged to perform activities associated with the preparation and review of invoices submitted to the Authority.
- The Authority will not reimburse Contractor for local meals and travel time, unless previously approved, and any other expenses not included within this Exhibit B.

1. I acknowledge receipt of **RFP 0-2702** and Addenda No.(s)\_\_\_\_.
2. This offer shall remain firm for \_\_\_\_\_ days from the date of proposal.  
(Minimum of 120)

COMPANY NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

TELEPHONE \_\_\_\_\_

FACSIMILE # \_\_\_\_\_

EMAIL ADDRESS \_\_\_\_\_

SIGNATURE OF PERSON  
AUTHORIZED TO BIND OFFEROR \_\_\_\_\_

NAME AND TITLE OF PERSON  
AUTHORIZED TO BIND OFFEROR \_\_\_\_\_

DATE SIGNED \_\_\_\_\_

**EXHIBIT C: PROPOSED AGREEMENT**



**EXHIBIT C**

1 relinquishment of AUTHORITY's right to such performance or to future performance of such terms or  
2 conditions and CONTRACTOR's obligation in respect thereto shall continue in full force and effect.  
3 Changes to any portion of this Agreement shall not be binding upon AUTHORITY except when  
4 specifically confirmed in writing by an authorized representative of AUTHORITY by way of a written  
5 amendment to this Agreement and issued in accordance with the provisions of this Agreement.

**ARTICLE 2. AUTHORITY DESIGNEE**

7 The Chief Executive Officer of AUTHORITY, or designee, shall have the authority to act for and  
8 exercise any of the rights of AUTHORITY as set forth in this Agreement.

**ARTICLE 3. SCOPE OF WORK**

9  
10 A. CONTRACTOR shall perform the work necessary to complete in a manner satisfactory to  
11 AUTHORITY the services set forth in Exhibit A, entitled "Scope of Work," attached to and, by this  
12 reference, incorporated in and made a part of this Agreement. All services shall be provided at the  
13 times and places designated by AUTHORITY.

14 B. CONTRACTOR shall provide the personnel listed below to perform the above-specified  
15 services, which persons are hereby designated as key personnel under this Agreement.

**Names****Functions**

16  
17  
18  
19 C. No person named in paragraph B of this Article, or his/her successor approved by  
20 AUTHORITY, shall be removed or replaced by CONTRACTOR, nor shall his/her agreed-upon function  
21 or level of commitment hereunder be changed, without the prior written consent of AUTHORITY.  
22 Should the services of any key person become no longer available to CONTRACTOR, the resume and  
23 qualifications of the proposed replacement shall be submitted to AUTHORITY for approval as soon as  
24 possible, but in no event later than seven (7) calendar days prior to the departure of the incumbent key  
25 person, unless CONTRACTOR is not provided with such notice by the departing employee.  
26 AUTHORITY shall respond to CONTRACTOR within seven (7) calendar days following receipt of these

1 qualifications concerning acceptance of the candidate for replacement.

2 **ARTICLE 4. TERM OF AGREEMENT**

3 A. This Agreement shall commence upon execution by both parties and shall continue in full  
4 force and effect through \_\_\_\_\_, 2024 ("Initial Term") unless earlier terminated or extended as  
5 provided in this Agreement.

6 B. AUTHORITY, at its sole discretion, may elect to extend the term of this Agreement for an  
7 additional twenty-four (24) months, commencing May 1, 2024, and continuing through April 30, 2026  
8 ("Option Term"), and thereupon require CONTRACTOR to continue to provide services, and otherwise  
9 perform, in addition with Exhibit A and at the rates set forth in Article 5, "Payment".

10 C. AUTHORITY's election to extend this Agreement beyond the Initial Term shall not diminish  
11 its right to terminate the Agreement for convenience or CONTRACTOR's default as provided elsewhere  
12 in this Agreement. The "maximum term" of this Agreement shall be the period extending from  
13 May 1, 2021 through April 30, 2026, which period encompasses the Initial Term and Option Term.

14 **ARTICLE 5. PAYMENT**

15 A. For CONTRACTOR's full and complete performance of its obligations under this Agreement  
16 and subject to the maximum cumulative payment obligation provisions set forth in Article 6,  
17 AUTHORITY shall pay CONTRACTOR on a time-and-expense basis specifying unit-price per bus  
18 pricing in accordance with the following provisions.

19 B. CONTRACTOR shall invoice AUTHORITY on a monthly basis for payments corresponding  
20 to the work actually completed by CONTRACTOR. Work completed shall be documented in a monthly  
21 progress report prepared by CONTRACTOR, which shall accompany each invoice submitted by  
22 CONTRACTOR. AUTHORITY shall pay CONTRACTOR at the unit prices specified in Exhibit B,  
23 entitled "Price Summary Sheet," which is attached to and by this reference, incorporated in and made a  
24 part of this Agreement. These unit rates shall remain fixed for the term of this Agreement and are  
25 acknowledged to include CONTRACTOR's overhead costs, general costs, administrative costs and  
26 profit. CONTRACTOR shall also furnish such other information as may be requested by AUTHORITY



## EXHIBIT C

1 to substantiate the validity of an invoice. At its sole discretion, AUTHORITY may decline to make full  
2 payment until such time as CONTRACTOR has documented to AUTHORITY's satisfaction, that  
3 CONTRACTOR has fully completed all work required. AUTHORITY's payment in full shall constitute  
4 AUTHORITY's final acceptance of CONTRACTOR's work.

5 C. Invoices shall be submitted by CONTRACTOR on a monthly basis and shall be submitted in  
6 duplicate to AUTHORITY's Accounts Payable office. CONTRACTOR may also submit invoices  
7 electronically to AUTHORITY's Accounts Payable Department at [vendorinvoices@octa.net](mailto:vendorinvoices@octa.net). Each  
8 invoice shall be accompanied by the monthly progress report specified in paragraph B of this Article.  
9 AUTHORITY shall remit payment within thirty (30) calendar days of the receipt and approval of each  
10 invoice. Each invoice shall include the following information:

- 11 1. Agreement No. C-0-2702;
- 12 2. Specify the work for which the payment is being requested;
- 13 3. The time period covered by the invoice;
- 14 4. Number of detailed bus cleanings and pesticide applications;
- 15 5. Total monthly invoice (including cumulative invoice amount);
- 16 6. Monthly Progress Report;
- 17 7. Certification signed by the CONTRACTOR or his/her designated alternate that a)

18 The invoice is a true, complete and correct statement of reimbursable costs and progress; b) The  
19 backup information included with the invoice is true, complete and correct in all material respects; c) All  
20 payments due and owing to subcontractors and suppliers have been made; d) Timely payments will be  
21 made to subcontractors and suppliers from the proceeds of the payments covered by the certification  
22 and; e) The invoice does not include any amount which CONTRACTOR intends to withhold or retain  
23 from a subcontractor or supplier unless so identified on the invoice.

24 8. Any other information as agreed or requested by AUTHORITY to substantiate  
25 the validity of an invoice.

26 /

**ARTICLE 6. MAXIMUM OBLIGATION**

Notwithstanding any provisions of this Agreement to the contrary, AUTHORITY and CONTRACTOR mutually agree that AUTHORITY's maximum cumulative payment obligation (including obligation for CONTRACTOR's profit) shall be \_\_\_\_\_Dollars \$\_\_\_\_.00) which shall include all amounts payable to CONTRACTOR for its subcontracts, leases, materials and costs arising from, or due to termination of, this Agreement.

**ARTICLE 7. NOTICES**

All notices hereunder and communications regarding the interpretation of the terms of this Agreement, or changes thereto, shall be effected by delivery of said notices in person or by depositing said notices in the U.S. mail, registered or certified mail, returned receipt requested, postage prepaid and addressed as follows:

To CONTRACTOR:

To AUTHORITY:

Orange County Transportation Authority

550 South Main Street

P.O. Box 14184

Orange, CA 92863-1584

ATTENTION:

ATTENTION: Yvette Crowder

Senior Contract Administrator

(714) 560 - 5616

ycrowder@octa.net

**ARTICLE 8. INDEPENDENT CONTRACTOR**

A. CONTRACTOR's relationship to AUTHORITY in the performance of this Agreement is that of an independent contractor. CONTRACTOR's personnel performing services under this Agreement shall at all times be under CONTRACTOR's exclusive direction and control and shall be employees of CONTRACTOR and not employees of AUTHORITY. CONTRACTOR shall pay all wages, salaries and other amounts due its employees in connection with this Agreement and shall be responsible for all

1 reports and obligations respecting them, such as social security, income tax withholding, unemployment  
2 compensation, workers' compensation and similar matters.

3 B. Should CONTRACTOR's personnel or a state or federal agency allege claims against  
4 AUTHORITY involving the status of AUTHORITY as employer, joint or otherwise, of said personnel, or  
5 allegations involving any other independent contractor misclassification issues, CONTRACTOR shall  
6 defend and indemnify AUTHORITY in relation to any allegations made.

7 **ARTICLE 9. INSURANCE**

8 A. CONTRACTOR shall procure and maintain insurance coverage during the entire term of  
9 this Agreement. Coverage shall be full coverage and not subject to self-insurance provisions.  
10 CONTRACTOR shall provide the following insurance coverage:

11 1. Commercial General Liability, to include Products/Completed Operations,  
12 Independent Contractors', Contractual Liability, and Personal Injury Liability, and Property Damage with  
13 a minimum limit of \$1,000,000.00 per occurrence and \$2,000,000.00 general aggregate;

14 2. Automobile Liability Insurance to include owned, hired and non-owned autos  
15 with a combined single limit of \$1,000,000.00 each accident;

16 3. Workers' Compensation with limits as required by the State of California  
17 including a waiver of subrogation in favor of AUTHORITY, its officers, directors, employees or agents;

18 4. Employers' Liability with minimum limits of \$1,000,000.00; and

19 5. Pollution Liability, or provide proof of the removal of the pollution exclusion in the  
20 Commercial General Liability Policy,

21 B. Proof of such coverage, in the form of a certificate of insurance, with the AUTHORITY, its  
22 officers, directors, employees and agents, designated as additional insureds as required by contract. In  
23 addition, provide an insurance policy blanket additional insured endorsement. Both documents must be  
24 received by AUTHORITY prior to commencement of any work. Proof of insurance coverage must be  
25 received by AUTHORITY within ten (10) calendar days from the effective date of this Agreement. Such  
26 insurance shall be primary and non-contributive to any insurance or self-insurance maintained by the

1 AUTHORITY. Furthermore, AUTHORITY reserves the right to request certified copies of all related  
2 insurance policies.

3 C. CONTRACTOR shall include on the face of the certificate of insurance the Agreement  
4 Number 0-2702; and, the Contract Administrator's Name, Yvette Crowder.

5 D. CONTRACTOR shall also include in each subcontract the stipulation that subcontractors  
6 shall maintain insurance coverage in the amounts required from CONTRACTOR as provided in this  
7 Agreement.

8 E. CONTRACTOR shall be required to immediately notify AUTHORITY of any modifications or  
9 cancellation of any required insurance policies.

#### 10 **ARTICLE 10. ORDER OF PRECEDENCE**

11 Conflicting provisions hereof, if any, shall prevail in the following descending order of  
12 precedence: (1) the provisions of this Agreement, including all exhibits; (2) the provisions of  
13 RFP 0-2702; (3) CONTRACTOR's proposal dated \_\_\_\_ ; (4) all other documents, if any, cited herein or  
14 incorporated by reference.

#### 15 **ARTICLE 11. CHANGES**

16 By written notice or order, AUTHORITY may, from time to time, order work suspension and/or  
17 make changes in the general scope of this Agreement, including, but not limited to, the services  
18 furnished to AUTHORITY by CONTRACTOR as described in the Scope of Work. If any such work  
19 suspension or change causes an increase or decrease in the price of this Agreement, or in the time  
20 required for its performance, CONTRACTOR shall promptly notify AUTHORITY thereof and assert its  
21 claim for adjustment within ten (10) calendar days after the change or work suspension is ordered, and  
22 an equitable adjustment shall be negotiated. However, nothing in this clause shall excuse  
23 CONTRACTOR from proceeding immediately with the Agreement as changed.

#### 24 **ARTICLE 12. DISPUTES**

25 A. Except as otherwise provided in this Agreement, when a dispute arises between  
26 CONTRACTOR and AUTHORITY, the project managers shall meet to resolve the issue. If project

1 managers do not reach a resolution, the dispute will be decided by AUTHORITY's Director of Contracts  
2 Administration and Materials Management (CAMP), who shall reduce the decision to writing and mail  
3 or otherwise furnish a copy thereof to CONTRACTOR. The decision of the Director, CAMP, shall be  
4 the final and conclusive administrative decision.

5 B. Pending final decision of a dispute hereunder, CONTRACTOR shall proceed diligently with  
6 the performance of this Agreement and in accordance with the decision of AUTHORITY's Director,  
7 CAMP. Nothing in this Agreement, however, shall be construed as making final the decision of any  
8 AUTHORITY official or representative on a question of law, which questions shall be settled in  
9 accordance with the laws of the State of California.

#### 10 **ARTICLE 13. TERMINATION**

11 A. AUTHORITY may terminate this Agreement for its convenience at any time, in whole or  
12 part, by giving CONTRACTOR written notice thereof. Upon said notice, AUTHORITY shall pay  
13 CONTRACTOR its allowable costs incurred to date of termination and those allowable costs  
14 determined by AUTHORITY to be reasonably necessary to effect such termination. Thereafter,  
15 CONTRACTOR shall have no further claims against AUTHORITY under this Agreement.

16 B. In the event either Party defaults in the performance of any of their obligations under this  
17 Agreement or breaches any of the provisions of this Agreement, the non-defaulting Party shall have the  
18 option to terminate this Agreement upon thirty (30) days' prior written notice to the other Party. Upon  
19 receipt of such notice, CONTRACTOR shall immediately cease work, unless the notice from  
20 AUTHORITY provides otherwise. Upon receipt of the notice from AUTHORITY, CONTRACTOR shall  
21 submit an invoice for work and/or services performed prior to the date of termination. AUTHORITY  
22 shall pay CONTRACTOR for work and/or services satisfactorily provided to the date of termination in  
23 compliance with this Agreement. Thereafter, CONTRACTOR shall have no further claims against  
24 AUTHORITY under this Agreement. AUTHORITY shall not be liable for any claim of lost profits or  
25 damages for such termination.

26 /

**ARTICLE 14. INDEMNIFICATION**

CONTRACTOR shall indemnify, defend, and hold harmless AUTHORITY, its officers, directors, employees and agents from and against any and all claims (including attorneys' fees and reasonable expenses for litigation or settlement) for any loss, costs, penalties, fines, damages, bodily injuries, including death, damage to or loss of use of property, arising out of, resulting from, or in connection with the performance of CONTRACTOR, its officers, directors, employees, agents, subcontractors or suppliers under the Agreement. Notwithstanding the foregoing, such obligation to defend, hold harmless, and indemnify AUTHORITY, its officers, directors, employees and agents shall not apply to such claims or liabilities arising from the sole or active negligence or willful misconduct of AUTHORITY.

**ARTICLE 15. ASSIGNMENTS AND SUBCONTRACTS**

A. Neither this Agreement nor any interest herein nor claim hereunder may be assigned by CONTRACTOR either voluntarily or by operation of law, nor may all or any part of this Agreement be subcontracted by CONTRACTOR, without the prior written consent of AUTHORITY. Consent by AUTHORITY shall not be deemed to relieve CONTRACTOR of its obligations to comply fully with all terms and conditions of this Agreement.

B. AUTHORITY hereby consents to CONTRACTOR's subcontracting portions of the Scope of Work to the parties identified below for the functions described in CONTRACTOR's proposal. CONTRACTOR shall include in the subcontract agreement the stipulation that CONTRACTOR, not AUTHORITY, is solely responsible for payment to the subcontractor for the amounts owing and that the subcontractor shall have no claim, and shall take no action, against AUTHORITY, its officers, directors, employees or sureties for nonpayment by CONTRACTOR.

**Subcontractor Name/Addresses****Subcontractor Function****ARTICLE 16. AUDIT AND INSPECTION OF RECORDS**

CONTRACTOR shall provide AUTHORITY, or other agents of AUTHORITY, such access to CONTRACTOR's accounting books, records, payroll documents and facilities, as AUTHORITY

1 deems necessary. CONTRACTOR shall maintain such books, records, data and documents in  
2 accordance with generally accepted accounting principles and shall clearly identify and make such  
3 items readily accessible to such parties during CONTRACTOR's performance hereunder and for a  
4 period of four (4) years from the date of final payment by AUTHORITY. AUTHORITY's right to audit  
5 books and records directly related to this Agreement shall also extend to all first-tier subcontractors  
6 identified in Article 15 of this Agreement. CONTRACTOR shall permit any of the foregoing parties to  
7 reproduce documents by any means whatsoever or to copy excerpts and transcriptions as  
8 reasonably necessary.

9 **ARTICLE 17. CONFLICT OF INTEREST**

10 CONTRACTOR agrees to avoid organizational conflicts of interest. An organizational conflict  
11 of interest means that due to other activities, relationships or contracts, the CONTRACTOR is  
12 unable, or potentially unable to render impartial assistance or advice to the AUTHORITY;  
13 CONTRACTOR's objectivity in performing the work identified in the Scope of Work is or might be  
14 otherwise impaired; or the CONTRACTOR has an unfair competitive advantage. CONTRACTOR is  
15 obligated to fully disclose to the AUTHORITY in writing Conflict of Interest issues as soon as they  
16 are known to the CONTRACTOR. All disclosures must be submitted in writing to AUTHORITY  
17 pursuant to the Notice provision herein. This disclosure requirement is for the entire term of this  
18 Agreement.

19 **ARTICLE 18. CODE OF CONDUCT**

20 CONTRACTOR agrees to comply with the AUTHORITY's Code of Conduct as it relates to  
21 Third-Party contracts which is hereby referenced and by this reference is incorporated herein.  
22 CONTRACTOR agrees to include these requirements in all of its subcontracts.

23 **ARTICLE 19. PROHIBITION ON PROVIDING ADVOCACY SERVICES**

24 CONTRACTOR and all subcontractors performing work under this Agreement, shall be  
25 prohibited from concurrently representing or lobbying for any other party competing for a contract  
26 with AUTHORITY, either as a prime contractor or subcontractor. Failure to refrain from such

representation may result in termination of this Agreement.

**ARTICLE 20. FEDERAL, STATE AND LOCAL LAWS**

CONTRACTOR warrants that in the performance of this Agreement, it shall comply with all applicable federal, state and local laws, statutes and ordinances and all lawful orders, rules and regulations promulgated thereunder.

**ARTICLE 21. EQUAL EMPLOYMENT OPPORTUNITY**

In connection with its performance under this Agreement, CONTRACTOR shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, age or national origin. CONTRACTOR shall take affirmative action to ensure that applicants are employed, and that employees are treated during their employment, without regard to their race, religion, color, sex, age or national origin. Such actions shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

**ARTICLE 22. PROHIBITED INTERESTS**

CONTRACTOR covenants that, for the term of this Agreement, no director, member, officer or employee of AUTHORITY during his/her tenure in office or for one (1) year thereafter shall have any interest, direct or indirect, in this Agreement or the proceeds thereof.

**ARTICLE 23. OWNERSHIP OF REPORTS AND DOCUMENTS**

A. The originals of all letters, documents, reports and other products and data produced under this Agreement shall be delivered to and become the property of AUTHORITY. Copies may be made for CONTRACTOR's records but shall not be furnished to others without written authorization from AUTHORITY. Such deliverables shall be deemed works made for hire and all rights in copyright therein shall be retained by AUTHORITY.

B. All ideas, memoranda, specifications, plans, manufacturing, procedures, drawings, descriptions, and all other written information submitted to CONTRACTOR in connection with the performance of this Agreement shall not, without prior written approval of AUTHORITY, be used for any



1 purposes other than the performance under this Agreement, nor be disclosed to an entity not connected  
2 with the performance of the project. CONTRACTOR shall comply with AUTHORITY's policies  
3 regarding such material. Nothing furnished to CONTRACTOR, which is otherwise known to  
4 CONTRACTOR or is or becomes generally known to the related industry shall be deemed confidential.  
5 CONTRACTOR shall not use AUTHORITY's name, photographs of the project, or any other publicity  
6 pertaining to the project in any professional publication, magazine, trade paper, newspaper, seminar or  
7 other medium without the express written consent of AUTHORITY.

8 C. No copies, sketches, computer graphics or graphs, including graphic artwork, are to be  
9 released by CONTRACTOR to any other person or agency except after prior written approval by  
10 AUTHORITY, except as necessary for the performance of services under this Agreement. All press  
11 releases, including graphic display information to be published in newspapers, magazines, etc., are to  
12 be handled only by AUTHORITY unless otherwise agreed to by CONTRACTOR and AUTHORITY.

13 **ARTICLE 24. PATENT AND COPYRIGHT INFRINGEMENT**

14 A. In lieu of any other warranty by AUTHORITY or CONTRACTOR against patent or copyright  
15 infringement, statutory or otherwise, it is agreed that CONTRACTOR shall defend at its expense any  
16 claim or suit against AUTHORITY on account of any allegation that any item furnished under this  
17 Agreement or the normal use or sale thereof arising out of the performance of this Agreement, infringes  
18 upon any presently existing U.S. letters patent or copyright and CONTRACTOR shall pay all costs and  
19 damages finally awarded in any such suit or claim, provided that CONTRACTOR is promptly notified in  
20 writing of the suit or claim and given authority, information and assistance at CONTRACTOR's expense  
21 for the defense of same. However, CONTRACTOR will not indemnify AUTHORITY if the suit or claim  
22 results from: (1) AUTHORITY's alteration of a deliverable, such that said deliverable in its altered form  
23 infringes upon any presently existing U.S. letters patent or copyright; or (2) the use of a deliverable in  
24 combination with other material not provided by CONTRACTOR when such use in combination  
25 infringes upon an existing U.S. letters patent or copyright.

26 B. CONTRACTOR shall have sole control of the defense of any such claim or suit and all

1 negotiations for settlement thereof. CONTRACTOR shall not be obligated to indemnify AUTHORITY  
2 under any settlement made without CONTRACTOR's consent or in the event AUTHORITY fails to  
3 cooperate fully in the defense of any suit or claim, provided, however, that said defense shall be at  
4 CONTRACTOR's expense. If the use or sale of said item is enjoined as a result of such suit or claim,  
5 CONTRACTOR, at no expense to AUTHORITY, shall obtain for AUTHORITY the right to use and sell  
6 said item, or shall substitute an equivalent item acceptable to AUTHORITY and extend this patent and  
7 copyright indemnity thereto.

#### 8 **ARTICLE 25. FINISHED AND PRELIMINARY DATA**

9 A. All of CONTRACTOR's finished technical data, including but not limited to illustrations,  
10 photographs, tapes, software, software design documents, including without limitation source code,  
11 binary code, all media, technical documentation and user documentation, photoprints and other graphic  
12 information required to be furnished under this Agreement, shall be AUTHORITY's property upon  
13 payment and shall be furnished with unlimited rights and, as such, shall be free from proprietary  
14 restriction except as elsewhere authorized in this Agreement. CONTRACTOR further agrees that it  
15 shall have no interest or claim to such finished, AUTHORITY-owned, technical data; furthermore, said  
16 data is subject to the provisions of the Freedom of Information Act, 5 USC 552.

17 B. It is expressly understood that any title to preliminary technical data is not passed to  
18 AUTHORITY but is retained by CONTRACTOR. Preliminary data includes roughs, visualizations,  
19 software design documents, layouts and comprehensives prepared by CONTRACTOR solely for the  
20 purpose of demonstrating an idea or message for AUTHORITY's acceptance before approval is given  
21 for preparation of finished artwork. Preliminary data title and right thereto shall be made available to  
22 AUTHORITY if CONTRACTOR causes AUTHORITY to exercise Article 11, and a price shall be  
23 negotiated for all preliminary data.

#### 24 **ARTICLE 26. FORCE MAJEURE**

25 Either party shall be excused from performing its obligations under this Agreement during the  
26 time and to the extent that it is prevented from performing by an unforeseeable cause beyond its

1 control, including but not limited to: any incidence of fire, flood; acts of God; commandeering of material,  
2 products, plants or facilities by the federal, state or local government; national fuel shortage; or a  
3 material act or omission by the other party; when satisfactory evidence of such cause is presented to  
4 the other party, and provided further that such nonperformance is unforeseeable, beyond the control  
5 and is not due to the fault or negligence of the party not performing.

6 **ARTICLE 27. HEALTH AND SAFETY REQUIREMENT**

7 CONTRACTOR shall comply with all the requirements set forth in Exhibit \_\_, Level 2 Health,  
8 Safety and Environmental Specifications.

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**ORANGE COUNTY TRANSPORTATION AUTHORITY**

By: \_\_\_\_\_

Date: \_\_\_\_\_

## By: \_\_\_\_\_

Date: \_\_\_\_\_

## By: \_\_\_\_\_

Date: \_\_\_\_\_

**EXHIBIT D: STATUS OF PAST AND PRESENT CONTRACTS FORM**

**STATUS OF PAST AND PRESENT CONTRACTS FORM**

On the form provided below, Offeror/Bidder shall list the status of past and present contracts where the firm has either provided services as a prime vendor or a subcontractor during the past five (5) years in which the contract has been the subject of or may be involved in litigation with the contracting authority. This includes, but is not limited to, claims, settlement agreements, arbitrations, administrative proceedings, and investigations arising out of the contract.

A separate form must be completed for each contract. Offeror/Bidder shall provide an accurate contact name and telephone number for each contract and indicate the term of the contract and the original contract value. Offeror/Bidder shall also provide a brief summary and the current status of the litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations. If the contract was terminated, list the reason for termination.

Offeror/Bidder shall have an ongoing obligation to update the Authority with any changes to the identified contracts and any new litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations that arise subsequent to the submission of the bid. Each form must be signed by an officer of the Offeror/Bidder confirming that the information provided is true and accurate.

|   |                                 |
|---|---------------------------------|
| <b>Project city/agency/other:</b>   |                                 |
|   |                                 |
| <b>Contact Name:</b>  | <b>Phone:</b>                   |
|   |                                 |
| <b>Project Award Date:</b>  | <b>Original Contract Value:</b> |
|   |                                 |
| <b>Term of Contract:</b>  |                                 |
|   |                                 |
| <b>(1) Litigation, claims, settlements, arbitrations, or investigations associated with contract:</b> |                                 |
|   |                                 |
|   |                                 |
|   |                                 |
| <b>(2) Summary and Status of contract:</b>  |                                 |
|   |                                 |
|   |                                 |
| <b>(3) Summary and Status of action identified in (1):</b>  |                                 |
|   |                                 |
|   |                                 |
|   |                                 |
| <b>(4) Reason for termination, if applicable:</b>   |                                 |
|   |                                 |
|   |                                 |

By signing this Form entitled "Status of Past and Present Contracts," I am affirming that all of the information provided is true and accurate.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**EXHIBIT E: CAMPAIGN CONTRIBUTION DISCLOSURE FORM**

**CAMPAIGN CONTRIBUTION DISCLOSURE FORM**

**Information Sheet**

**ORANGE COUNTY TRANSPORTATION AUTHORITY**

The attached Campaign Contribution Disclosure Form must be completed by applicants for, or persons who are the subject of, any proceeding involving a license, permit, or other entitlement for use pending before the Board of Directors of the OCTA or any of its affiliated agencies. (Please see next page for definitions of these terms.)

**IMPORTANT NOTICE**

**Basic Provisions of Government Code Section 84308**

- A. If you are an applicant for, or the subject of, any proceeding involving a license, permit, or other entitlement for use, you are prohibited from making a campaign contribution of more than \$250 to any board member or his or her alternate. This prohibition begins on the date your application is filed or the proceeding is otherwise initiated, and the prohibition ends three months after a final decision is rendered by the Board of Directors. In addition, no board member or alternate may solicit or accept a campaign contribution of more than \$250 from you during this period.
- B. These prohibitions also apply to your agents, and, if you are a closely held corporation, to your majority shareholder as well. These prohibitions also apply to your subcontractor(s), joint venturer(s), and partner(s) in this proceeding. Also included are parent companies and subsidiary companies directed and controlled by you, and political action committees directed and controlled by you.
- C. You must file the attached disclosure form and disclose whether you or your agent(s) have in the aggregate contributed more than \$250 to any board member or his or her alternate during the 12-month period preceding the filing of the application or the initiation of the proceeding.
- D. If you or your agent have in the aggregate contributed more than \$250 to any individual board member or his/or her alternate during the 12 months preceding the decision on the application or proceeding, that board member or alternate must disqualify himself or herself from the decision. However, disqualification is not required if the board member or alternate returns the campaign contribution within 30 days from the time the director knows, or should have known, about both the contribution and the fact that you are a party in the proceeding. The Campaign Contribution Disclosure Form should be completed and filed with your proposal, or with the first written document you file or submit after the proceeding commences.



1. A proceeding involving "a license, permit, or other entitlement for use" includes all business, professional, trade and land use licenses and permits, and all other entitlements for use, including all entitlements for land use, all contracts (other than competitively bid, labor or personal employment contracts), and all franchises.
2. Your "agent" is someone who represents you in connection with a proceeding involving a license, permit or other entitlement for use. If an individual acting as an agent is also acting in his or her capacity as an employee or member of a law, architectural, engineering, consulting firm, or similar business entity, both the business entity and the individual are "agents."
3. To determine whether a campaign contribution of more than \$250 has been made by you, campaign contributions made by you within the preceding 12 months must be aggregated with those made by your agent within the preceding 12 months or the period of the agency, whichever is shorter. Contributions made by your majority shareholder (if a closely held corporation), your subcontractor(s), your joint venturer(s), and your partner(s) in this proceeding must also be included as part of the aggregation. Campaign contributions made to different directors or their alternates are not aggregated.
4. A list of the members and alternates of the Board of Directors is attached.

This notice summarizes the major requirements of Government Code Section 84308 of the Political Reform Act and California Code of Regulations, Title 2 Sections 18438-18438.8.

ORANGE COUNTY TRANSPORTATION AUTHORITY  
CAMPAIGN CONTRIBUTION DISCLOSURE FORM

RFP Number: \_\_\_\_\_ RFP Title: \_\_\_\_\_

Was a campaign contribution made to any OCTA Board Member within the preceding 12 months, regardless of dollar amount of the contribution by either the proposing firm, proposed subconsultants and/or agent/lobbyist? Yes \_\_\_\_\_ No \_\_\_\_\_

**If no**, please sign and date below.

**If yes**, please provide the following information:

Prime Contractor Firm Name: \_\_\_\_\_

Contributor or Contributor Firm's Name: \_\_\_\_\_

Contributor or Contributor Firm's Address: \_\_\_\_\_

Is Contributor:

- |   |           |          |
|---|-----------|----------|
| <input type="radio"/> The Prime Contractor  | Yes _____ | No _____ |
| <input type="radio"/> Subconsultant   | Yes _____ | No _____ |
| <input type="radio"/> Agent/Lobbyist hired by Prime<br>to represent the Prime in this RFP | Yes _____ | No _____ |

Note: Under the State of California Government Code section 84308 and California Code of Regulations, Title 2, Section 18438, campaign contributions made by the Prime Contractor and the Prime Contractor's agent/lobbyist who is representing the Prime Contractor in this RFP must be aggregated together to determine the total campaign contribution made by the Prime Contractor.

Identify the Board Member(s) to whom you, your subconsultants, and/or agent/lobbyist made campaign contributions, the name of the contributor, the dates of contribution(s) in the preceding 12 months and dollar amount of the contribution. Each date must include the exact month, day, and year of the contribution.

Name of Board Member: \_\_\_\_\_

Name of Contributor: \_\_\_\_\_

Date(s) of Contribution(s): \_\_\_\_\_

Amount(s): \_\_\_\_\_

Name of Board Member: \_\_\_\_\_

Name of Contributor: \_\_\_\_\_

Date(s) of Contribution(s): \_\_\_\_\_

Amount(s): \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Contributor

\_\_\_\_\_  
Print Firm Name

\_\_\_\_\_  
Print Name of Contributor

**ORANGE COUNTY TRANSPORTATION AUTHORITY  
AND AFFILIATED AGENCIES**

**Board of Directors**

**Steve Jones, Chairman**  
**Andrew Do, Vice Chairman**  
**Lisa A. Bartlett, Director**  
**Doug Chaffee, Director**  
**Laurie Davies, Director**  
**Barbara Delgleize, Director**  
**Michael Hennessey, Director**  
**Gene Hernandez, Director**  
**Joseph Muller, Director**  
**Mark A. Murphy, Director**  
**Richard Murphy, Director**  
**Miguel Pulido, Director**  
**Tim Shaw, Director**  
**Harry S. Sidhu, Director**  
**Michelle Steel, Director**  
**Donald P. Wagner, Director**

**EXHIBIT F: SAFETY SPECIFICATIONS**

## **LEVEL 2 STANDARD HEALTH, SAFETY AND ENVIRONMENTAL SPECIFICATIONS**

### **GENERAL**

#### **1.1 GENERAL HEALTH, SAFETY & ENVIRONMENTAL REQUIREMENTS**

- A. The Contractor, its subcontractors, suppliers, and employees have the obligation to comply with all Authority health, safety and environmental compliance department (HSEC), requirements of this safety specification, project site requirements, and bus yard safety rules as well as all federal, state, and local regulations pertaining to scope of work or agreements with the Authority. Additionally, manufacturer requirements are considered incorporated by reference as applicable to this scope of work.
- B. Observance of repeated unsafe acts or conditions, serious violation of safety standards, non-conformance of Authority health, safety and environmental compliance department (HSEC) requirements, or disregard for the intent of these safety specifications to protect people and property, by Contractor or its subcontractors may be reason for termination of scope or agreements with the Authority, at the sole discretion of the Authority.

#### **C. INJURY AND ILLNESS PREVENTION PROGRAM**

The Contractor shall comply with CCR Title 8, Section with California Code of Regulations (CCR) Title 8, Section 3203. The intent and elements of the IIPP shall be implemented and enforced by the Contractor and its sub-tier contractors, suppliers, and vendors. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

#### **D. SUBSTANCE ABUSE PREVENTION PROGRAM**

Contractor shall comply with the Policy or Program of the Company's Substance Abuse Prevention Policy that complies with the most recent Drug Free Workplace Act. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

#### **E. HAZARD COMMUNICATION PROGRAM**

- 1. Contractor shall comply with CCR Title 8, Section 5194 Hazard Communication Standard. Prior to use on Authority property and/or project work areas Contractor shall provide the Authority Project Manager copies of SDS for all applicable products used, if any. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.
- 2. All chemicals including paint, solvents, detergents and similar substances shall comply with South Coast Air Quality Management District (SCAQMD) rules 103, 1113, and 1171.

**F. STORM WATER POLLUTION PREVENTION PLAN**

1. The Contractor shall protect property and water resources from fuels and similar products throughout the duration of the contract. Contractor shall comply with Storm Water Pollution Prevention Plan (SWPPP) requirements. The program or plan if required by scope shall be provided to the Authority's Project Manager, upon request, within 72 hours.

**G. DESIGNATED HEALTH, SAFETY, ENVIRONMENTAL (HSE) REPRESENTATIVE**

1. Upon contract award, the contractor within 10 business days shall designate a health and safety representative and provide a resume and qualifications to the Authority project manager, upon request, within 72 hours.
2. This person shall be a Competent or Qualified Individual as defined by the Occupational, Safety, and Health Administration (OSHA), familiar with applicable CCR Title 8 Standards, and has the authority to affect changes in work procedures that may have associated cost, schedule and budget impacts.
3. The Contractor's HSE Representative is subject to acceptance by the Authority Project Manager, and the HSEC Department. All contact information of the HSE Representative (name, phone, and fax and pager/cell phone number) shall be provided to the Authority Project Manager, upon request, within 72 hours.
4. The Contractor's HSE Representative shall hold a current certification from the Board of Certified Safety Professionals (BCSP) and have five years of demonstrated construction/scope experience enforcing HSE compliance on construction, industrial or similar project scopes. The designated HSE Representative shall participate in any required HSE related submittals. The Authority reserves the right to allow for an exception and to modify these minimum qualification requirements for unforeseen circumstances, at the sole discretion of the Authority Project Manager and HSEC Department Manager.
5. Competent Individual means an individual who is capable of identifying existing and predictable hazards in the surroundings or working conditions which are unsanitary, hazardous, or dangerous to employees and/or property, and who has authorization to take prompt corrective measures to eliminate them.
6. Qualified Individual means an individual who by possession of a recognized degree, certificate, certification or professional standing, or who by extensive knowledge, training, and experience, has successfully demonstrated his/her ability to solve or resolve problems relating to the subject matter, the work, or the Project.

#### **H. SCOPE PLANNING**

Prior to any scope work activity or task, the Contractor shall evaluate the hazards of the scope of work and the work environment to ensure proper control measures are identified for employee public and property protection measures to prevent incidents. This evaluation shall be implemented by developing a written site specific Job Hazard Analysis (JHA) or similar tool designed for planning the work to prevent incidents. The plan shall be provided to the Authority's Project Manager, upon request, within 72 hours.

#### **I. ORIENTATION**

1. The Contractor shall conduct and document a project site safety orientation for all Contractor personnel, subcontractors, suppliers, vendors, and new employees assigned to the project prior to performing any work on Authority projects. The safety orientation at a minimum shall include, as applicable, Personal Protection Equipment (PPE) requirements, eye protection, ANSI class 2 or 3 reflective vests, designated smoking, eating, and parking areas, traffic speed limit and routing, cell phone policy, and barricade requirements. When required by scope, additional orientation shall include fall protection, energy isolation/lock-out/tag-out (LOTO), confined space, hot work permit, security requirements, and similar project safety requirements.
2. Copies of orientation documents shall be provided to the Authority Project Manager within 72 hours upon request.

#### **J. TRAFFIC & PARKING**

The Contractor shall ensure that all Contractor vehicles, including those of their subcontractors, suppliers, vendors and employees are parked in designated parking areas, personal vehicles shall be parked in the employee parking lot, work vehicles required in the maintenance area of a bus base shall be identified by company name and/or logo, covered by the company insurance, and comply with traffic routes, and posted traffic signs in areas other than the employee parking lots. Vehicles without appropriate company name and logo are considered personal vehicles and not allowed in the maintenance area of the bus base.

#### **K. GENERAL PROVISIONS**

1. The Contractor shall provide all necessary tools, equipment, and related safety protective devices to execute the scope of work in compliance with Authority's HSEC requirements, CCR Title 8 Standards, and recognized safe work practices.
2. The Contractor shall immediately notify the Authority's Project Manager whenever local, state or federal regulatory agency personnel are identified as being onsite.

3. The Authority HSEC requirements, and references contained within this scope of work shall not be considered all-inclusive as to the hazards that might be encountered. Safe work practices shall be pre-planned and performed, and safe conditions shall be maintained during the course of this work scope.
4. The Contractor shall specifically acknowledge that it has primary responsibility to prevent and correct all health, safety and environmental hazards for which it and its employees, or its subcontractors (and their employees) are responsible. The Contractor shall further acknowledge their expertise in recognition and prevention of hazards in the operations for which they are responsible, that the Authority may not have such expertise, and is relying upon the Contractor for such expertise. The Authority retains the right to notify the Contractor of potential hazards and request the Contractor to evaluate and, as necessary, to eliminate those hazards.
5. The Contractor shall instruct all its employees, and all associated subcontractors under contract with the Contractor who work on Authority property in the recognition, identification, and avoidance of unsafe acts and/or conditions applicable to its work.
6. California Code of Regulations (CCR) Title 8 Standards are minimum requirements, and each Contractor is encouraged to exceed minimum requirements. When the Contractor safety requirements exceed statutory standards, the more stringent requirements shall be achieved for the safeguard of the public and workers.

## **1.2 ENVIRONMENTAL REQUIREMENTS**

- A. The Contractor shall comply with Federal, State, county, municipal, and other local laws and regulations pertaining to the environment, including noise, aesthetics, air quality, water quality, contaminated soils, hazardous waste, storm water, and resources of archaeological significance. Expense of compliance with these laws and regulations is considered included in the agreement. Contractor shall provide water used for dust control, or for pre-wetting areas to be paved, as required; no payment will be made by OCTA for this water.
- B. The Contractor shall prevent pollution of storm drains, rivers, streams, irrigation ditches, and reservoirs with sediment or other harmful materials. Fuels, oils, bitumen, calcium chloride, cement, or other contaminants that would contribute to water pollution shall not be dumped into or placed where they will leach into storm drains, rivers, streams, irrigation ditches, or reservoirs. If operating equipment in streambeds or in and around open waters, protect the quality of ground water, wetlands, and surface waters.
- C. The Contractor shall protect adjacent properties and water resources from erosion and sediment damage throughout the duration of the contract. Contractor shall comply with applicable NPDES permits and Storm Water Pollution Prevention Plan (SWPPP) requirements.



- D. Contractor shall comply with all applicable EPA, Cal EPA, Cal Recycle, DTSC, SCAQMD, local, state, county and city standards, rules and regulations for hazardous and special waste handling, recycling and/ disposal. At a minimum, Contractor shall ensure compliance where applicable with SCAQMD Rule 1166, CCR Title 8, Section 5192, 29 CFR Subpart 1910.120, 49 CFR Part 172, Subpart H, 40 CFR Subpart 265.16 and CCR Title 22 Section 6625.16. Contractor shall provide OCTA a schedule of all hazardous waste and special or industrial waste disposal dates in advance of transport date. Only authorized OCTA personnel shall sign manifests for OCTA generated wastes. Contractor shall ensure that only current registered transporters are used for disposal of hazardous waste and industrial wastes. The Contractor shall obtain approval from OCTA for the disposal site locations in advance of scheduled transport date.

### **1.3 INCIDENT NOTIFICATION AND INVESTIGATION**

- A. The Authority shall be promptly notified of any of the following types of incidents including but not limited to:
1. Damage incidents of property (incidents involving third party, contractor or Authority property damage);
  2. Reportable and/or Recordable injuries (as defined by the U. S. Occupational Safety and Health Administration), a minor injury, and near miss incidents;
  3. Incidents impacting the environment, i.e. spills or releases on Authority property.
- B. Notifications shall be made to Authority representatives, employees and/or agents. This includes incidents occurring to contractors, vendors, visitors, or members of the public that arise from the performance of Authority contract work. An immediate verbal notice followed by a written incident investigation report shall be submitted to Authority's Project Manager within 24 hours of the incident.
- C. A final written incident investigative report shall be submitted within seven (7) calendar days and include the following information. The Current Status of anyone injured, photos of the incident area, detailed description of what happened, Investigative photos of the existing conditions and area around the injury/incident scene, the contributing factors that lead to the incident occurrence, a copy of the company policy or procedure associated with the incident and evaluation of effectiveness, copy of task planning documentation, copy of the Physician's first report of injury, copy of Cal/OSHA 300 log of work related injuries and illnesses, the Cal/OSHA 301 Injury Illness Incident Report, and corrective actions initiated to prevent recurrence. This information shall be considered the minimum elements required for a comprehensive incident report provided to OCTA.
- D. A Serious Injury, Serious Incident, OSHA Recordable Injury/Illness, or a Significant Near Miss shall require a formal incident review at the discretion of the Authority's Project Manager. The incident review shall be conducted within

seven (7) calendar days of the incident. This review shall require a company senior executive, company program or project manager from the Contractors' organization to participate and present the incident review as determined by the OCTA Project Manager. The serious incident presentation shall include action taken for the welfare of the injured, a status report of the injured, causation factors that lead to the incident, a root cause analysis (using 5 whys and fishbone methods), and a detailed recovery plan that identifies corrective actions to prevent a similar incident, and actions to enhance safety awareness.

1. Serious Injury: includes an injury or illness to one or more employees, occurring in a place of employment or in connection with any employment, which requires inpatient hospitalization for a period in excess of twenty-four hours for other than medical observation, or in which an employee suffers the loss of any member of the body, or suffers any serious degree of physical disfigurement. A serious injury also includes a lost workday or reassignment or restricted injury case as determined by the Physician's first report of injury or Cal/OSHA definitions.
2. Serious Incident: includes but not limited to property damage of \$500.00 or more, an incident requiring emergency services (local fire, paramedics and ambulance response), news media or OCTA media relations response, and/or incidents involving other agencies (Cal/OSHA, EPA, AQMD, DTSC, Metrolink, FTA, FRA etc.) notification or representation.
3. OSHA Recordable Injury / Illness: includes an injury / illness resulting in medical treatment beyond First Aid, an injury / illness which requires restricted duty, or an injury / illness resulting in days away from work.
4. Significant Near Miss Incident: includes incidents where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred.

#### 1.4 PERSONAL PROTECTIVE EQUIPMENT

Contractors, and all associated subcontractors, vendors and suppliers are required to provide their own personal protective equipment (PPE), including eye, head, foot, and hand protection, respirators, reflective safety vests, and all other PPE required to perform their work safely on Authority projects.

#### 1.5 LANGUAGE REQUIREMENTS

The Contractor for safety reasons shall ensure employees that do not read, or understand English, shall have a bilingual supervisor or foreman when on the Authority property or projects.

#### 1.6 WARNING SIGNS AND DEVICES

The Contractor shall provide signs, signals, and/or warning devices to be visible when and where a hazard exists. Signs, signals, and/or warning devices shall be removed when the hazard no longer exists.

## 1.7 REFERENCES

- A. CCR Title 8 Standards (Cal/OSHA)
- B. FCR Including 1910 and 1926 Standards
- C. NFPA, NEC, ANSI, NIOSH Standards
- D. Construction Industry Institute (CII)
- E. Board of Certified Safety Professionals (BCSP)
- F. OCTA Yard Safety Rules

END OF SECTION

**EXHIBIT G: PROPOSAL EXCEPTIONS AND/OR DEVIATIONS**

**PROPOSAL EXCEPTIONS AND/OR DEVIATIONS**

The following form shall be completed for each technical and/or contractual exception or deviation that is submitted by Offeror for review and consideration by Authority. The exception and/or deviation must be clearly stated along with the rationale for requesting the exception and/or deviation. If no technical or contractual exceptions or deviations are submitted as part of the original proposal, Offerors are deemed to have accepted Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit C). Offerors will not be allowed to submit this form or any contractual exceptions and/or deviation after the proposal submittal date identified in the RFP. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed by Authority.

Offeror: \_\_\_\_\_

RFP No.: \_\_\_\_\_ RFP Title: \_\_\_\_\_

Deviation or Exception No. : \_\_\_\_\_

*Check one:*

- Scope of Work (Technical) \_\_\_\_\_
- Proposed Agreement (Contractual) \_\_\_\_\_

Reference Section/Exhibit: \_\_\_\_\_ Page/Article No. \_\_\_\_\_

Complete Description of Deviation or Exception:

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Rationale for Requesting Deviation or Exception:

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Area Below Reserved for Authority Use Only:

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**EXHIBIT H: PUBLIC RECORDS ACT INDEMNIFICATION – PROPOSAL  
DOCUMENTS**

## PUBLIC RECORDS ACT INDEMNIFICATION – PROPOSAL DOCUMENTS

Offeror is required to submit one copy of the completed and signed form as part of its proposal and it should be included only in the original proposal. Offeror shall complete either Option 1 or Option 2 which ever applies.

### Option #1: Public Records Act Indemnification Agreement

By signing below, the Proposer agrees as follows regarding its Proposal:

If Authority receives a Public Records Act request (Government Code sections 6250 et seq.) which seeks any portion of Proposer's proposal that the Proposer has marked as "confidential", "trade secret", "proprietary", "not subject to disclosure", or similar designation (the "PRA Documents"), the Authority will notify the Proposer of the request. The Proposer shall, within three business days of such notification from the Authority, inform the Authority as to whether it desires the PRA Documents to be withheld, and shall thereafter timely provide a legal basis for each such requested withholding. If the Authority determines to withhold the PRA Documents, Proposer shall indemnify and defend Authority from any and all costs or liabilities resulting from such withholding including, but not limited to, attorney fees and court costs.

Proposer shall pay all costs, immediately as they come due, pertaining to any action under the Public Records Act related to any portion of Proposer's proposal marked or designated as described above, and withheld by Authority. If the Proposer fails to notify the Authority in writing within three business days, or to timely provide a legal basis for the withholding of documents, Proposer agrees that Authority shall release and disclose Proposer records, notwithstanding any marking or designation of the PRA Documents.

In no case shall Authority be liable for any inadvertent disclosure of any Proposer proposal documents, or any disclosure made by Authority upon a good faith belief that disclosure is required by law, or in the event Proposer has failed to notify the Authority in writing of its desire to withhold the PRA Documents within three business days and/or to timely provide a legal basis for the withholding of documents, regardless of any marking or designation of such PRA Documents, and Proposer waives any claims it may have had related to such disclosure.

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Official, legal name of Proposing Firm (Type or Print)

Contact Name: \_\_\_\_\_ (Print Name)

Title: \_\_\_\_\_

Signed by: \_\_\_\_\_

Date: \_\_\_\_\_

**Option #2: Non-Applicability**

This Proposer has not marked any portion of its proposal as "confidential", "trade secret", "proprietary", "not subject to disclosure", or similar designation.

\_\_\_\_\_  
Official, legal name of Proposing Firm (Type or Print)

Contact Name: \_\_\_\_\_ (Print Name)

Title: \_\_\_\_\_

Signed by: \_\_\_\_\_

Date: \_\_\_\_\_





## COMMITTEE TRANSMITTAL

**January 11, 2021**

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

**From:** Andrea West, Interim Clerk of the Board *Andrea West*

**Subject:** Cooperative Agreement with the California Department of Transportation for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

### Regional Planning and Highways Committee Meeting of January 4, 2021

**Present:** Directors Bartlett, Chaffee, Delgleize, Muller, and Murphy  
**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 5-0 by the Members present.

### **Committee Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2726 between the Orange County Transportation Authority and California Department of Transportation, in the amount of \$255,320,000, comprised of a construction capital share of \$213,460,000, and a construction management services share of \$41,860,000, for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.



**January 4, 2021**

**To:** Regional Planning and Highways Committee

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

**Subject:** Cooperative Agreement with the California Department of Transportation for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

### **Overview**

The Orange County Transportation Authority proposes to enter into a cooperative agreement with the California Department of Transportation for construction capital and construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2726 between the Orange County Transportation Authority and California Department of Transportation, in the amount of \$255,320,000, comprised of a construction capital share of \$213,460,000, and a construction management services share of \$41,860,000, for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

### **Discussion**

The Orange County Transportation Authority (OCTA), in partnership with the California Department of Transportation (Caltrans), is implementing the State Route 55 (SR-55) Improvement Project between Interstate 405 (I-405) and Interstate 5 (I-5) (Project). The Project is part of Project F in the Measure M2 (M2) freeway program and is being advanced through the updated Next 10 Delivery Plan approved by the OCTA Board of Directors (Board) in November 2019. The four-mile long Project will add general purpose and high-occupancy vehicle lanes in each direction between I-405 and I-5, and will also add auxiliary lanes between interchanges.

**Cooperative Agreement with the California Department of Transportation for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5** **Page 2**

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On June 12, 2017, the Board authorized Cooperative Agreement No. C-7-1753 with Caltrans to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the Project. On September 11, 2017, the Board authorized Cooperative Agreement No. C-7-1936 with Caltrans for the Project's right-of-way phase.

OCTA and Caltrans are proposing to enter into a cooperative agreement to define the specific roles and funding responsibilities of each agency for the Project's construction phase for construction capital and construction management (CM) support.

The total construction capital funding required for the Project is \$213,460,000. Construction support is expected to cost \$41,860,000. The total construction cost of \$255,320,000 will be supported with a combination of State programs, including Local Partnership Program-Competitive (LPP-C), State Highway Operation and Protection Program, State Transportation Improvement Program, Trade Corridor Enhancement Program (TCEP), federal Congestion Mitigation and Air Quality Improvement Program, and local M2 funds. State and federal funds combined are providing support for 92.8 percent of the construction phase cost. A separate staff recommendation to accept SB 1 (Chapter 5, Statutes of 2017) grants, comprised of LPP-C and TCEP funds, to support Cooperative Agreement No. C-0-2726, will be presented to the Board on January 11, 2021.

A table depicting the proposed funding plan for the construction cooperative agreement with Caltrans is provided below.

| Funding Programs  | Proposed Funding | Percent of Construction Cost |
|-------------------|------------------|------------------------------|
| State and Federal | \$236,955,000    | 92.8%                        |
| M2                | \$18,365,000     | 7.2%                         |
| Total:            | \$255,320,000    |                              |

Bid documents for the Project will be prepared for the construction contract and are expected to be advertised by late 2021. As the implementing agency for construction of the Project, Caltrans will be responsible for advertisement, award, approval, and administration of the construction contract. Under the proposed cooperative agreement, Caltrans and OCTA have agreed to share in the CM support services for the Project.

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

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Caltrans, as the construction phase implementing agency, will provide the resident engineer, structures representative, and other field personnel, along with construction administrative support and environmental monitoring.

OCTA will retain a consultant firm to augment Caltrans field staff with electrical, structural and roadway inspection, office engineering, field surveying, materials testing, and claims support services. OCTA's consultant will also provide a field office to house construction staff on the Project. Through separate contracts, OCTA will lead the public outreach and freeway service patrol efforts.

**Fiscal Impact**

The Project will be included in OCTA's Fiscal Year (FY) 2021-22 Budget and subsequent FY budgets, Capital Programs Division, accounts 0017-9084-FF101-OTB and 0017-9085-FF101-1OP, and as noted above, will be funded with a combination of federal, state, and local funds.

***Summary***

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-0-2726 with the California Department of Transportation, in the amount of \$255,320,000, comprised of a construction capital share of \$213,460,000, and a construction management services share of \$41,860,000, for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

***Attachment***

None.

**Prepared by:**



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



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

**Approved by:**



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



## COMMITTEE TRANSMITTAL

**January 11, 2021**

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

**From:** Andrea West, Interim Clerk of the Board *Andrea West*

**Subject:** Supplemental Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605-Archaeological Treatment Plan

### Regional Planning and Highways Committee Meeting of January 4, 2021

**Present:** Directors Bartlett, Chaffee, Delgleize, Muller, and Murphy  
**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 5-0 by the Members present.

### **Committee Recommendation**

Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 57.2 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$2,500,000, to implement and maintain an archaeological treatment plan and continue archaeological monitoring for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.



**January 4, 2021**

**To:** Regional Planning and Highways Committee

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

**Subject:** Supplemental Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 – Archaeological Treatment Plan

### **Overview**

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. A supplemental contract change order is needed to implement and maintain an archaeological treatment plan and continue archaeological monitoring.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 57.2 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$2,500,000, to implement and maintain an archaeological treatment plan and continue archaeological monitoring for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.

### **Discussion**

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

**Supplemental Contract Change Order for the Interstate 405    Page 2**  
**Improvement Project from State Route 73 to Interstate 605 –**  
**Archaeological Treatment Plan**

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

On September 25, 2019, an archaeological discovery was encountered within the Project site. OCTA has been following established state and federal procedures for this type of discovery and is working with the responsible parties to ensure appropriate and respectful procedures are followed. In accordance with Section 106 of the National Historic Preservation Act, an archaeological treatment plan (ATP) is required to guide cultural resource discoveries, including the identification, evaluation, and treatment of archaeological resources within the Project site.

Contract Change Order (CCO) No. 57, in the amount of \$200,000, was previously issued to OC405 to initiate archaeological monitoring, prepare and obtain approval of the ATP, and provide site security and erosion control measures to protect the discovery site. Subsequently, CCO No. 57.1, in an additional amount of \$1,300,000, was approved by the Board on April 13, 2020, and issued to OC405 to implement, maintain, and comply with the requirements of the approved ATP. Since then, costs to implement and comply with the ATP have exceeded original estimates.

OCTA worked extensively and collaboratively with Caltrans, the State Historic Preservation Office (SHPO), and the Native American Tribe (Tribe) during field implementation of the ATP. As part of this effort, OCTA performed additional geo-archaeological borings and completed archaeological data collection excavation test units at various locations to characterize the extent of the archaeological formation beyond the original discovery. This effort also required additional archaeological monitoring beyond the original estimate. The discovery occurred at an overcrossing currently under construction in two stages. A preliminary field work summary report for the first stage of bridge construction that is nearing completion and a work plan for the upcoming second stage of bridge construction were prepared for the purpose of communicating progress and planned work to Caltrans, SHPO, and the Tribe. This additional effort was also not anticipated in the original estimate.

The results of the additional archaeological work provided a better understanding of the extent of the formation for other potential discoveries and allowed the construction crews to be better prepared for any potential



**Supplemental Contract Change Order for the Interstate 405   Page 3**  
**Improvement Project from State Route 73 to Interstate 605 –**  
**Archaeological Treatment Plan**

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archaeological discoveries in the work areas. This also allowed construction to proceed efficiently by mitigating the risk for work starting, then stopping, due to another unanticipated archaeological discovery. In addition, these efforts provided assurance to Caltrans, SHPO, and the Tribe that OCTA is meeting the requirements of the ATP and all other regulatory requirements.

OCTA staff developed an independent cost estimate for the anticipated additional archaeological work to support the second stage of bridge construction based on previous levels of effort. Staff is requesting Board approval of supplemental CCO No. 57.2, in the amount of \$2,500,000, to continue implementation of the ATP, which includes activities such as preparation of the final field work and data recovery report and associated laboratory work, monitoring, site security, excavation equipment support, erosion control, site maintenance, and final reburial of discovered remains. This brings the total amount for CCO No. 57 to \$4,000,000.

***Procurement Approach***

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

Proposed supplemental CCO No. 57.2, in the amount of \$2,500,000, in addition to the previous CCO No. 57, in the amount of \$200,000, approved by OCTA's Contracts Administration and Materials Management Department, and CCO No. 57.1, in the amount of \$1,300,000, approved by the Board on April 13, 2020, will provide staff the ability to timely direct the implementation, maintenance, and compliance of the ATP, as well as continue archaeological monitoring. CCO No. 57.2 brings the total authorized amount of CCO No. 57 to \$4,000,000.

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

**Supplemental Contract Change Order for the Interstate 405   Page 4**  
**Improvement Project from State Route 73 to Interstate 605 –**  
**Archaeological Treatment Plan**

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**Fiscal Impact**

Funding for this work was approved in OCTA's Fiscal Year 2020-21 Budget, Capital Programs Division, accounts 0017-9084-FK101-OGM and 0037-9017-A9510-OGM, and is funded with a combination of federal, state, and local funds. M2 funds will be used for improvements specific to M2 Project K, and non-M2 funds will be used for improvements specific to the 405 Express Lanes. The cost for the development, implementation, and maintenance of the ATP and archaeological monitoring described in CCO No. 57.2 is funded from the Project contingency and is not anticipated to increase the total Project estimate of \$2,080,234,000.

**Summary**

Staff recommends Board authorization for the Chief Executive Officer to negotiate and execute CCO No. 57.2 to Agreement No. C-5-3843 with OC405, in the amount of \$2,500,000, to implement and maintain an ATP and continue archaeological monitoring for the Project.

**Attachment**

- A. OC405 Partners, Agreement No. C-5-3843, Contract Change Order Log

**Prepared by:**



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

**Approved by:**



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



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

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

| <b>Contract Change Order (CCO) No.</b> | <b>Title</b>   | <b>Status</b> | <b>Date Executed</b> | <b>Cost</b>  |
|--|--|---------------|----------------------|--------------|
| 001                                    | Technical Provisions – Execution Version   | Approved      | 06/14/2017           | \$0.00       |
| 002                                    | Notice to Proceed No. 1 Payment Cap Increase and Substantial Completion Deadline Modifications   | Approved      | 6/21/2017            | \$0.00       |
| 003                                    | Extra Maintenance Work (Provisional Sum)   | Approved      | 7/28/2017            | \$200,000.00 |
| 003.1                                  | Amendment to Change Order to Add Additional Funds for Extra Maintenance Work   | Approved      | 10/2/2018            | \$200,000.00 |
| 003.1.1                                | Provisional Sum for Extra Maintenance Work-Unilateral  | Approved      | 10/10/2019           | \$400,000.00 |
| 003.1.2                                | Supplemental Extra Maintenance Work  | Approved      | 1/16/2020            | \$350,000.00 |
| 003.1.3                                | Supplemental Extra Maintenance Work  | Approved      | 8/4/2020             | \$350,000.00 |
| 003.2                                  | Additional Extra Maintenance Work  | Pending       |                      | \$500,000.00 |
| 004                                    | Design-Builder Personnel Changes (Appendices 7 and 23)   | Approved      | 12/20/2017           | \$0.00       |
| 005                                    | Dispute Review Board (Provisional Sum)   | Approved      | 9/13/2017            | \$50,000.00  |
| 005.1                                  | Increase in Provisional Sum per Contract Section 19.4 Disputes Board   | Approved      | 7/1/2019             | \$50,000.00  |
| 006                                    | Partnering (Provisional Sum)   | Approved      | 9/13/2017            | \$50,000.00  |
| 006.1                                  | Partnering per Contract Section 19.1   | Approved      | 7/1/2019             | \$50,000.00  |
| 007                                    | Implementation of California Department of Transportation (Caltrans) Guidance on Six-Inch Wide Longitudinal Traffic Lines and Non-Reflective Raised Pavement Markers | Approved      | 3/15/2018            | \$0.00       |
| 008                                    | Collection and Disposal of Unknown Hazardous Materials (Provisional Sum)   | Approved      | 9/13/2018            | \$100,000.00 |
| 008.1                                  | Supplemental Unknown Hazardous Materials   | Approved      | 9/11/2019            | \$100,000.00 |
| 008.2                                  | Supplemental Unknown Hazardous Materials   | Approved      | 11/25/2019           | \$250,000.00 |
| 008.2.1                                | Supplemental Unknown Hazardous Materials   | Approved      | 3/11/2020            | \$150,000.00 |

| <b>Contract Change Order (CCO) No.</b> | <b>Title</b>   | <b>Status</b> | <b>Date Executed</b> | <b>Cost</b>    |
|--|--|---------------|----------------------|----------------|
| 008.3                                  | Supplemental Unknown Hazardous Materials   | Approved      | 5/4/2020             | \$500,000.00   |
| 009                                    | Repair of Caltrans' Fiber Optic Line   | Approved      | 5/16/2018            | \$31,753.69    |
| 010                                    | Five Project Funding Identification Signs (Provisional Sum)  | Approved      | 7/2/2018             | \$32,644.25    |
| 011                                    | Revised Right-of-Way (ROW) Availability Date of Caltrans Parcel No. 102919 Used By Mike Thompson's RV Super Store  | Approved      | 6/28/2018            | \$0.00         |
| 012                                    | Credit to OCTA for Elimination of the Street Widening Improvements Along Eastbound Edinger Avenue  | Approved      | 9/13/2018            | -\$237,982.39  |
| 013                                    | Additional Design and Construction Cost Compensation Related to: City Bridge Width; Construction Changes to Minimize ROW Impacts; Revised Design Concept at Ellis Avenue On-Ramp to Southbound I-405; State Route 73 Overhead Sign Structures; Sendero Apartments Left-Turn Pocket on Magnolia Street; Newland Street Waterline Extension; and Signal Improvements at Ellis Avenue/ Bushard Street | Approved      | 2/25/2019            | \$8,560,556.00 |
| 013.1                                  | Permanent Traffic Signal at the intersection of Warner Avenue and Greenleaf Street   | Approved      | 12/5/2019            | \$460,327.00   |
| 014                                    | Thrust Blocks for the City of Fountain Valley Water Lines  | Approved      | 10/29/2018           | \$88,021.00    |
| 015                                    | Slater Bridge Construction Shuttle Services  | Approved      | 12/4/2018            | \$175,000.00   |
| 016                                    | Construction Zone Speed Reduction  | Approved      | 12/3/2018            | \$70,000.00    |
| 016.1                                  | Additional Speed Reduction Signs   | Approved      | 12/31/2019           | \$4,512.00     |
| 017                                    | Relocation of Water Lines for the City of Fountain Valley  | Approved      | 3/8/2019             | \$800,000.00   |
| 018                                    | Enhanced Gawk Screen at Bolsa Chica Road   | Approved      | 1/25/2019            | \$56,395.00    |
| 019                                    | Brookhurst Street Overhead Sign Location Redesign  | Approved      | 1/25/2019            | \$11,484.00    |
| 020                                    | Differing Site Conditions - Pavement Thickness at Magnolia   | Approved      | 1/29/2019            | \$4,095.00     |
| 021                                    | Polymer Fibers in All Concrete Bridge Decks  | Approved      | 3/19/2019            | \$1,463,020.00 |
| 022                                    | Temporary Construction Easement Reduction at La Quinta   | Approved      | 3/19/2019            | \$85,573.00    |

| <b>Contract<br/>Change Order<br/>(CCO) No.</b> | <b>Title</b>   | <b>Status</b> | <b>Date<br/>Executed</b> | <b>Cost</b>    |
|--|--|---------------|--------------------------|----------------|
| 023  | Updated FasTrak Logos (Unilateral)                               | Approved      | 2/21/2019                | \$20,532.00    |
| 024  | Express Lanes Channelizers                                       | Approved      | 3/12/2019                | \$122,778.00   |
| 025  | Stainless Steel Inserts at Fairview Road<br>Overcrossing         | Approved      | 3/12/2019                | -\$9,293.00    |
| 026  | OCTA PlanGrid Software Licenses                                  | Approved      | 3/28/2019                | \$35,994.00    |
| 026.1  | Supplemental for OCTA PlanGrid Software<br>Licenses              | Approved      | 9/11/2019                | \$8,570.00     |
| 027  | Utility potholing on Milton Ave                                  | Approved      | 9/12/2019                | \$61,731.87    |
| 027.1  | Electrical Infrastructure Work at Milton<br>Avenue               | Approved      | 1/16/2020                | \$278,282.28   |
| 028  | Mesa Water District 12-inch Water Line (CN-<br>1127)             | Approved      | 5/7/2019                 | \$208,600.00   |
| 029  | Magnolia Loop Ramp CMS Deletion                                  | Approved      | 05/15/19                 | -\$74,319.00   |
| 030  | Motel 6 Sound Wall (SW-791) Elimination                          | Approved      | 05/15/19                 | -\$130,000.00  |
| 031  | Sound Wall 956 Reduction   | Approved      | 05/22/19                 | -\$30,000.00   |
| 033  | Edinger Channel Pavement Rehabilitation                          | Approved      | 07/30/19                 | \$176,465.00   |
| 034  | Chevron and Crimson Utility Relocation at<br>Goldenwest Crossing | Approved      | 8/2/2019                 | \$75,000.00    |
| 034.1  | Chevron and Crimson Utility Relocation<br>Support                | Approved      | 12/31/2019               | \$12,018.00    |
| 034.2  | Chevron and Crimson Goldenwest Relocation<br>Assistance          | Approved      | 02/18/2020               | \$110,000.00   |
| 034.3  | Chevron and Crimson Goldenwest Relocation<br>Assistance          | Approved      | 8/4/2020                 | \$10,982.00    |
| 034.4  | Chevron and Crimson Goldenwest Relocation<br>Assistance          | Approved      | 9/21/2020                | \$300,000.00   |
| 035  | Incompatible Specifications - Adjacent to<br>CRCP Pavement       | Approved      | 06/26/19                 | \$2,900,557.00 |
| 036  | Minor Construction Support for Dry Utilities                     | Approved      | 5/11/2020                | \$100,000.00   |
| 037  | Sound Wall 375 Protect in Place                                  | Approved      | 06/04/19                 | \$200,000.00   |
| 040  | HDPE in Lieu of RCP  | Approved      | 7/9/2019                 | -\$7,418.68    |

| <b>Contract Change Order (CCO) No.</b> | <b>Title</b>   | <b>Status</b> | <b>Date Executed</b> | <b>Cost</b>    |
|--|--|---------------|----------------------|----------------|
| 041                                    | Emergency Vehicle Preemption Devices at Fairview   | Approved      | 7/9/2019             | \$44,147.00    |
| 042                                    | Executed Utility Agreements (Unilateral)   | Approved      | 11/4/2019            | \$0.00         |
| 043                                    | Early Partial Removal of Sound Wall 328  | Approved      | 9/16/2019            | \$14,414.18    |
| 044                                    | Field survey for Frontier at Westminster   | Approved      | 1/7/2020             | \$12,908.42    |
| 045                                    | Water Line Betterments (CN 1012 & 6044) at Warner Avenue   | Approved      | 10/12/2019           | \$256,244.00   |
| 046                                    | Additional Water Lines at Brookhurst Street and Talbert Avenue in the City of Fountain Valley    | Approved      | 12/5/2019            | \$389,878.00   |
| 047                                    | Additional Water Line Valves for the City of Fountain Valley                                     | Approved      | 12/5/2019            | \$266,828.00   |
| 048                                    | Temporary Construction Easement Reduction at Sit n' Sleep (CPN 103026)                           | Approved      | 10/17/2019           | \$129,243.00   |
| 049                                    | Beach Blvd Lane Widths Reduction (Necessary Basic Configuration Change)                          | Approved      | 10/17/2019           | \$160,000.00   |
| 050                                    | Vibration Sensitive Receptors (McFadden OC Abutment 3)   | Approved      | 10/17/2019           | \$59,383.87    |
| 051                                    | Exercising Water Valves for the City of Fountain Valley  | Approved      | 1/16/2020            | \$50,000.00    |
| 052                                    | McFadden Avenue Interconnect Between Beach Boulevard and Sugar Drive                             | Approved      | 11/14/2019           | \$0.00         |
| 053                                    | Traffic Signal Modification at Beach and McFadden  | Approved      | 11/14/2019           | -\$128,118.00  |
| 054                                    | DSC Pavement Against Median K-Rail   | Approved      | 12/31/2019           | \$11,133.00    |
| 055                                    | LA Fitness at Retaining Wall 717   | Approved      | 12/31/2019           | \$8,428.29     |
| 056                                    | Additional Speed Reduction Signs and Radar Packages  | Approved      | 12/31/2019           | \$148,397.00   |
| 057                                    | Archeological Treatment Plan   | Approved      | 6/4/2020             | \$200,000.00   |
| 057.1                                  | Archaeological Treatment Plan  | Approved      | 7/9/2020             | \$500,000.00   |
| 057.1.1                                | Archaeological and Native American Monitors at Goldenwest Street and Bolsa Avenue (Supplemental) | Approved      | 8/27/2020            | \$500,000.00   |
| 057.1.2                                | Supplemental Environmental Monitoring at Bolsa Overcrossing                                      | Approved      | 10/30/2020           | \$300,000.00   |
| 057.2                                  | Archaeological Treatment Plan and Native American Monitoring                                     | Pending       |                      | \$2,500,000.00 |
| 058                                    | Biological Monitoring Naval Weapons Station (Unilateral)   | Approved      | 6/29/2020            | \$50,000.00    |

| <b>Contract Change Order (CCO) No.</b> | <b>Title</b>  | <b>Status</b> | <b>Date Executed</b> | <b>Cost</b>    |
|--|---|---------------|----------------------|----------------|
| 058.1                                  | Biological Monitor at Naval Weapon Station Seal Beach                                   | Pending       |                      | \$50,000.00    |
| 059                                    | Pavement Limits for Beach Boulevard and Edinger Avenue                                  | Approved      | 02/18/2020           | \$33,573.00    |
| 060                                    | Heil Pedestrian Overcrossing and Switchback Ramp (Unilateral)                           | Approved      | 2/25/20              | \$1,044,927.00 |
| 061                                    | Plant Establishment Period  | Approved      | 02/26/2020           | \$1,600,000.00 |
| 062                                    | Senate Bill 1: Diesel Fuel Sales Tax Rate Increase                                      | Approved      | 3/9/2020             | \$1,764,164.64 |
| 063                                    | Bracing for Southern California Edison Power Poles at CN 2012                           | Approved      | 03/05/2020           | \$169,770.00   |
| 064                                    | City Sales and Use Tax Increases (Unilateral)   | Approved      | 4/22/2020            | \$28,657.00    |
| 065                                    | Traffic Studies to Analyze Schedule Mitigation  | Approved      | 4/22/2020            | \$70,854.00    |
| 066                                    | Combined Authority-accepted Extra Work  | Approved      | 5/14/2020            | \$18,826.00    |
| 067                                    | SCE Conduit at Heil Avenue  | Approved      | 5/14/2020            | \$109,219.00   |
| 068                                    | Archaeological Monitoring for all Ground disturbing activities at Naval Weapons Station | Approved      | 8/27/2020            | \$100,000.00   |
| 068.1                                  | Archaeological and Native American Monitors at Naval Weapon Station Seal Beach          | Pending       |                      | \$100,000.00   |
| 069                                    | Drainage System 757 Access  | Approved      | 5/14/2020            | \$60,374.00    |
| 070                                    | Amendments to Contract Sections 19.3.4 and 19.5.2 No Cost                               | Approved      | 5/19/2020            | \$0.00         |
| 071                                    | UPRR Flagging Costs   | Approved      | 6/13/2020            | \$200,000.00   |
| 072                                    | SCE and Frontier Electrical Infrastructure Work at Almond Avenue                        | Approved      | 5/19/2020            | \$1,843,329.00 |
| 074                                    | Combined Authority Accepted Extra Work (PCOs 169 and 122G)                              | Approved      | 7/7/2020             | \$6,965.39     |
| 075                                    | Bushard Pile Conflict with Existing Piles   | Approved      | 7/21/2020            | \$28,867.00    |
| 076                                    | Combined Authority Accepted Extra Work (PCOs 180, and 183)                              | Approved      | 9/16/2020            | \$12,668.80    |
| 077                                    | Toll Rate Changeable Message Signs (CMS)  | Approved      | 9/8/2020             | \$146,031.00   |
| 078                                    | Parking Lot Improvements at United States Postal Service Property                       | Approved      | 10/27/2020           | \$537,436.00   |
| 079                                    | Extension of the Third Westbound Lane on Talbert Avenue to Cashew Street.               | Approved      | 12/02/2020           | \$270,528.00   |

| <b>Contract<br/>Change Order<br/>(CCO) No.</b> | <b>Title</b>  | <b>Status</b> | <b>Date<br/>Executed</b> | <b>Cost</b>   |
|--|---|---------------|--------------------------|---------------|
| 080  | Temporary Bypass Waterline for the Goldenwest Street Bridge Phase 2     | Approved      | 10/30/2020               | \$579,604.00  |
| 081  | Oceanview Channel Damaged Existing RCB                                  | Approved      | 11/05/2020               | \$59,806.16   |
| 082  | Existing Buried Shoring Removal at Bella Terra Near RW 895 (Unilateral) | Approved      | 11/10/2020               | \$19,637.23   |
| 085  | Modified Pavement Overlay for the City of Fountain Valley               | Pending       |                          | \$107,180.00  |
| 086  | Global Settlement   | Pending       |                          | \$157,000,000 |

|                          |                         |
|--------------------------|-------------------------|
| Original Contract Price  | \$1,217,065,000.00      |
| Contingency Fund         | <u>\$241,959,728.00</u> |
| Total Contract Allotment | \$1,459,024,728.00      |

|                       |                         |
|-----------------------|-------------------------|
| Subtotal Approved CCO | \$31,254,314.22         |
| Subtotal Pending CCOs | <u>\$160,257,180.00</u> |
| Total CCOs            | \$191,511,494.22        |

|                                 |                    |
|---------------------------------|--------------------|
| Proposed Revised Contract Price | \$1,408,576,494.22 |
| Remaining Contingency Fund      | \$50,448,233.78    |





**January 11, 2021**

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

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

**Subject:** Measure M2 Quarterly Progress Report for the Period of July 2020 Through September 2020

### **Overview**

Staff has prepared the Measure M2 quarterly progress report for the first quarter of fiscal year 2020-21, covering July 2020 through September 2020, for consideration by the Orange County Transportation Authority Board of Directors. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

### **Recommendation**

Receive and file as an information item.

### **Background**

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

OCTA is committed to fulfilling the promises made in M2. This means not only completing the projects described in the Plan but also adhering to numerous specific requirements and high standards of quality called for in the measure, as identified in the ordinance. Ordinance No. 3 requires that quarterly status reports regarding the major projects detailed in the Plan be brought to the OCTA Board of Directors (Board). The Board also is provided with individual project staff reports and overall reports on the status of the capital programs by the Capital Programs Division.

***Discussion***

This quarterly report reflects current activities and progress across all M2 programs for the period of July 1, 2020 through September 30, 2020 (Attachment A). The report includes project budget and schedule information as provided and reported in the Capital Action Plan, as well as the Local Fair Share, and Senior Mobility Program payments made to cities during the quarter, as well as total distributions from M2 inception through September 2020.

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

**Market Conditions Forecast and Risk Analysis**

At the Board's direction, OCTA contracts with two local economists to monitor and analyze key early warning indicators affecting the construction market. The information is incorporated in a cost pressure index model to identify potential cost risk factors on M2 project delivery. The results of the analysis were presented to the Board on November 9, 2020. The report identified that OCTA may experience a low inflation cost environment (ranging negative two percent to one percent) during 2021 and 2022, followed by a more normal inflation cost environment in 2023 (ranging two to six percent).

Compared to the previous report presented to the Board in October 2019, cost pressures have tempered in the most recent data available and are primarily attributed to the coronavirus (COVID-19) pandemic. For example, a change from a low unemployment economy to that of a high one lowered the risk for higher labor costs. In addition, building permits in California have slowed down, and building material costs have stabilized. Staff will continue to monitor market conditions and effects on the Next 10 Delivery Plan (Next 10 Plan) and provide updates to the Board as appropriate.

**Next 10 Plan/Sales Tax Revenue Forecast**

Annually, staff reviews the Board-adopted commitments in the Next 10 Plan to ensure it remains deliverable with updated revenues and project costs. With the uncertainties of the economic impacts of COVID-19, staff presented a preliminary \$11.6 billion M2 sales tax revenue forecast on August 24, 2020. With tax receipts for quarter four of fiscal year (FY) 2019-20 received in September 2020, the final M2 sales tax forecast was presented to the Board on October 26, 2020. Despite sales tax receipts being higher than anticipated for

FY 2019-20, the total anticipated sales tax to support the M2 Program remained at \$11.6 billion due to a more conservative short-term forecast provided by MuniServices. This represents a year-over-year decline of \$1.8 billion and the lowest forecast since M2 inception.

On December 14, 2020, options were presented to the Board for discussion and feedback on how to manage the impacts of the decreased M2 sales tax revenue forecast and revised project cost estimates. The Board suggested that staff pursue a financially prudent course of action with a proactive stance on project delivery while remaining flexible, given the fluidity of current events. In addition, staff will be reviewing FY 2020-21 second quarter financial information prior to presenting a revised M2 Next 10 Plan, which is anticipated in early 2021.

### Progress Update

The following provides an overview of M2 accomplishments to date by mode, as well as highlights of activities that occurred during the first quarter of FY 2020-21.

#### Freeway Program

The M2 Freeway Program consists of 30 project segments to be delivered by 2041. Currently, while in year ten of the 30-year program, 12 project segments are complete, five are in construction, and another four are readying for construction. The remaining nine project segments are in various stages of project development.

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

- Interstate 5 (I-5) between State Route 55 (SR-55) and State Route 57 (SR-57) - In August 2020, the second of two high-occupancy vehicle lanes in the north and southbound directions were opened. The project team continues to work on final inspections and punch list items, which are anticipated to be completed by the end of the year. (Project A)
- I-5 between Alicia Parkway and El Toro Road - On September 23, 2020, the California Department of Transportation awarded the construction contract to the lowest bidder, which was 11.7 percent below the engineer's estimate. This is the northernmost of three segments of the I-5 between State Route 73 (SR-73) and El Toro Road Project. All three segments are now under construction. (Project C)

- State Route 91 between SR-55 to SR-57 - This project was split into three segments for the design phase. Design work on segment one, between SR-55 and Lakeview Avenue, and segment two, between La Palma Avenue and SR-55 are underway. A consultant to provide design work on segment three, between Acacia Street to La Palma Avenue was approved by the Board on July 13, 2020. As of November 30, 2020, all three segments are now in the design phase. (Project I)
- Interstate 405 between SR-73 and Interstate 605 - Construction on the project is proceeding and a full project update was provided to the Regional Planning and Highways Committee on September 3, 2020, and to the Board on September 28, 2020. In October 2020, the Bushard Street and McFadden Street bridges were completed and opened to traffic. (Project K)

#### **Streets and Roads**

Since 2011, approximately \$893.5 million has been allocated to local jurisdictions for transportation improvements through the streets and roads competitive and formula funding programs. Additionally, M2 provided \$149 million, a portion of the \$667 million total project cost, to grade separate seven street and rail crossings, leveraging the majority of the funds (\$518 million) from local, state, and federal sources.

On August 10, 2020, the Board approved revisions to the Comprehensive Transportation Funding Programs Guidelines. Board action included the release of the 2021 annual call for projects (call) for arterial and intersection capacity enhancement and signal synchronization projects up to \$30 million. Applications for the call were due on October 22, 2020, with programming recommendations anticipated in spring of 2021. (Project O and Project P)

#### **Transit**

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

Since 2011, M2 has provided competitive multi-year transit funding commitments for bus and station van extension services connecting to Metrolink (\$483,133 to date), local community-based transit circulators and planning studies (\$41.8 million to date), and bus stop improvements (\$3 million to date). In parallel, M2 provides a set amount of annual funding to support three programs intended to meet the needs of seniors and persons with disabilities (\$82.5 million to date). Key transit project activities taking place this quarter are highlighted below.

- OC Streetcar - A quarterly update was provided to the Transit Committee on September 10, 2020, and to the Board on September 14, 2020. The update included information on the status of construction activities, vehicle manufacturing, and delivery. (Project S)
- Senior Mobility Program (SMP) - OCTA continues efforts to expand senior transportation services through the SMP. On August 24, 2020, the Board approved a cooperative agreement with the City of Laguna Beach to participate and receive SMP funding. In total, there are 32 out of 34 cities in Orange County participating in the SMP. (Project U)
- Safe Transit Stops - Programming recommendations for 35 bus stop improvements totaling \$1.03 million were approved by the Board on September 14, 2020. (Project W)

#### Environmental Programs

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

Since 2011, the ECP has allocated approximately \$48.6 million to local jurisdictions for 167 projects for trash removal devices (Tier 1), and 18 projects for large scale water quality best management practices projects (Tier 2). It is estimated that nearly 33 million gallons of trash have been captured since inception of the program, which is the equivalent of filling nearly 78 football fields with one-foot deep of trash.

Additionally, the Board previously authorized \$55 million for the EMP to acquire conservation lands, fund habitat restoration projects, and to develop the Conservation Plan. OCTA has acquired more than 1,300 acres and funded 12 restoration projects to restore habitat on 350 acres of open space across Orange County to fulfill the necessary freeway program mitigation needs.

The wildlife and habitat on the acquired lands are protected in perpetuity, and long-term management of the properties will be funded by an established endowment. Prior to COVID-19, it was estimated that it would take approximately 12 years to fully fund the endowment with annual deposits, or until the fund totals \$46.2 million. The level of annual deposits will be reassessed based on availability of M2 funds. Any changes may affect the timeframe for the full funding of the endowment. In July 2020, OCTA made the annual deposit of approximately \$2.9 million into the EMP endowment. As of September 30, 2020, the balance of the endowment was just over \$16 million.

### Challenges

#### COVID-19 Pandemic

On February 27, 2020, OCTA activated its Emergency Operations Center and implemented its Emergency Operations Plan in response to COVID-19. On March 19, 2020, Governor Newsom issued a stay-at-home order to protect the health and well-being of all residents of California and slow the spread of COVID-19.

As stay-at-home orders were gradually lifted, cases started to increase, which resulted in the Governor issuing new stay-at-home orders on November 21, 2020 (limited) and again on December 3, 2020 (regional). Public transportation and infrastructure projects are designated by the state and federal governments as essential. OCTA has continued operations while following best practices and health guidance from local, state, and federal officials to help ensure the health of the public and OCTA employees. The PMO continues to monitor COVID-19 impacts to M2 to ensure projects and programs remain deliverable as promised to voters. Pandemic implications on the individual M2 Program areas are discussed further below.

#### Freeways

Risks for schedule-critical right-of-way (ROW) acquisition processes continue to be impacted by COVID-19. ROW acquisition offers to owners, associated discussions, negotiations, and meetings are being impacted by business closures and availability of owners and attorneys. There are also additional COVID-19-related ROW impacts due to court closures, filing and service delays, potential temporary easement timeline expirations, land and business valuation challenges, and appraisal and site inspection issues.

In addition, the California Department of Industrial Relations Division of Occupational Safety and Health issued new emergency temporary standards, which were effective November 30, 2020. Staff will continue to monitor contractor COVID-19 cases to ensure essential operations are not impacted.

#### **Streets and Roads**

OCTA completed the September 2020 semi-annual review of projects funded through the Comprehensive Transportation Funding Programs. This process reviews the status of M2 grant-funded projects and provides an opportunity for local agencies to update project information and to request project modifications. Of the total 64 project adjustment requests, 40 were attributed to COVID-19-related impacts. These adjustments were subsequently approved by the Board on December 14, 2020.

#### **Transit**

Travel pattern changes due to stay-at-home orders have affected Metrolink ridership, which is down by 79 percent as of September 2020 when compared to September 2019. Since March 26, 2020, Metrolink has reduced service levels by 30 percent. Metrolink's Board adopted a Recovery Plan Framework designed to position Metrolink operations as a smart, better, and essential service post-COVID-19 pandemic. With the decline in ridership and its compounding effects on the level of revenues from fares, Metrolink's Board adopted new fare policy goals to guide future fare discussions and decisions. The availability of the federal Coronavirus Aid, Relief, and Economic Security Act funding will mitigate this impact in the near-term.

Through the SMP, M2 provides funding to cities for programs that meet the needs of seniors in their communities. Due to COVID-19, some jurisdictions have suspended operation of their SMP or modified services, such as providing home delivered meals in lieu of transporting the seniors to their nutrition programs. To provide flexibility in serving their senior communities and relief to jurisdictions from timely-use of funds provisions, on October 12, 2020, the Board approved temporary exceptions to the SMP Guidelines. For cities with modified services, the exceptions will allow for meal delivery in lieu of transportation to the senior center until the Governor lifts the State of Emergency. For cities with suspended services, OCTA will suspend the distribution of SMP funds and hold them in reserve for jurisdictions until the Governor lifts the State of Emergency, or when the agency notifies OCTA that they have reinitiated SMP services, whichever occurs first.

The Community-Based Transit Circulator Program continues to be affected by COVID-19 as 21 services have been suspended since March 2020. Per Board direction, OCTA evaluated options for modifying the cooperative agreements to extend the terms to accommodate the suspended services.

On December 14, 2020, the Board approved cooperative agreement amendments for all active Project V services to incorporate proposed COVID-19-related grant term adjustments, up to 24 months. OCTA continues to communicate with local agencies to assess future service resumption.

#### Orange County Fires

On October 26, 2020, two wind-driven fires (Silverado and Blue Ridge) started in Orange County. Following that, on December 2, 2020, another fire (Bond) broke out in Silverado Canyon. Since then, all fires have been fully contained. The fires did not impact any OCTA mitigation properties but did affect some OCTA-funded restoration projects. OCTA is working closely with restoration project managers to fully assess the damage and will coordinate with Wildlife Agencies to discuss next steps.

Staff will continue to closely monitor these challenges to ensure M2 remains deliverable as promised to voters and provide updates to the Board as appropriate.



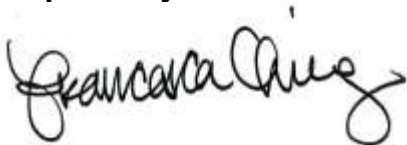
***Summary***

As required by Ordinance No. 3, a quarterly report covering activities from July 2020 through September 2020, is provided to update progress in implementing the Plan. The above information and the attached details indicate significant progress on the overall M2 Program despite facing challenges. To be cost-effective and to facilitate accessibility and transparency of information available to stakeholders and the public, the M2 Quarterly Progress Report is made available through the OCTA website. Hard copies are available by mail upon request.

***Attachment***

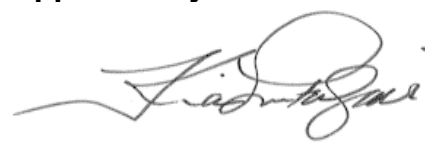
- A. Measure M2 Quarterly Progress Report, First Quarter of Fiscal Year 2020-21, July 1, 2020 through September 30, 2020

**Prepared by:**



Francesca Ching  
Section Manager,  
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**Approved by:**



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Executive Director, Planning  
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## MEASURE M2 QUARTERLY PROGRESS REPORT

First Quarter of Fiscal Year 2020 – 21  
July 1, 2020 through September 30, 2020

### First Quarter Highlights:

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







## MEASURE M2 PROGRESS REPORT

### SUMMARY

On November 7, 2006, Orange County voters, by a margin of 69.7 percent, approved the Renewed Measure M Transportation Investment Plan (Plan) for the Measure M2 (M2) one-half cent sales tax for transportation improvements. Voters originally endorsed Measure M in 1990 with a sunset in 2011. The renewal of Measure M continues the investment of local tax dollars in Orange County's transportation infrastructure for another 30 years to 2041.

As required by the M2 Ordinance No. 3, a quarterly report covering activities from July 1, 2020, through September 30, 2020, is provided to update progress in implementing the Measure M2 Transportation Investment Plan. On September 25, 2017, the Board of Directors (Board) approved externally rebranding M2 as OC Go to promote OCTA's Measure M awareness and public perception and to avoid confusion with Measure M in Los Angeles County.

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



The cover photo shows the opening of all HOV lanes on I-5, SR-55 to SR-57. This project increased HOV capacity by adding a second HOV lane in both directions. Both northbound and southbound lanes opened to traffic in August 2020. *(Photo credit: Brooke Duthie)*



## MEASURE M2 PROGRESS REPORT

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## COMMON ABBREVIATIONS

|  |          |
|--|----------|
| Americans with Disabilities Act                          | ADA      |
| Annual Eligibility Review                                | AER      |
| Board of Directors                                       | Board    |
| Burlington Northern Santa Fe                             | BNSF     |
| California Department of Fish and Wildlife               | CDFW     |
| California Department of Tax and Fee Administration      | CDTFA    |
| California Department of Transportation                  | Caltrans |
| California Transportation Commission                     | CTC      |
| Capital Action Plan                                      | CAP      |
| Capital Investment Grant                                 | CIG      |
| Chief Executive Officer                                  | CEO      |
| Cost Estimate Review                                     | CER      |
| Congestion Mitigation and Air Quality                    | CMAQ     |
| Draft Environmental Document                             | DED      |
| Draft Project Report                                     | DPR      |
| Environmental Cleanup Allocation Committee               | ECAC     |
| Environmental Cleanup Program                            | ECP      |
| Environmental Document                                   | ED       |
| Environmental Impact Report                              | EIR      |
| Environmental Impact Statement                           | EIS      |
| Environmental Mitigation Program                         | EMP      |
| Environmental Oversight Committee                        | EOC      |
| Federal Highway Administration                           | FHWA     |
| Federal Transit Administration                           | FTA      |
| Federal Transportation Improvement Program               | FTIP     |
| Freeway Service Patrol                                   | FSP      |
| Full Funding Grant Agreement                             | FFGA     |
| High Occupancy Vehicle                                   | HOV      |
| Interstate 15  | I-15     |
| Interstate 405   | I-405    |
| Interstate 5   | I-5      |
| Interstate 605   | I-605    |
| Invitation for Bids                                      | IFB      |
| Local Faire Share Program                                | LFSP     |
| Los Angeles – San Diego – San Luis Obispo                | LOSSAN   |
| Los Angeles County Metropolitan Transportation Authority | LA Metro |
| Measure M2 or Renewed Measure M                          | M2       |
| Memorandum of Understanding                              | MOU      |
| Metrolink Service Expansion Program                      | MSEP     |



## COMMON ABBREVIATIONS

|   |                   |
|---|-------------------|
| Next 10 Delivery Plan   | Next 10 Plan      |
| Natural Community Conservation Plan/Habitat Conservation Plan | Conservation Plan |
| Orange County Transportation Authority                        | OCTA              |
| Orange County Unified Transportation Trust                    | OCUTT             |
| Pacific Coast Highway   | PCH               |
| Plans, Specifications and Estimates                           | PS&E              |
| Program Management Office                                     | PMO               |
| Project Development Team                                      | PDT               |
| Project Study Report  | PSR               |
| Ready to List   | RTL               |
| Request for Proposals   | RFP               |
| Resource Management Plan                                      | RMP               |
| Right-of-Way  | ROW               |
| Riverside County Transportation Commission                    | RCTC              |
| Santa Ana Regional Transportation Center                      | SARTC             |
| Senate Bill 1   | SB 1              |
| Senior Mobility Program                                       | SMP               |
| Senior Non-Emergency Medical Transportation                   | SNEMT             |
| Southern California Association of Governments                | SCAG              |
| State Route 133   | SR-133            |
| State Route 22  | SR-22             |
| State Route 241   | SR-241            |
| State Route 55  | SR-55             |
| State Route 57  | SR-57             |
| State Route 71  | SR-71             |
| State Route 74  | SR-74             |
| State Route 91  | SR-91             |
| State Transportation Improvement Program                      | STIP              |
| State Water Resources Control Board                           | SWRCB             |
| Southern California Regional Rail Authority                   | SCRRA             |
| Taxpayer Oversight Committee                                  | TOC               |
| To Be Determined  | TBD               |
| Trade Corridors Improvement Funds                             | TCIF              |
| Transportation Infrastructure Finance and Innovation Act      | TIFIA             |
| United States Army Corps of Engineers                         | ACOE              |
| United States Fish and Wildlife Service                       | USFWS             |
| United States Department of Transportation                    | USDOT             |



## MEASURE M2 PROJECT SCHEDULES



Conceptual



Environmental



Design, Advertise, & Award



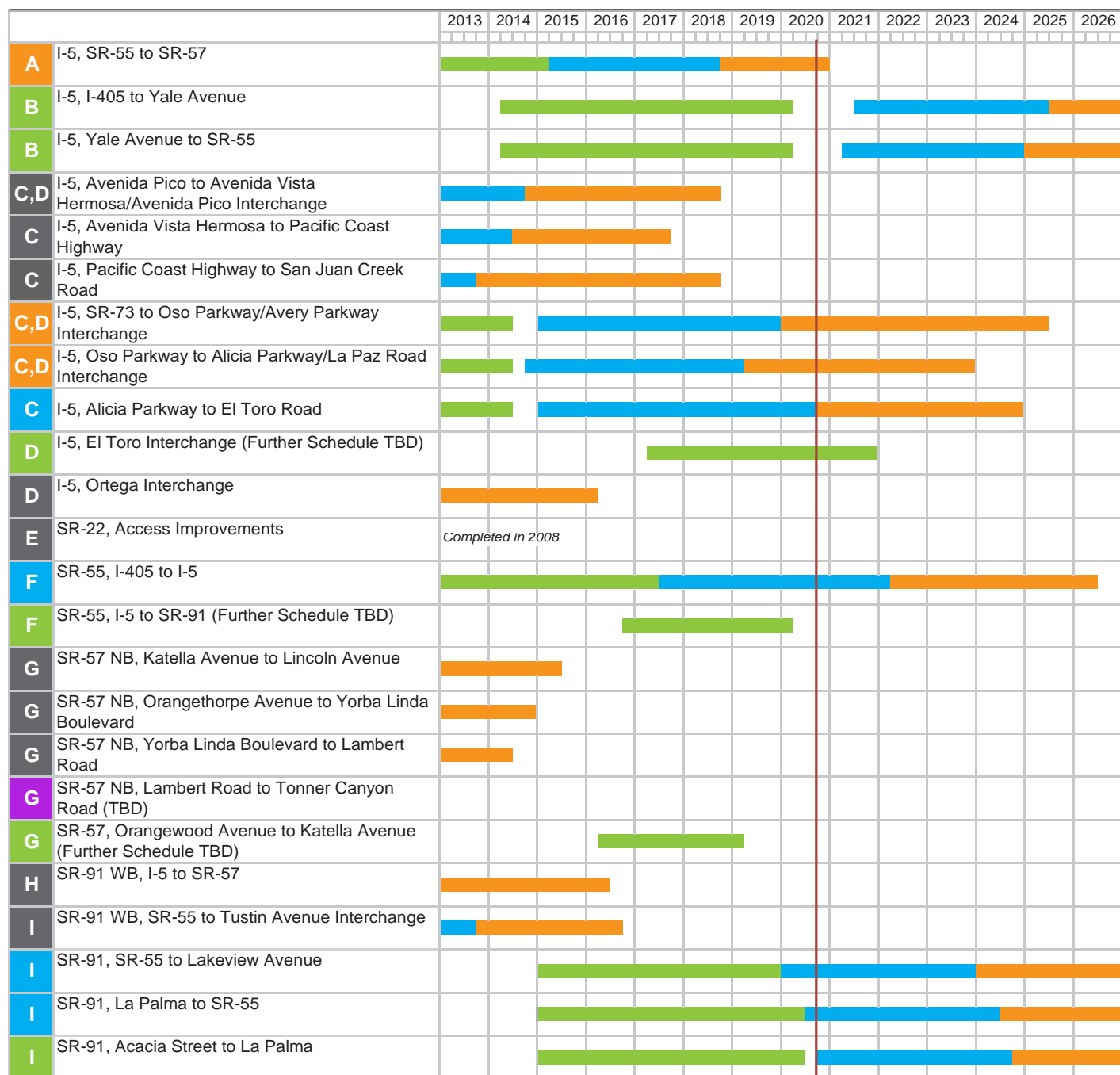
Design-Build



Construction



Complete



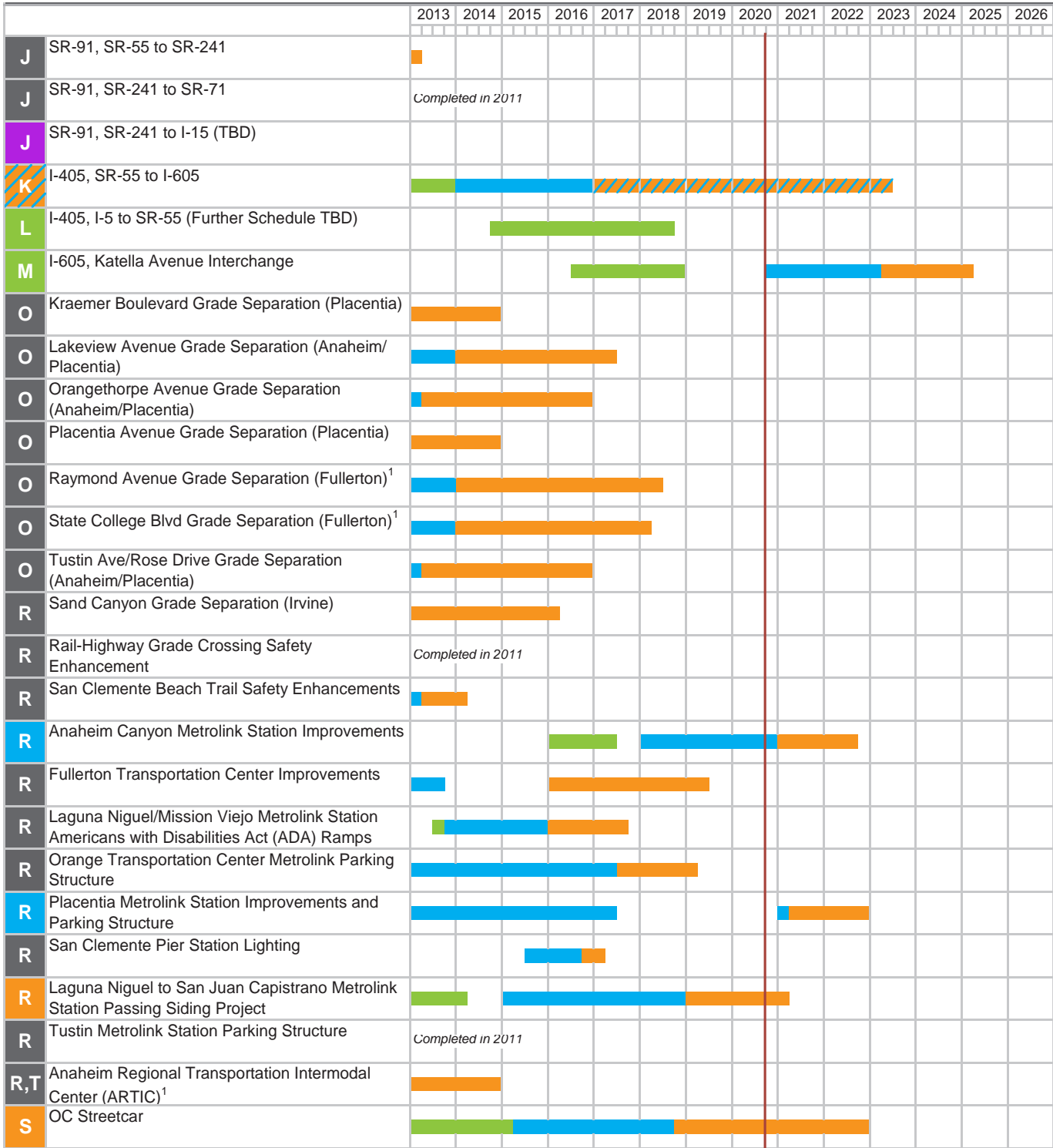
Project schedules are based on phase start dates. Shown schedules are subject to change.

<sup>1</sup> Projects managed by local agencies





## MEASURE M2 PROJECT SCHEDULES



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

<sup>1</sup> Projects managed by local agencies





## MEASURE M2 PROGRESS REPORT

### M2 DELIVERY RISK UPDATE ▼

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

| Delivery Risk    | Explanation   | Proposed Action  |
|------------------|---|--|
| <b>Financial</b> |   |  |
| 1                | The 2020 preliminary M2 revenue forecast of \$11.6 billion was presented in August 2020. This decrease is a result of the unprecedented coronavirus (COVID-19) pandemic. The timing of projects and funding program allocations may need to be reevaluated.                           | COVID-19 has introduced a new risk to the program. The extent of the economic impacts of COVID-19 will require a review of capital project and competitive funding program cash flows as updated revenue forecasts become available.   |
| 2                | Inability to scale the Freeway Program to available revenue and still deliver the M2 commitments.   | A preliminary sales tax forecast of \$11.6 billion was presented to the Board in August 2020. The final 2020 M2 revenue forecast is anticipated to be presented to the Board in October 2020. Staff will incorporate the final forecasted number along with updated project costs and external funding into the M2 cash flow and present the Board options to address any impacts.   |
| 3                | Schedule and scope changes on critical capital projects impacting delivery and project costs.   | OCTA will work closely with Caltrans to apply value engineering strategies on projects to manage costs.  |
| 4                | Sustain Metrolink train service as an attractive alternative to driving in Orange County within the limits of available revenue.  | Work closely with Caltrans and project contractors to limit changes in scope and schedule to a minimum. Work with Caltrans to approve additional lane closures and longer work windows where possible.   |
|                  | Operational cost of Metrolink service continue to grow as the system ages, track-sharing arrangements with BNSF are revised, and new air quality requirements are implemented. COVID-19 has introduced new risks as ridership and revenue has been greatly impacted in Orange County. | Metrolink is working with member agencies on a “new normal” campaign to develop a phased recovery plan framework and ridership recovery scenarios. Staff will work closely with Metrolink and OCTA partners to ensure cost increases are minimized, while seeking external revenue. Metrolink received \$65 million in one-time federal funds through the Coronavirus Aid, Relief and Economic Security (CARES) Act, which alleviates some concerns in the short-term. |



## MEASURE M2 PROGRESS REPORT

| Delivery Risk |  | Explanation  | Proposed Action  |
|---------------|--|--|--|
| 5             | The Next 10 Plan Market Conditions Forecast and Risk Analysis showed a cooling of the prior increasing cost environment. Current events may cause this to further change during the Next 10 Plan delivery years. | OCTA's economic consultants forecasted a cooling of cost pressures over the next two fiscal years. The economic impacts from COVID-19 may further affect cost pressures.   | OCTA will continue to monitor market conditions affecting project costs. A fall update is anticipated to be presented to the Board in November 2020. If cost pressures significantly decline, this could provide an opportunity to address potential COVID-19 related revenue impacts.                               |
| Resource      |  |  |  |
| 6             | Substantial work underway in the region has resulted in significant demand for professional and skilled labor which can impact delivery given the volume of the M2 capital program.                              | The economic impacts of COVID-19 and changes in unemployment may change the availability of key talent. If shortages continue, project delivery costs could rise but if addition labor resources are available it may temper costs and reduce delivery risk. | OCTA will monitor impacts of COVID-19 on the labor market. Expert and timely coordination between OCTA and Caltrans are imperative to manage this risk. Staff is currently working with Caltrans to ensure resource needs are met.   |
| 7             | New operational responsibilities with the OC Streetcar.  | With the implementation of the OC Streetcar service, OCTA will be increasing its overall role in operations. OCTA holds a successful track record in operating various transportation systems including both a fixed and demand-based bus network.           | To ensure success of the OC Streetcar, OCTA hired a streetcar operations manager with proven start-up experience to oversee start-up and daily operations. A contractor with extensive experience in operations of rail systems was selected to handle the startup and revenue operation phases of the OC Streetcar. |
| Regulatory    |  |  |  |
| 8             | New federal and statewide directives create additional limitations for use of transportation dollars which could affect freeway projects.  | New directives with greenhouse gas reductions and managed lane corridors focus, as well as an emphasis on transit, provides new hurdles that eliminate some sources of funding for M2 freeway improvements.  | OCTA is tracking the new directives to ensure that M2 projects stay true to the voter commitment and compete for funding as appropriate.   |



## MEASURE M2 PROGRESS REPORT

### Next 10 Delivery Plan ▼

**Contact:** Francesca Ching, PMO Manager • (714) 560-5625

On November 14, 2016, the Board approved the Next 10 Delivery Plan (Next 10 Plan), providing guidance to staff on delivery of M2 projects and programs between 2017 and 2026. On August 24, 2020, the 2020 preliminary M2 sales tax revenue forecast of \$11.6 billion was presented to the Board. This represents a \$1.8 billion reduction from the sales tax forecast of \$13.4 billion assumed in the 2019 Next 10 Plan. The decrease in taxable sales is due to the cascading effects of the COVID-19 pandemic on the economy. OCTA's conservative approach to financial planning has allowed for all M2 projects that are currently underway to continue as planned in FY 2020-21. The final 2020 M2 revenue forecast is anticipated to be presented to the Board in October 2020. The final forecasted number along with updated schedules, project estimates and assumptions will be incorporated into the 2020 Next 10 Plan which is anticipated to be presented to the Board in early 2021.

### Next 10 Plan Deliverables

The Next 10 Plan is based on ten deliverables intended to provide guidance on program and project delivery during the ten-year period. With four years of the ten-year plan complete, progress on the ten deliverables and accomplishments to date is provided. Significant progress has been made, with projects completing construction, projects in and advancing towards construction, as well as regular funding allocations to local jurisdictions through local programs. Staff is monitoring the impacts of the COVID-19 pandemic on the Next 10 Plan delivery commitments and will report to the Board as appropriate.

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

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

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

The final nine remaining project segments (of the 30 total) are environmentally cleared or on track to be environmentally cleared by 2026, making them shelf-ready for further advancement. Using Board-adopted guiding principles, the 2019 updated Next 10 Plan identified five projects to be advanced through construction:





I-5 between I-405 and Yale Avenue (Project B), I-5 between Yale Avenue and SR-55 (Project B), SR-55 between I-5 and SR-91 (Project F), SR-57 Northbound from Orangewood Avenue to Katella Avenue (Project G), and I-605/ Katella Interchange (Project M). The remaining four projects have specific reasons related to the application of the guiding principles that require additional time prior to being advanced. In all, during the Next 10 Plan time period, approximately \$4.3 billion in freeway improvements promised to the voters in M2 will be completed or underway by 2026. For more details, see [pages iii-iv](#) (Project Schedules) and the project updates contained in the following pages.

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

Since the adoption of the Next 10 Plan in November 2016, OCTA has awarded approximately \$126 million in competitive funding through the Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P). Additionally, \$228.5 million in Local Fair Share (Project Q) funds have been distributed to local agencies. This brings the total allocation to date to \$355 million.

On August 10, 2020, the Board authorized the 2021 call for projects (call), providing up to \$30 million for both Project O (\$22 million) and Project P (\$8 million) in available M2 funds to support local streets and roads improvement projects throughout Orange County. Applications are due on October 22, 2020 and based upon project selection criteria as specified in the Comprehensive Transportation Funding Programs (CTFP) Guidelines, projects will be prioritized for Board consideration in spring 2021. Additionally, all seven bridges included in the OC Bridges program are complete. For more details, see the project updates on [page 18](#).

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

In October 2019, three weekday intracounty round trips operating between Laguna Niguel/Mission Viejo and Fullerton were replaced with two round trips between Laguna Niguel/Mission Viejo (extended from Fullerton) into Los Angeles. Schedules for the extended service were developed consistent with existing schedules. Additional service changes were scheduled to be implemented in April 2020, however, due to the COVID-19 pandemic, it has now been postponed until full service is reinstated.

Within this program, funding is provided for rail corridor and station improvements to accommodate increased passenger train service - including station upgrades, parking expansions, and safety enhancements. The Next 10 Plan identified six projects to be completed by 2026: 1) Laguna Niguel/ Mission Viejo Metrolink Station Americans with Disabilities Act (ADA) ramps (completed September 2017), 2) Orange Metrolink Station Parking Structure (completed February 2019), 3) Placentia Metrolink Station (is ready to begin construction, however, it is contingent on a BNSF construction and maintenance agreement being in place), 4) Anaheim Canyon Metrolink Station Improvement Project (construction to begin in February 2021 with completion anticipated in mid-2022), 5) Fullerton Transportation Center elevators (completed May 2019), and 6) San Clemente Pier Metrolink/Amtrak Station Lighting Project (completed March 2017). For more details, see the project updates on [page 23](#).



## MEASURE M2 PROGRESS REPORT

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

#### OC Streetcar

With strong FTA support for the project, a FFGA was executed in November 2018. The streetcar construction contract has been executed and Notice to Proceed was issued on March 4, 2019, and construction activities are underway. The streetcar vehicle manufacturing contract has been executed and the notice to proceed has been issued. Activities this quarter included coordination with third parties on utility relocation, deck pour on the Westminster and Santa Ana River bridges, hand digging and surveying of the Overhead Contact System (OCS) pole foundations, welding of rail sticks into rail strings, inspection of the first article for the vehicle truck assembly, reviewed final design of the remaining vehicle components and continued coordination with the FTA. Construction is anticipated to be complete in 2022. See [page 28](#) for more information.

#### Bristol Street Transit Corridor Study

The study is focused on Bristol Street between West 17th Street and Sunflower Avenue (South Coast Metro); and connections to the John Wayne Airport and the Santa Ana Regional Transportation Center. In prior quarters, the study analyzed existing conditions and future demand and developed six conceptual transit alternatives for the Bristol Street Corridor. In October 2019, the OCTA Board requested that further evaluation of the two streetcar alternatives be put on hold until the Board has an opportunity to review the Transit Master Plan short-term action plan. Therefore, no further analysis of streetcar alternatives has been done. This quarter, the team focused on completing the transportation forecast model for the four bus alternatives.

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

Approximately \$43.8 million has been provided for the SMP, the Senior Non- Emergency Medical Transportation (SNEMT) Program, and the Fare Stabilization Program since the Next 10 Plan adoption. See [page 30](#) for more information.

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

The Board has authorized four calls in total since Measure M2 inception, with two occurring since the adoption of the Next 10 Plan in November 2016. During the Next 10 Plan period, the Board awarded 15 projects for a total of \$15.3 million. This includes the fourth Project V call which was programmed by the OCTA Board on April 13, 2020. The Board programmed six local agency projects under the capital and operating reserve category and three local agency projects under the planning category for a combined total of approximately \$9.2 million.

Staff continues to work with local jurisdictions through letters of interest requests, workshops, CTFP Guidelines revisions, workshops, and calls to fine-tune this program and facilitate successful project implementation, especially in light of the COVID-19 pandemic. For additional details and information on current project program performance and service, see [page 31](#).



## MEASURE M2 PROGRESS REPORT

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

Through three calls, the Board has approved Project W funds to support implementation of amenity improvements at busy transit stop locations on the OCTA system. Since Next 10 Plan adoption, the Board has programmed \$1.9 million in Project W funds. The program is designed to ease transfers between public transit lines and provide passenger amenities such as installation of benches or seating, shelters, improved lighting, and other passenger related amenities. See [page 32](#) for more information.

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

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

To ensure ongoing preservation of the open space, an endowment was established to pay for the long-term management of the Preserves with annual deposits of approximately \$2.9 million. In July 2020, OCTA made the fifth endowment deposit. Quarterly investment reports are provided to the Board, with the most recent one in September 2020. The next report is anticipated to be presented to the Board in December 2020. As of September 30, 2020, the endowment balance is \$16,046,435. A reassessment of the M2 revenue stream, as well as the current Conservation Plan endowment balance, will need to be completed due to the COVID-19 pandemic. For more details, see the project updates on [page 34](#).

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

Since adoption of the Next 10 Plan in November 2016, OCTA has issued four calls for Tier 1 ECP projects. With three calls complete, the Board has awarded approximately \$7.6 million funding 39 projects. Programming recommendations for the fourth call will go to the Board in October 2020.

Due to the COVID-19 pandemic, staff is analyzing M2 revenue projections to determine if there is sufficient revenue to continue with annual Tier 1 calls of \$2.8 million moving forward. Staff will also be determining the timing of a future Tier 2 call. It was anticipated, prior to the most recent events, that a Tier 2 call could take place in FY 2021 or 2022. For more details, see the project updates on [page 33](#).



## FREeways

### INTERSTATE 5 (I-5) PROJECTS ▼

**Segment:** I-5, SR-55 to SR-57

PROJECT A

**Status:** Construction Underway – 97% complete

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

**Summary:** This project will increase HOV capacity by adding a second HOV lane in both directions along I-5 between SR-55 and SR-57 for approximately three miles in the City of Santa Ana. Construction began on February 20, 2019. During the quarter, construction activities included electrical work, signage installation, and construction of the median barrier. This work culminated in the opening of the second northbound HOV lane in July and the second southbound HOV lane in August. The project is anticipated to be completed in late 2020. The project team continues to work on final inspections and completing punch list items.

**I-5, I-405 to SR-55 is one project broken into two segments in early 2020. The Final Environmental Document (ED) was approved on January 7, 2020. The Design Standard Decision Document was approved on February 19, 2020 and the Final Project Report was approved on February 28, 2020. This project was approved by the Board in the 2019 updated Next 10 Plan to advance through construction.**

**Segment:** I-5, I-405 to Yale Avenue

PROJECT B

**Status:** Environmental Phase Complete

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

**Summary:** The I-5, I-405 to Yale Avenue (Segment 1) project will add an additional general-purpose lane in both directions, improve interchanges, and replace and add new auxiliary lanes, where needed, in the City of Irvine. On June 8, 2020, the Board approved the Final Design Cooperative Agreement between OCTA and Caltrans for the I-5, I-405 to SR-55 Project. The Request for Proposals (RFP) for consultant final design services is anticipated to be released in late 2020. Final design services are anticipated to begin in mid to late 2021.

**Segment:** I-5, Yale Avenue to SR-55

**Status:** Environmental Phase Complete; Design Proposals Under Review

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

**Summary:** The I-5, Yale Avenue to SR-55 (Segment 2) project will add an additional general-purpose lane in both directions, improve interchanges, and replace and add new auxiliary lanes, where needed, in the cities of Irvine and Tustin. On June 22, 2020, the Board approved the RFP release for consultant final design services. This quarter, staff reviewed proposals. The recommendation for consultant selection is anticipated to be presented to the Board in November 2020. Final design services are anticipated to begin in Spring 2021.

## FREWAYS

### PROJECT C AND PART OF PROJECT D

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

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

**Status:** PROJECT COMPLETE

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



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

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

**Status:** PROJECT COMPLETE

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



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

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

**Status:** PROJECT COMPLETE

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



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



## FREWAYS

**I-5, SR-73 to El Toro Road** is one project broken into three segments in early 2018. With a cost estimate for this project of \$557.11 million, the project was above the \$500 million threshold for a “Major Project” designation, as determined by the Federal Highway Administration (FHWA). Major projects require a Cost Estimate Review (CER) workshop. A CER was conducted by the FHWA, Caltrans, and OCTA in February 2018 and resulted in an estimated project cost of \$612.6 million. The OCTA cost estimate for the three segments is currently \$577.1 million.

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

**Status:** Construction Underway - 11%

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

**Summary:** This project will make improvements along I-5 between SR-73 and Oso Parkway in the cities of Laguna Hills, Laguna Niguel, and Mission Viejo. The improvements include the addition of a 2.2-mile general-purpose lane in each direction and reconstruction of the Avery Parkway Interchange (part of Project D). The project was awarded on December 19, 2019, and the first working day was March 10, 2020. During the quarter, the contractor completed clearing and grubbing activities and continued work on seven southbound and three northbound retaining walls. In addition, Caltrans and OCTA have continued coordinating utility work with San Diego Gas and Electric.

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

**Status:** Construction Underway – 30% Complete

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

**Summary:** This project will make improvements along I-5 between Oso Parkway and Alicia Parkway in the cities of Mission Viejo, Laguna Hills, and Lake Forest. The proposed improvements include the addition of a 2.6-mile general-purpose lane in each direction and the reconstruction of the La Paz Road Interchange (part of Project D). The construction contract was awarded on April 4, 2019 and the first working day was May 29, 2019. Activities this quarter include the completion of two retaining walls, continued construction on six other retaining walls, grading of slopes on northbound I-5, and the completion of pile driving for the northbound off-ramp bridge. Staff continued coordination of the service contract with Southern California Regional Rail Authority/Metrolink, and with Caltrans on ROW and utility relocations.

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

**Status:** Design Complete. Construction Contract Awarded

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

**Summary:** This project will make improvements along I-5 between Alicia Parkway to El Toro Road in the cities of Laguna Hills, Laguna Woods, and Lake Forest. The proposed improvements include the extension of the second HOV lane between El Toro Road and Alicia Parkway in both northbound and southbound directions. The construction contract was awarded on September 23, 2020 with contract approval expected in October 2020. Negotiations for construction management services were completed and will be finalized next quarter.

## FREEWAYS

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

**Segment:** I-5, Ortega Highway Interchange

**Status:** PROJECT COMPLETE

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



### PROJECT D

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

**Segment:** I-5, El Toro Interchange

**Status:** Environmental Phase In Review

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

**Summary:** Caltrans is the lead in the environmental phase of this project, which includes the study of four build alternatives that consider modifications to the existing interchange, ranging from an I-5 southbound direct connector to El Toro Road to modifications in how existing on- and off-ramp intersections operate. The project area includes the cities of Laguna Hills, Laguna Woods and Lake Forest who are direct stakeholders of the project improvements. The study began in April 2017 and the Draft Initial Study/Environmental Assessment was completed in March 2019. The three stakeholder cities are not in consensus on a preferred alternative and costs identified for the remaining alternatives are significantly higher than the assumed cost in the Next 10 Plan, which creates additional challenges. The environmental phase was anticipated to be completed in late 2019, however without the cities' consensus, OCTA does not support finalization of the document. OCTA has requested Caltrans put completion of the ED on hold while a consultant is retained by OCTA to provide further assessment of the alternatives to help facilitate reaching agreement. Major activities this quarter included the selection of the consultant to provide the alternatives assessment study. The project kick-off meeting was held on September 16, 2020. The study is anticipated to be completed by March 2021.

## STATE ROUTE 22 (SR-22) PROJECTS ▼

**Segment:** SR-22 Access Improvements

**Status:** PROJECT COMPLETE

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



### PROJECT E

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





## FREWAYS

### STATE ROUTE 55 (SR-55) PROJECTS ▼

#### PROJECT F

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

**Status:** Design Phase Underway - 95% Complete

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

**Summary:** This project will widen SR-55 between I-405 and I-5 in the cities of Irvine, Santa Ana and Tustin. The improvements will include a four-mile general-purpose lane and a second HOV lane in both directions between the I-405 and I-5. Auxiliary lanes will be added and extended in some segments within the project limits. Through a cooperative agreement, Caltrans and OCTA's consultant initiated the design together and on July 19, 2019, the 95 percent design was completed. The cooperative agreement was subsequently revised to transfer the Supplemental Fact Sheet task from Caltrans to OCTA. The Final Supplemental Fact Sheet was submitted on July 24, 2020 and the final design submittal is anticipated in early 2021. Due to complex ROW challenges, ROW certification is anticipated to be completed by spring 2021 with construction beginning in early 2022. The first set of two resolutions of necessity were approved by the Board on September 14, 2020. The Board has approved \$103 million in federal funds and OCTA has received \$80 million in state funds through the 2018 State Transportation Improvement Plan (STIP). Caltrans has committed \$46.8 million in SHOPP funds and OCTA will seek to capture another \$70 million in future SB1 (Chapter 5, Statutes of 2017) funding to fully fund the project.

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

**Status:** Environmental Phase Complete

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

**Summary:** This project is studying approximately 7.5 miles of SR-55 between I-5 and SR-91 in the cities of Anaheim, Orange, Santa Ana, and Tustin. The environmental study looked at the addition of one general-purpose lane in each direction between SR-22 and the I-5 and operational improvements between SR-22 and SR-91. The environment phase of the project was completed with the approval of the Design Standard Decision Document, the Final ED, and the Final Project Report documents on March 30, 2020. This project was approved by the Board in the 2019 updated Next 10 Plan to advance through construction. Funding availability to initiate design will be assessed as part of the 2020 update of the Next 10 Plan.

### STATE ROUTE 57 (SR-57) PROJECTS ▼

#### PROJECT G

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

**Status:** PROJECT COMPLETE

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



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



## FREWAYS

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

**Status:** PROJECT COMPLETE

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



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

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

**Status:** PROJECT COMPLETE

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



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

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

**Status:** Schedule TBD

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

**Summary:** Caltrans previously completed a Project Study Report/Project Development Support document for the Lambert Road to Tonner Canyon Road segment, which would add a northbound truck-climbing lane (approximately 2.5 miles) in the City of Brea. The project will require coordination with Los Angeles County Metropolitan Transportation Authority (LA Metro) on planned improvements or related work across the county line. The mainline project includes interchange and ramp improvements at Lambert Road. Through the SB 1 Trade Corridor Enhancement Program, funds were allocated to initiate the construction phase for interchange improvements at Lambert Road which will complement and serve as a first phase to the freeway improvement project. Construction began in mid-2019 and is anticipated to be complete at the end of 2021. Phase 2, which is the mainline improvements, was initially approved for STIP funding in March 2018 to initiate the environmental phase. However, due to the 2019 STIP reduction, funding was shifted to cover projects already underway. The schedule for this project will be updated during the annual M2 cash flow review and Next 10 Plan update.

## FREEWAYS

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

**Status:** Environmental Phase Complete

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

**Summary:** This project studied the addition of a new one-mile northbound general-purpose lane on SR-57 from Orangewood Avenue to Katella Avenue in the cities of Anaheim and Orange. The northbound general-purpose lane would join the northbound general-purpose lane which was opened to traffic in 2014 between Katella Avenue and Lincoln Avenue. The Final ED and Final Project Report were approved on March 29, 2019. This project was approved by the Board in the 2019 updated Next 10 Plan to advance through construction. Funding availability to initiate design will be assessed as part of the 2020 update of the Next 10 Plan.

## STATE ROUTE 91 (SR-91) PROJECTS ▼

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

**Status:** PROJECT COMPLETE

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

**Summary:** This project increased capacity in the westbound direction of SR-91 by adding an additional 4.5-mile general-purpose lane in the westbound direction between the cities of Anaheim and Fullerton and provided operational improvements at on- and off-ramps between Brookhurst Street and State College Boulevard. The project was opened to traffic on March 7, 2016 and was completed on June 23, 2016.



PROJECT H

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

**Status:** PROJECT COMPLETE

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

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



PROJECT I





## FREWAYS

**SR-91, between SR-55 and SR-57 is one project broken into three segments in late 2020. The Final ED was approved on June 22, 2020. The Design Standard Decision Document and the Final Project Report were both approved on June 24, 2020. This project was approved by the Board in the Next 10 Plan to advance through construction and will be funded with 91 Express Lanes excess revenue.**

**Segment:** SR-91, SR-55 to Lakeview Avenue

**Status:** Design Phase Underway

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

**Summary:** The SR-91, SR-55 to Lakeview Avenue (Segment 1) project will provide westbound operational improvements which includes realignment of the existing westbound SR-91 on- and off-ramps, add a new on-ramp from the Lakeview Avenue overcrossing bridge to connect directly to southbound SR-55, and construction of a barrier to separate westbound SR-91 from SR-55. With the proposed improvements, the existing Lakeview Avenue overcrossing bridge is anticipated to be replaced with a new bridge. The design of this project was initiated on March 30, 2020. This quarter, the design team performed surveys, collected existing information, and worked on geometric design.

**Segment:** SR-91, La Palma Avenue to SR-55

**Status:** Design Phase Underway

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

**Summary:** The SR-91, La Palma Avenue to SR-55 (Segment 2) project will provide an additional eastbound general-purpose lane, replace the eastbound shoulder and restore auxiliary lanes as needed throughout the project limits. With the proposed improvements, the existing Kraemer Boulevard and Tustin Avenue overcrossing bridges are anticipated to be replaced with new bridges. The design of this project was initiated on June 17, 2020. This quarter, the design team worked on obtaining permits, performed surveys, collected existing information and worked on geometric design.

**Segment:** SR-91, Acacia Street to La Palma Avenue

**Status:** Environmental Phase Complete

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

**Summary:** The SR-91, Acacia Street to La Palma Avenue (Segment 3) project will provide westbound operational improvements by adding a fourth general-purpose lane along westbound SR-91 from the northbound SR-57 to westbound SR-91 connector, extend the southbound SR-57 to westbound SR-91 connector auxiliary lane through the State College Boulevard interchange, tie in to the existing westbound SR-91 auxiliary lane west of State College Boulevard, and reconfigure the westbound SR-91 to SR-57 connector to provide dedicated

## FREEWAYS

exits to SR-57. With the proposed improvements, the existing La Palma Avenue overcrossing bridge would be replaced with a new bridge. The Board approved the RFP release for final design services on March 9, 2020 with proposals due on April 8, 2020. The consultant selection for design services was approved by the Board on July 13, 2020. The design of this project is anticipated to begin in late 2020.

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

**Status:** PROJECT COMPLETE

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



PROJECT J

**Summary:** This segment added six miles in the westbound and eastbound direction to a key stretch of SR-91 between SR-55 and SR-241 in the cities of Anaheim and Yorba Linda. In addition to adding 12 lane miles to SR-91, the project also delivered a much needed second eastbound exit lane at the Lakeview Avenue, Imperial Highway and Yorba Linda Boulevard/Weir Canyon Road off-ramps. Beyond these capital improvements, crews completed work on safety barriers, lane striping and soundwalls. Completion of this project in March 2013 means a total of 18 lane miles have been added to SR-91 since December 2010. The project opened to traffic in December 2012 and was completed on March 5, 2013.

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

**Status:** PROJECT COMPLETE

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



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

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

**Status:** RCTC's Design-Build - Initial Phase Complete March 20, 2017. Alternatives Analysis Underway

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

**Summary:** Freeway improvements that cross county lines require close coordination to maintain seamless travel. This project adds one general-purpose lane (bringing the total to six lanes in each direction) on SR-91 between SR-241 and I-15. Since the SR-91 corridor is one of the busiest in the region, implementation of this project requires constructing the improvements under multiple segments to coordinate improvements and to capitalize on available funding. While the portion of this project between SR-241 and the Orange County/Riverside County line is part of OCTA's OC Go Project J, the matching segment between the county line and SR-71 is part of RCTC's Measure A. The sixth lane addition requires joint implementation to ensure smooth



## FREEWAYS

delivery of the project. With significant SR-91 freeway improvements taking place as a result of both counties' sales tax measures, the construction timing of the additional general-purpose lane between SR-241 and SR-71 was anticipated to take place post-2035. However, RCTC requested OCTA's support to accelerate a portion of the ultimate project in the westbound direction (in Orange County) to address a bottleneck issue affecting the City of Corona. With OCTA's support, RCTC has been developing the 91 Corridor Operation Project to initiate construction in late 2020 and the project is anticipated to be complete in late 2021. In addition, OCTA and RCTC will be jointly conducting a feasibility study to determine how best to implement the sixth general-purpose lane while minimizing environmental and construction impacts in the eastbound direction between SR-241 and SR-71. On October 10, 2019, the RFP was released for the SR-91 (SR-241 to SR-71) Eastbound Geometric and Design Alternatives Analysis. The consultant recommendation was approved by the Board on February 10, 2020, and a Notice to Proceed was provided on May 5, 2020. The Alternatives Analysis is anticipated to be completed in August 2021.

## INTERSTATE 405 (I-405) PROJECTS ▼

### PROJECT K

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

**Status:** Design-Build Underway

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

**Summary:** OCTA and Caltrans are working together to widen I-405 through the cities of Costa Mesa, Fountain Valley, Garden Grove, Huntington Beach, Los Alamitos, Seal Beach and Westminster in the approximately 16-mile project area. These improvements will add one general-purpose lane, add a second lane to be combined with the existing HOV lane to provide a dual express lanes facility, and improve the local interchanges along the corridor from SR-73 to I-605.<sup>1</sup>

During the quarter, work continued on ROW acquisition, utility coordination, public outreach, installation of drainage systems, retaining walls, paving, and bridge construction. Design is substantially complete with the review of various design and construction submittals ongoing. OCTA's toll lanes system integrator, Kapsch, is under contract and working with OCTA and the design-builder. Construction on one-stage bridges (closed to traffic during construction) are underway at McFadden Avenue, Talbert Avenue, Bushard Street, and Edwards Street. Two-stage bridges (partially closed but allows throughway traffic during construction) currently underway are at Bolsa Chica Road, Fairview Road, Goldenwest Street, Magnolia Street, and Westminster Boulevard. In addition to one- and two-stage bridges, construction to widen the existing freeway bridges on the Beach Boulevard/Bolsa Avenue railroad crossing, old Navy railroad crossing, and at the Santa Ana River and Harbor Boulevard bridges are ongoing. The construction of the Heil Street pedestrian overcrossing also began this quarter. Public outreach through virtual neighborhood meetings continue to be held to discuss construction activities. Construction is scheduled to be completed in 2023.

<sup>1</sup>The general purpose lane portion of the project is an M2 project and will be funded by a combination of local, state and federal funds, with the express lanes portion of the project financed and paid for by those who choose to pay a toll and use the 405 Express Lanes.





## FREWAYS

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

PROJECT L

**Status:** Environmental Phase Complete

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

**Summary:** This project studied the addition of general-purpose lanes for approximately 8.5-miles along the I-405 corridor between I-5 and SR-55 in the City of Irvine. The project development team reviewed the alternatives and public comments received during public circulation and as a result of the effort, recommended adding one general-purpose lane in each direction. The final Project Report and ED were completed in August 2018. The Next 10 Plan sets direction through 2026 and is reviewed annually. As projects listed are completed, schedules and revenues are reviewed, the Board adopts an updated delivery plan providing direction on project advancement. To ensure coordination with other projects planned for construction and to avoid unreasonable impacts to the public, this project is currently scheduled to be constructed beyond 2026.

## INTERSTATE 605 (I-605) PROJECTS ▼

**Segment:** I-605, Katella Interchange Improvements

PROJECT M

**Status:** Environmental Phase Complete; Design Consultant Selected

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

**Summary:** This project will improve freeway access and the arterial connection to I-605 at Katella Avenue in the City of Los Alamitos and the County of Orange. Improvements under this project will include enhancements at the on- and off-ramps in addition to operational improvements on Katella Avenue at the I-605 Interchange. The final ED was approved in October 2018 and the final Project Report was approved in November 2018. This project was approved by the Board in the 2019 updated Next 10 Plan to advance through construction. The Board approved the release of the RFP for design services on April 13, 2020 and consultant selection on August 10, 2020. Design efforts are anticipated to begin in late 2020.

## FREEWAY SERVICE PATROL ▼

**Status:** Service Ongoing

PROJECT N

**Contact:** Cliff Thorne • (714) 560-5975

**Summary:** Freeway Service Patrol (FSP) provides assistance to motorists whose vehicles have become disabled on Orange County freeways and removes congestion-causing debris from traffic lanes to reduce freeway congestion and collisions. In June 2012, M2 began supporting FSP with local funds to maintain existing service levels and expand services through 2041. During the quarter, FSP provided 16,507 services. Since June 2012, FSP has provided a total of 567,781<sup>2</sup> services on the Orange County freeway system.

<sup>2</sup>Service calculations are based on all services provided as FSP is funded by M2 and external sources.

## STREETS AND ROADS

### REGIONAL CAPACITY PROGRAM ▼

**Status:** 2021 Call Currently Open

PROJECT O

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

**Summary:** This program, in combination with required local matching funds, provides funding for improvements on Orange County's Master Plan of Arterial Highways. Since 2011, 155 projects totaling more than \$319<sup>3</sup> million, including \$24 million in external funding, have been awarded through ten calls by the Board. On August 10, 2020, the Board approved the release of the 2021 call for approximately \$22 million. The application deadline for the eleventh call will close on October 22, 2020 and programming recommendations are anticipated in the Spring of 2021.

<sup>3</sup>To date, 17 of the 191 phases awarded by OCTA totaling approximately \$22 million have been cancelled by the awarded local jurisdictions.

### OC Bridges Railroad Program

This program built seven grade separations (either under or over passes) where high volume streets are impacted by freight trains along the BNSF Railroad in north Orange County. With all seven grade separations open to traffic, an OC Bridges completion ceremony was held on October 24, 2017. On July 13, 2020, the Board approved program closeout and budget adjustment to \$667.7 million in committed M2 and external funds for all seven of the OC Bridges Program grade separation projects. Minor activities this quarter include the closeout of two projects.

**Segment:** Kraemer Boulevard Grade Separation

**Status:** PROJECT COMPLETE

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



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



## STREETS AND ROADS

**Segment:** Lakeview Avenue Grade Separation

**Status:** PROJECT COMPLETE

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



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

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

**Segment:** Orangethorpe Avenue Grade Separation

**Status:** PROJECT COMPLETE

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



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

**Segment:** Placentia Avenue Grade Separation

**Status:** PROJECT COMPLETE

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



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



## STREETS AND ROADS

### **Segment:** Raymond Avenue Grade Separation

**Status:** PROJECT COMPLETE

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



**Summary:** The project located at Raymond Avenue railroad crossing grade separated the local street from railroad tracks in the City of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton is managing construction and OCTA is providing construction oversight, public outreach, railroad coordination, and ROW support. Construction began on June 2, 2014. Raymond Avenue has been opened to traffic since October 2017. OCTA received construction acceptance on May 14, 2018. Activities this quarter include project closeout with BNSF and processing final invoices. Funding reimbursement and closeout are ongoing.

### **Segment:** State College Boulevard Grade Separation

**Status:** PROJECT COMPLETE

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



**Summary:** The project located at State College Boulevard railroad crossing grade separated the local street from railroad tracks in the City of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton managed the construction and OCTA provided construction oversight, public outreach, railroad coordination, and ROW support. State College Boulevard was opened to through traffic on November 1, 2017. Construction acceptance and maintenance responsibilities from the City of Fullerton was obtained on March 7, 2018, and the one-year warranty began. Activities this quarter include processing final invoices. Funding reimbursement and closeout are ongoing.

### **Segment:** Tustin Avenue/Rose Drive Grade Separation

**Status:** PROJECT COMPLETE

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



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

## STREETS AND ROADS

### REGIONAL TRAFFIC SIGNAL SYNCHRONIZATION PROGRAM ▼

**Status:** 2021 Call Currently Open

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

PROJECT P

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

To date, OCTA and local agencies have synchronized more than 2,800 intersections over more than 746 miles of streets (84 completed projects). Through ten calls, 101 projects totaling more than \$107.4 million have been awarded. Overall, OCTA has funded 120 projects<sup>4</sup> totaling more than \$132.3 million, including \$25.5 million in leveraged external funding.

On August 10, 2020, the Board approved \$8 million in funding for the 2021 call. For this cycle, OCTA is available to lead projects for local jurisdictions (if requested). The 2021 call closes on October 22, 2020, with programming recommendations anticipated in spring 2021.

Additionally, OCTA held its biannual Traffic Forum on September 30, 2020 in a virtual setting with over 70 attendees. Presentations included a summary of the 2021 CTFP Project O & P call, a detailed discussion on the Traffic Signal Synchronization Master Plan update, and a basic overview of COVID-19 impacts on RTSSP corridors.

<sup>4</sup>To date, three projects totaling approximately \$1.6 million have been canceled by the awarded local jurisdictions.

### LOCAL FAIR SHARE ▼

**Status:** Ongoing

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

PROJECT Q

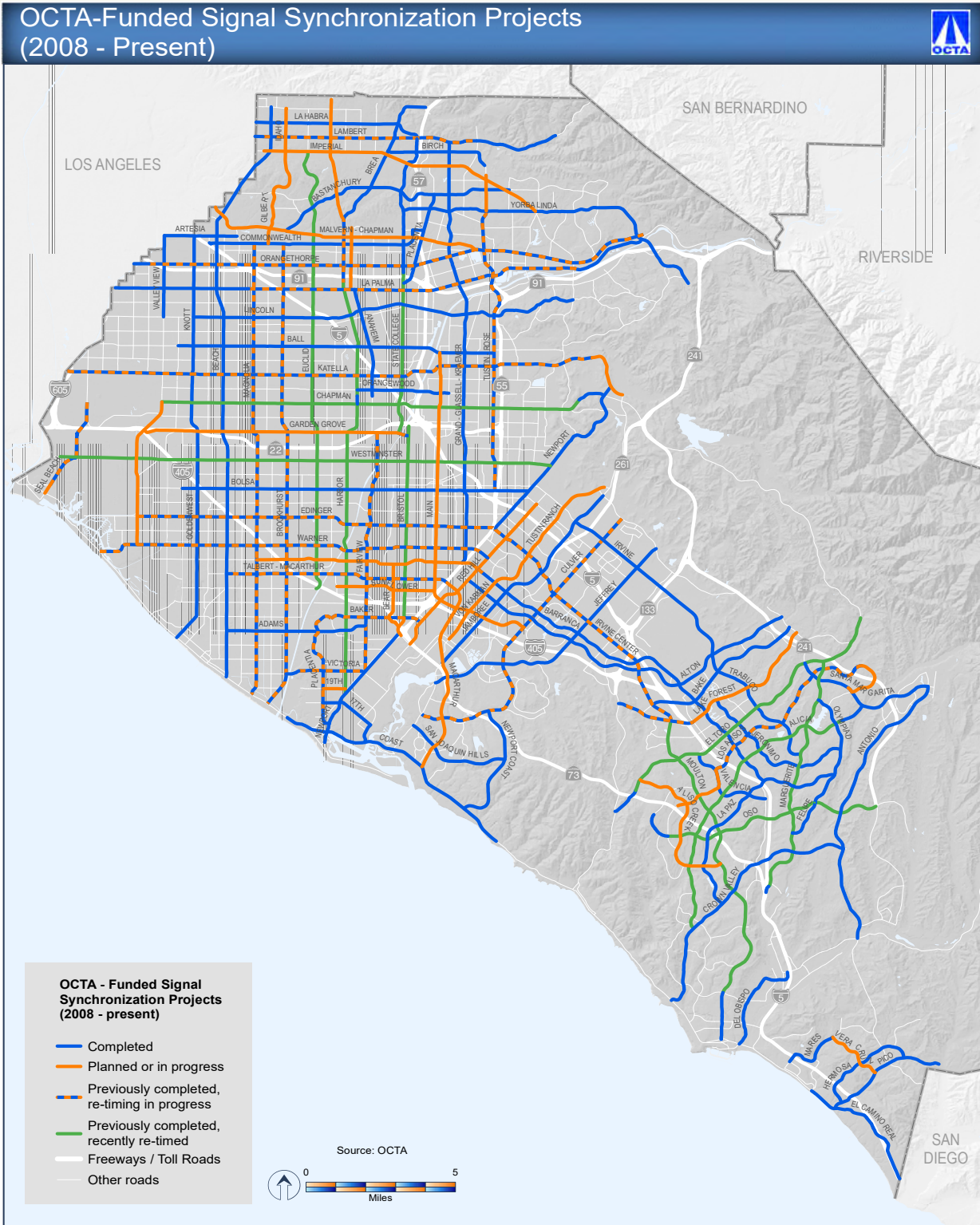
**Summary:** In order to help cities and the County of Orange keep up with the rising cost of repairing the aging street system, this program provides flexible funding intended to augment, not replace, existing transportation expenditures by the cities and the County. Annually, all local agencies are reviewed to determine eligibility to receive M2 funds. All local agencies have been found eligible to receive Local Fair Share funds. On a bimonthly basis, 18 percent of net revenues are allocated to local agencies by formula. Approximately \$464.5 million in Local Fair Share payments have been provided to local agencies as of the end of this quarter.

See [pages 49-50](#) for funding allocation by local agency.





# STREETS AND ROADS





## TRANSIT

### HIGH FREQUENCY METROLINK SERVICE ▼

#### PROJECT R

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

**Project:** Metrolink Grade Crossing Improvements

**Status:** PROJECT COMPLETE

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



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

**Project:** Metrolink Service Expansion Program

**Status:** Service Ongoing

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

**Summary:** Following the completion of the Metrolink Service Expansion Program (MSEP) improvements in 2012, OCTA deployed a total of ten new Metrolink intracounty trains operating between the cities of Fullerton and Laguna Niguel/Mission Viejo, primarily during the midday and evening hours.

In October 2019, several intracounty trains were extended to City of Los Angeles to increase ridership through a redeployment of the trains without significantly impacting operating costs. However, all Metrolink services were impacted by the statewide enforcement of stay-at-home orders that resulted from the COVID-19 pandemic in March 2020. Metrolink implemented a temporary 30 percent service reduction due to the decline in ridership which impacted the October service change. The changes and impacts of the service reduction consisted of:

- Orange County (OC) Line: Three weekday intracounty round trips operating between the cities of Fullerton and Laguna Niguel/Mission Viejo were replaced with two round trips between cities of Laguna Niguel/Mission Viejo and Los Angeles. Note, one intracounty round trip (trains 642 and 643) was discontinued as part of the COVID-19 related service reduction. As of September 2020, the intracounty round trip (trains 632 and 633) that was extended was averaging 27 passengers per trip.





## TRANSIT

- 91/Perris Valley (91/PV) Line: Three round trips within Riverside County between Perris–South and Riverside–Downtown were replaced with one round trip between Perris–South and Los Angeles Union Station via Fullerton. As of September 2020, the round trip that was extended was averaging 56 passengers per trip.

Governor Newsom released a blueprint for reopening businesses on August 28, 2020; the plan places counties in specific tiers that determine how businesses and facilities can reopen safely. Despite the gradual lifting of the stay-at-home orders, COVID-19 cases continue to rise in the State of California, which impacted ridership through September 2020. In response to the ridership impacts, Metrolink's Board adopted the Recovery Plan Framework. The Recovery Plan Framework is designed to phase in actions to position Metrolink for post-pandemic operations and consists of the following:

1. Health and safety: Commuting together, socially distant.
2. Operational transparency: Fast track customer confidence.
3. The triple bottom line: Economy, environment, equity.
4. Future proof operations: More efficient stewardship.
5. Sustainable financial performance.

As part of the Recovery Plan Framework, Metrolink launched a few initiatives and promotions in the first quarter of FY 2020-21. Metrolink developed a customer loyalty rewards program branded as SoCal Explorer. The program is designed to strengthen Metrolink's relationship with current riders, attract new riders, and incentivize ridership. The program had a soft launch in September geared towards essential workers and current riders; however, the program will launch to the public on October 14, 2020. Additional promotions this quarter include the development of two new fare pilot programs: 'Kids Ride Free' on Weekends and the 5-Day Flex Pass. Both pilots were introduced to incentivize ridership.

Metrolink staff continues to reiterate cleaning and safety as riders return. Metrolink will continue to operate with reduced service and plans to reinstate full-service levels by the third quarter of FY 2020-21. As of September 30, 2020, Metrolink rail ridership on the three lines serving Orange County was down 80 percent compared to the prior year.

Plans to implement the addition of two round trips in April 2020 were postponed until full service is reinstated. The postponed April service changes will include the addition of one evening weekday round trip from the cities of Oceanside to Los Angeles on the OC Line. Additional changes to the OC Line include the discontinuation of two intracounty trains due to low ridership levels. To offset the termination of the two intracounty trains, an evening train that currently travels between the cities of Los Angeles and Laguna Niguel/Mission Viejo will be extended to Oceanside. Along the 91/PV Line, one weekday round trip will be added between the cities of Los Angeles and Perris, south via Fullerton. The above-mentioned changes are in alignment with OCTA's redeployment plan.



## TRANSIT

### Rail Corridor and Station Improvements

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

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#### **Segment:** Anaheim Canyon Metrolink Station Improvements

**Status:** Design Plans Completed

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

**Summary:** This OCTA-led project will include construction of a second main track and platform, lengthen the existing platform, and improve pedestrian circulation. The project will also include the addition of benches, shade structures, and ticket vending machines. The design plans have been completed and the project will be advertised for bids in October 2020. Construction of the project is anticipated to begin by February 2021 with completion anticipated in mid-2022. This project is marked “red” in the CAP due to delays in ROW negotiations.

#### **Segment:** Fullerton Transportation Center Improvements

**Status:** PROJECT COMPLETE

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

**Summary:** Completed early on, a new five-level parking structure was constructed to provide additional transit parking at the Fullerton Transportation Center for both intercity rail service and commuter rail passengers. This city-led project was completed on June 19, 2012. After completion, an elevator upgrade project was initiated with leftover savings. The elevator project modified the existing pedestrian bridge to add two new traction elevators, one on each side. The City of Fullerton was the lead on this project which was completed May 1, 2019.



#### **Segment:** Laguna Niguel/Mission Viejo Metrolink Station Americans with Disabilities Act (ADA) Ramps

**Status:** PROJECT COMPLETE

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

**Summary:** The Laguna Niguel/Mission Viejo station accessibility improvements project was completed in September 2017. Improvements included new ADA-compliant access ramps on either side of the pedestrian undercrossing and a unisex ADA-compliant restroom, vending machine room, and three passenger canopies. Construction acceptance from the cities was obtained on September 20, 2017.





**Segment:** Orange Transportation Center Metrolink Parking Structure

**Status:** PROJECT COMPLETE

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



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

**Segment:** New Placentia Metrolink Station and Parking Structure

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

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

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

**Segment:** San Clemente Pier Station Lighting

**Status:** PROJECT COMPLETE

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



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





## TRANSIT

Additional rail corridor improvements include: completed Control Point project at Fourth Street in the City of Santa Ana, which provides rail operational efficiencies; completed Positive Train Control implementation, which improves rail safety by monitoring and controlling train movement; continued with ROW acquisition to replace the San Juan Creek railroad bridge in the City of San Juan Capistrano, which will not preclude a future bicycle trail on the south end along the creek (design and environmental clearance tasks were completed and ROW acquisition is in progress); completed the Railroad ROW Slope Stabilization project at eight locations within the rail corridor to prevent future erosion and slope instability; replacement of stairs at the Fullerton Transportation Center; and continued implementation of video surveillance systems.

**Segment:** Sand Canyon Grade Separation

**Status:** PROJECT COMPLETE

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



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

**Segment:** Tustin Metrolink Station Parking Structure

**Status:** PROJECT COMPLETE

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



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

**Segment:** Laguna Niguel to San Juan Capistrano Passing Siding Project

**Status:** Construction Underway – 84% Complete

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

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

Construction continued with the construction of mainline 1 and pocket track, removal of Control Point Avery turnouts, and drainage ditches. Construction of retaining wall #1 and roadway modifications at Camino Capistrano were completed this quarter. This project is anticipated to be completed by early 2021.





## TRANSIT EXTENSIONS TO METROLINK ▼

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

**Project:** OC Streetcar

PROJECT S

**Status:** FFGA Executed November 30, 2018, Construction and Utility Relocation Work Ongoing, Vehicle Production Underway, Operations and Maintenance Contract Approved by the Board on May 22, 2020.

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

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

During the quarter, construction work continued with in-street utilities and final storm drain work nearing completion. Other work continued with removal of asphalt for track installation, hand digging and surveying of the OCS pole foundations as well as welding of rail sticks into rail strings. Installation of the service and inspection pit and vapor barrier at the Maintenance and Storage Facility (MSF) has been delayed due to quality issues. The Westminster Bridge and Santa Ana River Bridge deck pours were completed in September. Construction of the retaining walls at the Santa Ana River are now complete and the Westminster Bridge retaining walls on the east end are being formed with the west end walls being backfilled.

All eight S700 vehicles are in various stages of production. The first vehicle (Car 1) is furthest in production and has completed several significant milestones during this quarter, including the interior and exterior equipping of the vehicle, water testing, and electrical continuity testing. Upon completion and certification of the electrical system, static and dynamic testing was conducted. The other seven vehicles are moving through sand blasting and paint, internal and external equipping, and testing similar to Car 1.

As a result of COVID-19-related travel restrictions, there were no first article inspections (FAI) conducted during the reporting period. However, plans are in development to conduct a virtual FAI for the doors. FAIs are a contract requirement and a critical component of the manufacturing process to ensure that each component of the vehicle is built according to specifications and quality control measures have been met. Parallel to production of the vehicles, final design review continues for the remaining vehicle components, including the energy absorbing bumper, emergency battery drive, and flange lube system. These items are anticipated to be closed out next quarter. Coordination is ongoing between Conduent Transportation, OCTA, and Siemens in the design of the computer-aided dispatch and automated vehicle location, as well as the communications equipment on the vehicles. Coordination also continued between OCTA, Siemens, and Walsh Construction in the integration of the streetcar vehicle with the infrastructure, including the tracks, platforms, MSF, and wayside equipment and systems.

To support the local community, OCTA continues to directly support Santa Ana's Business Improvement District 28



## TRANSIT

and residents during construction of the OC Streetcar through the Eat, Shop, Play program and by providing on-going construction alerts. As the construction activities expanded into the track installation phase, OCTA held a virtual neighborhood meeting on August 19, 2020.

On August 5, 2020, OCTA and FTA conducted a meeting to discuss project cost, schedules and risks.

Work continues to progress on other key OC Streetcar activities, including coordination with third parties on utility relocation, public outreach and continued coordination with the FTA and project management oversight consultant.

### **Project:** Bus and Station Van Extension Projects

**Status:** Last service completed on June 30, 2020; no future calls anticipated.

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

**Summary:** Bus and station van extension projects help enhance the frequency of service in the Metrolink corridor by linking communities within the central core of Orange County to commuter rail. To date, the Board has approved one round of funding for bus and van extension projects, totaling over \$732,000. One project located within the City of Anaheim and three proposals within the City of Lake Forest were approved for funding by the Board on July 23, 2012. The Lake Forest projects have been canceled and the Anaheim Canyon Metrolink Station Bus Connection project was completed on June 30, 2020 under Project S. However, the project is currently active as of July 1, 2020 under a new Project V grant and will continue providing services through June 30, 2027. The Anaheim Canyon Metrolink Station Bus Connection provides service between the Anaheim Canyon Metrolink station and the Anaheim Resort area.

## METROLINK GATEWAYS ▾

**Status:** PROJECT COMPLETE

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



PROJECT T

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



EXPAND MOBILITY CHOICES FOR SENIORS AND PERSONS WITH DISABILITIES ▾

Project U expands mobility choices for seniors and persons with disabilities, and includes the SMP, the SNEMT Program, and the Fare Stabilization Program. Since inception, more than \$82.5 million<sup>5</sup> in Project U funding has been provided under M2.

**Project:** Senior Mobility Program

**Status:** Ongoing

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

PROJECT U

**Summary:** The SMP provides one percent of net M2 revenues to eligible local jurisdictions to provide transit services that best meet the needs of seniors living in their community. According to the SMP Funding and Policy Guidelines, M2 revenue is allocated to local jurisdictions proportionally, relative to the total county’s senior population, by the residents age 60 and above multiplied by available revenues. Remaining unallocated funds are distributed to the M2 Project U Fare Stabilization Program.

Since inception, approximately \$24 million and 2,450,000 boardings have been provided for seniors traveling to medical appointments, nutrition programs, shopping destinations, and senior and community center activities. Due to the COVID-19 pandemic, several local jurisdictions have modified or suspended service. This quarter, approximately \$499,677 was paid out to the 32 participating cities.

**Project:** Senior Non-emergency Medical Transportation Program

**Status:** Ongoing

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

**Summary:** This program provides one percent of net M2 revenues to supplement existing county-wide senior non-emergency medical transportation services. Since inception, more than \$25.9 million and 961,881 SNEMT boardings have been provided. This quarter, approximately \$520,753 in SNEMT funding was paid<sup>5</sup> to the County of Orange.

<sup>5</sup>Payments are made every other month (January, March, May, July, September, and November). July payments are based on June accruals, and therefore counted as June payments. The amount totaled for one fiscal year quarter either covers one or two payments, depending on the months that fall within that quarter.





## TRANSIT

**Project:** Fare Stabilization Program

**Status:** Ongoing

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

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

Approximately \$766,000<sup>6</sup> in revenue was allocated this quarter to support the Fare Stabilization Program. The amount of funding utilized each quarter varies based on ridership. During the quarter, based on 100,000 program-related boardings recorded on fixed-route and ACCESS services, approximately \$149,000 was utilized. In the latter half of September, OCTA returned to front-door boarding on fixed-route services after installing protective shields. The senior and disabled boardings recorded for the quarter were based off of pass sales and ACCESS boardings figures. Since inception of the program, more than \$32 million and 119 million program-related boardings have been provided.

<sup>6</sup>Payments are made every other month (January, March, May, July, September, and November). July payments are based on June accruals, and therefore counted as June payments. The amount totaled for one fiscal year quarter either covers one or two payments, depending on the months that fall within that quarter.

## COMMUNITY BASED TRANSIT/CIRCULATORS ▼

**Status:** Service Updates

PROJECT V

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

**Summary:** This program provides funding for local jurisdictions to develop local bus transit services such as community-based circulators and shuttles that complement regional bus and rail services and meet needs in areas not adequately served by regional transit. To date, through a competitive process, OCTA has provided four rounds of funding (June 2013, June 2016, June 2018, and April 2020) which have awarded 35 projects and ten planning studies totaling approximately \$52 million. Out of the 35 projects, two are currently active; nine have been canceled (primarily due to low ridership); 21 are currently suspended due to the COVID-19 pandemic, and three have been completed.

OCTA receives ridership reports from local agencies on a regular basis to monitor the success of awarded services against performance measures adopted by the Board. Currently, two services are active, and all other remaining active services have been suspended since mid-March. It is unclear when these services will be reinitiated. During this quarter, OCTA staff met with local agency project managers and discussed potential program revisions which will need to be evaluated and finalized by the OCTA Board in order to support the program in a post-COVID-19 environment. Discussions focused upon the need to extend Project V grants in order to hold local agencies harmless for the period during the pandemic when they were precluded from operating, and potentially revising minimum performance requirements.



## TRANSIT

### SAFE TRANSIT STOPS ▼

**Status:** City-Initiated Improvements Underway and/or are Complete

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

PROJECT W

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

In 2014, the Board approved the first round of funding in the amount of \$1,205,666 to support city-initiated improvements and \$370,000 for OCTA-initiated improvements. The City of Anaheim postponed development of its proposed stop improvements and OCTA initiated improvements were funded through another grant source. As a result, the funds were deallocated and returned to the program in June 2019. The 43 stop improvements funded through the first call are now complete.

In October 2018, the Board authorized a second Project W allocation process, providing up to \$3 million (in total) to eligible agencies to support bus stop amenity improvements. Eligible agencies were able to receive between \$20,000 to \$35,000 (per identified bus stop based on ridership). On June 24, 2019, funding recommendations were approved by the Board providing just under \$1 million to support improvements at 36 locations.

In May 2020, the Board directed staff to return with additional programming recommendations for Project W. Eligible agencies were again able to receive between \$20,000 to \$35,000 (per identified bus stop based on ridership). On September 14, 2020, funding recommendations were approved by the Board providing just under \$1.03 million to support additional improvements at 35 locations.



## ENVIRONMENTAL

### CLEAN UP HIGHWAY AND STREET RUNOFF THAT POLLUTES BEACHES ▼

**Project:** Environmental Cleanup Program

**Status:** Ongoing

PROJECT X

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

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

Project X is composed of a two-tiered funding process focusing on early priorities (Tier 1), and a second program designed to prepare for more comprehensive capital investments (Tier 2). To date, there have been nine rounds of funding under the Tier 1 grants program. A total of 177 projects, amounting to more than \$24 million, have been awarded by the Board since 2011. There have been two rounds of funding under the Tier 2 grants program. A total of 22 projects in the amount of \$27.89 million have been awarded by the Board since 2013. To date, all Orange County cities plus the County of Orange have received funding under this program. A tenth Tier 1 call was released in March 2020. Due to the COVID-19 pandemic, the application deadline was extended from May 7, 2020 to June 25, 2020. Tier 1 funding recommendations are anticipated to be presented to the Board in October 2020. Due to the lower preliminary M2 sales tax revenue forecast, timing of future ECP calls are being assessed. Prior to the COVID-19 pandemic, it was anticipated that a Tier 2 call could be feasible sometime around FY 2021 or 2022 timeframe.

Staff estimates that over 33 million gallons of trash has been captured as a result of the installation of Tier 1 devices since the inception of the Tier 1 Program in 2011. This is equivalent to filling nearly 78 football fields with one-foot deep of trash. Over time, the volume of trash captured is expected to increase. It is estimated that the funded Tier 2 projects, once fully functional, will have an annual groundwater recharge potential of approximately 157 million gallons of water from infiltration or through pumped and treated recharge facilities.



## ENVIRONMENTAL

### FREEWAY MITIGATION ▼

**Project:** Environmental Mitigation Program

**Status:** Biological Permits Issued and Conservation Plan in Place

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

**Summary:** In June 2017, the United States Fish and Wildlife Service and the California Department of Fish and Wildlife (Wildlife Agencies) finalized the issuance of their respective biological opinion, findings, and associated permits, as well as signed the Conservation Plan Implementing Agreement. Receipt of these permits represent the culmination of years of collaboration and support by the Board, environmental community, and Wildlife Agencies.

As a result, the environmental process will be streamlined, allowing OCTA to move forward with the M2 freeway projects with little additional coordination from the Wildlife Agencies. The OCTA Conservation Plan is unique as it is only the second state/federal conservation plan approved in Orange County.

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

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

As part of the Conservation Plan requirement, an endowment has been established to pay for the long-term management of the Preserves. It was previously estimated that it would take approximately 12 to 15 years to fully fund the endowment with annual deposits of approximately \$2.9 million. In July 2020, OCTA made the fifth endowment deposit. Quarterly investment reports are provided to the Board, with the most recent one in September 2020. The next report is anticipated to be presented to the Board in December 2020. As of September 30, 2020, the endowment balance is \$16,046,435. Staff will continue to oversee and provide endowment updates to the Finance and Administration and the Environmental Oversight Committee (EOC) on a regular basis.

Resource management plans (RMPs) for the Preserves were finalized in 2018. These RMPs guide the management of the Preserves as outlined within the Conservation Plan. The RMPs will be reviewed and updated as necessary, approximately every five years. Staff will continue to oversee and manage the Preserves until a long-term manager(s) is established.





## ENVIRONMENTAL

In consultation with the local fire authority, staff has been working with a consultant to draft fire management plans (Plans) for the seven Preserves. The Plans will provide guidelines for decision-making at all stages including fire prevention, pre-fire vegetation management, suppression activities, and post-fire responses that are compatible with conservation and stewardship responsibilities. These Plans are a requirement of the Conservation Plan and will require approval by the Wildlife Agencies as well as the local fire authority. The Plans are anticipated to be complete in 2020/2021.

Conservation Plan annual reports will be completed every year. These reports will include the tracking of impacts associated with covered freeway improvement projects, other management and monitoring activities on Preserves, status and activities, progress of the restoration projects, plan administration, and public outreach activities. Annual reports are reviewed and must be approved by the Wildlife Agencies. In summary, the annual reports to date document that OCTA's activities up to 2020 were in compliance and on target with the Conservation Plan commitments. OCTA will continue with its efforts to complete the required objectives in a timely manner. It is anticipated that the next annual report will be provided to the OCTA Board in mid-2021. The annual reports are available for public review at [www.PreservingOurLegacy.org](http://www.PreservingOurLegacy.org).

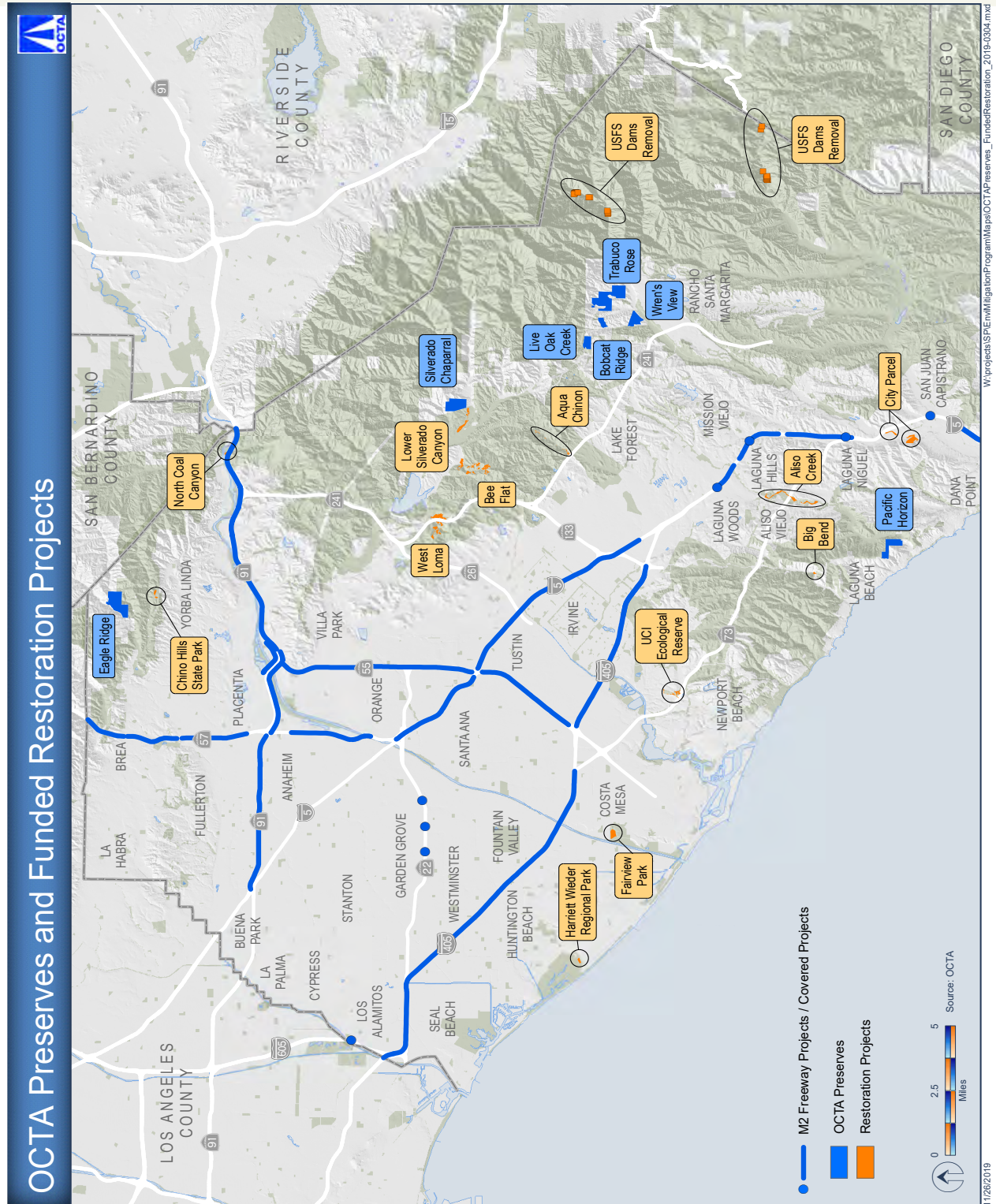
To date, multiple freeway projects have utilized the Conservation Plan and/or the Clean Water Act streamlined permitting process. Some of the projects that benefit from these mechanisms include: Project C (I-5 from SR-73 to El Toro Road), Project K (I-405 from SR-73 to I-605), and Project M (I-605 and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

OCTA provides docent-led hikes and equestrian rides in the Preserves. As a result of the stay-at-home order due to the COVID-19 pandemic, OCTA is postponing all scheduled hikes and equestrian rides until further notice. OCTA will release the revised 2020 Wilderness Preserve Hiking and Equestrian Riding Tour calendar once the order has been lifted. A list of scheduled 2020 wilderness Preserve tours will be available on the M2 website at [www.PreservingOurLegacy.org](http://www.PreservingOurLegacy.org).

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



## ENVIRONMENTAL



## PROGRAM MANAGEMENT

### PROGRAM MANAGEMENT OFFICE ▼

**Contact:** Francesca Ching, PMO Manager • (714) 560-5625

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

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#### Market Conditions Forecast and Risk Analysis

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

The Board directed staff to continue to work with the consultant to monitor and track key early warning indicators and provide the Board with updates in a timeline consistent with updates on the M2 sales tax revenue forecast. The consultant team continues to analyze trends in material costs, labor costs, and general economic conditions to determine a range of potential cost impacts providing insight on OCTA's capital program twice a year.

The results of the 2019 fall analysis concluded that OCTA may experience a cost increase of between two percent and six percent during the 2020 through 2022 time period of construction activity. Staff incorporated information from this analysis into the M2 cashflow for the 2019 updated Next 10 Plan.

The consultant team completed the 2020 spring update of the forecasting model in early March. The report was finalized prior to the COVID-19 pandemic and showed a cooling of the prior cost-increasing environment. It is anticipated that COVID-19 may cause this to further change during the Next 10 Plan delivery years. The fall 2020 update is underway and is anticipated to be presented to the Board in November.

#### Next 10 Delivery Plan

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

Annually, OCTA reviews the M2 program assumptions and updates the cash flows and Next 10 Plan assumptions as needed based on changes to the revenue forecast and project cost and schedule updates. The 2019 Next 10 Plan incorporating the updated forecast of \$13.4 billion was presented to the Board at the November 11, 2019 meeting.





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The 2019 Next 10 Plan identified five projects to be advanced through construction: I-5 between I-405 and Yale Avenue (Project B), I-5 between Yale Avenue and SR-55 (Project B), SR-55 between I-5 and SR-91 (Project F), SR-57 Northbound from Orangewood Avenue to Katella Avenue (Project G), and I-605/Katella Avenue Interchange (Project M).

A preliminary sales tax revenue forecast of \$11.6 billion was presented to the Board on August 24, 2020. The final 2020 sales tax revenue forecast is anticipated to be presented in October 2020. PMO will be assessing the impacts of the updated forecast and updated project costs to present options to the Board in December 2020. The 2020 Next 10 Plan update is anticipated in early 2021.

### M2 Performance Assessment

The M2 Ordinance and Transportation Investment Plan (Ordinance No. 3) includes a requirement for a performance assessment to be conducted at least once every three years to evaluate OCTA's efficiency and effectiveness in delivery of M2 as promised to the voters. Four performance assessments have been completed covering FY 2006-07 through FY 2008-09, FY 2009-10 through FY 2011-12, FY 2012-13 through FY 2014-15, and FY 2015-16 through FY 2017-18. The most recent report commended OCTA's management of the M2 program with eight recommendations for enhancements. Staff implemented all eight recommendations for enhancements and provided a final report to the Board on January 13, 2020. There are no outstanding action items. Procurement efforts for the next performance assessment will begin early 2021.

### M2 Ordinance Tracking Matrix

Ordinance No. 3 includes numerous requirements that staff must follow in order to keep the promise to Orange County voters through the passage of M2. The PMO annually updates the M2 Ordinance Tracking Matrix to verify that OCTA is in compliance with all requirements detailed in Ordinance No. 3. The tracking matrix update for 2019 was finalized and was shared with the Taxpayer Oversight Committee (TOC) on May 12, 2020. This document is for PMO tracking purposes but is also helpful to TOC members during their annual compliance finding. On June 9, 2020, the TOC held the Measure M annual public hearing and determined that M2 is being delivered as promised to Orange County voters for the 29th consecutive year. The tracking matrix update for 2020 is underway and is anticipated to be completed in early 2021.

### PMO M2 Tracking Tools

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

#### Local Jurisdiction Fact Sheets

Fact sheets have been created for the County of Orange and each of Orange County's 34 cities. The fact sheets provide data on transportation and transit projects (funded through M2, state, and federal grants) in a format which emphasizes key points concisely on a single printed page. The fact sheets are utilized when speaking



## PROGRAM MANAGEMENT

with the jurisdictions to provide a summary overview of how OCTA has provided the local agency with funding (M2 and other) and transportation improvements. During the quarter, staff updated the city fact sheets to include the 2020 Measure M2 community-based circulator projects approved by the Board on April 13, 2020, the 2020 Regional Capacity Program and Regional Traffic Signal Synchronization Program projects approved by the Board on May 11, 2020 in addition to programming updates. The next update effort will begin in December 2020.

### Engineer's Estimate versus Bids Tracking

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

More recent market conditions analyses have indicated that OCTA could possibly experience a deflationary cost environment due to reduced cost pressures and COVID-19. These factors include declines in statewide building permit issuance, increase in unemployment, increase in Orange County construction labor costs and declining building material costs. It should be noted that the engineer's estimate is based on a number of factors – such as bidding history and historical and current market rates (materials, labor, equipment, etc.) – and adjusted accordingly for the project's conditions. Because the estimate uses prior information, there may be a lag between an uptick or downtick in the market.

Project C (I-5 between Alicia Parkway and El Toro Road) was advertised for construction bids on May 11, 2020 and the bid opening was held on June 30, 2020. On September 23, 2020, the contract was awarded to the lowest bidder which was 11.74 percent below the engineer's estimate.

The next M2 project anticipated to go out to bid in 2020 is Project R (Anaheim Canyon Metrolink Station Improvements). Staff will track and update the spreadsheet as appropriate.

### **M2 Administrative Safeguards**

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

Based on the original M2 revenue projections, OCTA expected to receive \$24.3 billion in M2 funds, with one percent of total revenues available to fund administrative salaries and benefits over the life of the program. As M2 revenue projections declined (currently \$13.4 billion or 45 percent lower) as a result of economic conditions, the funds

## PROGRAM MANAGEMENT

available to support administrative salaries and benefits have also declined from the original expectations. While revenue has declined, the administrative effort needed to deliver M2 remains the same. Additionally, the initiation of the Early Action Plan (EAP) in 2007 required administrative functions four years prior to revenue collection. While the EAP resulted in project savings and significant acceleration of the program, administrative functions were required during this time with associated administrative costs.

As a result of the aforementioned factors, OCTA has incurred higher than one percent administrative costs. OCTA currently has Board approval to use funds from the Orange County Unified Transportation Trust (OCUTT) fund to cover costs above the one percent, with the understanding that those funds will be repaid with interest in future years that OCTA administrative costs fall below the one percent cap. As of June 30, 2012, OCTA had borrowed approximately \$5.2 million from OCUTT. Over the last few years, OCTA has experienced under-runs in the one percent administration cap and has made payments to OCUTT to reduce the outstanding balance. As of the most recent September 2020 Taxpayer Oversight Committee Report, the outstanding principal balance was \$0 and the remaining interest owed to OCUTT was \$0.6 million.

Staff meets quarterly to review all labor costs to ensure costs attributed to the one percent cap are accurately reported and that there are no misplaced project related costs.

### Taxpayer Oversight Committee

The M2 Ordinance requires a TOC to ensure compliance with M2 Ordinance No. 3. With the exception of the elected Auditor Controller of Orange County who is identified as the chair in the Ordinance, all other members cannot be elected or appointed officials. Members are recruited and screened for expertise and experience independently by the Orange County Grand Jurors Association and are selected from the qualified pool by lottery. The TOC is scheduled to meet every other month. The TOC upholds the integrity of the measure by monitoring the use of M2 funds and ensuring compliance. The responsibilities of the 11-member M2 TOC are to:

- Ensure compliance with the Ordinance
- Approve, by a vote of no less than two-thirds of all committee members, any amendments to the Plan proposed by OCTA which changes funding categories, programs or projects identified on page 31 of the Plan
- Receive and review the following documents submitted by each eligible jurisdiction:
  - Congestion Management Program
  - Mitigation Fee Program
  - Expenditure Report
  - Local Traffic Signal Synchronization Plan
  - Pavement Management Plan
- Hold an annual Public Hearing to determine whether OCTA is proceeding in accordance with the Plan
- Review independent audits and performance assessments of the Orange County Local Transportation Authority regarding the expenditure of M2 sales tax monies



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- The Chair shall annually certify whether M2 funds have been spent in compliance with the plan

On March 12, 2020 and March 18, 2020, the Governor enacted Executive Orders N-25-20 and N-29-20 authorizing a local legislative body to hold public meetings via teleconference and make public meetings accessible telephonically or electronically to all members of the public due to COVID-19. As a result, the TOC held a meeting on August 11, 2020 via teleconference. TOC meetings will remain in teleconference format through the end of 2020. The remaining meetings for the year are scheduled for October 13, 2020 and December 8, 2020.

At the August 11, 2020 meeting, the TOC received presentations on the Capital Action Plan, CTFP, and the EMP. The TOC also received staff updates on the status of local sales tax, an annual credit update, community-based transit circulators (Project V), and the I-405 Improvement Project.

Two subcommittees assist the TOC with their safeguard responsibilities: The Annual Eligibility Review (AER) Subcommittee and the Audit Subcommittee. The AER Subcommittee meets a few times per year, as needed, to ensure local jurisdictions have submitted the following documents in order to be deemed eligible to receive M2 funding: Congestion Management Program, Mitigation Fee Program, Local Traffic Signal Synchronization Plan, Pavement Management Plan (PMP), and an Expenditure Report. The AER Subcommittee met on September 23, 2020 and selected a new AER Subcommittee chair. The AER Subcommittee received an M2 Eligibility Overview and affirmed receipt of the Local Signal Synchronization Plan (LSSP) and the PMP. The AER Subcommittee findings will be presented to the TOC on October 13, 2020. The Audit Subcommittee meets bimonthly and is responsible for reviewing the quarterly M2 Revenue and Expenditure Reports and the Annual M2 Audit, as well as any other items related to M2 audits.

## M2 FINANCING AND SCHEDULE OF FUNDING ▼

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## PROGRAM MANAGEMENT

### Revenue Forecast and Collection

OCTA contracts with three universities (Chapman University; University of California, Los Angeles; and California State University, Fullerton) to provide a long-range forecast of taxable sales to forecast M2 revenues for purposes of planning projects and program expenditures.

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

Revenue forecast information is updated quarterly based on the actual revenues received for the previous quarter. As required by law, OCTA pays the California Department of Tax and Fee Administration a fee to collect the sales tax. The M2 Ordinance No. 3 estimated this fee to be 1.5 percent of the revenues collected over the life of the program.

### Current Forecast

Original projections in 2005 during the development of M2 estimated total nominal M2 sales tax collections at \$24.3 billion. Due to the significant anticipated decrease in taxable sales due to the COVID-19 pandemic, OCTA prepared a preliminary update for the M2 sales tax forecast in August 2020. Based on the preliminary forecast provided, the forecast for total nominal sales tax collections over the life of M2 is estimated to be approximately \$11.6 billion. Staff will return to the Board with the final forecast in October 2020.

For FY 2019-20, the assumed budget growth rate was 2.5 percent. However, this forecast did not include the impact of the COVID-19 pandemic that began in March 2020. The actual growth rate for FY 2019-20 came in lower at -4.3 percent with a total gross annual sales tax receipts of \$318 million, which was primarily driven by the COVID-19 pandemic.

Furthermore, the pandemic is projected to continue into FY 2020-21 and as a result, the assumed budget rate is -6.6 percent. Based on the sales tax forecast information provided by MuniServices, LLC to date, the actual growth rate is expected to exceed the assumed budget growth rate. The next updated forecast is anticipated to be brought to the Board in fall 2021.

OCTA staff is working closely with MuniServices, LLC and the three universities to monitor and determine the impact of the pandemic on OCTA's sales tax collections and long-term forecast.

## FINANCING

### Schedule of Revenues, Expenditures and Changes in Fund Balance as of September 30, 2020 (Unaudited) Schedule 1

| (\$ in thousands)  | Quarter Ended<br>Sept 30, 2020 | Year to Date<br>Sept 30, 2020<br>(A) | Period from<br>Inception to<br>Sept 30, 2020<br>(B) |
|--|--------------------------------|--------------------------------------|---|
| <b>Revenues:</b>   |                                |                                      |   |
| Sales taxes  | \$ 71,418                      | \$ 71,418                            | \$ 2,803,110  |
| Other agencies' share of Measure M2 costs:   |                                |                                      |   |
| Project related  | 6,691                          | 6,691                                | 734,531   |
| Non-project related  | -                              | -                                    | 454   |
| Interest:  |                                |                                      |   |
| Operating:   |                                |                                      |   |
| Project related  | 986                            | 986                                  | 3,146   |
| Non-project related  | 4,700                          | 4,700                                | 89,220  |
| Bond proceeds  | 754                            | 754                                  | 74,530  |
| Debt service   | 2                              | 2                                    | 1,062   |
| Commercial paper   | -                              | -                                    | 395   |
| Right-of-way leases  | 122                            | 122                                  | 1,266   |
| Proceeds on sale of assets held for resale   | -                              | -                                    | 12,201  |
| Donated assets held for resale   |                                |                                      |   |
| Project related  | -                              | -                                    | 2,071   |
| Miscellaneous:   |                                |                                      |   |
| Project related  | -                              | -                                    | 311   |
| Non-project related  | -                              | -                                    | 101   |
| Total revenues   | <u>84,673</u>                  | <u>84,673</u>                        | <u>3,722,398</u>                                    |
| <b>Expenditures:</b>   |                                |                                      |   |
| Supplies and services:   |                                |                                      |   |
| Sales tax administration fees  | 725                            | 725                                  | 30,299  |
| Professional services:   |                                |                                      |   |
| Project related  | 1,916                          | 1,916                                | 413,266   |
| Non-project related  | 527                            | 527                                  | 31,202  |
| Administration costs:  |                                |                                      |   |
| Project related  | 2,561                          | 2,561                                | 86,070  |
| Non-project related:   |                                |                                      |   |
| Salaries and Benefits  | 700                            | 700                                  | 28,607  |
| Other  | 1,397                          | 1,397                                | 49,000  |
| Other:   |                                |                                      |   |
| Project related  | 6                              | 6                                    | 5,186   |
| Non-project related  | 14                             | 14                                   | 5,032   |
| Payments to local agencies:  |                                |                                      |   |
| Project related  | 15,461                         | 15,461                               | 1,054,736   |
| Capital outlay:  |                                |                                      |   |
| Project related  | 21,749                         | 21,749                               | 1,308,790   |
| Non-project related  | -                              | -                                    | 31  |
| Debt service:  |                                |                                      |   |
| Principal payments on long-term debt   | -                              | -                                    | 59,030  |
| Interest on long-term debt and commercial paper                                    | 17,887                         | 17,887                               | 232,116   |
| Total expenditures   | <u>62,943</u>                  | <u>62,943</u>                        | <u>3,303,365</u>                                    |
| Excess of revenues over expenditures   | <u>21,730</u>                  | <u>21,730</u>                        | <u>419,033</u>                                      |
| <b>Other financing sources (uses):</b>   |                                |                                      |   |
| Transfers out:   |                                |                                      |   |
| Project related  | (25,284)                       | (25,284)                             | (286,469)   |
| Transfers in:  |                                |                                      |   |
| Project related  | 563                            | 563                                  | 174,206   |
| Bond proceeds  | -                              | -                                    | 804,625   |
| Payment to refunded bond escrow agent  | -                              | -                                    | (45,062)  |
| Total other financing sources (uses)   | <u>(24,721)</u>                | <u>(24,721)</u>                      | <u>647,300</u>                                      |
| Excess (deficiency) of revenues over (under) expenditures and other sources (uses) | <u>\$ (2,991)</u>              | <u>\$ (2,991)</u>                    | <u>\$ 1,066,333</u>                                 |

## FINANCING

### Schedule of Revenues, Expenditures and Changes in Fund Balance as of September 30, 2020 (Unaudited) Schedule 2

| (\$ in thousands)                        | Quarter Ended<br>Sept 30, 2020<br>(actual) | Year to Date<br>Sept 30, 2020<br>(actual) | Period from<br>Inception<br>through<br>Sept 30, 2020<br>(actual) | Period from<br>October 1, 2020<br>through<br>March 31, 2041<br>(forecast) | Total                |
|--|--|---|--|---|----------------------|
|  |  | (C.1)                                     | (D.1)  | (E.1)   | (F.1)                |
| <b>Revenues:</b>                         |  |   |  |   |                      |
| Sales taxes                              | \$ 71,418                                  | \$ 71,418                                 | \$ 2,803,110   | \$ 8,802,191  | \$ 11,605,301        |
| Operating interest                       | 4,700                                      | 4,700                                     | 89,220   | 121,237   | 210,457              |
| Subtotal                                 | <u>76,118</u>                              | <u>76,118</u>                             | <u>2,892,330</u>   | <u>8,923,428</u>  | <u>11,815,758</u>    |
| Other agencies share of M2 costs         | -  | -   | 454  | -   | 454                  |
| Miscellaneous                            | -  | -   | 101  | -   | 101                  |
| Total revenues                           | <u>76,118</u>                              | <u>76,118</u>                             | <u>2,892,885</u>   | <u>8,923,428</u>  | <u>11,816,313</u>    |
| <b>Administrative expenditures:</b>      |  |   |  |   |                      |
| Sales tax administration fees            | 725  | 725                                       | 30,299   | 93,757  | 124,056              |
| Professional services                    | 527  | 527                                       | 27,427   | 87,143  | 114,570              |
| Administration costs:                    |  |   |  |   |                      |
| Salaries and Benefits                    | 700  | 700                                       | 28,607   | 90,406  | 119,013              |
| Other                                    | 1,397                                      | 1,397                                     | 49,000   | 154,212   | 203,212              |
| Other                                    | 14   | 14  | 2,012  | 6,460   | 8,472                |
| Capital outlay                           | -  | -   | 31   | -   | 31                   |
| Environmental cleanup                    | 20   | 20  | 44,541   | 176,016   | 220,557              |
| Total expenditures                       | <u>3,383</u>                               | <u>3,383</u>                              | <u>181,917</u>   | <u>607,993</u>  | <u>789,910</u>       |
| Net revenues                             | <u>\$ 72,735</u>                           | <u>\$ 72,735</u>                          | <u>\$ 2,710,968</u>  | <u>\$ 8,315,435</u>   | <u>\$ 11,026,403</u> |
|  |  | (C.2)                                     | (D.2)  | (E.2)   | (F.2)                |
| <b>Bond revenues:</b>                    |  |   |  |   |                      |
| Proceeds from issuance of bonds          | \$ -                                       | \$ -                                      | \$ 804,625   | \$ 987,781  | \$ 1,792,406         |
| Interest revenue from bond proceeds      | 754  | 754                                       | 74,530   | 89,568  | 164,098              |
| Interest revenue from debt service funds | 2  | 2   | 1,062  | 7,382   | 8,444                |
| Interest revenue from commercial paper   | -  | -   | 395  | -   | 395                  |
| Total bond revenues                      | <u>756</u>                                 | <u>756</u>                                | <u>880,612</u>   | <u>1,084,731</u>  | <u>1,965,343</u>     |
| <b>Financing expenditures and uses:</b>  |  |   |  |   |                      |
| Professional services                    | -  | -   | 3,775  | 3,457   | 7,232                |
| Payment to refunded bond escrow          | -  | -   | 45,062   | -   | 45,062               |
| Bond debt principal                      | -  | -   | 59,030   | 1,769,943   | 1,828,973            |
| Bond debt and other interest expense     | 17,887                                     | 17,887                                    | 232,116  | 830,454   | 1,062,570            |
| Other                                    | -  | -   | 3,020  | -   | 3,020                |
| Total financing expenditures and uses    | <u>17,887</u>                              | <u>17,887</u>                             | <u>343,003</u>   | <u>2,603,854</u>  | <u>2,946,857</u>     |
| Net bond revenues (debt service)         | <u>\$ (17,131)</u>                         | <u>\$ (17,131)</u>                        | <u>\$ 537,609</u>  | <u>\$ (1,519,123)</u>   | <u>\$ (981,514)</u>  |

## FINANCING

Schedule of Revenues, Expenditures and Changes in Fund Balance as of  
**September 30, 2020 (Unaudited)**  
*Schedule 3*

| Project  | Description                                     | Net Revenues<br>through<br>Sept 30, 2020<br>(H) | Total<br>Net Revenues<br>(I) |
|--|---|---|------------------------------|
|  | (G)<br>(\$ in thousands)                        |   |                              |
| <b>Freeways (43% of Net Revenues)</b>                  |   |   |                              |
| A  | I-5 Santa Ana Freeway Interchange Improvements  | \$ 106,853                                      | \$ 434,607                   |
| B  | I-5 Santa Ana/SR-55 to El Toro                  | 68,250  | 277,594                      |
| C  | I-5 San Diego/South of El Toro                  | 142,545   | 579,784                      |
| D  | I-5 Santa Ana/San Diego Interchange Upgrades    | 58,656  | 238,572                      |
| E  | SR-22 Garden Grove Freeway Access Improvements  | 27,282  | 110,963                      |
| F  | SR-55 Costa Mesa Freeway Improvements           | 83,209  | 338,439                      |
| G  | SR-57 Orange Freeway Improvements               | 58,815  | 239,219                      |
| H  | SR-91 Improvements from I-5 to SR-57            | 31,829  | 129,457                      |
| I  | SR-91 Improvements from SR-57 to SR-55          | 94,690  | 385,136                      |
| J  | SR-91 Improvements from SR-55 to County Line    | 80,072  | 325,678                      |
| K  | I-405 Improvements between I-605 to SR-55       | 243,898   | 992,014                      |
| L  | I-405 Improvements between SR-55 to I-5         | 72,683  | 295,625                      |
| M  | I-605 Freeway Access Improvements               | 4,547   | 18,494                       |
| N  | All Freeway Service Patrol                      | 34,102  | 138,704                      |
|  | Freeway Mitigation                              | 58,286  | 237,068                      |
|  | Subtotal Projects                               | 1,165,717                                       | 4,741,354                    |
|  | Net (Bond Revenue)/Debt Service                 | -   | -                            |
|  | <b>Total Freeways</b>                           | <b>\$ 1,165,717</b>                             | <b>\$ 4,741,354</b>          |
|  | <b>%</b>  |   |                              |
| <b>Street and Roads Projects (32% of Net Revenues)</b> |   |   |                              |
| O  | Regional Capacity Program                       | \$ 271,100                                      | \$ 1,102,655                 |
| P  | Regional Traffic Signal Synchronization Program | 108,435   | 441,042                      |
| Q  | Local Fair Share Program                        | 487,974   | 1,984,752                    |
|  | Subtotal Projects                               | 867,509   | 3,528,449                    |
|  | Net (Bond Revenue)/Debt Service                 | -   | -                            |
|  | <b>Total Street and Roads Projects</b>          | <b>\$ 867,509</b>                               | <b>\$ 3,528,449</b>          |
|  | <b>%</b>  |   |                              |

## FINANCING

### Schedule of Revenues, Expenditures and Changes in Fund Balance as of September 30, 2020 (Unaudited) Schedule 3

| Expenditures<br>through<br>Sept 30, 2020<br>(J) | Reimbursements<br>through<br>Sept 30, 2020<br>(K) | Net<br>M2 Cost<br>(L) |
|---|---|-----------------------|
| \$ 10,090                                       | \$ 7,385  | \$ 2,705              |
| 10,505  | 7,952   | 2,553                 |
| 190,394   | 47,897  | 142,497               |
| 2,302   | 527   | 1,775                 |
| 5   | -   | 5                     |
| 37,880  | 20,101  | 17,779                |
| 51,356  | 12,429  | 38,927                |
| 34,911  | 824   | 34,087                |
| 24,427  | 23,187  | 1,240                 |
| 7,125   | 5,700   | 1,425                 |
| 733,454   | 114,478   | 618,976               |
| 9,189   | 6,954   | 2,235                 |
| 2,279   | 16  | 2,263                 |
| 5,990   | -   | 5,990                 |
| 55,470  | 3,981   | 51,489                |
| 1,175,377                                       | 251,431   | 923,946               |
| 59,638  | -   | 59,638                |
| \$ 1,235,015                                    | \$ 251,431  | \$ 983,584            |
|   |   | 41.9%                 |
| \$ 775,328                                      | \$ 506,691  | \$ 268,637            |
| 71,850  | 5,977   | 65,873                |
| 469,078   | 77  | 469,001               |
| 1,316,256                                       | 512,745   | 803,511               |
| 66,241  | -   | 66,241                |
| \$ 1,382,497                                    | \$ 512,745  | \$ 869,752            |
|   |   | 37.1%                 |

## FINANCING

Schedule of Revenues, Expenditures and Changes in Fund Balance as of  
**September 30, 2020 (Unaudited)**  
Schedule 3

| Project                                       | Description  | Net Revenues<br>through<br>Sept 30, 2020 | Total<br>Net Revenues |
|---|--|--|-----------------------|
|   | (G)<br>(\$ in thousands)   | (H)                                      | (I)                   |
| <b>Transit Projects (25% of Net Revenues)</b> |  |  |                       |
| R   | High Frequency Metrolink Service                                     | \$ 257,790                               | \$ 1,099,720          |
| S   | Transit Extensions to Metrolink                                      | 239,316                                  | 973,376               |
| T   | Metrolink Gateways   | 32,212                                   | 56,358                |
| U   | Expand Mobility Choices for Seniors and Persons<br>with Disabilities | 88,236                                   | 382,342               |
| V   | Community Based Transit/Circulators                                  | 54,205                                   | 220,470               |
| W   | Safe Transit Stops   | 5,983                                    | 24,334                |
|   | Subtotal Projects  | 677,742                                  | 2,756,600             |
|   | Net (Bond Revenue)/Debt Service                                      | -  | -                     |
|   | <b>Total Transit Projects</b>  | <b>\$ 677,742</b>                        | <b>\$ 2,756,600</b>   |
|   | %  |  |                       |
| <b>Environmental Cleanup (2% of Revenues)</b> |  |  |                       |
| X   | Clean Up Highway and Street Runoff<br>that Pollutes Beaches          | \$ 57,847                                | \$ 236,315            |
|   | Net (Bond Revenue)/Debt Service                                      | -  | -                     |
|   | <b>Total Environmental Cleanup</b>                                   | <b>\$ 57,847</b>                         | <b>\$ 236,315</b>     |
|   | %  |  |                       |
| <b>Taxpayer Safeguards and Audits</b>         |  |  |                       |
|   | Collect Sales Taxes (1.5% of Sales Taxes)                            | \$ 42,047                                | \$ 174,080            |
|   | %  |  |                       |
|   | Oversight and Annual Audits (1% of Revenues)                         | \$ 28,923                                | \$ 118,158            |
|   | %  |  |                       |

## FINANCING

Schedule of Revenues, Expenditures and Changes in Fund Balance as of  
**September 30, 2020 (Unaudited)**  
Schedule 3

| Expenditures<br>through<br>Sept 30, 2020<br>(J) | Reimbursements<br>through<br>Sept 30, 2020<br>(K) | Net<br>M2 Cost<br>(L) |
|---|---|-----------------------|
| \$ 318,042                                      | \$ 98,743   | \$ 219,299            |
| 104,357   | 2,133   | 102,224               |
| 98,220  | 60,956  | 37,264                |
| 84,603  | 88  | 84,515                |
| 12,007  | 1,318   | 10,689                |
| 1,114   | 26  | 1,088                 |
| 618,343   | 163,264   | 455,079               |
| 37,045  | -   | 37,045                |
| \$ 655,388                                      | \$ 163,264  | \$ 492,124            |
|   |   | 21.0%                 |
| \$ 44,541                                       | \$ 292  | \$ 44,249             |
| -   | -   | -                     |
| \$ 44,541                                       | \$ 292  | \$ 44,249             |
|   |   | 1.5%                  |
| \$ 30,299                                       | \$ -  | \$ 30,299             |
|   |   | 1.1%                  |
| \$ 28,607                                       | \$ -  | \$ 28,607             |
|   |   | 1.0%                  |



## LOCAL FAIR SHARE

| M2 Funds         |                           |               |
|------------------|---------------------------|---------------|
| ENTITY           | 1ST QUARTER<br>FY 2020-21 | FUNDS TO DATE |
| ALISO VIEJO      | 116,845.62                | \$5,842,616   |
| ANAHEIM          | 1,016,842.52              | \$48,375,302  |
| BREA             | 168,048.97                | \$8,396,655   |
| BUENA PARK       | 250,203.15                | \$13,074,766  |
| COSTA MESA       | 432,387.87                | \$21,391,860  |
| CYPRESS          | 151,363.88                | \$7,728,267   |
| DANA POINT       | 98,998.19                 | \$4,881,196   |
| FOUNTAIN VALLEY  | 178,181.25                | \$9,096,649   |
| FULLERTON        | 378,759.95                | \$19,065,397  |
| GARDEN GROVE     | 434,141.83                | \$21,801,978  |
| HUNTINGTON BEACH | 565,387.71                | \$28,522,615  |
| IRVINE           | 841,431.12                | \$39,791,684  |
| LAGUNA BEACH     | 72,093.14                 | \$3,739,386   |
| LAGUNA HILLS     | 97,192.56                 | \$4,993,732   |
| LAGUNA NIGUEL    | 190,317.18                | \$9,759,307   |
| LAGUNA WOODS     | 36,155.24                 | \$1,865,709   |
| LA HABRA         | 154,516.14                | \$7,720,350   |
| LAKE FOREST      | 234,382.49                | \$11,625,736  |

## LOCAL FAIR SHARE

| M2 Funds               |                           |                      |
|------------------------|---------------------------|----------------------|
| ENTITY                 | 1ST QUARTER<br>FY 2020-21 | FUNDS TO DATE        |
| LA PALMA               | 41,049.17                 | \$2,399,114          |
| LOS ALAMITOS           | 36,723.87                 | \$1,902,740          |
| MISSION VIEJO          | 265,518.35                | \$13,700,692         |
| NEWPORT BEACH          | 319,861.93                | \$16,134,419         |
| ORANGE                 | 489,362.61                | \$24,174,070         |
| PLACENTIA              | 136,692.92                | \$6,728,503          |
| RANCHO SANTA MARGARITA | 121,985.74                | \$6,207,733          |
| SAN CLEMENTE           | 166,312.65                | \$8,252,578          |
| SAN JUAN CAPISTRANO    | 110,287.11                | \$5,560,330          |
| SANTA ANA              | 804,500.27                | \$40,757,358         |
| SEAL BEACH             | 68,968.07                 | \$3,662,623          |
| STANTON                | 85,606.20                 | \$4,374,594          |
| TUSTIN                 | 263,892.18                | \$13,123,507         |
| VILLA PARK             | 14,914.58                 | \$764,722            |
| WESTMINSTER            | 244,089.09                | \$12,536,899         |
| YORBA LINDA            | 177,711.40                | \$8,817,471          |
| COUNTY UNINCORPORATED  | 608,830.09                | \$27,746,519         |
| <b>TOTAL M2 FUNDS</b>  | <b>9,373,555.04</b>       | <b>\$464,517,080</b> |

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Non-bolded = Planned/Baseline

**Bold = Forecasted/Actual**

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

\*Status through September 2020. For detailed project information, please refer to the individual project section within this report.



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**Bold = Forecasted/Actual**

| Capital Projects  | Cost<br>Baseline/Forecast | Schedule<br>Plan/Forecast |                 |                |                          |
|---|---------------------------|---------------------------|-----------------|----------------|--------------------------|
|   | (millions)                | Begin<br>Environmental    | Begin<br>Design | Award Contract | Complete<br>Construction |
| I-5, SR-73 to El Toro Road (Landscape)                      | TBD                       | N/A                       | TBD             | TBD            | TBD                      |
| Project C   | \$12.4                    | N/A                       | Jul-22          | Nov-24         | Jun-26                   |
| I-5, I-5/El Toro Road Interchange                           | TBD                       | Apr-17                    | TBD             | TBD            | TBD                      |
| Project D <b>Cost/Schedule Risk</b>                         | TBD                       | <b>Apr-17</b>             | TBD             | TBD            | TBD                      |
| SR-55, I-405 to I-5   | \$410.9                   | Feb-11                    | Sep-17          | Jul-21         | Aug-25                   |
| Project F <b>Cost/Schedule Risk</b>                         | \$503.0                   | <b>May-11</b>             | <b>Sep-17</b>   | Apr-22         | Apr-26                   |
| SR-55, I-5 to SR-91   | TBD                       | Dec-16                    | TBD             | TBD            | TBD                      |
| Project F   | TBD                       | <b>Dec-16</b>             | TBD             | TBD            | TBD                      |
| SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue  | TBD                       | Apr-16                    | TBD             | TBD            | TBD                      |
| Project G   | TBD                       | <b>Apr-16</b>             | TBD             | TBD            | TBD                      |
| SR-57 (NB), Katella Avenue to Lincoln Avenue                | \$78.7                    | Apr-08                    | Jul-08          | Aug-11         | Sep-14                   |
| Project G   | \$38.0                    | <b>Apr-08</b>             | <b>Aug-08</b>   | <b>Oct-11</b>  | <b>Apr-15</b>            |
| SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape)    | N/A                       | N/A                       | N/A             | N/A            | N/A                      |
| Project G   | N/A                       | N/A                       | <b>May-09</b>   | <b>Sep-17</b>  | <b>Jun-18</b>            |
| SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard    | \$80.2                    | Aug-05                    | Feb-08          | Oct-10         | May-14                   |
| Project G   | \$52.3                    | <b>Aug-05</b>             | <b>Feb-08</b>   | <b>Oct-10</b>  | <b>Nov-14</b>            |
| SR-57 (NB), Yorba Linda Boulevard to Lambert Road           | \$79.3                    | Aug-05                    | Feb-08          | Oct-10         | Sep-14                   |
| Project G   | \$54.1                    | <b>Aug-05</b>             | <b>Feb-08</b>   | <b>Oct-10</b>  | <b>May-14</b>            |
| SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape) | N/A                       | N/A                       | N/A             | N/A            | N/A                      |
| Project G   | N/A                       | N/A                       | <b>Oct-14</b>   | <b>Feb-18</b>  | <b>Apr-19</b>            |
| SR-57 (NB), Lambert Road to Tonner Canyon                   | TBD                       | TBD                       | TBD             | TBD            | TBD                      |
| Project G   | TBD                       | Jul-23                    | TBD             | TBD            | TBD                      |

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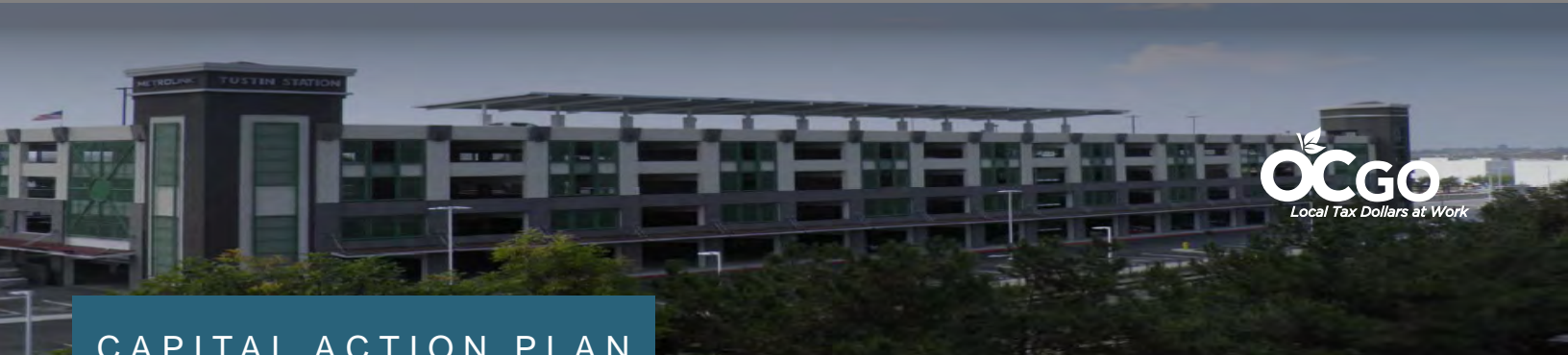
Red = Forecast milestone is over three months later than plan

Non-bolded = Planned/Baseline

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| Capital Projects                                 | Cost              | Schedule            |               |                |                       |
|--|-------------------|---------------------|---------------|----------------|-----------------------|
|  | Baseline/Forecast | Plan/Forecast       |               |                |                       |
|  | (millions)        | Begin Environmental | Begin Design  | Award Contract | Complete Construction |
| SR-91 Westbound (WB), I-5 to SR-57               | \$78.1            | Jul-07              | Oct-09        | Nov-12         | Apr-16                |
| Project H  | \$59.2            | <b>Jul-07</b>       | <b>Mar-10</b> | <b>Jan-13</b>  | <b>Jun-16</b>         |
| SR-91 Westbound (WB), I-5 to SR-57 (Landscape)   | N/A               | N/A                 | N/A           | N/A            | N/A                   |
| Project H  | N/A               | N/A                 | <b>Nov-14</b> | <b>Mar-17</b>  | <b>Nov-17</b>         |
| SR-91, SR-55 to Lakeview Avenue (Segment 1)      | \$100.9           | Jan-15              | Mar-20        | Feb-24         | Sep-27                |
| Project I  | \$100.9           | <b>Jan-15</b>       | <b>Mar-20</b> | <b>Feb-24</b>  | <b>Sep-27</b>         |
| SR-91, La Palma Avenue to SR-55 (Segment 2)      | \$208.4           | Jan-15              | Jun-20        | Jul-24         | Mar-28                |
| Project I  | \$208.4           | <b>Jan-15</b>       | <b>Jun-20</b> | <b>Jul-24</b>  | <b>Mar-28</b>         |
| SR-91, Acacia Street to La Palma Ave (Segment 3) | \$116.2           | Jan-15              | TBD           | TBD            | TBD                   |
| Project I  | \$116.2           | <b>Jan-15</b>       | Nov-20        | Sep-24         | May-28                |
| SR-91 (WB), Tustin Interchange to SR-55          | \$49.9            | Jul-08              | Jul-11        | Oct-13         | Jul-16                |
| Project I  | \$42.5            | <b>Jul-08</b>       | <b>Jun-11</b> | <b>Oct-13</b>  | <b>Jul-16</b>         |
| SR-91, SR-55 to SR-241                           | \$128.4           | Jul-07              | Jun-09        | Sep-11         | Dec-12                |
| Project J  | \$79.7            | <b>Jul-07</b>       | <b>Apr-09</b> | <b>May-11</b>  | <b>Mar-13</b>         |
| SR-91, SR-55 to SR-241 (Landscape)               | N/A               | N/A                 | N/A           | N/A            | N/A                   |
| Project J  | N/A               | N/A                 | <b>May-12</b> | <b>Oct-13</b>  | <b>Feb-15</b>         |
| SR-91 Eastbound, SR-241 to SR-71                 | \$104.5           | Mar-05              | Jul-07        | Jul-09         | Nov-10                |
| Project J  | \$57.8            | <b>Mar-05</b>       | <b>Jul-07</b> | <b>Aug-09</b>  | <b>Jan-11</b>         |
| I-405, I-5 to SR-55                              | TBD               | Dec-14              | TBD           | TBD            | TBD                   |
| Project L  | TBD               | <b>Dec-14</b>       | TBD           | TBD            | TBD                   |
| I-405, SR-55 to I-605 (Design-Build)             | \$1,900.0         | Mar-09              | Mar-14        | Nov-16         | May-23                |
| Project K  | \$1,900.0         | <b>Mar-09</b>       | <b>Mar-14</b> | <b>Nov-16</b>  | <b>May-23</b>         |

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| Capital Projects  | Cost              | Schedule            |               |                |                       |
|---|-------------------|---------------------|---------------|----------------|-----------------------|
|   | Baseline/Forecast | Plan/Forecast       |               |                |                       |
|   | (millions)        | Begin Environmental | Begin Design  | Award Contract | Complete Construction |
| I-605, I-605/Katella Interchange                              | \$29.0            | Aug-16              | TBD           | TBD            | TBD                   |
| Project M   | \$29.0            | <b>Aug-16</b>       | Dec-20        | Jun-23         | Feb-25                |
| <b>Grade Separation Projects:</b>                             |                   |                     |               |                |                       |
| Raymond Avenue Railroad Grade Separation                      | \$77.2            | Feb-09              | Mar-10        | May-13         | Aug-18                |
| Project O   | \$126.2           | <b>Feb-09</b>       | <b>Mar-10</b> | <b>Feb-14</b>  | <b>May-18</b>         |
| State College Boulevard Railroad Grade Separation (Fullerton) | \$73.6            | Dec-08              | Jul-06        | May-13         | May-18                |
| Project O   | \$99.6            | <b>Dec-08</b>       | <b>Jul-06</b> | <b>Feb-14</b>  | <b>Mar-18</b>         |
| Placentia Avenue Railroad Grade Separation                    | \$78.2            | Jan-01              | Jan-09        | Jun-11         | Nov-14                |
| Project O   | \$64.5            | <b>Jan-01</b>       | <b>Jan-09</b> | <b>Jul-11</b>  | <b>Dec-14</b>         |
| Kraemer Boulevard Railroad Grade Separation                   | \$70.4            | Jan-01              | Jan-09        | Aug-11         | Oct-14                |
| Project O   | \$63.8            | <b>Jan-01</b>       | <b>Feb-09</b> | <b>Sep-11</b>  | <b>Dec-14</b>         |
| Orangethorpe Avenue Railroad Grade Separation                 | \$117.4           | Jan-01              | Feb-09        | May-12         | Sep-16                |
| Project O   | \$105.9           | <b>Jan-01</b>       | <b>Feb-09</b> | <b>Jan-13</b>  | <b>Oct-16</b>         |
| Tustin Avenue/Rose Drive Railroad Grade Separation            | \$103.0           | Jan-01              | Feb-09        | Aug-12         | May-16                |
| Project O   | \$96.6            | <b>Jan-01</b>       | <b>Feb-09</b> | <b>Feb-13</b>  | <b>Oct-16</b>         |
| Lakeview Avenue Railroad Grade Separation                     | \$70.2            | Jan-01              | Feb-09        | May-13         | Mar-17                |
| Project O   | \$110.7           | <b>Jan-01</b>       | <b>Feb-09</b> | <b>Nov-13</b>  | <b>Jun-17</b>         |
| <b>Rail and Station Projects:</b>                             |                   |                     |               |                |                       |
| Sand Canyon Avenue Railroad Grade Separation                  | \$55.6            | N/A                 | Jan-04        | Feb-11         | May-14                |
| Project R   | \$61.9            | N/A                 | <b>Jan-04</b> | <b>Feb-11</b>  | <b>Jan-16</b>         |



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

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January 2018

## FREEWAY IMPROVEMENT PROGRAM

### Interstate 5 (I-5) Projects

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

### State Route 22 (SR-22) Projects

- E** SR-22 Access Improvements

### State Route 55 (SR-55) Projects

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

### State Route 57 (SR-57) Projects

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

### State Route 91 (SR-91) Projects

- H** SR-91 WB, I-5 to SR-57
- I** SR-91, SR-57 to SR-55
- J** SR-91, SR-55 to Riverside County Line

### Interstate 405 (I-405) Projects

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

### Interstate 605 (I-605) Projects

- M** I-605 Katella Interchange Improvements

**Freeway Mitigation Restoration Projects**  
Part of Projects A-M

**Freeway Mitigation Acquisition Projects**  
Part of Projects A-M

## STREETS & ROADS

- O** Grade Separation Program (shown)
- P** Signal Synchronization Project Corridors

## TRANSIT PROJECTS

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

## OC GO PROJECTS NOT SHOWN

**Project N:** Freeway Service Patrol

**Project O:** Streets & Roads - Regional Capacity Program

**Project Q:** Local Fair Share Program

**Project R:** Grade crossing and Trail Safety Enhancements  
Metrolink Service Expansion Program

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

**Project V:** Community Based Transit/Circulators

**Project W:** Safe Transit Stops

**Project X:** Environmental Cleanup Program



## COMMITTEE TRANSMITTAL

**January 11, 2021**

**To:** Members of the Board of Directors  
**From:** Andrea West, Interim Clerk of the Board *Andrea West*  
**Subject:** Measure M2 Environmental Mitigation Program Update

### Regional Planning and Highways Committee Meeting of January 4, 2021

**Present:** Directors Bartlett, Chaffee, Delgleize, Muller, and Murphy  
**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 5-0 by the Members present.

### **Committee Recommendation**

Receive and file as an information item.

### **Staff Discussion**

At the January 4, 2021, Regional Planning and Highways Committee meeting, staff pulled this item to note a necessary update to the staff report to clarify that none of the recent fires affected the OCTA Preserves (i.e., conservation properties). However, two of the fires have impacted multiple habitat restoration investments sponsored by OCTA. Page two, paragraphs three and four of the staff report have been updated accordingly.



**January 4, 2021**

**To:** Regional Highways and Planning Committee  
**From:** Darrell E. Johnson, Chief Executive Officer  
**Subject:** Measure M2 Environmental Mitigation Program Update

### **Overview**

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

### **Recommendation**

Receive and file as an information item.

### **Background**

Measure M2 (M2) includes the Environmental Mitigation Program (EMP) intended to mitigate certain impacts and streamline the approval process for 13 M2 freeway projects. This was achieved through the development of a Natural Community Conservation Plan/Habitat Conservation Plan (Conservation Plan), approved by the California Department of Fish and Wildlife (CDFW) and the United States Fish and Wildlife Service (Wildlife Agencies) in 2017. Consistent with the Conservation Plan, the Orange County Transportation Authority (OCTA) has purchased seven conservation properties (Preserves) and funded 12 habitat restoration projects (Attachment A). An endowment was established for the long-term management of the Preserves. In a parallel process, the United States Army Corps of Engineers (ACOE) and the State Water Resources Control Board (SWRCB) have also established a framework to expedite the regulatory permitting process.

The development of the Conservation Plan, the subsequent purchase of these Preserves, and the restoration projects has largely met the intent of the EMP, and the mitigation needs of the M2 freeway projects. Many of the restoration projects are close to or have obtained approvals from the Wildlife Agencies.

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***Discussion*****Conservation Plan Update**

As a commitment of the Conservation Plan, OCTA is required to prepare an annual report on the implementation processes. The 2019 Annual Report was completed and provided to the OCTA Board of Directors (Board) in July 2020. The report is available on the OCTA website at [http://octa.net/pdf/OCTA\\_M2\\_NCCP\\_HCP\\_AnnualReport\\_620\\_Agency\\_Approved\\_All.pdf](http://octa.net/pdf/OCTA_M2_NCCP_HCP_AnnualReport_620_Agency_Approved_All.pdf). OCTA will continue with its efforts to complete the required objectives in a timely manner. The next Conservation Plan Annual Report is anticipated to be completed in early 2021 and will be provided to the Board in the next EMP update.

**Silverado, Blue Ridge, and Bond Fire Impacts**

Three significant fires have impacted Orange County over the past three months. None of these fires affected the OCTA Preserves (i.e., conservation properties). However, two of these fires have impacted multiple habitat restoration investments sponsored by OCTA. On October 26, 2020, the Silverado and Blue Ridge fires ignited. A status update of these two fires was provided to the Environmental Oversight Committee (EOC) and the Board on October 29, 2020 and has since been updated (Attachment B). The Bond fire ignited in Orange County on Wednesday, December 2, 2020. A summary of this fire is also included in Attachment B.

As noted above, none of the OCTA Preserves were in the burn area, but several restoration projects were affected by the Silverado and Bond fires. Staff is coordinating with the jurisdictions involved with the fire response, as well as the Wildlife Agencies. OCTA will coordinate with the restoration project sponsors to fully assess the damage and then work closely with the Wildlife Agencies to discuss next steps. In addition, OCTA will seek federal funding opportunities related to the fires and will work with the Irvine Ranch Conservancy (IRC) to find innovative ways to aide in the restoration recovery.

**Bee Flat Canyon Restoration Project Completion**

In July 2020, the Wildlife Agencies officially approved the successful completion of the OCTA-funded Bee Flat Canyon Restoration Project. This 84-acre project is within Orange County Parks lands and was funded in April 2011. This restoration project was supported by IRC. The goal of the project was to reestablish a diverse, resilient, and self-sustaining ecosystem. This is the third OCTA-funded restoration project to meet its success criteria. Unfortunately, this project was affected by the Silverado fire. As stated above, OCTA will coordinate with the IRC to fully assess the damage and then work closely with the Wildlife Agencies to discuss next steps. As this project received sign off, OCTA will not be required by the Wildlife Agencies to provide any additional funding for fire damage repairs.

### OCTA Preserve Fire Management Plans

OCTA began developing fire management plans (Plans) for the Preserves in 2018 with an anticipated completion date of 2020. Each Preserve will have its own separate Plan. The Plans will provide guidelines for decision-making at all stages, including fire prevention, pre-fire vegetation management, suppression activities, and post-fire responses that are compatible with conservation and stewardship responsibilities. This includes annual vegetation thinning on the Preserves near homes and on the existing access roads.

The first Plan (Silverado Chaparral Preserve) has been approved by the Orange County Fire Authority. OCTA is coordinating with the Wildlife Agencies to obtain their approval. The remaining Plans were anticipated to be completed in 2020. However, due to coordination delays with Southern California Edison regarding easement confirmation, they are anticipated to be finalized in 2021. Once completed, these Plans will be publicly available.

### Trabuco Rose Preserve Gully Restoration

OCTA staff has been implementing an erosion stabilization project at the Trabuco Rose Preserve. The ongoing erosion has created a large gully in an unnamed tributary (Attachment C). This has affected the adjacent main access road, which is crucial for maintaining the property. Restoration and repairs have been proposed to restore the area. Engineers have finalized the restoration plan which includes the placement of rock to buttress the sides of the gully. The buttressing would reinforce the oak habitat and access road. Native plants would then be installed to help stabilize the rock and soften this new feature. Staff has been coordinating with the Wildlife Agencies and the ACOE as this project will require permits and approvals from these agencies.

### Clean Water Act Permits Update

The M2 freeway projects are anticipated to impact jurisdictional waters, or waters that are subject to regulation by the ACOE, the SWRCB, and the CDFW, which will require mitigation. Before construction activities can occur, OCTA must obtain sections 401 and 404 Clean Water Act permits from the regulatory agencies. The Conservation Plan mitigation was utilized to help obtain Clean Water Act permits. This has streamlined the project-level permitting processes. These efforts are the result of years of collaboration between OCTA and the regulatory agencies and constitute another groundbreaking milestone for the M2 EMP.

### Freeway Projects Update

The following projects are in construction and were able to benefit from the EMP. Without the EMP's established process, these projects could have incurred mitigation-related requirements and unknown costs, resulting in project cost and schedule risks.

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

A strong partnership has been forged through collaboration with the environmental community as exemplified by their participation on the EOC. Furthermore, there has been reduction in risk from the threat of potential lawsuits because of these partnerships.

### Endowment Fund

The Conservation Plan permits were issued by the Wildlife Agencies in mid-2017. As a result, the M2 environmental process has been streamlined, allowing OCTA to expedite the M2 freeway projects. The Conservation Plan requires the establishment of a \$34.5 million endowment to fund the long-term management of the Preserves. To date, OCTA has made five endowment deposits. Quarterly investment reports are provided to the Board, with the most recent one in December 2020. As of September 30, 2020, the balance was \$16,046,435. The balance is above the fiscal year 2021 target of \$16,002,055. Staff will continue assess market conditions and provide regular endowment updates to the Board, Finance and Administration Committee, and the EOC.

### ***Summary***

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



***Attachments***

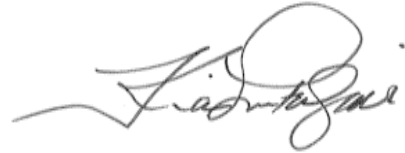
- A. OCTA Preserves and Funded Restoration Projects
- B. Silverado, Blue Ridge, and Bond Fires Update
- C. OCTA Trabuco Rose Gully Location Map and Photo

**Prepared by:**



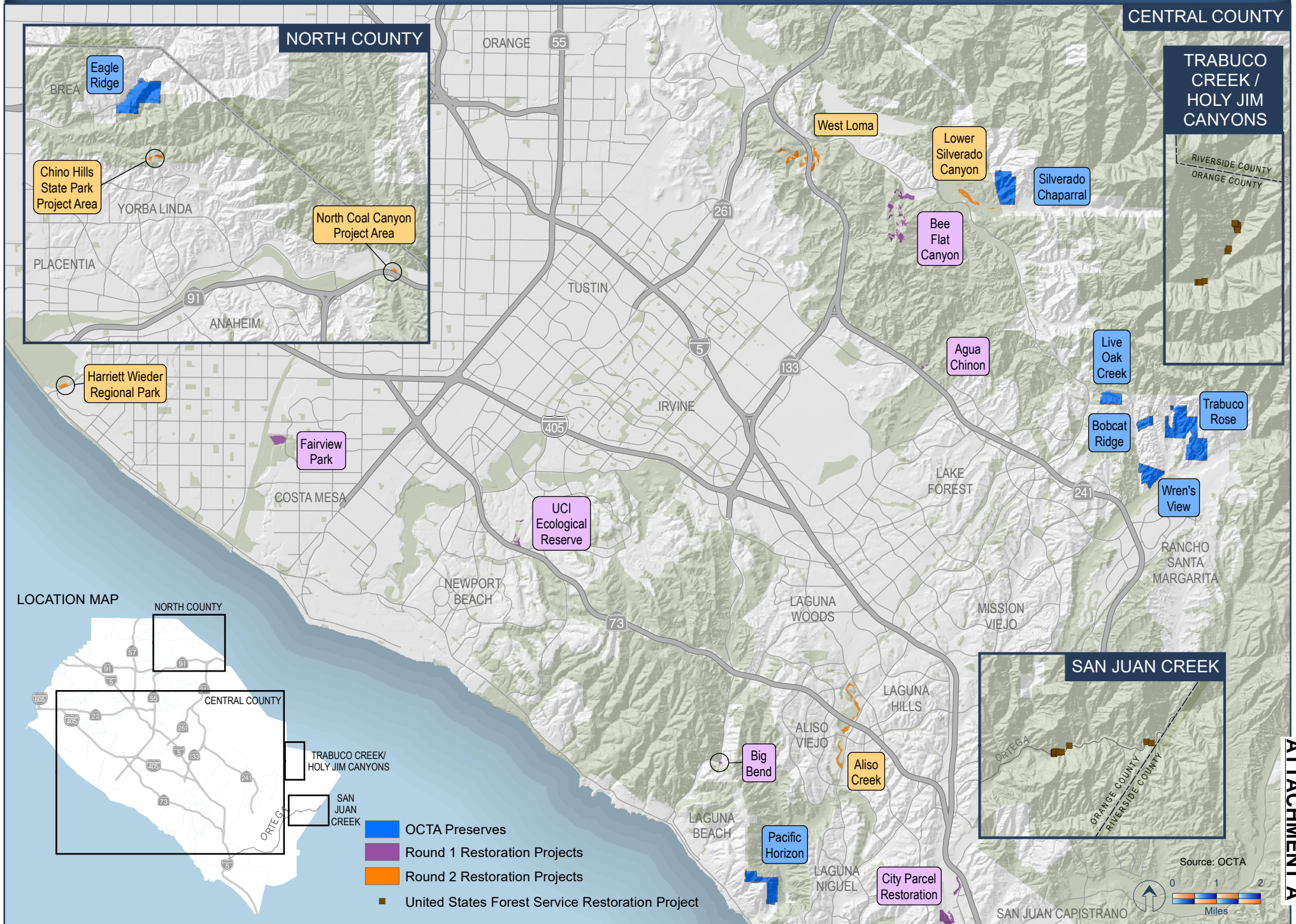
Lesley Hill  
Environmental Mitigation  
Project Manager  
(714) 560-5759

**Approved by:**



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

# OCTA Preserves and Funded Restoration Projects



## Silverado, Blue Ridge, and Bond Fires Update

### Background

Two wind-driven fires occurred in Orange County on October 26, 2020. The Silverado fire started in the morning near Santiago Canyon Road and Silverado Canyon Road in unincorporated Orange County and quickly spread toward Irvine. The Blue Ridge fire started in the afternoon near the Green River Golf Club and State Route 91 and quickly spread into Chino Hills State Park toward Yorba Linda burning in both San Bernardino and Orange counties. The Blue Ridge fire burned a total of 13,964 acres. The fires did not impact any of the Orange County Transportation Authority's (OCTA) Environmental Mitigation Program (EMP) preserves. However, three habitat restoration projects funded by OCTA were affected by the Silverado fire.

A third wind-driven fire occurred in Orange County late in the evening on December 2, 2020. The fire ignited in Silverado Canyon in unincorporated Orange County and spread west towards Irvine. The fire narrowly missed the OCTA EMP Silverado Chaparral Preserve. The West Loma Restoration Project, which had been previously impacted by the Silverado fire was once again impacted by the Bond fire. The three fires, together with the OCTA Preserves and restoration projects, have been mapped and are attached (Exhibit A through Exhibit C). A summary of the impacts is provided below.

### Discussion

The Blue Ridge fire did not impact any of the OCTA Preserves or restoration projects. However, the October Silverado fire located in the eastern part of the County, burned approximately 12,466 acres and impacted three OCTA restoration projects. In addition, the Bond fire also located in the eastern part of the County, burned approximately 6,686 acres in December and impacted the OCTA funded West Loma and Bee Flat Canyon restoration projects. The West Loma and Bee Flat restoration projects were also previously impacted by the Silverado fire. The Silverado Chaparral Preserve (204 acres) was not far from where the Silverado fire ignited and again narrowly missed being burned by the Bond fire in December. The table below provides a breakdown of the impacts caused by these fires.

The Irvine Ranch Conservancy (IRC) has sponsored several OCTA restoration projects. Based on coordination and site visits with the IRC, three projects have been affected. These restoration projects include West Loma, Bee Flat Canyon, and Agua Chinon.

## Silverado, Blue Ridge, and Bond Fires Update

The Bee Flat Canyon and Agua Chinon restoration areas are in different geographic locations but were funded together as one project by OCTA. The Bee Flat Canyon Restoration Project was just approved and accepted by the United States Fish and Wildlife Service and the California Department of Fish and Wildlife (Wildlife Agencies). OCTA staff highlighted this successful restoration project at the August 5, 2020 Environmental Oversight Committee (EOC) meeting.

The West Loma and Agua Chinon projects are in various stages of restoration and have not yet been signed off. Agua Chinon was anticipated to be signed off in 2021 (see the table below for more details).

IRC Restoration Projects Impacted by the Recent Fires

| Name                            | Project Cost | Approximate Acreage | Acreage Burned Silverado Fire* | Acreage Burned Bond Fire* | Total Acreage Burned* |
|---------------------------------|--------------|---------------------|--------------------------------|---------------------------|-----------------------|
| West Loma                       | \$1,322,800  | 62                  | 0.8                            | 26                        | 26.8                  |
| Bee Flat Canyon and Agua Chinon | \$1,497,160  | 84                  | 82.6                           | 1.4                       | 84                    |
|                                 |              | 6                   | 6                              | 0                         | 6                     |

\*Acreage is estimated for impacts until the projects can be fully assessed by IRC staff.

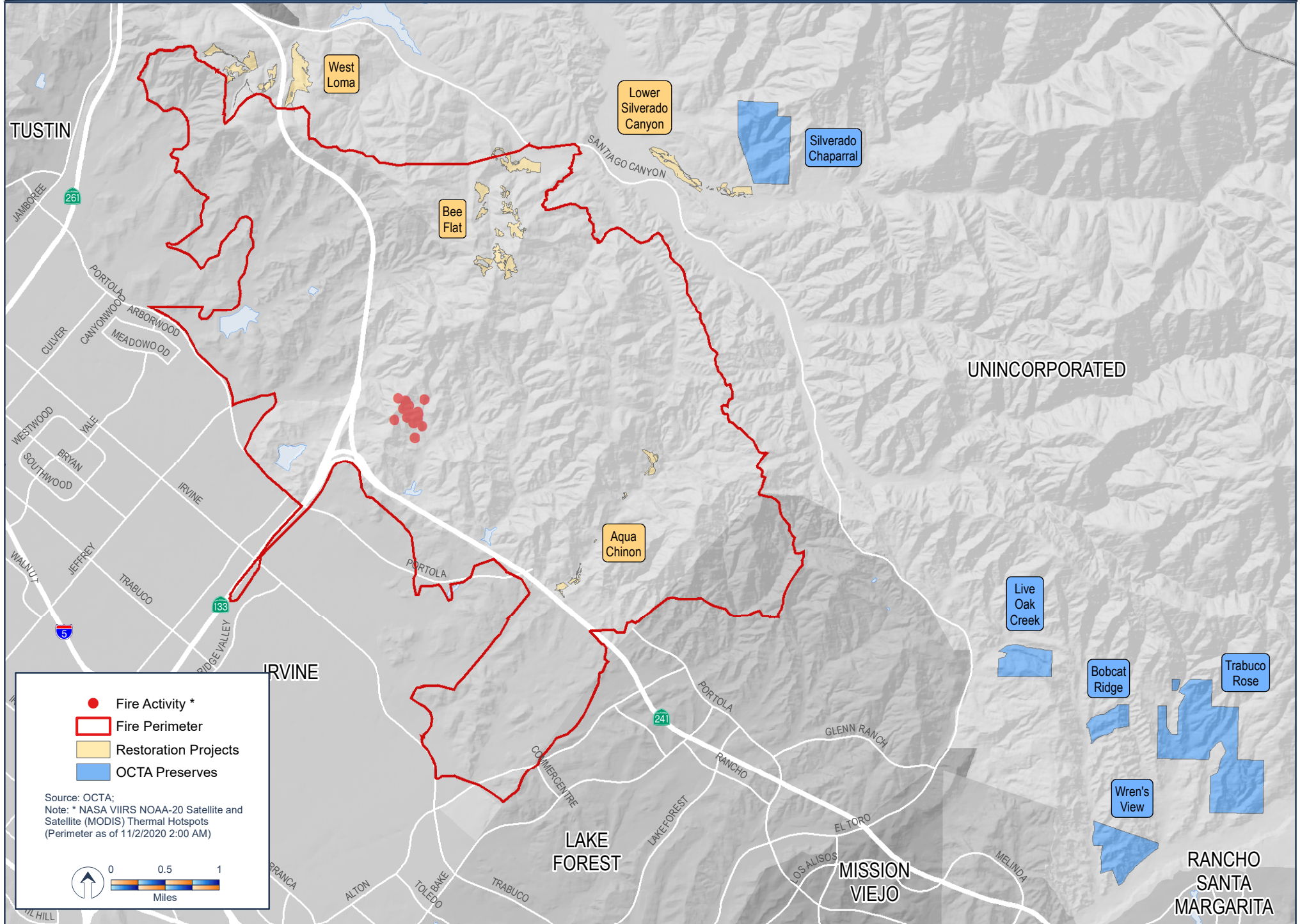
In summary, none of the OCTA preserves were affected by the fires, but three OCTA-funded restoration projects were affected between the Silverado and Bond fires.

### Next Steps

OCTA will continue to coordinate closely with the IRC and the Wildlife Agencies to discuss project needs and recommendations, as well as OCTA's commitments and obligations. Updates will be provided to the EOC.

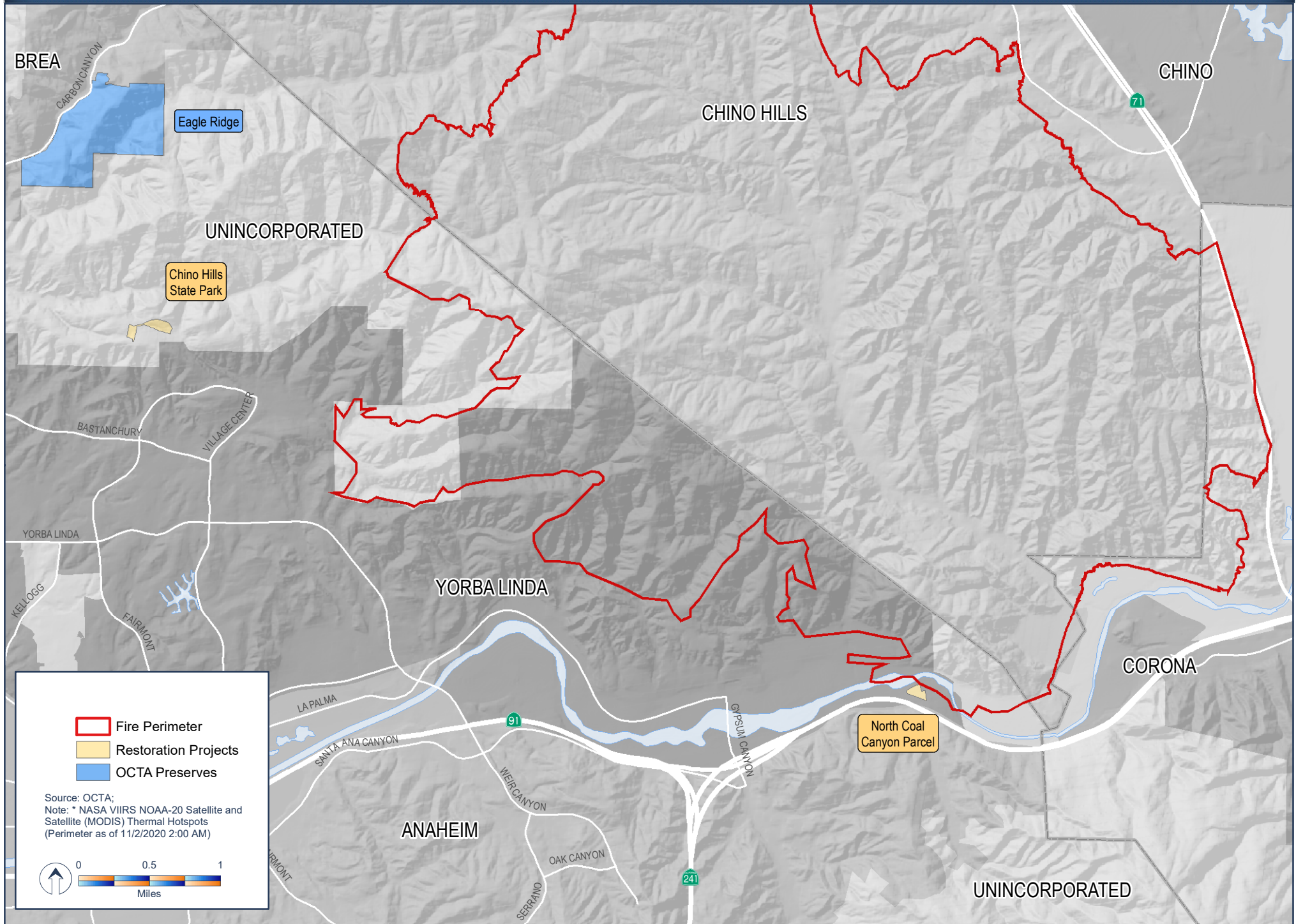


# Exhibit A: OCTA Preserves and Restoration Projects near Silverado Fire



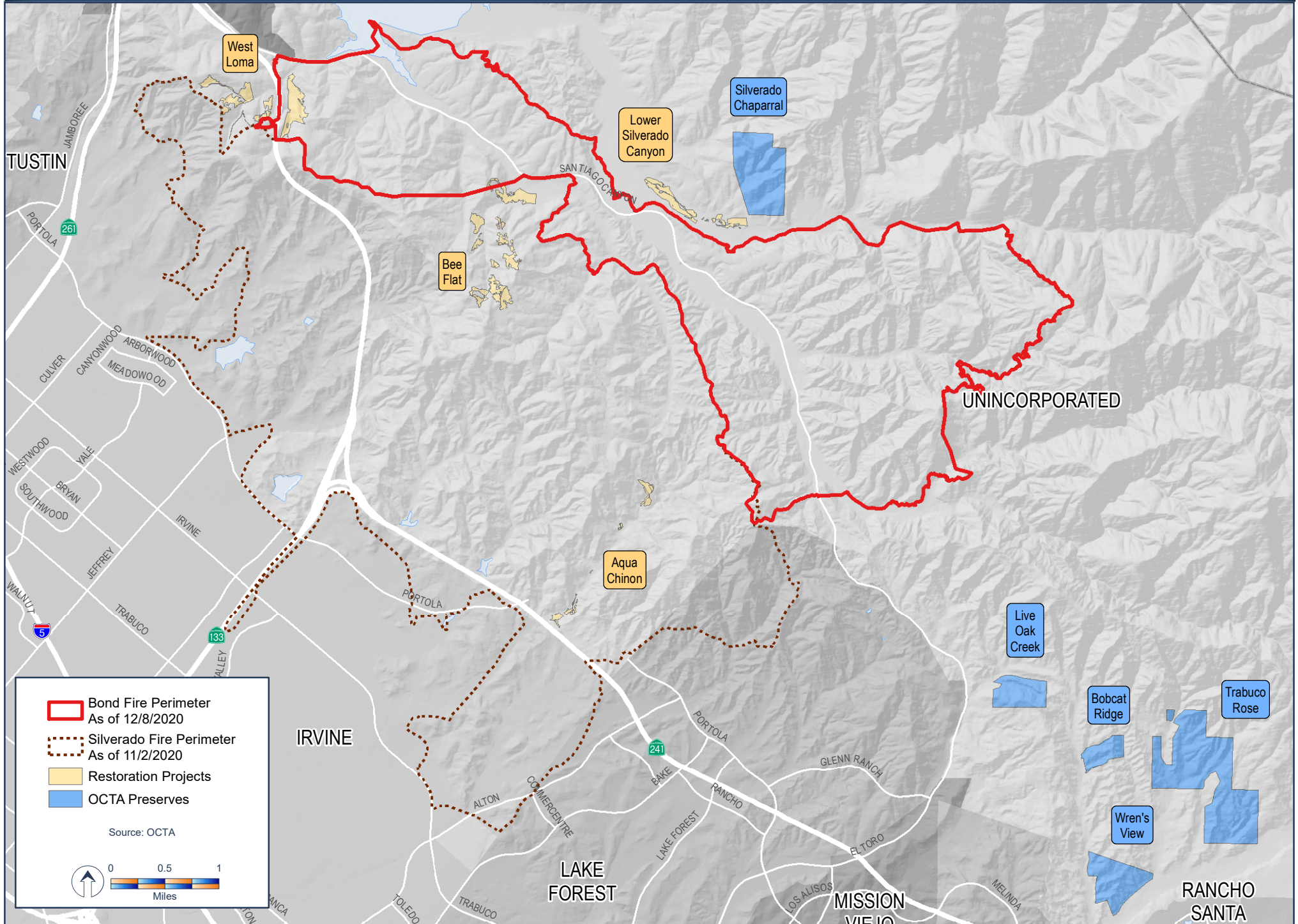


# Exhibit B: OCTA Preserves and Restoration Projects near Blue Ridge Fire



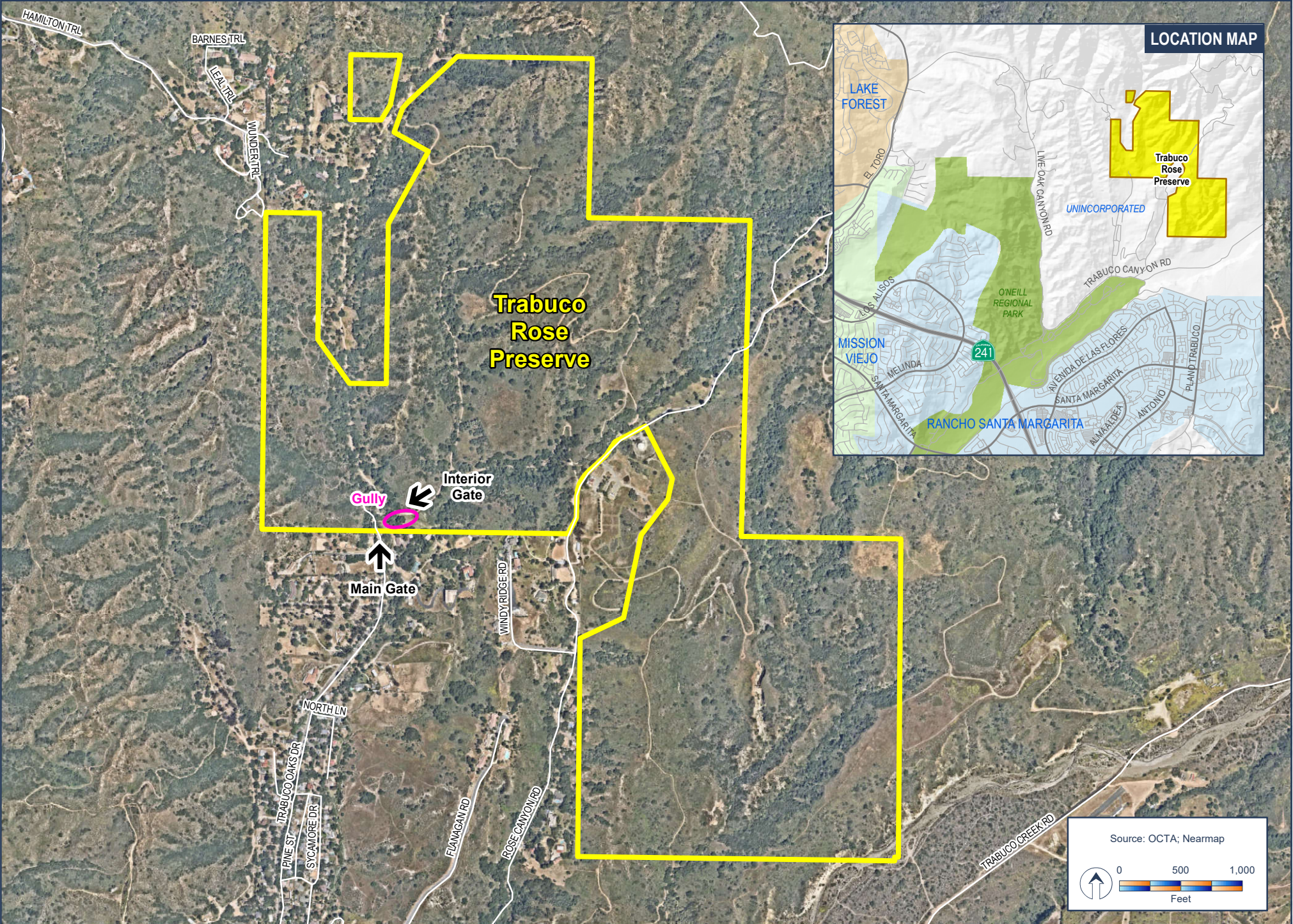


# Exhibit C: OCTA Preserves and Restoration Projects Near Bond and Silverado Fires

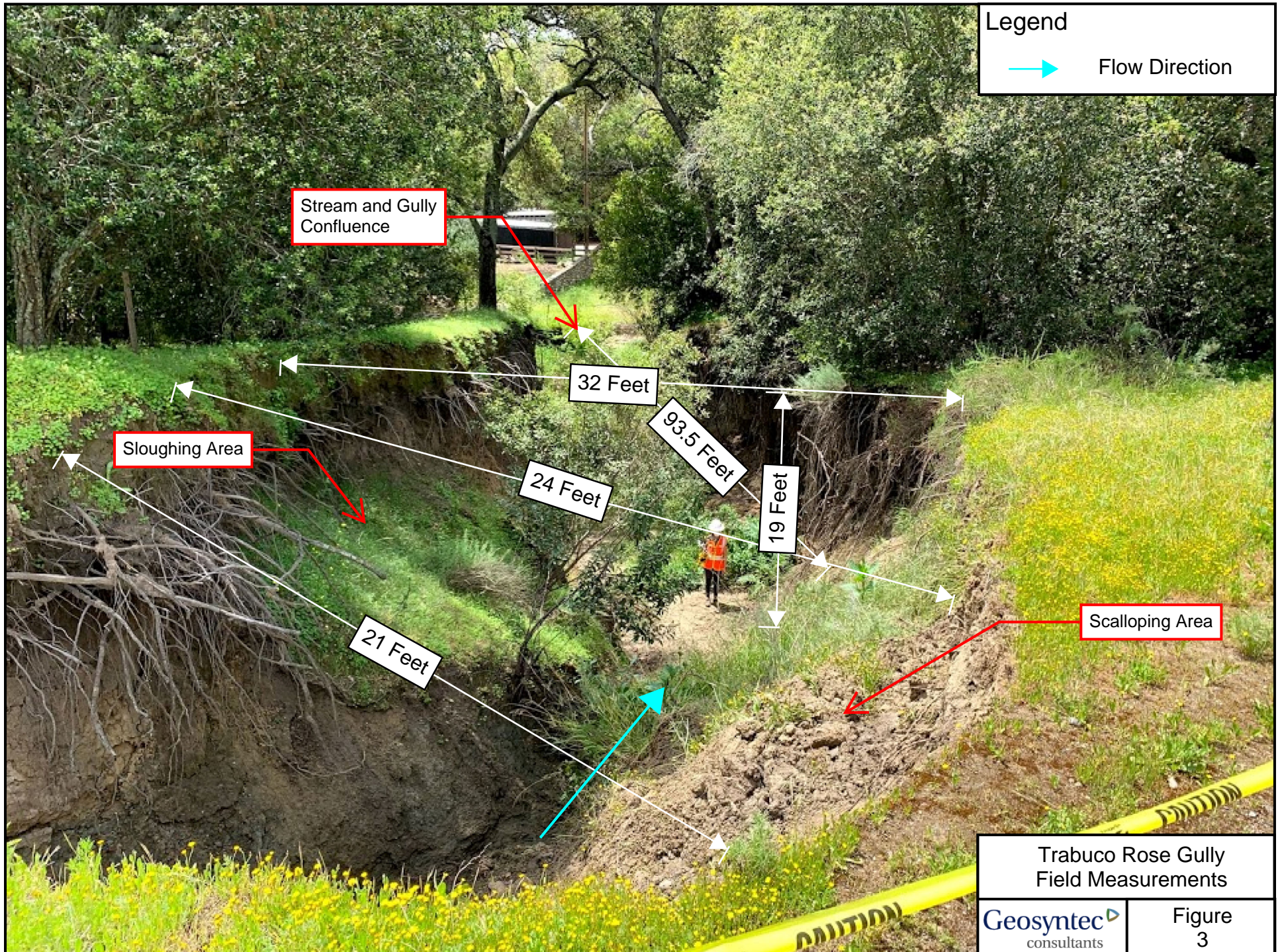




OCTA Trabuco Rose Gully Location Map and Photo











## COMMITTEE TRANSMITTAL

**January 11, 2021**

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

**From:** Andrea West, Interim Clerk of the Board *Andrea West*

**Subject:** State Route 55 Improvement Project from Interstate 405 to Interstate 5 Funding Plan Update and SB 1 (Chapter 5, Statutes of 2017) Grant Acceptance

### Regional Planning and Highways Committee Meeting of January 4, 2021

**Present:** Directors Bartlett, Chaffee, Delgleize, Muller, and Murphy  
**Absent:** None

### **Committee Vote**

Following the roll call vote, this item was declared passed 5-0 by the Members present.

### **Committee Recommendations**

- A. Adopt Resolution No. 2021-001, to accept the Trade Corridor Enhancement Program Grant Award from the California Transportation Commission for \$115 million, to commit to the required match of 30 percent for the State Route 55 Improvement Project from Interstate 405 to Interstate 5, and to negotiate and execute any grant required agreements.
- B. Adopt Resolution No. 2021-002, to accept the Local Partnership Program-Competitive Grant Award from the California Transportation Commission for \$25 million, to commit to the required match of 50 percent for the State Route 55 Improvement Project from Interstate 405 to Interstate 5, and to negotiate and execute any grant required agreements.
- C. Authorize the use of up to \$36 million in additional federal Surface Transportation Block Grant Program funds, up to \$22 million in federal Congestion Mitigation and Air Quality Improvement Program funds, and the reduction of Measure M2 Freeway Program funds of \$29.5 million for the State Route 55 Improvement Project from Interstate 405 to Interstate 5.



**Committee Recommendations (Continued)**

- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate programming of the project.



**January 4, 2021**

**To:** Regional Planning and Highways Committee

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

**Subject:** State Route 55 Improvement Project from Interstate 405 to Interstate 5 Funding Plan Update and SB 1 (Chapter 5, Statutes of 2017) Grant Acceptance

### **Overview**

In early December 2020, the California Transportation Commission awarded the Orange County Transportation Authority \$140 million in competitive SB 1 (Chapter 5, Statutes of 2017) Trade Corridor Enhancement Program and SB 1 Local Partnership Program-Competitive funding. Board of Directors' approval is requested to formally accept the grant awards and program additional federal funds to support the implementation of the State Route 55 Improvement Project from Interstate 405 to Interstate 5.

### **Recommendations**

- A. Adopt Resolution No. 2021-001, to accept the Trade Corridor Enhancement Program Grant Award from the California Transportation Commission for \$115 million, to commit to the required match of 30 percent for the State Route 55 Improvement Project from Interstate 405 to Interstate 5, and to negotiate and execute any grant required agreements.
- B. Adopt Resolution No. 2021-002, to accept the Local Partnership Program-Competitive Grant Award from the California Transportation Commission for \$25 million, to commit to the required match of 50 percent for the State Route 55 Improvement Project from Interstate 405 to Interstate 5, and to negotiate and execute any grant required agreements.
- C. Authorize the use of up to \$36 million in additional federal Surface Transportation Block Grant Program funds, up to \$22 million in federal Congestion Mitigation and Air Quality Improvement Program funds, and the reduction of Measure M2 Freeway Program funds of \$29.5 million for the State Route 55 Improvement Project from Interstate 405 to Interstate 5.

- D. Authorize staff to process all necessary amendments to the Federal Transportation Improvement Program to facilitate programming of the project.

### ***Background***

In March 2020, the California Transportation Commission (CTC) adopted program guidelines and initiated calls for projects for three SB 1 competitive programs: Trade Corridor Enhancement Program (TCEP), Local Partnership Program-Competitive (LPP-C), and the Solutions for Congested Corridors Program (SCCP). Combined, the programs make approximately \$2 billion in funding available for transportation projects. Consistent with the Orange County Transportation Authority (OCTA) Board of Directors (Board)-approved Capital Programming Policies and the OCTA Competitive Grant Policy, OCTA submitted the State Route 55 (SR-55) Improvement Project from Interstate 405 (I-405) to Interstate 5 (I-5) (SR-55 Improvement Project) nomination to the three programs for consideration.

The Board previously approved a funding plan for the project that included state, federal, and Measure M2 (M2) funds but the funding plan also left a funding gap that could potentially be filled through various grant programs. The SB 1 awards provide full funding and also support a cost increase in the construction phase.

### ***Discussion***

At the December 2-3, 2020 CTC meeting, the CTC awarded OCTA \$140 million in TCEP (\$115 million) and LPP-C (\$25 million) funds for the SR-55 Improvement Project. The SR-55 Improvement Project is a critical component of the voter-approved M2 Freeway Program and is identified as Project F. The project, which is being delivered in partnership with the California Department of Transportation (Caltrans), will construct an additional general purpose, high-occupancy vehicle and auxiliary lane in both directions between I-405 and I-5.

The 2016 Quarterly Caltrans Mobility Performance Report ranked the SR-55 as the 21<sup>st</sup> most congested freeway in the State out of 172 freeways, with over 815,000 hours of congestion delay in the first half of 2016. As a result, arterials and the surrounding communities are also heavily congested during peak travel periods. The improvements are expected to significantly improve mobility and increase access to jobs, healthcare facilities, John Wayne Airport, and facilitate goods movement and access to various educational facilities in and around Orange County. The SR-55 Improvement Project will improve throughput, reduce congestion by up to 41 percent, improve mobility and safety, and support the movement of freight and commuters in Orange County.

In June and July 2020, when the project nominations for the SB 1 funds were submitted, the total project cost, not including OCTA internal risk and legal costs, was estimated to be approximately \$349 million. Over the last several months, OCTA and Caltrans have been refining the final estimates for right-of-way (ROW) and construction phases, as well as the project schedule. The most recent estimates indicate that the project components that can be supported through state and federal grants will cost approximately \$473 million. However, OCTA typically programs additional funds internally to support additional internal risk and legal costs, which brings the estimate at completion to approximately \$505 million.

The SB 1 awards, totaling \$140 million and combined with additional federal funds, will allow OCTA to fully fund the project. Staff is requesting Board approval of up to approximately \$36 million in additional federal Surface Transportation Block Grant (STBG) Program funds and approximately \$22 million in additional federal Congestion Mitigation and Air Quality Improvement (CMAQ) Program funds to support ROW. A table depicting the previous funding plan and the proposed funding plan with the SB 1 awards and the additional federal funds is provided below.

**SR-55 Improvement Project Proposed Funding**

| Funding Programs | Previous Funding Plan<br>(in 000's) | Proposed Funding Plan<br>(in 000's) | Difference:<br>(in 000's) |
|------------------|-------------------------------------|-------------------------------------|---------------------------|
| LPP-C            | 0                                   | \$25,000                            | \$25,000                  |
| SHOPP            | \$46,800                            | \$42,700                            | (\$4,100)                 |
| STIP             | \$80,000                            | \$80,000                            | \$0                       |
| TCEP             | 0                                   | \$115,000                           | \$115,000                 |
| CMAQ             | \$23,355                            | \$44,900                            | \$21,545                  |
| STBG             | \$80,450                            | \$116,500                           | \$36,050                  |
| M2 committed     | \$48,607                            | \$48,700                            | \$93                      |
| Grant proposals  | \$70,000                            |                                     | (\$70,000)                |
| Total:           | \$349,212                           | \$472,800                           | \$123,588                 |

M2 Internal Risk/ Legal                      \$32,200  
Total Proposed Funding:                      \$505,000

STIP – State Transportation Improvement Program / SHOPP – State Highway Operation and Protection Program



Under previous Board action, the total M2 funding held in the project for OCTA legal costs and internal risk was \$61.7 million. As the project proceeds toward construction, OCTA reviews the internal risk values, and as the risks are resolved or addressed, the project plans and cost estimates are updated. The current project budget allowance for risks is now estimated to be \$32.2 million as is noted in the above table. This means some of the risks are resolved or explicitly included in the project cost estimate, hence a higher project cost, but also an opportunity to lower the allowance for unforeseen risks in the project budget. The revised cost estimate allows OCTA to reduce the M2 commitment by \$29.5 million.

SHOPP funding is also being adjusted downward consistent with the CTC requirement that SHOPP funds only support one-third of the cost of construction for the portion of the project limited to where the auxiliary lane is being added.

Ultimately, state and federal funds are supporting 84 percent of the total project cost with M2 funding 16 percent of the project cost. It should be noted that there may be costs in the ROW phase that cannot be funded through federal funds and may require M2 funds to be made available in the future for the project. As a result, a rebalancing of funding may be needed as the project progresses. And if this is required, OCTA will return to the Board in the future with a revised funding plan.

The use of federal STBG and CMAQ for this project is consistent with the Board-approved Capital Programming Policies regarding the use of federal funds for M2 Freeway Program projects. More detail on benefits of the SR-55 Improvement Project and these funding changes is provided in the SR-55 Improvement Project fact sheet (Attachment A).

As required by the grant program guidelines, OCTA Board Resolution No. 2021-001 (Attachment B) and No. 2021-002 (Attachment C) are presented for consideration authorizing the Chief Executive Officer, or his designee, to accept the grants totaling \$140 million and enter into grant agreements with CTC and Caltrans. Additionally, SB 1 requires a baseline agreement as part of the project delivery and will require approval from CTC and Caltrans. A summary outlining the terms of the baseline agreement is provided in Attachment D.

The revised Capital Program Funding Report is pending Board approval and is provided in Attachment E.

***Summary***

The CTC awarded OCTA \$140 million to support the SR-55 Improvement Project. Board authorization is requested to receive the grants and to program additional CMAQ and STBG funds.

***Attachments***

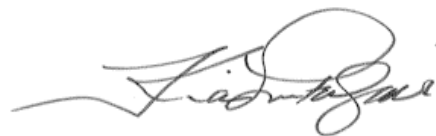
- A. State Route 55 Improvement Project from Interstate 405 to Interstate 5 Fact Sheet and Estimated Cost
- B. Resolution No. 2021-001 of the Orange County Transportation Authority Trade Corridor Enhancement Program Grant Authorization
- C. Resolution No. 2021-002 of the Orange County Transportation Authority Local Partnership Program-Competitive Grant Authorization
- D. Trade Corridor Enhancement Program and Local Partnership Program-Competitive, Term Sheet - Project Baseline Agreement
- E. Capital Funding Program Report

**Prepared by:**



Adriann Cardoso  
Capital Programming Manager  
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**Approved by:**



Kia Mortazavi  
Executive Director, Planning  
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# State Route 55 Improvement Project from Interstate 405 to Interstate 5 Fact Sheet and Estimated Cost

## PROJECT SCOPE

The State Route 55 (SR-55) from Interstate 405 (I-405) to Interstate 5 (I-5) (SR-55 Improvement Project) is a critical Measure M2 freeway component being delivered by the Orange County Transportation Authority (OCTA) and the California Department of Transportation (Caltrans), which will add a general purpose, high-occupancy vehicle (HOV) and auxiliary lanes in both directions between I-405 and I-5. The SR-55 Project is expected to significantly improve mobility and increase access to jobs, healthcare facilities, John Wayne Airport, and the various educational facilities in and around Orange County. The project will also improve freight access and throughput on the SR-55.

On December 2, 2020, The California Transportation Commission (CTC) staff recommended the project for funding through the following SB 1 (Chapter 5, Statutes of 2017) Programs:

- Local Partnership Program - \$25 million
- Trade Corridor Enhancement Program - \$115 million

## ABOUT THE CORRIDOR

- Approximately 1.5 million people living within five miles of the corridor.
- The corridor serves Orange County's major employment centers, with up to 950,000 jobs at the South Coast Metro and Irvine Business Complex.
- The corridor is adjacent to and serves Orange County disadvantaged communities.
- Limited available capacity during peak periods, impacting operations and reliability of OC Bus Routes and HOV use.
- 17,000 daily truck trips through the corridor.
- Connects to national freight highway system, borders, ports, warehouses, and distribution centers.

## AT A GLANCE

### PROJECT TYPE

Highway - SR-55 Improvement Project

### TOTAL PROJECT BUDGET

\$505 Million (including internal risk and legal costs)

### COMMUNITIES DIRECTLY SERVED

Costa Mesa, Irvine, Santa Ana, Tustin

### PROJECT TIMEFRAME

Construction Start: June 2022

Construction Complete: June 2026



## PROJECT BENEFITS

### IMPROVE ACCESS

Improve access to borders, ports, warehouses, and distribution centers.

The project provides connections to the I-5, I-405, and SR-91, all of which are included in the California Freight Mobility Plan, and provides connections to Imperial, Los Angeles, Riverside, San Bernardino, and San Diego Counties. These facilities provide connections to the Ports of Long Beach, Los Angeles, and San Diego, to major freight airports including Los Angeles International, John Wayne Orange County, Ontario International, and San Diego International as well as intermodal rail yards including Hobart Yard, and the LA Intermodal Facility in the City of Commerce, and the San Bernardino Intermodal Facility.

### INCREASE FREIGHT THROUGHPUT

Improve velocity and reliability of the SR-55 to increase freight throughput.

Reduces the impact of freight traffic on many disadvantaged communities along the corridor while supporting the economy in California, domestically, and internationally.

# State Route 55 Improvement Project from Interstate 405 to Interstate 5

## Fact Sheet and Estimated Cost

The SR-55 Improvement Project increases efficiency by reducing key bottlenecks on primary trade corridors and reducing idling and stop-and-go traffic, including for freight carrying goods to and from bordering countries. Inter and intrastate freight movement and resiliency is promoted by this project's improvements to the critical freight corridors of I-405 and I-5.

### IMPROVE TRAVEL TIME

The project will improve throughput, reduce congestion by up to 41 percent, improve mobility and safety, and support the movement of freight and commuters in Orange County.

## PROJECT BENEFITS CONTINUED

### GREENER COMMUNITIES

Reduce carbon footprint, gas consumption, and greenhouse gas emissions.

### REGIONAL BENEFIT TO AIR QUALITY

Encourage ridesharing, thereby alleviating congestion, and maximizing the goods movement and people carrying capacity of the highway corridor.

| Emissions | Emissions Saved in Tons over 20 years |
|-----------|---------------------------------------|
| PM 2.5    | 11                                    |
| PM 10     | 12                                    |
| CO2       | 826,055                               |
| VOC       | 207                                   |
| SOx       | 8                                     |
| CO        | 1,477                                 |
| NOx       | 610                                   |

\*Based on Cal B/C 7.2

## QUANTITATIVE BENEFITS

- 14,213,069 average annual person hours of travel time saved
- 41 percent reduction in congestion delay
- 1,500 hours daily truck travel time saved
- The project will improve truck travel time reliability index in 2045 from 2.30 to 1.38 in the AM peak and from 2.08 to 1.29 in the PM peak
- The project would increase average truck velocity during the peak period from 12 mph to 37 mph
- Benefit/cost ratio 8.3
- \$1.8 million annual accident cost savings
- \$132.2 million annual travel time savings
- \$7.9 million annual vehicle operating cost savings
- \$2.8 million annual emission cost savings
- 2,556 jobs created (direct and indirect)

## FUNDING PLAN

| Funding Programs | Previous Funding Plan<br>(in 000's) | Proposed Funding Plan<br>(in 000's) | Difference:<br>(in 000's) |
|------------------|-------------------------------------|-------------------------------------|---------------------------|
| LPP-C            | 0                                   | \$25,000                            | \$25,000                  |
| SHOPP            | \$46,800                            | \$42,700                            | (\$4,100)                 |
| STIP             | \$80,000                            | \$80,000                            | \$0                       |
| TCEP             | 0                                   | \$115,000                           | \$115,000                 |
| CMAQ             | \$23,355                            | \$44,900                            | \$21,545                  |
| STBG             | \$80,450                            | \$116,500                           | \$36,050                  |
| M2 committed     | \$48,607                            | \$48,700                            | \$93                      |
| Grant proposals  | \$70,000                            |                                     | (\$70,000)                |
| Total:           | \$349,212                           | \$472,800                           | \$123,588                 |

M2 Internal Risk/ Legal \$32,200

Total Proposed Funding: \$505,000

LPP-C – Local Partnership

SHOPP – State Highway Operation and Protection Program

STIP – State Transportation Improvement Program

TCEP – Trade Corridor Enhancement Program

CMAQ – Congestion Mitigation and Air Quality Improvement Program

STBG – Surface Transportation Block Grant Program

**RESOLUTION NO. 2021-001  
OF THE ORANGE COUNTY TRANSPORTATION AUTHORITY  
TRADE CORRIDOR ENHANCEMENT PROGRAM GRANT AUTHORIZATION**

**WHEREAS**, the California Transportation Commission (CTC) makes available grant funds through the SB 1 (Chapter 5, Statutes of 2017) Trade Corridor Enhancement Program (TCEP) to public agencies to fund infrastructure improvements along corridors that have a high volume of freight movement; and

**WHEREAS**, on December 2, 2020, the CTC awarded the Orange County Transportation Authority (OCTA) \$115 million in TCEP funds to support the State Route 55 Improvement Project from Interstate 405 to Interstate 5; and

**WHEREAS**, OCTA has programmed the required 30 percent local match to the project; and

**WHEREAS**, the CTC requires the grantee to certify, by resolution, the acceptance of awarded grant funds, the required 30 percent local match, and authority to enter into and execute grant-related agreements.

**THEREFORE, BE IT RESOLVED** that the OCTA Board of Directors authorizes the Chief Executive Officer, or designee, to:

- A. Accept the State of California TCEP award and to negotiate and execute grant-related agreements and documents, including but not limited to the baseline agreement with the CTC and the California Department of Transportation; and
- B. Certify OCTA has programmed the required 30 percent local match to the project; and
- C. Negotiate and execute any other required grant-related agreements.

ADOPTED, SIGNED, AND APPROVED this \_\_\_\_ day of \_\_\_\_\_, 2021.

AYES:

NOES:

ABSENT:

ATTEST:

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Andrea West  
Interim Clerk of the Board

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Steve Jones, Chairman  
Orange County Transportation Authority

**RESOLUTION NO. 2021-002  
OF THE ORANGE COUNTY TRANSPORTATION AUTHORITY  
LOCAL PARTNERSHIP PROGRAM-COMPETITIVE GRANT AUTHORIZATION**

**WHEREAS**, the California Transportation Commission (CTC) makes available SB 1 (Chapter 5, Statutes of 2017) Local Partnership Program-Competitive (LPP-C) grant funds to local or regional transportation agencies that have sought and received voter approval of taxes or have imposed fees, which taxes and fees are dedicated solely for transportation improvements; and

**WHEREAS**, the Orange County Transportation Authority (OCTA) is an eligible grantee of the LPP-C funding program; and

**WHEREAS**, on December 2, 2020 the CTC awarded OCTA \$25 million in LPP-C funds to support construction of the State Route 55 Improvement Project from Interstate 405 to Interstate 5; and

**WHEREAS**, OCTA has programmed the required 50 percent local match to the project; and

**WHEREAS**, the CTC requires the grantee to certify, by resolution, the acceptance of awarded grant funds, the required 50 percent local match, and authority to enter into and execute grant-related agreements.

**THEREFORE, BE IT RESOLVED** that the OCTA Board of Directors authorizes the Chief Executive Officer, or designee, to:

- A. Accept the State of California LPP-C award and negotiate and execute grant-related agreements and documents, including but not limited to the baseline agreement with the CTC and the California Department of Transportation; and
- B. Certify that OCTA has programmed the required 50 percent local match to the project; and
- C. Negotiate and execute any other grant-related required agreements

ADOPTED, SIGNED, AND APPROVED this \_\_\_\_ day of \_\_\_\_\_, 2021.

AYES:

NOES:

ABSENT:

ATTEST:

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Andrea West  
Interim Clerk of the Board

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Steve Jones, Chairman  
Orange County Transportation Authority

**TRADE CORRIDOR ENHANCEMENT PROGRAM AND  
LOCAL PARTNERSHIP PROGRAM-COMPETITIVE  
TERM SHEET – PROJECT BASELINE AGREEMENT**

The baseline agreement between the Orange County Transportation Authority (OCTA), the California Transportation Commission (CTC), and the California Department of Transportation (Caltrans) for the Trade Corridor Enhancement Program (TCEP) and Local Partnership Program-Competitive (LPP-C) includes the following:

1. Project cost, project schedule, project scope, and project benefits as detailed in the project programming request for each funded project.
2. All signatories agree to adhere to the CTC TCEP and LPP Guidelines.
3. All signatories agree to adhere to the CTC's SB 1 (Chapter 5, Statutes of 2017) accountability and transparency guidelines and policies, and program/project amendment processes.
4. OCTA agrees to secure funds for any additional costs of the projects.
5. OCTA agrees to report to Caltrans on a semi-annual basis on the progress made toward implementation of the project, including scope, cost, schedule, outcomes, and anticipated benefits.
6. OCTA agrees to submit a timely Completion Report and Final Delivery Report as specified in the CTC's SB 1 Accountability and Transparency Guidelines.
7. OCTA agrees to maintain and make available to the CTC and/or its designated representative, all work-related documents, including without limitation engineering, financial or other data, and methodologies and assumptions used in the determination of project benefits during the course of the project, and retain these records for four years from the date of the final closeout of the project. Financial records will be maintained in accordance with generally accepted accounting principles.





# Capital Funding Program Report

Pending Board of Directors (Board) Approval - January 11, 2021

| State Highway Project   |        |                    |                  |     |                 |                  |                  |                  |             |                    |                  |
|---|--------|--------------------|------------------|-----|-----------------|------------------|------------------|------------------|-------------|--------------------|------------------|
| Project Title   | M Code | Total Funding      | Federal Funds    |     |                 | State Funds      |                  |                  | Local Funds |                    |                  |
|   |        |                    | STBG/CMAQ        | FTA | Other Fed.      | STIP             | SB1              | Other State      | M1          | M2                 | Other Local      |
| I-5 from SR-55 to SR-57, add one HOV lane each direction                    | A      | \$41,500           | \$36,191         |     |                 |                  |                  |                  |             | \$5,309            |                  |
| I-5 widening, I-405 to Yale Avenue (Segment 1)                              | B      | \$219,903          | \$52,357         |     |                 | \$95,338         | \$44,791         |                  |             | \$27,417           |                  |
| I-5 widening, Yale Avenue to SR-55 (Segment 2)                              | B      | \$17,425           | \$15,027         |     |                 |                  |                  |                  |             | \$2,398            |                  |
| I-5 HOV lane each direction s/o PCH to San Juan Creek Road                  | C      | \$74,300           | \$11,326         |     |                 |                  |                  | \$20,789         |             | \$42,185           |                  |
| I-5 HOV lanes from s/o Avenida Vista Hermosa to s/o PCH                     | C      | \$75,300           | \$12,065         |     |                 | \$46,779         |                  |                  |             | \$16,456           |                  |
| I-5 widening, Alicia Parkway to El Toro Road (Segment 3)                    | C      | \$181,327          | \$49,897         |     | \$4,728         |                  | \$9,388          |                  |             | \$117,314          |                  |
| I-5 widening, Oso Parkway to Alicia Parkway (Segment 2)                     | C      | \$205,695          | \$47,676         |     | \$7,921         |                  |                  |                  |             | \$150,098          |                  |
| I-5 widening, SR-73 to Oso Parkway (Segment 1)                              | C      | \$213,267          | \$28,167         |     | \$6,433         | \$91,977         |                  | \$29,832         |             | \$56,858           |                  |
| I-5, SR-73 to El Toro Road landscaping/replacement planting                 | C      | \$12,365           |                  |     |                 | \$6,000          |                  |                  |             | \$6,365            |                  |
| I-5/El Toro Interchange   | D      | \$4,400            | \$4,400          |     |                 |                  |                  |                  |             |                    |                  |
| SR-55 (I-5 to SR-91)  | F      | \$13,921           | \$5,000          |     |                 |                  |                  |                  |             | \$8,921            |                  |
| SR-55 widening between I-405 and I-5 <sup>1, 2, 3</sup>                     | F      | \$504,000          | \$160,500        |     | \$41,900        | \$80,000         | \$140,000        |                  |             | \$81,600           |                  |
| SR-57 Orangewood Avenue to Katella Avenue                                   | G      | \$7,277            | \$2,500          |     |                 |                  |                  |                  |             | \$4,777            |                  |
| SR-91, Acacia Avenue to La Palma Avenue (Segment 3)                         | I      | \$16,201           | \$1,770          |     |                 |                  |                  |                  |             | \$30               | \$14,401         |
| SR-91, La Palma Avenue to SR-55 (Segment 2)                                 | I      | \$46,314           | \$3,460          |     |                 |                  |                  |                  |             | \$40               | \$42,814         |
| SR-91, SR-55 to Lakeview Avenue (Segment 1)                                 | I      | \$15,779           | \$1,770          |     |                 |                  |                  |                  |             | \$30               | \$13,979         |
| SR-91, SR-241 to I-15   | J      | \$41,800           |                  |     |                 |                  |                  |                  |             |                    | \$41,800         |
| I-405 improvements, SR-73 to I-605  | K      | \$2,080,234        | \$35,000         |     | \$10,648        |                  |                  | \$89,771         |             | \$1,315,885        | \$628,930        |
| I-405 (I-5 to SR-55)  | L      | \$8,000            | \$8,000          |     |                 |                  |                  |                  |             |                    |                  |
| I-405 s/b aux lane - University to Sand Canyon and Sand Canyon to SR-133    | L      | \$2,328            |                  |     |                 | \$2,328          |                  |                  |             |                    |                  |
| I-605/ Katella Avenue interchange   | M      | \$4,824            |                  |     |                 |                  |                  |                  |             | \$4,824            |                  |
| 241/91 Express Lanes (HOT) Connector  |        | \$182,298          | \$50             |     |                 |                  |                  |                  |             |                    | \$182,248        |
| I-5 HOV Lane Extension from Avenida Pico to San Diego County Line (PSR/PDS) |        | \$6,071            | \$6,071          |     |                 |                  |                  |                  |             |                    |                  |
| SR-74 widening, Calle Entradero-City/County line                            |        | \$16,653           |                  |     |                 | \$14,053         |                  | \$250            |             | \$1,950            | \$400            |
| SR-74 widening, City/County line to Antonio Parkway                         |        | \$40,905           | \$5,285          |     |                 | \$10,000         |                  |                  |             |                    | \$25,620         |
| <b>State Highway Project Totals</b>   |        | <b>\$4,032,087</b> | <b>\$486,512</b> |     | <b>\$71,630</b> | <b>\$346,475</b> | <b>\$194,179</b> | <b>\$140,642</b> |             | <b>\$1,842,457</b> | <b>\$950,192</b> |
| <b>Federal Funding Total</b>  |        | <b>\$558,142</b>   |                  |     |                 |                  |                  |                  |             |                    |                  |
| <b>State Funding Total</b>  |        | <b>\$681,296</b>   |                  |     |                 |                  |                  |                  |             |                    |                  |
| <b>Local Funding Total</b>  |        | <b>\$2,792,649</b> |                  |     |                 |                  |                  |                  |             |                    |                  |
| <b>Total Funding (000's)</b>  |        | <b>\$4,032,087</b> |                  |     |                 |                  |                  |                  |             |                    |                  |

| State Highway Project Completed                      |        |               |               |     |            |             |     |             |             |          |             |
|--|--------|---------------|---------------|-----|------------|-------------|-----|-------------|-------------|----------|-------------|
| Project Title  | M Code | Total Funding | Federal Funds |     |            | State Funds |     |             | Local Funds |          |             |
|  |        |               | STBG/CMAQ     | FTA | Other Fed. | STIP        | SB1 | Other State | M1          | M2       | Other Local |
| I-5 HOV lanes: s/o Avenida Pico to s/o Vista Hermosa | C      | \$83,500      | \$26,867      |     | \$1,600    | \$43,735    |     |             |             | \$11,298 |             |
| I-5/SR-74 interchange improvements                   | D      | \$80,300      |               |     |            | \$48,683    |     | \$24,109    | \$2,500     |          | \$5,008     |



# Capital Funding Program Report

Pending Board of Directors (Board) Approval - January 11, 2021

| State Highway Project Completed                                     |        |                  |                  |     |                 |                  |     |                  |                 |                  |                 |
|---|--------|------------------|------------------|-----|-----------------|------------------|-----|------------------|-----------------|------------------|-----------------|
| Project Title   | M Code | Total Funding    | Federal Funds    |     |                 | State Funds      |     |                  | Local Funds     |                  |                 |
|   |        |                  | STBG/CMAQ        | FTA | Other Fed.      | STIP             | SB1 | Other State      | M1              | M2               | Other Local     |
| I-5/SR-74 interchange landscaping/replacement planting              | D      | \$1,440          |                  |     | \$752           | \$688            |     |                  |                 |                  |                 |
| SR- 57 n/b widening, Katella Avenue to Lincoln Avenue - landscaping | G      | \$2,172          |                  |     |                 |                  |     |                  |                 | \$2,172          |                 |
| SR- 57 n/b widening, SR-91 to Yorba Linda Boulevard - landscaping   | G      | \$946            |                  |     |                 |                  |     |                  |                 | \$946            |                 |
| SR-57 n/b widening, Katella Avenue to Lincoln Avenue                | G      | \$35,827         |                  |     |                 |                  |     | \$24,127         |                 | \$11,700         |                 |
| SR-57 n/b widening, SR-91 to Yorba Linda Boulevard                  | G      | \$51,354         |                  |     |                 |                  |     | \$39,475         |                 | \$11,879         |                 |
| SR-57 n/b widening, Yorba Linda to Lambert Road                     | G      | \$52,871         |                  |     |                 |                  |     | \$41,250         |                 | \$11,621         |                 |
| SR-57 n/b widening, Yorba Linda to Lambert Road - landscaping       | G      | \$1,193          |                  |     |                 |                  |     |                  |                 | \$1,193          |                 |
| SR-91 w/b connect existing aux lanes, I-5 to SR-57                  | H      | \$62,977         |                  |     |                 |                  |     | \$27,227         |                 | \$35,750         |                 |
| SR-91 w/b connecting existing aux lanes, I-5 to SR-57 - landscaping | H      | \$2,290          |                  |     |                 |                  |     |                  |                 | \$2,290          |                 |
| SR-91 w/b (SR-55 - Tustin interchange) improvements                 | I      | \$43,753         |                  |     |                 | \$15,753         |     | \$14,000         |                 | \$14,000         |                 |
| SR-91 e/b widening, SR-241 to SR-71                                 | J      | \$57,773         |                  |     | \$45,911        |                  |     |                  |                 | \$6,942          | \$4,920         |
| SR-91 w/b Routes 91/55 - e/o Weir replacement planting              | J      | \$2,898          |                  |     |                 | \$2,898          |     |                  |                 |                  |                 |
| SR-91 widening, SR-55 to Gypsum Canyon (Weir/SR-241)                | J      | \$76,993         |                  |     |                 | \$22,250         |     | \$54,045         |                 | \$698            |                 |
| I-405/SR-22/I-605 HOV connector - landscaping                       |        | \$4,600          | \$4,600          |     |                 |                  |     |                  |                 |                  |                 |
| HOV connectors from I-405 and I-605                                 | M1     | \$173,091        | \$14,787         |     |                 |                  |     | \$135,430        | \$16,200        |                  | \$6,674         |
| HOV connectors from SR-22 to I-405                                  | M1     | \$115,878        | \$64,375         |     | \$49,625        |                  |     |                  | \$1,878         |                  |                 |
| <b>State Highway Project Completed Totals</b>                       |        | <b>\$849,856</b> | <b>\$110,629</b> |     | <b>\$97,888</b> | <b>\$134,007</b> |     | <b>\$359,663</b> | <b>\$20,578</b> | <b>\$110,489</b> | <b>\$16,602</b> |
| <b>Federal Funding Total</b>  |        | <b>\$208,517</b> |                  |     |                 |                  |     |                  |                 |                  |                 |
| <b>State Funding Total</b>  |        | <b>\$493,670</b> |                  |     |                 |                  |     |                  |                 |                  |                 |
| <b>Local Funding Total</b>  |        | <b>\$147,669</b> |                  |     |                 |                  |     |                  |                 |                  |                 |
| <b>Total Funding (000's)</b>  |        | <b>\$849,856</b> |                  |     |                 |                  |     |                  |                 |                  |                 |



# Capital Funding Program Report

## Pending Board of Directors (Board) Approval - January 11, 2021

### Board Actions:

1. Adopt Resolution No. 2021-001, to accept the Trade Corridor Enhancement Program Grant Award from California Transportation Commission for \$115 million, to commit to the required match of 30 percent for the State Route 55 Improvement Project from Interstate 405 to Interstate 5 and to negotiate and execute any grant required agreements.
2. Adopt Resolution No. 2021-002, to accept the Local Partnership Competitive Program Grant Award from the California Transportation Commission for \$25 million, to commit to the required match of 50 percent for the State Route 55 Improvement Project from Interstate 405 to Interstate 5 and to negotiate and execute any grant required agreements.
3. Authorize the use of up to \$36 million in additional Federal Surface Transportation Block Grant Program Funds and up to \$22 million in Federal Congestion Mitigation and Air Quality Improvement Program funds and the reduction of Measure M2 freeway program funds of \$27.8 million for the State Route 55 Improvement Project from Interstate 405 to Interstate 5.

### Acronyms:

Aux - Auxilliary  
CMAQ - Congestion Mitigation Air Quality Improvement Program  
FTA - Federal Transit Administration  
FY - Fiscal Year  
HOT - High-Occupancy Toll  
HOV - High-Occupancy Vehicle  
Hwy - Highway  
I-405 - Interstate 405  
I-5 - Interstate 5  
I-605 - Interstate 605  
LA - Los Angeles  
M Code - Project Codes in Measure M1 and M2  
M1 - Measure M1  
M2 - Measure M2  
N/B - Northbound  
OC - Orange County  
OCTA - Orange County Transportation Authority  
PCH - Pacific Coast Highway  
RSTP - Regional Surface Transportation Program  
S/B - Southbound  
S/O - South of  
SR-133 - State Route 133  
SR-241 - State Route 241  
SR-55 - State Route 55  
SR-57 - State Route 57  
SR-71 - State Route 71  
SR-73 - State Route 73  
SR-90 - State Route 90  
SR-91 - State Route 91  
SS - Southside  
STBG - Surface Transportation Block Grant  
STIP - State Transportation Improvement Program  
W/B - Westbound



## COMMITTEE TRANSMITTAL

**January 11, 2021**

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

**From:** Andrea West, Interim Clerk of the Board

**Subject:** Interstate 405 Improvement Project Update

Regional Planning and Highways Committee Meeting of January 4, 2021

**Present:** Directors Bartlett, Chaffee, Delgleize, Muller, and Murphy

**Absent:** None

### **Committee Vote**

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

### **Staff Recommendation**

Receive and file as an information item.



**January 4, 2021**

**To:** Regional Planning and Highways Committee

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

**Subject:** Interstate 405 Improvement Project Update

### **Overview**

The Orange County Transportation Authority is currently underway with the implementation of the Interstate 405 Improvement Project. This report provides a project update.

### **Recommendation**

Receive and file as an information item.

### **Background**

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

On November 14, 2016, the OCTA Board of Directors (Board) awarded the design-build (DB) contract to OC 405 Partners (OC405), a joint venture. OCTA executed the DB contract with OC405 and issued Notice to Proceed (NTP) No. 1 on January 31, 2017. NTP No. 1 was a limited NTP for mobilization, design, and administrative activities. On July 26, 2017, the Transportation Infrastructure Finance and Innovation Act (TIFIA) loan agreement was executed between OCTA and the United States Department of Transportation (USDOT). On July 27, 2017, OCTA issued NTP No. 2 to OC405. NTP No. 2 was a full NTP for all activities, including construction.

***Discussion***

A number of activities are ongoing as the construction work continues to advance. The following provides a more detailed status of Project activities.

**Financing and TIFIA Loan**

In July 2017, OCTA executed a TIFIA loan agreement with the USDOT for up to \$628.93 million. Pursuant to the terms identified in the loan agreement, OCTA staff submits periodic reimbursement requisitions to the USDOT Build America Bureau (Bureau) and Federal Highway Administration. OCTA has received two TIFIA loan disbursements amounting to approximately \$287 million.

In October 2020, OCTA staff received Board approval to pursue a reset of the interest rate on the TIFIA loan. OCTA has applied, and is currently working with the Bureau, to reset the 2.91 percent interest rate on the 2017 TIFIA loan. If successful, the current interest rate of 2.91 percent could be reduced, resulting in substantial debt service savings. Based on the estimated timeline provided by the Bureau, OCTA is targeting a financial close for the new TIFIA loan as early as March 2021. Prior to closing, OCTA staff will return to the Board for approval of the financing documents.

**Tolling Contracts**

On February 26, 2018, the Board selected Kapsch TrafficCom USA, Inc., (Kapsch) to provide toll lanes system integration services for design, installation, operation, and maintenance of the electronic toll and traffic management (ETTM) system on both the 405 and 91 Express Lanes. Kapsch is currently under contract and is working closely with the design-builder to deliver fully functional express lanes upon opening in 2023. Kapsch has received approval for the ETTM infrastructure final design to be used for the 405 Express Lanes, including equipment types and configurations. Kapsch continues to review the design-builder's plans and construction activities and has provided input on requirements for the Toll Operations Center (TOC) improvements. The TOC will be located at OCTA's Santa Ana Bus Base and will be staffed by Kapsch for 405 Express Lanes operations.

OCTA staff developed a request for proposals for the back-office system and customer service center operations for the 405 Express Lanes. The Board approved its release in June 2020, and a preferred vendor will be recommended to the Board for approval in late 2021. Later this year, OCTA staff will be updating the Board on options for a future customer service center and roadway services location. OCTA staff is currently evaluating various buy versus lease options and will be seeking Board direction on a future site to locate these services.



## Design

The final design is substantially complete at this time. The DB process allows for design refinements, and that process will continue throughout the remainder of construction.

## Right-of-Way (ROW) Acquisition

Construction of the Project impacts 288 properties, including 179 residential properties, 71 commercial/industrial properties, 37 public properties, and one railroad property. There are 287 properties identified as partial acquisitions and one property identified as a full acquisition at the owner's request. The ROW required to construct the Project is comprised of a combination of fee acquisitions, permanent easements, temporary construction easements, permanent and temporary ground lease reductions, and access control rights. This ROW is required for roadway and bridge construction, soundwalls and retaining walls, drainage systems, and for the installation of above ground and underground facilities, including electrical, telecommunication, water, sewer, gas, and storm drain systems.

The ROW acquisition program is on schedule. As of July 2020, OCTA has possession of the required property rights needed for all 288 property impacts, which retires a significant risk to OCTA. The overall ROW process continues as OCTA works with certain property owners to finalize remaining agreements on costs related to certain acquisitions. As this is a DB project, minor additional ROW needs may become necessary in the future as construction continues. Of the 288 total properties impacted, 288 offers were presented and the ROW is in OCTA's possession for construction. There were 60 resolutions of necessity (RONs) approved by the Board and no additional RONs are anticipated at this time.

## Utility Relocations

There are currently 133 utilities that require relocation to accommodate the Project. OCTA is coordinating with 22 impacted utility owners to identify and resolve conflicts and relocation issues. To date, OCTA has executed 83 percent of the necessary utility relocation agreements and is in the process of finalizing the remaining utility agreements. There are several remaining potential utility relocation risks, including various Southern California Edison (SCE) facilities for which staff continues to develop and implement mitigation plans, as utilities are a shared risk between OCTA and OC405. Many critical utility relocations that had once been considered to pose some risk, such as facilities owned by Frontier Communications, Chevron USA, Crimson Pipeline, and SCE have been successfully completed. Additionally, a major Southern California Gas (SCG) pipeline relocation within the United States Navy property that posed a significant risk to the Project schedule has been successfully completed on schedule.

However, a new conflict along a different section of the same existing SCG gas line near Bolsa Chica Road was recently identified as a conflict by the design builder, and it has been determined that this portion of the existing facility cannot be protected in place and requires relocation. OCTA is taking an active role in coordinating this relocation with both the design builder and SCG to allow construction activities at this location to continue, and to mitigate any potential risks to the Project schedule.

### Construction

OC405 began construction on March 6, 2018. Initial construction activities included restriping portions of the freeway and setting up concrete barriers on the outside of the freeway to protect work areas for activities such as tree removals and grading. These initial construction activities are complete. Clearing and grubbing, including tree and ground cover removal, and rough grading activities are also substantially complete at this time.

Significant roadway construction activities, including installation of drainage systems, retaining walls and soundwalls, and paving operations began in earnest in 2019, and will continue through the end of the Project. Construction at Oceanview Channel, Greenville-Banning Channel, and East Valley Channel, three major drainage facilities that cross under the freeway, is well underway. Additionally, over half of the retaining walls and soundwalls needed for the Project are currently under construction or complete.

After the opening of the Slater Avenue overcrossing bridge in the fall of 2019, demolition and construction activities commenced on Bushard Street and Talbert Avenue. The Bushard Street overcrossing bridge was completed and opened to traffic in October 2020. The Talbert Avenue overcrossing bridge construction is actively progressing, and the bridge is anticipated to be opened to traffic in the spring of this year. Construction on the McFadden Avenue overcrossing bridge also was completed, and the bridge was opened to traffic in October 2020. The Edwards Street overcrossing bridge began construction last fall and is anticipated to be opened to traffic late this year. Bushard Street, Talbert Avenue, McFadden Avenue, and Edwards Street are all one-stage bridges, which means the bridges are closed to traffic on both sides of I-405 during demolition and reconstruction.

Significant bridge construction also continued at Fairview Road, Magnolia Street, Bolsa Avenue, Goldenwest Street, Westminster Boulevard, and Bolsa Chica Road overcrossings. These are two-stage bridges, which means traffic is being maintained on the remaining portion of the bridge while the first half of the new bridge is constructed. The first half of the new Magnolia Street overcrossing bridge opened last March, and the full bridge is anticipated to be the first two-stage bridge to be opened to traffic this summer. Similarly, the first halves of the new Goldenwest Street and Bolsa Chica Road overcrossing bridges opened last

summer, and the full bridges are anticipated to be opened late this year. The first halves of the new Fairview Road, Bolsa Avenue, and Westminster Boulevard overcrossing bridges are all anticipated to be opened in the next several months.

This past quarter, the widening of existing freeway bridges continued over Harbor Boulevard, Santa Ana River, Beach Boulevard, Bolsa overhead railroad crossing, and an old United States Navy railroad crossing.

Lastly, the Heil pedestrian overcrossing bridge was demolished last fall and a new pedestrian overcrossing is under construction at this location and is anticipated to open to pedestrian traffic later this year.

Looking ahead, the remainder of 2021 will remain busy related to bridge, wall, and pavement construction.

### Project Challenges

As would be expected on a project of this magnitude, certain challenges have been encountered, including the following:

- Oversight and approvals from many different agencies and third parties
- Cost and availability of construction resources in this active construction market
- Dispute resolution and change management
- Minimizing impacts and disruptions to the public
- Timely performance of third-party utility work
- Project schedule impacts and mitigations

Additionally, in September 2019, there was a discovery of archaeological resources within the Project site. OCTA is following established state procedures for this type of discovery, and is working with the responsible parties to ensure appropriate and respectful procedures are followed. This discovery impacted construction at a specific location; however, construction has since resumed.

OCTA has worked closely with its partners and OC405 to mitigate schedule delays when identified. Significant schedule mitigations have been implemented during the course of construction. These include expediting construction of several key bridges and extended overnight and daytime freeway lane closures to take advantage of the significantly reduced traffic volumes on the freeway last spring related to the coronavirus (COVID-19) pandemic. The objectives of the schedule mitigations are to minimize schedule delay impacts while balancing the minimization of traffic impacts.

### Risks Remaining

Many of the Project risks have been realized during the design phase and the first half of construction and have since been retired. However, there are risks that remain for the second half of construction moving forward. The COVID-19 pandemic continues to be a risk as the effects and duration of the pandemic remain unknown. OCTA, its partners, and OC405 remain vigilant in taking the appropriate safety measures to minimize impacts to the workforce and construction progress. Additional archaeological discoveries also continue to be a risk as excavation in certain areas of the Project will take place in the next year. OCTA has taken a proactive approach with the appropriate stakeholders to minimize impacts if there are future discoveries. The timely relocation of utilities is always a risk and the team will remain very focused on these efforts. Lastly, the coordination near the end of the Project when Kapsch will be installing and testing the tolling equipment, at the same time OC405 will be completing construction, is key to remaining on schedule. Coordination efforts to plan for this timeframe at the end of the Project are ongoing and have been effective to date.

### Project Cost and Schedule

The overall Project cost is \$2,080,234,000. The Project milestones for substantial completion and opening of the 405 Express Lanes are scheduled for late 2023.

### Public Outreach

In 2020, the Outreach team pivoted to conduct all meetings with residents, business owners, and key stakeholders virtually because of the COVID-19 pandemic. The team held more than a dozen virtual community meetings, with more than 4,700 people participating live or viewing recordings afterward on OCTA's YouTube channel. Participation in these virtual meetings has outpaced that of in-person meetings by more than six to one. In addition, labor and other direct costs for virtual meetings are lower, allowing the team to conduct more meetings more frequently.

During 2020, the Outreach team fielded more than 1,600 comments and questions from the public, averaging more than 140 per month. That was a 40 percent increase over the monthly average for 2019, reflecting the rise in construction activity on the Project. Many of the calls and emails focus on construction activities, design questions, upcoming closures and maintenance concerns.

Bridge, roadway, ramp, and wall construction also required ramping up the use of Project emails, calls and text alerts, as well as distribution of flyers. These proven communications methods were the foundation of community

engagement efforts in 2020, with nearly 475,000 flyers distributed, 230 email alerts delivered, and 109 calls and text alerts.

The Outreach team continues to build the Project's online presence through its social media channels, its interactive map tied to the Waze navigation app, the 405 Improvement smartphone app, and the revamped Project website. In addition, the Outreach team has expanded its digital toolkit, adding location-based advertising on mobile devices and tablets to engage constituents in specific geographic areas with short, relevant messages about upcoming activities. These efforts over the last year have helped drive a nearly 50 percent increase in the number of subscribers to the Project database, which recently topped 15,000.

Looking ahead, the team anticipates a busy 2021, with construction continuing for many of the 18 bridge replacements, four bridges widenings, and several ramps.

Community meetings will focus on work beginning on the second halves of the Westminster Boulevard, Bolsa Avenue, and Fairview Road overcrossing bridges. Several focused neighborhood presentations will also be conducted to provide residents and business owners status updates on construction activities near them.

Later this year, it is anticipated the second half of the Magnolia Street bridge will open to traffic. This will be the first two-phase bridge on the Project to fully open, and the Outreach team is planning a unique event to mark this major milestone.

As the Project continues to advance, the team will continue to meet with diverse communities and other key stakeholders such as emergency responders, as well as project partners at each of the corridor cities and school districts.

### ***Summary***

Construction continues to advance. Currently, utility relocations, public outreach, and other activities are in process to continue the construction phase of the Project.

---

***Attachment***

None.

**Prepared by:**

A handwritten signature in blue ink that reads "Jeff Mills".

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

**Approved by:**

A handwritten signature in blue ink that reads "James G. Beil".

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

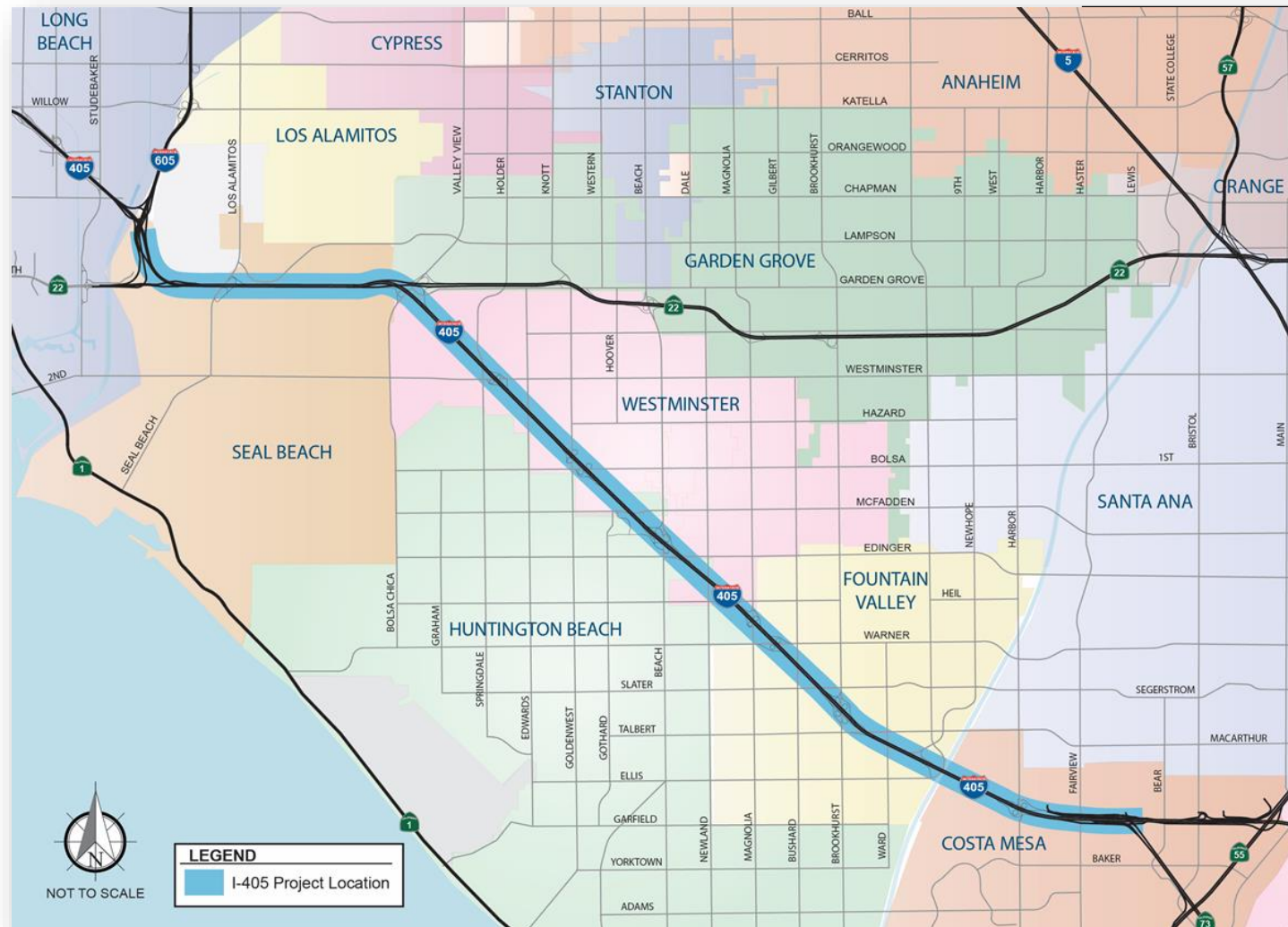




# Interstate 405 Improvement Project Update



# Project Location and Key Features



# Background



| Milestone  | Completion Date |
|--|-----------------|
| Environmental clearance  | May 2015        |
| Orange County Transportation Authority Board of Directors awards design-build (DB) contract to OC 405 Partners | November 2016   |
| Notice to Proceed (NTP) No. 1 issued   | January 2017    |
| TIFIA* loan executed   | July 2017       |
| NTP No. 2 issued   | July 2017       |
| Construction began   | March 2018      |

\* Transportation Infrastructure Finance and Innovation Act

# Project Update



## General

- Over halfway complete with Interstate 405 Improvement Project (Project)
- TIFIA interest rate reset in process

## Design and Right-of-Way Possession

- Substantially complete with both design and right-of-way possession

## Construction

- Three bridge replacements complete
- Over half of the retaining walls and soundwalls needed for the Project are currently under construction or complete
- Over 1,000 workers involved in the Project each working day



# Construction Update



**Wall construction**



# Construction Update



**Concrete paving**



# Construction Update



**Fairview Road bridge construction**



# Construction Update



**Santa Ana River bridge construction**



# Construction Update



**Bushard Street bridge complete**



# Construction Update



Nov 17, 2020 at 11:25:25 AM  
16700–16706 Magnolia St  
Huntington Beach CA 92708  
United States

**Magnolia Street bridge construction**



# Construction Update



**Heil Avenue pedestrian overcrossing (POC) construction**



# Construction Update



**McFadden Avenue bridge complete**



# Construction Update



**Bolsa Avenue bridge construction**

# Look Ahead for 2021 Bridge Construction



## January – June 2021

- Westminster Boulevard bridge (first half) opens to traffic
- Fairview Road bridge (first half) opens to traffic
- Talbert Avenue bridge fully opens to traffic
- Start Ward Street bridge
- Bolsa Avenue bridge (first half) opens to traffic
- Magnolia Street bridge fully opens to traffic
- Start Warner Avenue bridge

## July – December 2021

- Heil POC fully opens to pedestrian traffic
- Edwards Street bridge fully opens to traffic
- Bolsa Chica bridge fully opens to traffic
- Start Springdale Street bridge
- Goldenwest Street bridge fully opens to traffic

# Bridge Construction Map



# Major Risks Remaining



- Additional archaeological discoveries
- Coronavirus (COVID-19)
- Utility relocation delays
- Design builder/toll lanes system integrator coordination

# 2020 Outreach Metrics



| Category                   | Average Per Month   | Year To Date*         |
|----------------------------|---------------------|-----------------------|
| Public Comments/Questions  | 146                 | 1,612                 |
| Social Media Reach         | 40,388              | 756,368               |
| Construction Alerts        | 19 (29% open rate)  | 230 (29% open rate)   |
| Interactive Map Users      | 1,120               | 12,321                |
| Location-Based Advertising | 271,131 impressions | 1,626,789 impressions |
| Flyers                     | 43,165              | 474,820               |
| Postcards                  | 19,743              | 78,974                |

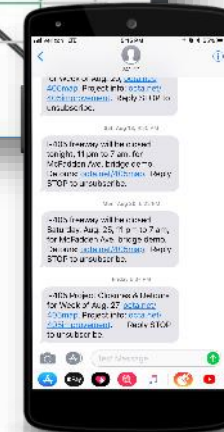
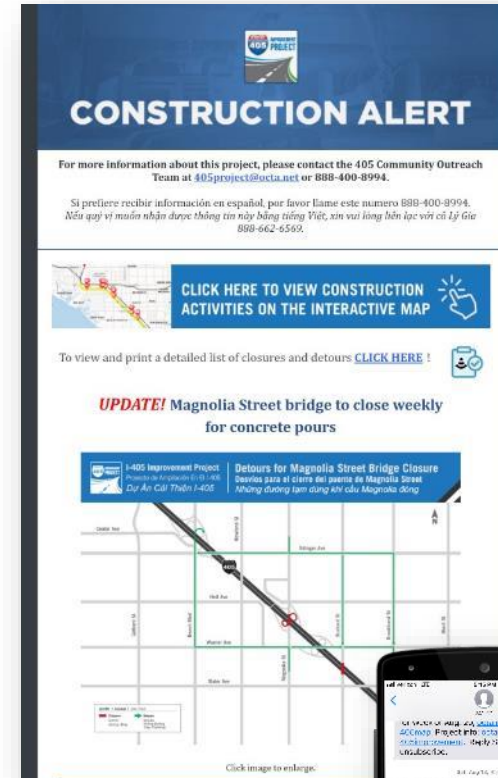
\*Through mid-December 2020



# Upcoming Outreach



- Virtual neighborhood meetings
  - Westminster Boulevard Phase 2
  - Bolsa Avenue Phase 2
  - Fairview Road Phase 2
- Major activity notifications
  - Bridge demolition
  - Extended ramp closures
  - Full freeway closures
- Milestones
  - Magnolia Street bridge completion
- Key stakeholder briefings
  - Emergency responders
  - School districts
  - Diverse communities







*January 11, 2021*

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

**From:** Steve Jones, Chairman   
Darrell E. Johnson, Chief Executive Officer 

**Subject:** 2020 Board of Directors and Chief Executive Officer Initiatives and Action Plan – End-of-Year Report

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 year-end report summarizes the Orange County Transportation Authority's (OCTA) progress on advancing these initiatives between January 1, 2020 and December 31, 2020.

At the conclusion of 2020, 77 of the 92 milestones were completed. Attachment B provides a summary of all 92 milestones, including the 15 milestones that will be carried over into 2021. Carryover milestones had to be adjusted due to the inability to have in-person discussions, dependency on coordination with external agencies, and other impacts and delays resulting from COVID-19.

Highlights of OCTA's accomplishments are provided below.

Board Initiative: Comprehensive Mobility Solutions

Despite the impacts of COVID-19, OCTA continued to deliver essential transit service and ensure customer safety along with advancing Orange County's Measure M2 (M2) Program through balanced investments in transit, streets and roads, and freeways.

- Anaheim Canyon Metrolink Station Improvement: On October 12, 2020, the Board approved the release of an invitation for bids for construction improvements at the Anaheim Canyon Metrolink Station. These station improvements will reduce existing congestion along the rail corridor and provide for more efficient operations and passenger movements at the station.

- Human Services Transportation Coordinated Plan: The 2020 update to the Coordinated Public Transit – Human Services Transportation Plan was approved by the Board on November 23, 2020. This plan identifies strategies to address unmet mobility needs of seniors, persons with disabilities, and persons of low income. It also allows OCTA to be eligible for certain federal transit funding.
- Interstate 405 Improvement Project: Among the 18 bridges to be constructed, widened, or replaced; the Bushard Street and McFadden Avenue bridges were completed and opened to traffic in October 2020.

Board Initiative: Regional Leadership and Public Transparency

Through public outreach efforts, planning studies, and collaboration with local and regional partners; OCTA prioritizes public accountability and transparency, provides regional leadership, and advocates for improved mobility throughout Southern California.

- Interstate 5 (I-5) Improvement Project: On June 22, 2020, the Board approved the release for proposals for consultant services to prepare the project report and environmental document for the I-5 Improvement Project, effectively initiating the environmental phase of the project. In collaboration with the County of San Diego, this project would complete Orange County's high-occupancy vehicle lane network from the San Diego County line to Avenida Pico.
- College Pass Program: Since the initial success of the College Pass Program in 2017 with Santa Ana College, OCTA has worked with other Orange County campuses to extend the program and increase access and ridership for students enrolled at local colleges. This year, OCTA expanded the program through new partnerships with Santa Ana College, Saddleback College, and the Rancho Santiago Community College District Continuing Education Program.

- State Route 91 (SR-91) Implementation Plan: In partnership with the Riverside County Transportation Commission, OCTA annually prepares a plan that proposes potential improvements along the SR-91 corridor between State Route 57 in Orange County and Interstate 15 in Riverside County. This plan is prepared in collaboration with the California Department of Transportation, the Transportation Corridor Agencies, and the cities of Anaheim, Corona, Orange, and Yorba Linda. The draft 2020 SR-91 Implementation Plan was presented to the Board on July 13, 2020.

Board Initiative: Resiliency, Sustainability, and Innovation

To be forward-thinking and sustainable, OCTA is promoting and deploying innovative ideas and technology and focusing on improving transportation while minimizing its environmental impacts. OCTA strives to bring balanced and sustainable mobility solutions to Orange County.

- Zero-Emission Buses: The California Air Resources Board passed the Innovative Clean Transit (ICT) Rule in 2018 requiring transit agencies to transition their bus fleets to 100 percent zero-emission buses (ZEB) by the year 2040. On June 22, 2020, the Board approved OCTA's ZEB Rollout Plan, which includes the deployment of both hydrogen fuel-cell electric buses and plug-in battery-electric buses (BEB) to help guide preparation for compliance with the ICT Rule. OCTA plans to pilot both ZEBs to determine which zero-emission technology or mix of technologies would be most suitable for Orange County. On November 11, 2020, the Board approved the purchase of ten plug-in BEBs, which will be piloted in addition to the existing pilot of ten hydrogen fuel-cell buses that began operating in February 2020.
- M2 Environmental Cleanup Program: On October 12, 2020, the Board approved grant funding allocations for 12 Tier 1 water quality projects totaling \$2.8 million to improve overall water quality in Orange County from transportation-related pollution.

Board Initiative: Fiscal Accountability

OCTA takes pride in and champions fiscal responsibility. To build public trust, OCTA continues to be a good steward of taxpayer dollars.

- Comprehensive Annual Financial Report: On December 14, 2020, the Board received the fiscal year 2019-20 Comprehensive Annual Financial Report. The annual audit of OCTA's financial records and systems concluded that OCTA presents statements fairly, in all material respects to the financial position of OCTA.

Board Initiative: Organizational Excellence

Two components of organizational excellence that OCTA is focused on are strengthening safety and security measures and maximizing workforce potential. Whether it be employee development programs, operational safety plans, or ensuring agency and staff preparedness for crises, OCTA prioritizes safety and retention of a high-quality workforce.

- Transit Police Services: On July 13, 2020, the Board approved a five-year agreement with the County of Orange, Orange County Sheriff's Department to provide Transit Police Services. Services include fixed-route service, right-of-way rail support, general services, and special services.
- Transportation Communications Union Collective Bargaining Agreement: The Board ratified the renewed collective bargaining agreement regarding the parts/stock room clerks and facilities maintenance employee unit on August 24, 2020. This agreement was reached following discussion and negotiation between OCTA and the Transportation Communications International Union.
- Early Career Academy: The second cohort of the Early Career Academy (ECA) was selected and launched virtually on June 15, 2020, to provide early career development to grow and support new professionals as they advance their career at OCTA. The ECA is just one of several programs offered to support OCTA's deliberate and systematic effort to ensure leadership continuity, retain and develop intellectual and knowledge capital for the future, and encourage individual advancement.

With the conclusion of the 2020 Action Plan, OCTA is looking ahead to continue its commitment to proactively and strategically address the immediate needs of the public and agency employees to keep Orange County moving. Please let me know if you have any questions or contact Darrell E. Johnson, CEO at (714) 560-5343.

SJ/DEJ:ls

# 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

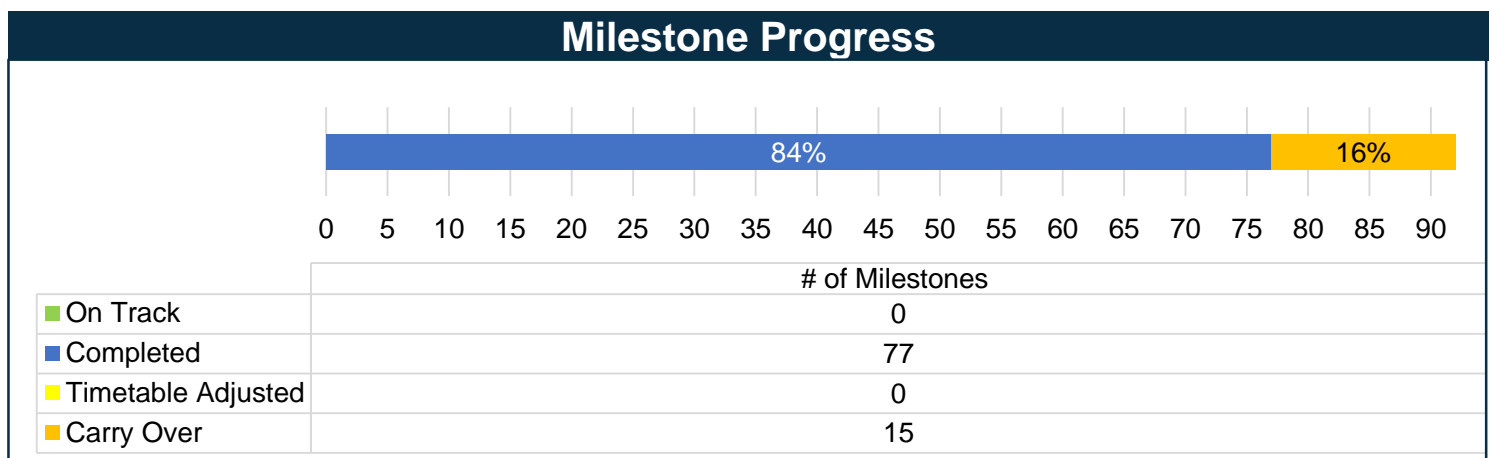
## 2020 CEO Initiatives

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        |
| <b>TOTAL</b>                    | <b>97</b> | <b>92</b> |

\* Explanation for revised milestones can be found on page 3.



## Action Plan Review - Coronavirus (COVID-19) 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 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 residents of California 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 has been and continues 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 the goals remained 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 through 5 summarize milestones that were identified as impacted and required 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. The existing milestone will be carried over to Q1 of 2021.  |
| 3.                  | Transportation Needs Assessment                                     | Conduct Assessment to Gain Insight on Current and Potential Customers  | Provide results <i>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 trip <i>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. | 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. The existing milestone will be carried over to Q3 of 2021.  |
| 8. | 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. This milestone will be revised and carried over to 2021.  |
| 9. | 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 will be carried over to Q3 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 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. However, due to the unpredictability of the pandemic, the COVID-19 response efforts will need to continue into next year. This milestone will be revised and carried over to 2021. |
| 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. However, due to the ongoing pandemic, the post-COVID-19 bus service plan will not be completed this year. This milestone will be carried over to 2021.                             |

### 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. |

## Milestones Removed - To be reconsidered in 2021 as appropriate (Continued)

| #  | Project/ Program  | Objective   | Milestone  | COVID-19 Impact   |
|----|---|---|--|---|
| 3. | Strategic Transit-<br>Technology Plan                           | Develop Road Map<br>for Future Transit-<br>Technology-<br>Improvements                  | Initiate procurement for<br>consultant services—Q3   | Milestone superceded with the added<br>post-COVID-19 Bus Service Plan milestone.  |
| 4. | Employee Rotation-<br>Program                                   | Develop Employees<br>through Job-<br>Rotation   | Launch annual program to<br>develop future leaders with a<br>broadened understanding of<br>OCTA—Q3   | Program postponed to ensure a complete<br>experience. Carryover to 2021.  |
| 5. | OCTA Innovation Ideas   | Explore Innovation-<br>Opportunities-<br>through Inter-<br>divisional Team-<br>Meetings | Present biannual updates to<br>Board—Q2 and Q4   | Staff resources focused on post-COVID-19<br>service recovery plans. This will be<br>reconsidered in 2021.   |
| 6. | Agency Climate-<br>Resiliency and-<br>Sustainability Strategies | Create a-<br>Comprehensive-<br>Plan   | Using information from the gap-<br>analysis completed in Q2,<br>initiate procurement to develop<br>a Climate Resiliency and-<br>Sustainability Plan—Q4 | The Agency Climate Resiliency and<br>Sustainability Practices milestone was<br>timetable adjusted to Q4, this will be<br>reconsidered in 2021.  |
| 7. | Treasury Functional-<br>Review (2019 Carryover<br>—Revised)     | Conduct an-<br>External Review of-<br>Treasury Functions                                | Initiate procurement for<br>consultant services—Q4   | Staff resources focused on COVID-19 review<br>of debt and investment portfolios. This<br>milestone will be removed. There is no<br>imminent need; the latest Treasury audit had<br>no findings. |

**FIRST QUARTER (Q1)****14 of 15 Completed - 93%**

| #  | 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 was adjusted to be consistent with the construction schedule and NTP for when the contractor is needed.                      |    |    |    |    |
| 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 the effectiveness of various security measures. As a result, this milestone was superseded by efforts and measures taken to address Coach Operator safety and health during the COVID-19 pandemic, such as implementation of rear door boarding.<br>December 28, 2020 - update provided through a confidential memo to the Board. |    |    |    | COVID-19 |
| 12. | Facility Security Camera System (2019 Carryover) | Secure All OCTA Facilities       | Complete security camera installation - Q1   | November 18, 2020 - completed security camera installation.  |    |    |    |          |

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 3-4 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 reconsidered for 2021. There will now be two workshops, called "Future of Transit," that are anticipated to be held in 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)

28 of 31 Completed - 90%

| #  | 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  | December 14, 2020 - presented 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. |                |    |    | COVID-19 |
| 4. | Anaheim Canyon Metrolink Station Improvement (2019 Carryover) | Initiate Construction for Passenger Enhancements | Present recommendation for construction contract award to Board - Q2                              | October 12, 2020 - contract award to Board.  |                |    |    |          |
| 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; an update on agreements necessary to obtain station approval is now anticipated for 2021. This will be carried over to Q4 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. An update to ESC is now anticipated for January of 2021. This will be carried over to Q1 of 2021. |    |    |    | 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 - study results presented to Board.  |    |    |    |          |
| 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 2020-21 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 FY 21 OCTA budget to Board.   |    |    |          |    |
| 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; April 27, 2020 - presented to Board.  |    |    |          |    |

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               | Due to the ongoing pandemic, the post-COVID-19 bus service plan will not be completed this year. This will be carried over to 2021 and is to be included in the bus service restructuring. |    |    |    | COVID-19 |

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER



# THIRD QUARTER (Q3)

18 of 20 Completed - 90%

| #  | Project/ Program                                     | Objective   | Milestone  | Notes   | Q1 | Q2                | Q3 | Q4 |
|----|--|---|--|---|----|-------------------|----|----|
| 1. | Human Services<br>Transportation<br>Coordinated Plan | Coordinate<br>Transportation<br>Delivery Services               | Present final plan to Board - Q3   | November 23, 2020 - presented final plan to Board. This item was delayed due to the impacts of COVID-19 on community and stakeholder outreach.        |    |                   |    |    |
| 2. | I-405 Improvement<br>Project<br>(2019 Carryover)     | Complete<br>Possession of<br>Property Rights                    | Complete ROW Phase (obtain legal possession) - Q3  | July 22, 2020 - obtained legal possession.  |    |                   |    |    |
| 3. | Hazard Mitigation Plan                               | Develop a Plan of<br>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<br>Engines                        | Install Cleanest<br>CNG Engine<br>Technology                    | Complete near zero-emission engine installation on 20 articulated buses - Q3                                   | June 24, 2020 - Completed installation on 20 articulated buses.   |    | Early<br>Complete |    |    |
| 5. | Zero-Emission<br>Battery-Electric Buses              | Evaluate Large Bus<br>(BRAVO)<br>Battery-Electric<br>Technology | Present release of vehicle procurement RFP to Board - Q3   | April 27, 2020 - RFP release presented to Board.  |    | Early<br>Complete |    |    |
| 6. | Zero-Emission Bus<br>Update                          | Report on Transit<br>Technology                                 | Present fleet and equipment performance update to Board - Q3   | September 28, 2020 - provided update to Board.  |    |                   |    |    |
| 7. | Zero-Emission Relief<br>Vehicles                     | Reduce Emissions<br>From Coach<br>Operator Relief<br>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<br>Study                       | Assess Freeway<br>Operations<br>Strategies                      | Present recommendations to RPH - Q3  | Due to the inability to have in-person discussions, the Express Lanes Network Study will be delayed to 2021. This will be carried over to Q2 of 2021. |    |                   |    |    |
| 9. | 405 Express Lanes<br>Back Office System              | Implement<br>Transaction<br>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<br>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  | Due to the inability to have in-person discussions, this item has been delayed and will be included in the second "Future of Transit" workshop anticipated to be held in 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.   |    |    |    |    |
| 18. | Diversity Outreach                 | Conduct Diversity Outreach Programs to Support Capital Projects, Planning Studies and Marketing            | Provide annual update to Board Q3   | October 26, 2020 - provided update to Board. 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 - provided 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   | October 26, 2020 - provided update to Board. 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 conducted an informal, qualitative survey with diverse communities to seek feedback on priorities and needs; October 15, 2020 - results of the informal, qualitative survey provided to Legislative and Communications Committee. |    |    |          | COVID-19 |
|     | OC Bus 2.0                      | Develop Strategies for Service Improvement                            | Present Improvement Plan to Board - Q3   | Milestone superseded 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 superseded with the added post-COVID-19 Bus Service Plan milestone.   |    |    | COVID-19 |          |

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

### THIRD QUARTER (Q3) (Continued)

| # | Project/ Program                      | Objective   | Milestone   | Notes   | Q1 | Q2 | Q3       | Q4 |
|---|---------------------------------------|---|---|---|----|----|----------|----|
|   | Strategic Transit-<br>Technology Plan | Develop Road Map-<br>for Future Transit-<br>Technology-<br>Improvements | Initiate procurement for-<br>consultant services – Q3   | Milestone superseded-<br>with the added-<br>post-COVID-19 Bus-<br>Service Plan-<br>milestone.   |    |    | COVID-19 |    |
|   | Employee Rotation-<br>Program         | Develop Employees-<br>through Job-<br>Rotation                          | Launch annual program to-<br>develop future leaders with a-<br>broadened understanding of-<br>OCTA – Q3 | The program is able to-<br>provide a full and-<br>meaningful experience-<br>when started at the-<br>beginning of the-<br>calendar or fiscal year-<br>This will be carried-<br>over to 2021. |    |    | COVID-19 |    |

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

# FOURTH QUARTER (Q4)

17 of 26 Completed -

65%

| #  | Project/ Program   | Objective                        | Milestone   | Notes  | Q1 | Q2 | Q3 | Q4       |
|----|--|----------------------------------|---|--|----|----|----|----------|
| 1. | I-405 Improvement Project  | Continue to Advance Construction | Complete McFadden Avenue bridge - Q4  | October 16, 2020 - bridge completed and opened to traffic.   |    |    |    |          |
| 2. | Next 10 Delivery Plan  | Ensure M2 Delivery Commitment    | Review and present status of the Next 10 Delivery Plan deliverables to Board - Q4                   | The Next 10 Delivery Plan is now tentatively scheduled for April 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 Q2 of 2021.                                   |    |    |    |          |
| 3. | OC Streetcar   | Ensure Vehicle Delivery          | Finish assembly of one complete vehicle - Q4  | Completion is now anticipated for 2021. This will be carried over to 2021.   |    |    |    |          |
| 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 Q3 of 2021.   |    |    |    | COVID-19 |
| 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                             | December 14, 2020 - presented to ESC.  |    |    |    |          |
| 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 - recommendations for grant awards presented 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. This will be reconsidered for 2021. October 6, 2020 - presented updates to CEO and management on the impacts of COVID-19 and the path forward; no further updates for 2020. September 14, 2020 - presented updates to ESC. |    |    |    | COVID-19 |

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER



## FOURTH QUARTER (Q4) (Continued)

| #   | Project/ Program                             | Objective                                      | Milestone  | Notes   | Q1 | Q2 | Q3 | Q4 |
|-----|--|--|--|---|----|----|----|----|
| 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          | December 14, 2020 - provided CAFR to Board.   |    |    |    |    |
| 9.  | Comprehensive Business Plan (CBP)            | 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 Delivery Plan, which has been moved to Q2 of next year. As a result, the CBP will be carried over to Q2 of 2021.   |    |    |    |    |
| 10. | Federal Obligation Authority Plan            | Maximize Federal Formula Funding Opportunities | Present the Federal Obligation Authority Plan to Board – Q4  | SB 1 Competitive Programs approvals will not be announced until November/December, which will delay the Plan. January 11, 2021 - anticipated to present to Board; January 4, 2021 - anticipated to present to RPH. 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 | Training was completed for selected users that will test the new system for development of the FY 2021-22 budget. The new system will be run in parallel with the existing budget system for the FY 2021-22 and will be rolled out authority-wide next FY.  |    |    |    |    |
| 12. | Crisis Communications                        | Ensure Agency and Staff Preparedness           | Conduct a tabletop exercise for the Crisis Communications team and revise Crisis Communications Plan as appropriate – Q4   | November 30, 2020 - conducted Crisis Communication workshop/tabletop exercise.  |    |    |    |    |

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

## FOURTH QUARTER (Q4) (Continued)

| #   | Project/ Program                       | Objective   | Milestone   | Notes  | Q1 | Q2 | Q3             | Q4       |
|-----|--|---|---|--|----|----|----------------|----------|
| 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 tentatively rescheduled to September 2021 still to be held at the Anaheim Convention Center. This will be carried over to Q3 of 2021. |    |    |                | COVID-19 |
| 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.  |    |    | 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 | December 14, 2020 - provided update to Board.<br>Representatives from RCTC, TCA, Caltrans, 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 - provided update to Board.  |    |    |                |          |
| 17. | Federal Transportation Reauthorization | Monitor Reauthorization Efforts                               | Report on discussions consistent with legislative platforms to Board - Q4   | October 26, 2020 - reported to the Board on the one-year extension to the FAST Act. July 27, 2020 - presented update on the House proposed reauthorization bill; February 24, 2020 - principles presented to Board.  |    |    |                |          |

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

## FOURTH QUARTER (Q4) (Continued)

| #   | Project/ Program                     | Objective   | Milestone   | Notes  | Q1 | Q2 | Q3 | Q4 |
|-----|--------------------------------------|---|---|--|----|----|----|----|
| 18. | Legislative Platforms                | Set Legislative Priorities  | Present 2021 state and federal legislative platforms to Board - Q4  | November 23, 2020 - presented final draft to Board.  |    |    |    |    |
| 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. January 25, 2021 - anticipated update to Board.  |    |    |    |    |
| 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. January 11, 2021 - anticipated Q4 I-405 update to Board; January 25, 2021 - anticipated Q4 OC Streetcar update 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 and November 9, 2020 - provided 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. The second biannual report now anticipated to Board in January 2021. This will be carried over to Q1 of 2021.  |    |    |    |    |

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

## FOURTH QUARTER (Q4) (Continued)

| #   | Project/ Program                                      | Objective  | Milestone  | Notes  | Q1 | Q2 | Q3             | Q4       |
|-----|---|--|--|--|----|----|----------------|----------|
| 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.  |    |    | Early Complete |          |
| 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 and November 19, 2020 - presented updates to Legislative and Communications Committee.   |    |    |                |          |
| 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 and November 9, 2020 - presented to Board.  |    |    |                |          |
| 26. | COVID-19 Task Force                                   | COVID-19 Planning and Response Actions           | Initiate the COVID-19 Task Force to develop plans and timely implementation of necessary actions to mitigate organizational, employee, and customer risk. Present COVID-19 After-Action Report to Board - Q4 | The 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. However, due to the unpredictability of the pandemic, the COVID-19 response efforts will need to continue into next year. This will be carried over to 2021. |    |    |                | COVID-19 |
|     | Treasury Functional Review (2019 Carryover - Revised) | Conduct an External Review of Treasury Functions | Initiate procurement for consultant services - Q4  | <del>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.</del>  |    |    |                | COVID-19 |

ON TRACK

COMPLETED

TIMETABLE ADJUSTED

CARRYOVER

## FOURTH QUARTER (Q4) (Continued)

| # | Project/ Program  | Objective   | Milestone  | Notes   | Q1 | Q2 | Q3 | Q4       |
|---|---|---|--|---|----|----|----|----------|
|   | 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         | 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              |
| CEO – Chief Executive Officer                      | RCP – Regional Capacity Program                                |
| CNG – Compressed Natural Gas                       | RPH – Regional Planning and Highways Committee                 |
| ESC – Executive Steering Committee                 | RFP – Request for Proposals                                    |
| EV – Electric Vehicle                              | ROW – Right-of-Way   |
| FTA – Federal Transit Administration               | RTSSP – Regional Transportation Signal Synchronization Program |
| FY – Fiscal Year                                   | RCTC – Riverside County Transportation Commission              |
| I-5 – Interstate 5                                 | SB – Senate Bill   |
| I-405 – Interstate 405                             | SR-55 – State Route 55   |
| I-605 – Interstate 605                             | SR-57 – State Route 57   |
| M2 – Measure M2                                    | SR-73 – State Route 73   |
| NTP – Notice to Proceed                            | SR-91 – State Route 91   |
| PA/ED – Project Approval/Environmental Document    | SAFE – Safer Affordable Fuel Efficiency                        |
| PDT – Project Development Team                     | TCA – Transportation Corridor Agencies                         |
| Q1 – First Quarter                                 | VMT – Vehicle Miles Traveled                                   |



ORANGE COUNTY TRANSPORTATION AUTHORITY

# 2020 BOARD AND CEO INITIATIVES

BALANCED & FORWARD THINKING



**CEO ACTION PLAN**  
Year-End Report

# IN 2020

the OCTA Board of Directors established five strategic initiatives to deliver on OCTA's mission of keeping Orange County moving. In support of those initiatives, a CEO Action Plan was developed, which has guided the agency throughout the year. While 2020 was marked by unprecedented events because of the coronavirus (COVID-19) pandemic, OCTA remained on track in providing projects, programs, and services in the face of the significant challenges. With Board of Directors leadership, CEO Darrell E. Johnson and OCTA staff have worked throughout the year to accomplish the milestones. The guiding principle for OCTA in 2020 was to continue operating and administering the agency in a manner that adhered to public health guidance and helped ensure the health and safety of the residents of Orange County and OCTA employees.

Below are highlights of the milestones accomplished and for a complete listing of all of the milestones and their status, please visit [octa.net/ActionPlan](https://octa.net/ActionPlan).

**77**  
Total  
Milestones  
Accomplished



## Enhance Transit Service Quality and Customer Experience

- **Bus Fleet:** A request for proposals (RFP) to replace 40-foot buses and a contract to replace OC ACCESS vehicles presented and approved by the Board
- **San Juan Creek Railroad Bridge:** Progress to replace the 100-year-old bridge advanced with environmental approval and start of acquiring right of way
- **Fullerton Transportation Center Revitalization:** Construction of improvements completed
- **Human Services Transportation Coordinated Plan:** Final plan presented to the Board

## Deliver OC Go - Next 10 Plan Commitments

- **I-5, SR-73 to El Toro Road:** Construction between SR-73 and Oso Parkway got underway
- **OC Streetcar:** Recommendations for operations and maintenance contract award were presented to the Board
- **I-405 Improvement Project:** Completed project right-of-way phase
- **I-405 Improvement Project:** Completed McFadden Avenue bridge
- **Anaheim Canyon Metrolink Station Improvement:** Presented Board with construction contract award recommendation
- **Community-Based Transit Circulators:** Board approved grant awards to local agencies
- **I-605/Katella Avenue Interchange:** Board approved release of RFP for design services
- **SR-55, I-405 to I-5:** 100% design plans were submitted to Caltrans for approval
- **SR-55, I-5 to SR-91:** Final environmental document was submitted to Caltrans for approval
- **SR-91, SR-55 to SR-57:** Final environmental document was submitted to Caltrans for approval
- **Streets & Roads:** Board approved Measure M2 funds (Projects O and P) to local agencies for capacity improvements and signal synchronization projects



### Collaborate with Local and Regional Partners

- **Beach Boulevard Corridor Study:** Presented draft final report to Regional Planning & Highways Committee
- **College Pass Program:** Extended the pass programs for Santa Ana College & Rancho Santiago Community College District and enrolled Saddleback Community College
- **SR-91 Implementation Plan:** Presented plan to Board
- **South Orange County Multimodal Study:** Provided an update to the Board

### Ensure Public Accountability and Transparency

- **M2 Eligibility:** Audited Santa Ana's and Stanton's expenditure reports and maintenance of effort requirements and brought to the Board for action
- **I-5, Pico to San Diego County Line:** Provided update to Board
- **Diversity Outreach:** Provided update to Board
- **Legislative Platforms:** Board approved the 2021 State and Federal Legislative Platforms
- **Outreach Activities:** Provided Board with quarterly updates on I-405 Improvement Project, OC Streetcar, other projects and studies
- **Marketing Activities:** Presented biannual updates on ongoing bus, rail, OC Flex, rideshare, vanpool, and bus service change campaigns



### Advance Climate Resiliency and Sustainability Strategies

- **Zero-Emission Bus Roll Out:** Board adopted plan to transition to 100% zero-emission buses by 2040
- **Near Zero-Emission Engines:** Completed near zero-emission engine installation on articulated buses
- **Zero-Emission Battery-Electric Buses:** Board approved release of vehicle procurement RFP
- **Zero-Emission Relief Vehicles:** Presented Board request for purchase of zero-emission vehicles
- **M2 Environmental Cleanup Program:** Board approved Measure M2 funding for Tier 1 Water Quality projects (Project X)
- **Active Transportation Initiatives:** Provided Board biannual updates on Safe Routes to School, OC Loop and safety programs

### Promote and Deploy Innovative Technologies

- **Fare Collection System:** Presented farebox replacement alternatives to Transit Committee
- **OC Flex:** Provided Board an update with recommendations on next steps
- **Signal Synchronization Technology:** Initiated discussions with cities on advanced signal system improvements
- **Fullerton Park and Ride Joint Development:** Presented the Board with study results for future consideration of joint development opportunities



### Champion Fiscal Responsibility

- **Operating and Capital Budget:** Board approved a comprehensive, balanced OCTA FY 2020-21 budget
- **Comprehensive Annual Financial Report:** Obtained an unmodified opinion from the external auditors and provided the annual financial statements to Board
- **New Budget Software Implementation:** Transitioned from internally developed software to commercial software during 2020 for development of FY 2021-22 budget



### Strengthen Safety and Security Measures

- **Facility Security Camera System:** Completed security camera installation
- **Cybersecurity Training:** All employees completed required annual cybersecurity training
- **Transit Police Services (TPS):** Board approved TPS contract
- **Safety Management System:** Board approved the Public Transportation Agency Safety Plan

### Develop and Maximize Workforce Potential

- **Leadership Development Academy (LDA):** Launched the fourth LDA cohort to help develop the next generation of leaders
- **Early Career Academy (ECA):** Launched the second ECA cohort to help develop employees
- **Transportation Communications Union Collective Bargaining Agreement:** Board approved parts clerks and facilities technicians agreement
- **Coach Operator Collective Bargaining Agreement:** Board approved agreement