



AGENDA

Regional Planning and Highways Committee Meeting

Committee Members

Mark A. Murphy, Chairman
Barbara Delgleize, Vice Chair
Lisa A. Bartlett
Doug Chaffee
Patrick Harper
Gene Hernandez
Joe Muller
Vicente Sarmiento

Orange County Transportation Authority
Headquarters
Conference Room 07
550 South Main Street
Orange, California
Monday, April 5, 2021 at 10:30 a.m.

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the Orange County Transportation Authority (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 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 Committee 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.

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

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

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

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

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

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



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

Public comments may be submitted for the upcoming Board and Committee meetings by emailing them to 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.**

Call to Order

Roll Call

Pledge of Allegiance

Director Bartlett

1. Public Comments

Special Calendar

There are no Special Calendar matters.

Consent Calendar (Items 2 through 4)

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

2. Approval of Minutes

Approval of the minutes of the Regional Planning and Highways Committee meeting of March 1, 2021.



3. Consultant Selection for the Interstate 405 TransModeler Simulation Model Development

Anup Kulkarni/Kia Mortazavi

Overview

Consultant services are needed to develop a traffic simulation model for Interstate 405 using the TransModeler software program. Board of Directors' approval is requested to execute an agreement to perform the required work.

Recommendations

- A. Approve the selection of Fehr and Peers as the firm to develop a traffic simulation model for the Interstate 405 using the TransModeler software platform.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2558 between the Orange County Transportation Authority and Fehr and Peers, in the amount of \$399,887, to develop a traffic simulation model for Interstate 405 using the TransModeler software platform

4. Revisions to the Measure M2 Eligibility Guidelines

Kelsey Imler/Kia Mortazavi

Overview

The Orange County Transportation Authority's Ordinance No. 3 specifies requirements that local jurisdictions must satisfy in order to be eligible to receive Measure M2 net revenues. Measure M2 Eligibility Guidelines are used to assist local jurisdictions in navigating Measure M2 eligibility requirements and submittal processes. Proposed updates to the Measure M2 Eligibility Guidelines are presented for the Board of Directors' review and approval.

Recommendation

Approve proposed revisions to the Measure M2 Eligibility Guidelines.



Regular Calendar

5. 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.

6. Consultant Selection for Construction Management Support Services for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

Ross Lew/James G. Beil

Overview

On October 26, 2020, the Orange County Transportation Authority Board of Directors authorized the release of a request for proposals to provide construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of AECOM Technical Services, Inc., as the firm to provide construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2582 between the Orange County Transportation Authority and AECOM Technical Services, Inc., as the firm to provide construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.



Discussion Items

7. State Plans and Policies Related to Climate Change

Kurt Brotcke/Kia Mortazavi

Overview

The transportation sector is a large contributor to California's greenhouse gas emissions. The State of California has approved multiple policies over the years to reduce emissions from transportation sources. New state policies will further these efforts and will likely to shift state transportation planning and funding priorities. An update on these policies is provided for information purposes.

8. Chief Executive Officer's Report

9. Committee Members' Reports

10. Closed Session

There are no Closed Session items scheduled.

11. Adjournment

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Monday, May 3, 2021**, at the Orange County Transportation Authority Headquarters, Conference Room 07, 550 South Main Street, Orange, California.



MINUTES

Regional Planning and Highways Committee Meeting

Committee Members Present via Teleconference

Mark A. Murphy, Chairman
Barbara Delgleize, Vice Chair
Lisa A. Bartlett
Doug Chaffee
Patrick Harper
Gene Hernandez
Joe Muller
Vicente Sarmiento

Staff Present

Jennifer L. Bergener, Deputy Chief Executive Officer
Sahara Meisenheimer, Board Specialist
Allison Cheshire, Interim Deputy Clerk of the Board

Committee Members Absent

None

Via Teleconference:

Darrel E. Johnson, Chief Executive Officer
James Donich, General Counsel

Call to Order

The March 1, 2021 regular meeting of the Regional Planning and Highways (RP&H) Committee was called to order by Committee Chairman Murphy at 10:32 a.m.

Roll Call

The Deputy Clerk of the Board conducted an attendance Roll Call and announced that there was quorum of the RP&H Committee.

Pledge of Allegiance

Committee Vice Chair Delgleize led in the Pledge of Allegiance.

1. Public Comments

No public comments were received.

Special Calendar

There were no Special Calendar matters.

Consent Calendar (Items 2 through 8)

2. Approval of Minutes

A motion was made by Director Sarmiento, seconded by Director Bartlett, and following a roll call vote, declared passed 8-0, to approve the minutes of the Regional Planning and Highways Committee meeting of February 1, 2021.



3. Cooperative Agreement with Southern California Regional Rail Authority for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

A motion was made by Director Sarmiento, seconded by Director Bartlett, and following a roll call vote, declared passed 8-0, to authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-1-3290 between the Orange County Transportation Authority and the Southern California Regional Rail Authority, in the amount of \$542,850, to provide construction support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

4. Agreements for Freeway Service Patrol Services

Director Muller pulled this item and asked for further details on the selection of Veteran's Towing, LLC (Veterans) in service area 1 and why the other firm was not selected when they scored lower.

Darrell E. Johnson, Chief Executive Officer (CEO), responded that that the evaluation criteria and weightings was approved by the Board of Directors when the Request for Proposals was released on October 12, 2020. In addition, Freeway Service Patrol services is different than typical towing services because the decision was made to only award a new vendor to one service area.

Patrick Sampson, Senior Section Manager of Motorist Services, reiterated that this is the only service that can legally be provided by actively patrolling the freeways and looking for disabled motorists. He also explained that the California Highways Patrol oversees the program, and the Orange County Transportation Authority (OCTA) manages the contract side. In some areas, Veterans scored higher because they are in a closer proximity to service area 1 and can respond faster.

Director Bartlett echoed staff's remarks and agrees with the recommendations.

Director Muller requested in Attachment C to lay out the weightings differently, so it is not based on a one-point difference.

A motion was made by Director Muller, seconded by Committee Vice Chair Delgleize, and following a roll call vote, declared passed 8-0, to:

- A. Approve the selection of Veterans Towing, LLC, to provide freeway service patrol services for service area 1.
- B. Approve the selection of California Coach Orange, Inc., to provide freeway service patrol services for service areas 3, 5, and 10.



4. (Continued)

- C. Approve the selection of California Roadside Service, LLC, to provide freeway service patrol services for service area 6.
- D. Approve the selection of Beach Town Towing, LLC, doing business as Orange County Motor Club, to provide freeway service patrol services for service area 8.
- E. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2721 between the Orange County Transportation Authority and Veterans Towing, LLC, in the amount of \$3,984,992, to provide freeway service patrol services for service area 1 from October 2, 2021 through October 2, 2027.
- F. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3311 between the Orange County Transportation Authority and California Coach Orange, Inc., in the amount of \$16,170,275, to provide freeway service patrol services for service areas 3 and 10 from October 2, 2021 through October 2, 2027, and service area 5 from December 4, 2021 through October 2, 2027.
- G. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3312 between the Orange County Transportation Authority and California Roadside Service, LLC, in the amount of \$4,868,234, to provide freeway service patrol services for service area 6 from October 2, 2021 through October 2, 2027.
- H. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3313 between the Orange County Transportation Authority and Beach Town Towing, LLC, doing business as Orange County Motor Club, in the amount of \$5,431,156, to provide freeway service patrol services for service area 8 from December 4, 2021 through October 2, 2027.

5. Agreement for Call Box Maintenance Services

A motion was made by Director Sarmiento, seconded by Director Bartlett, and following a roll call vote, declared passed 8-0, to:

- A. Approve the selection of CASE Emergency Systems, as the firm to provide call box maintenance services to maintain call boxes operated under the Orange County Service Authority for Freeway Emergencies program.



5. (Continued)

- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2632 between the Orange County Transportation Authority and CASE Emergency Systems, in the amount of \$2,432,315, to provide call box maintenance services for a six-year initial term, with one, two-year option term.

6. Consultant Selection for the Development of Orange County Mobility Hubs Strategy

A motion was made by Director Sarmiento, seconded by Director Bartlett, and following a roll call vote, declared passed 8-0, to:

- A. Approve the selection of Steer Davies & Gleave, Inc., as the firm to develop the Orange County Mobility Hubs Strategy.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2646 between the Orange County Transportation Authority and Steer Davies & Gleave, Inc., in the amount of \$297,371, to develop the Orange County Mobility Hubs Strategy.

7. Agreement for Measure M2 Environmental Mitigation Program Regulatory Support Services

A motion was made by Director Sarmiento, seconded by Director Bartlett, and following a roll call vote, declared passed 8-0, to:

- A. Approve the selection of Glenn Lukos Associates, Inc., as the firm to provide regulatory support of the Orange County Transportation Authority's Measure M2 Environmental Mitigation Program.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2701 between the Orange County Transportation Authority and Glenn Lukos Associates, Inc., in the amount of \$500,000, for a five-year term to provide regulatory permitting services associated with the Orange County Transportation Authority's Measure M2 Environmental Mitigation Program.



8. Cooperative Agreement with the California Department of Transportation for the State Route 57 Northbound Improvement Project Between Orangewood Avenue and Katella Avenue

A motion was made by Director Sarmiento, seconded by Director Bartlett, and following a roll call vote, declared passed 8-0, to authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-1-3300 between the Orange County Transportation Authority and the California Department of Transportation, in the amount of \$450,000, to provide oversight of the plans, specifications, and estimates, and to advertise and award the construction contract for the State Route 57 Northbound Improvement Project between Orangewood Avenue and Katella Avenue.

Regular Calendar

There were no Regular Calendar items scheduled.

Discussion Items

9. Update on Interstate 5 Widening Project Between State Route 73 and El Toro Road

Niall Barrett, Program Manager of Project Management, and Fernando Chavarria, Principal Community Relations Specialist, co-presented a PowerPoint presentation.

A discussion ensued regarding:

- Director Bartlett stated she is excited about this project, the significance of this project for south Orange County, and asked how the four alternatives play into Segment 3 of this project. Mr. Barrett responded that any alternative as a part of the Interstate 5 Freeway El Toro Road interchange project accommodates the widening of the freeway.
- Director Harper complimented staff on the presentation and the outreach, especially on the Facebook page.
- Consensus on the presented alternatives between the three cities of Laguna Hills, Laguna Woods, and Lake Forrest is pending. There will be a report provided to the RP&H Committee in the future.

10. Chief Executive Officer's Report

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

- Tonight, staff will be presenting an update on the Interstate 405 Improvement Project to the Huntington Beach City Council, and he looks forward to seeing Director Delgleize.



10. (Continued)

- Continues to have meetings with local elected officials and update them on OCTA's projects and programs. Last week, Mr. Johnson, CEO, met with State Senator Tom Umberg, who represents the 34th Senate District and Assemblywoman Laurie Davies, who represents the 73rd Assembly District. Tomorrow, he will be meeting with State Senator Pat Bates who represents the 36th Senate District.

11. Committee Members' Reports

Chairman Murphy welcomed Director Muller back to the Committee.

12. Closed Session

There were no Closed Session items scheduled.

13. Adjournment

The meeting adjourned at 11:07 a.m.

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Monday, April 5, 2021**, at the Orange County Transportation Authority Headquarters, Conference Room 07, 550 South Main Street, Orange, California.

ATTEST

Mark A. Murphy
Committee Chairman

Sahara Meisenheimer
Deputy Clerk of the Board



April 5, 2021

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Consultant Selection for the Interstate 405 TransModeler Simulation Model Development

Overview

Consultant services are needed to develop a traffic simulation model for Interstate 405 using the TransModeler software program. Board of Directors' approval is requested to execute an agreement to perform the required work.

Recommendations

- A. Approve the selection of Fehr and Peers as the firm to develop a traffic simulation model for the Interstate 405 using the TransModeler software platform.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2558 between the Orange County Transportation Authority and Fehr and Peers, in the amount of \$399,887, to develop a traffic simulation model for Interstate 405 using the TransModeler software platform.

Discussion

The Orange County Transportation Authority (OCTA) needs to develop a traffic simulation model for Interstate 405 (I-405) using the TransModeler software platform. The traffic simulation will include both the I-405 general purpose lanes and future express lanes between Interstate 5 (I-5) to the Los Angeles County line. The purpose of the model is to provide OCTA staff with a tool to evaluate and understand future traffic operations of this corridor following the completion of the I-405 Improvement Project. OCTA has developed a similar traffic simulation model in TransModeler for the State Route 91 (SR-91).

Procurement Approach

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

On November 5, 2020, Request for Proposals (RFP) 0-2558 was issued electronically on CAMM NET. The project was advertised in a newspaper of general circulation on November 8 and November 15, 2020. A pre-proposal conference was held on November 12, 2020, with eight attendees representing five firms. Two addenda were issued to provide a copy of the pre-proposal registration sheet and to respond to questions related to the RFP.

On December 3, 2020, four proposals were received. An evaluation committee consisting of OCTA staff from Contracts Administration and Materials Management and Planning departments, as well as an external representative from the County of Orange met to review all proposals received. The proposals were evaluated based on the following evaluation criteria and weightings:

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

Several factors were considered in developing the criteria weightings. Qualifications of the firm was weighted at 25 percent as the firm had to demonstrate relevant experience developing similar traffic simulation projects, including modeling complex toll operations. Staffing and project organization was weighted at 30 percent to ensure the proposed project team had the required skills and expertise needed to perform the work. Work plan was weighted at 25 percent, as the firm had to demonstrate its understanding of the key issues related to developing a traffic simulation model along the I-405 corridor, including properly modeling the variable pricing system based on the time of day. Cost and price were weighted at 20 percent to ensure the services are provided at competitive rates.

On December 10, 2020, the evaluation committee reviewed all proposals received based on the evaluation criteria and interviewed all proposing firms. The four proposing firms are listed below in alphabetical order:

Firm and Location

Cambridge Systematics (Cambridge)
Los Angeles, California

CLR Analytics, Inc. (CLR)
Irvine, California

Fehr and Peers (F&P)
Irvine, California

TJKM Transportation Consultants (TJKM)
Pleasanton, California

On December 17, 2020, the evaluation committee interviewed the four firms. The interviews consisted of a presentation to demonstrate the firms' understanding of OCTA's requirements for this project. Specifically, the firms were requested to describe their approach to developing the traffic simulation model, including identifying the greatest issues related to the project, such as toll operations, traffic data collection, traffic changes, key operational issues along the project corridor, and any recommendations to help address these issues.

The firms' project managers and key team members had an opportunity to present qualifications and respond to the evaluation committee's questions. Questions were asked relative to the firms' experience performing similar services, recommendations for traffic simulation approaches, enhancements to the scope of work, and quality control procedures. Finally, firms were asked specific clarification questions related to each firm's proposal.

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

Based on the evaluation of the written proposals, information obtained from the interviews, as well as cost and price, the evaluation committee recommends F&P for consideration of the award. The following is a brief summary of the proposal evaluation results.

Qualifications of the Firm

The four firms are qualified to provide the required scope of work with each having extensive experience providing simulation models for various transit agencies.

F&P was founded in 1985 and has over 306 employees. The firm is located in the City of Irvine. F&P demonstrated relevant experience by preparing simulation models, including traffic operations analysis report for the Interstate 15 (I-15) Express Lanes southern extension for the Riverside County Transportation Commission. F&P also completed the Interstate 90 (I-90) Front Street Interchange Improvement Program for the Washington State Department of Transportation. The I-90 is similar to the I-405 project, as the model includes multiple routes available for drivers and design alternatives. In addition, F&P created the TransModeler model for the SR-91 simulation for OCTA, which required a complete conversion of the FREQ simulation model to the TransModeler model.

F&P proposed Jacobs Engineering Group, Inc., (Jacobs) as a subcontractor to advise F&P in managed lane operations and potential improvement recommendations to the I-405 corridor. Jacobs' recent managed lanes projects include the I-5 Managed Lanes Project Study Report for the California Department of Transportation (Caltrans) District 12 and the Managed Lanes Network Study for Orange County and Caltrans.

Cambridge was established in 1972 and has 230 employees. Cambridge has 12 locations with a local office in the City of Los Angeles. The firm's recent relevant experience includes the development of a simulation model for the I-405 corridor for Caltrans, the Gateway Cities Strategic Transportation Plan and Mesoscopic Simulation Model for the Los Angeles Metropolitan Transportation Authority (LA Metro), and a TransModeler-based walkability study traffic modeling for the City of Des Moines, Iowa. Cambridge did not propose any subcontractors for this project.

CLR was established in 2007 and has five employees. The firm has an office in the City of Los Angeles. CLR's recent experience includes multiple model development projects associated with the Southern California Corridor System Management Plan for Caltrans and the Southern California Association of Governments (SCAG). The firm also developed the travel demand modeling simulation for the Metro Regional Transportation System Operations Analysis for LA Metro. In addition, CLR completed the I-15 Express Lane VISSIM Model Review for Caltrans and the SR-91 Improvements Project Approval and Environmental Document (PA/ED) for OCTA. CLR proposed Systems Metrics Group (SMG) as a subcontractor to operate as a dual project management structure. CLR proposed to lead the modeling tasks while SMG is proposed to lead the quality assurance/quality control (QA/QC) and strategy tasks of the project.

TJKM was established in 1974 and has 40 employees. The firm has three locations and has its headquarters in the City of Pleasanton. TJKM developed traffic modeling for the Interstate 80 (I-80)/ Gilman Street Interchange Improvement PA/ED Project for Alameda County and the Greater Ukiah Area Microsimulation Model for Mendocino County. In addition, the firm is currently working on the SR-91 TransModeler Microsimulation Model Toll Operation Upgrade for OCTA. TJKM did not propose any subcontractors for this project.

Staffing and Project Organization

F&P proposed qualified staff with direct experience performing TransModeler simulation or related work. The proposed project manager has been with the firm for 17 years and has direct experience related to TransModeler development and simulations, including being the project manager for OCTA's FREQ to TransModeler Conversion and the SR-91 Implementation Plan TransModeler support currently in process. Additionally, F&P's key personnel proposed over 40 percent availability on average to perform work on this project, with availability increasing as many of their existing F&P projects are near completion. During the interview, the project team members discussed their roles and approach to develop the I-405 TransModeler Simulation Model. All of the individuals present for the interview responded to the evaluation committee's questions. F&P project team's responses included examples of previous TransModeler experience, key issues of the project, as well as noted strategies used, and lessons learned from prior projects. Additionally, the project team's responses demonstrated an understanding of the technical challenges of developing a simulation model. Furthermore, the project team emphasized that they were also familiar with various data collection efforts including Orange County Transportation-Model (OCTAM), street light data, and Caltrans' Freeway Performance Measurement System (PeMS).

Cambridge proposed a project manager that has been with Cambridge for six years and has over 35 years of experience in tolling and managing simulation models. The proposed project manager for Cambridge has direct simulation model development experience working on the development of simulation models for the express lane projects along I-405 in Los Angeles County, Interstate 10 (I-10) and I-80. The proposal included conflicting information regarding staff availability for the project; however, this was clarified during the interview and all key personnel will have at least 50 percent availability.

CLR proposed a dual project manager structure. The CLR project manager responsible for modeling tasks has over 20 years of experience applying traffic simulation tools, traffic control and management, and was a professor/researcher of traffic simulation courses at the University of California, Berkley and University of California, Irvine. The SMG project manager responsible for the QA/QC has over 30 years of experience in managed lanes

analysis, transportation systems management and operations, and simulation. The SMG project manager is currently working on multiple assignments for other agencies including SCAG, San Diego Association of Governments, and Caltrans. Both proposed project managers have experience with simulation, which is a key component to this project. CLR did not provide specific details of their key personnel's experience with simulation projects.

TJKM proposed a project manager with over 12 years of experience leading various California-based modeling projects and is currently working on the SR-91 TransModeler Microsimulation Model Toll Operation Upgrade for OCTA, as well as the Toll Collection System and Toll Services for the I-10 Corridor Dynamic Pricing Simulation Modeling for the San Bernardino Transportation Authority. TJKM proposed no additional support from a subcontracting firm; however, they anticipate using data collection vendors for real-time data and historical data. The proposed project team has worked together on previous projects related to simulation development such as the SR-91 Transmodeler Microsimulation Model Toll Operation and the Greater Ukiah Area Microsimulation Model. During the interview, the project team discussed its roles and approach to develop the TransModeler simulation. However, responses to the evaluation committee's questions were general in nature and did not discuss specific examples.

Work Plan

F&P presented a comprehensive work plan that addressed all the elements of the scope of work. The firm discussed its approach to develop the simulation model. F&P also provided an appropriate work plan outlining all tasks and sub-tasks. The firm also explained the rationale behind the proposed allocation of resources identified in their proposal and allotted for an additional three months of ongoing support as an enhancement after the completion of the project. The firm further discussed in depth how they plan to use the external data sources to supplement possible inconsistencies of the data collected as part of their QA/QC approach. During the interview, F&P detailed their approach to completing the scope of work by taking into consideration the construction activities under the I-405 corridor. F&P proposed using Streetlight data to analyze historic I-405 traffic and new travel patterns. F&P also expanded on the detail discussing stress tests for ingress and egress points throughout the freeway.

Cambridge presented a work plan that addressed all of the key elements of the scope of work. The firm included signaling and ramp metering components and identified hotspots and potential problems along the I-405 corridor where congestion may occur. Cambridge also proposed creating technical tools to automate many key components of the traffic simulation. Using data from existing tools such as the PeMS and OCTAM may lead to an enhanced

conclusion of the simulation model. Cambridge stated during the interview these tools will improve the consistency of the simulation and allow the development of future models to be developed faster.

CLR's work plan addressed several elements of the scope of work. The firm's work plan addressed possible issues that may arise with signaling and ramp metering but did not explain how those issues would be resolved. CLR provided a summary of their approach but included limited details on the simulation model. The firm also provided a generic schedule for the simulation development tool.

TJKM demonstrated a clear understanding of the project requirements and proposed a work plan that addressed the requirements in the scope of work. TJKM outlined the approach to completing each task. The firm also proposed three potential alternatives for this project, as well as a QA/QC review program. The firm proposed an 11-month schedule but did not identify additional sources for data collection as required. TJKM stated they would manually collect vehicle counts without the assistance of subconsultants.

Cost and Price

Pricing scores were based on a formula which assigned the highest score to the firm with the lowest firm-fixed price and scored the other proposals' firm-fixed price based on their relation to the lowest firm-fixed price. F&P proposed a competitive firm-fixed price to develop the simulation model and was also lower than the OCTA project manager's independent cost estimate. Therefore, F&P's proposed firm-fixed price was deemed fair and reasonable.

Procurement Summary

Based on the evaluation of written proposals, the firms' qualifications, information obtained from the interviews, and pricing, the evaluation committee recommends the selection of F&P as the top-ranked firm to develop a traffic simulation model for I-405 using the TransModeler software platform. F&P delivered a comprehensive proposal and interview that was responsive to the requirements of the RFP.

Fiscal Impact

The project was approved in OCTA's Fiscal Year 2020-21 Budget, Planning Division, Account No. 0017-7519-M0201-P2U, and is funded with local funds from Measure M2 sales tax revenues.

Summary

Staff is recommending the Board of Directors authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2558 with Fehr and Peers, in the amount of \$399,887, to develop a traffic simulation model for Interstate 405 using the TransModeler software platform.

Attachments

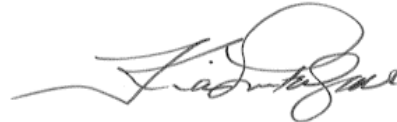
- A. Review of Proposals, RFP 0-2558 Interstate 405 TransModeler Simulation Model Development
- B. Proposal Evaluation Criteria Matrix, RFP 0-2558 Interstate 405 TransModeler Simulation Model Development
- C. Contract History for the Past Two Years, RFP 0-2558 Interstate 405 TransModeler Simulation Model Development

Prepared by:



Anup Kulkarni
Section Manager
Regional Modeling - Traffic Operations
(714) 560-5867

Approved by:



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



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

Review of Proposals
RFP 0-2558 Interstate 405 Transmodeler Simulation Model Development

Presented to the Regional Planning and Highways Committee on April 5, 2021.
Four proposals were received, four firms were interviewed, one firm is being recommended.

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments	Firm-Fixed Price
1	86	Fehr & Peers Irvine, California	Jacobs Engineering Group, Inc.	Experience developing simulation models for various transit agencies. Firm established in 1985. Firm's experience includes the Interstate 15 Express Lanes Southern extension for Riverside County Transportation Commission and Interstate 90 Front Street Interchange improvement program for Washington State Department of Transportation. Proposed subconsultant with recent development models and related projects for California Department of Transportation and Orange County Transportation Authority (OCTA). Project team has microsimulation and managed lanes experience. Demonstrated a thorough and concise understanding of OCTA's requirements. Provided a detailed flow chart of the technical process with all major and minor phases identified. Proposed the use of various data collection efforts. Demonstrated during the interview key lessons learned from prior simulations. Proposed competitive pricing below the independent cost estimate.	\$399,887.00
2	84	Cambridge Systems, Inc. Los Angeles, California	None	Experience developing simulation models for various transit agencies. Firm established in 1972. Firm's experience includes the microsimulation development for Interstate 405 for OCTA, Gateway Cities Strategic Plan, and Mesoscopic Simulation Model for Los Angeles County Metropolitan Transportation Authority. Comprehensive understanding of the scope of work. Proposed the use of various data collection efforts. Staff proposed over 50 percent availability. Proposed second lowest firm-fixed price.	\$399,000.00
3	81	CLR Analytics Irvine, California	Systems Metrics Group	Experience developing simulation models for various transit agencies. Firm established in 2007. Firm's experience includes the the Southern California Corridor System Management Plan. Recent simulation models for California Department of Transportation, Southern California Association of Government, Los Angeles County Metropolitan Transportation Authority. development. PM has over 20 years of experience, including teaching traffic simulation at the University of California, Irvine. Information regarding key personnel's experience with microsimulation projects was lacking. Proposed highest firm-fixed price.	\$400,000.00
4	78	TJKM Transportation Consultants Pleasanton, California	None	Experience developing simulation models for various transit agencies. Firm established in 1974. Recent experience includes Interstate 80/Gilman Street Interchange Improvement PA/ED Project for Alameda County. Key personnel have limited experience with managed lanes. Good overall understanding of the scope of work. Proposed lowest firm-fixed price.	\$362,005.00

Acronyms

RFP - Request for Proposals

PA/ED - Project Approval/Environmental Document

Evaluation Panel:

Internal:

Contracts Administration and Materials Management (1)
Planning and Analysis (1)
Project Development (1)
Transportation Modeling (2)

Proposal Criteria

Qualifications of the Firm
Staffing and Project Organization
Work Plan
Cost and Price

Weight Factors

25%
30%
25%
20%

External:

County of Orange (1)

PROPOSAL EVALUATION CRITERIA MATRIX								
RFP 0-2558 Interstate 405 Transmodeler Simulation Model Development								
Fehr & Peers						Weights	Overall Score	
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.5	4.5	4.0	4.5	4.5	4.5	5	18.3
Staffing/Project Organization	4.5	4.0	4.0	4.0	4.5	4.5	6	21.0
Work Plan	4.0	4.0	4.5	4.0	4.5	4.0	5	17.5
Cost and Price	4.53	4.53	4.53	4.53	4.53	4.53	4	15.1
Overall Score	87.6	84.6	84.6	84.6	90.1	87.6		86
Cambridge Systematics, Inc.						Weights	Overall Score	
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.5	4.5	4.0	4.5	4.5	4.0	5	17.9
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	4.0	6	20.0
Work Plan	4.0	4.0	4.0	4.0	4.0	4.0	5	16.7
Cost and Price	4.54	4.54	4.54	4.54	4.54	4.54	4	15.1
Overall Score	84.7	84.7	82.2	84.7	84.7	82.2		84
CLR Analytics						Weights	Overall Score	
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	4.0	5	16.7
Staffing/Project Organization	4.0	4.5	4.0	4.0	4.0	3.5	6	20.0
Work Plan	4.0	4.0	3.5	3.5	3.5	4.0	5	15.4
Cost and Price	4.53	4.53	4.53	4.53	4.53	4.53	4.0	15.1
Overall Score	82.1	85.1	79.6	79.6	79.6	79.1		81
TJKM Transportation Consultants						Weights	Overall Score	
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.0	4.0	3.5	4.0	4.0	4.0	5	16.3
Staffing/Project Organization	3.5	3.5	4.0	3.5	4.0	3.5	6	18.5
Work Plan	3.5	3.0	3.0	3.5	3.5	3.5	5	13.8
Cost and Price	5.00	5.00	5.00	5.00	5.00	5.00	4.0	16.7
Overall Score	78.5	76.0	76.5	78.5	81.5	78.5		78

Acronym

RFP - Request for Proposals

CONTRACT HISTORY FOR THE PAST TWO YEARS

RFP 0-2558 INTERSTATE 405 TRANSMODELER SIMULATION MODEL DEVELOPMENT

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Cambridge Systems, Inc.						
Contract Type: Firm-Fixed Price Subconsultants: None	C-0-2091	Aggregated Transportation Data for Orange County	April 9, 2018	November 30, 2021		\$ 224,992
Contract Type: Time and Expense Subconsultants: None	C-7-1870	Support of Modeling Assumptions Orange County Transportation Analysis Modeling 4.0 Software	April 24, 2017	December 31, 2019		\$ 125,000
			Sub Total			\$ 349,992
CLR Analytics, Inc.						
Contract Type: None Subconsultants: None	N/A	N/A	N/A	N/A		N/A
			Sub Total			N/A
Fehr & Peers						
Contract Type: Firm-Fixed Price Subconsultants: None	C-9-1694	SR-91 Implementation Plan TransModeler Support	January 11, 2020	December 31, 2020		\$ 99,985
Contract Type: Firm-Fixed Price Subconsultants: None	C-9-1706	Support for the SB 743 (Chapter 1243, Statutes of 2013) Compliant Technical Analysis	February 1, 2020	October 31, 2020		\$ 99,990
Contract Type: Firm-Fixed Price Subconsultants:	C-8-2115	2019 Corridor Operations Performance Report	February 12, 2019	June 30, 2020		\$ 189,820
National Data & Surveying Services					\$ 60,060.00	
Contract Type: Firm-Fixed Price Subconsultants:	C-7-1523	Systematic Safety Analysis Report	October 4, 2017	September 30, 2019		\$ 342,875
Nelson/Nygaard					\$ 138,191.00	
Safe Transportation Research and Education Center					\$ 2,049.00	
			Sub Total			\$ 732,670
TJKM Transportation Consultants						
Contract Type: Firm-Fixed Price Subconsultants: None	C-0-2022	SR-91 Transmodeler Microsimulation Model Toll Operations Upgrade	May 1, 2020	April 30, 2021		\$ 199,890
			Sub Total			\$ 199,890

Acronyms

RFP - Request for Proposals

N/A - Not Applicable

SR-91 - State Route 91



April 5, 2021

To: Regional Planning and Highways Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: Revisions to the Measure M2 Eligibility Guidelines

Overview

The Orange County Transportation Authority's Ordinance No. 3 specifies requirements that local jurisdictions must satisfy in order to be eligible to receive Measure M2 net revenues. Measure M2 Eligibility Guidelines are used to assist local jurisdictions in navigating Measure M2 eligibility requirements and submittal processes. Proposed updates to the Measure M2 Eligibility Guidelines are presented for the Board of Directors' review and approval.

Recommendation

Approve proposed revisions to the Measure M2 Eligibility Guidelines.

Background

The Orange County Transportation Authority's (OCTA) Measure M2 (M2) Ordinance No. 3 specifies requirements that M2-defined local jurisdictions must satisfy in order to be eligible to receive net M2 revenues. To assist local jurisdictions with these requirements, OCTA regularly updates guideline documents, including the M2 Eligibility Guidelines (Eligibility Guidelines).

Staff has completed a review of the Eligibility Guidelines and is recommending approval of revisions (discussed below) in order to support local jurisdictions in meeting the M2 eligibility requirements. The recommended revisions incorporate feedback received during previous eligibility review cycles and also include updates to clarify and/or streamline M2 eligibility submittal and review processes. These guidelines are intended to assist local jurisdictions in completing required M2 eligibility processes, and it is the local jurisdiction's responsibility to ensure that they meet and satisfy all required M2 eligibility requirements each year.

Discussion

The recommended revisions to the guidelines for the current eligibility cycle include changes to Master Plan of Arterial Highways (MPAH) eligibility and submittal requirements, the sections relating to maintenance of effort (MOE) requirements, and timely use of funds tracking provisions for M2 formula programs.

Recommended changes to the MPAH eligibility and submittal requirements sections were developed in order to make them clearer, better align with M2 Ordinance requirements, and eliminate redundancy between the Eligibility Guidelines and other MPAH administrative documents and procedures. An addition was also made to the required council or Board of Supervisors' resolution now requiring local jurisdictions to affirm that they will bring forward requests to amend the MPAH in order to ensure that the MPAH and the jurisdiction's circulation element in their general plans are consistent.

In June 2020, OCTA approved an amendment to the M2 Ordinance to provide flexibility to the MOE requirement due to the economic impacts of the coronavirus (COVID-19). Due to continued COVID-19-related impacts, staff is recommending another M2 Ordinance amendment for fiscal year (FY) 2021-22. If approved, this amendment, which is on the same agenda as this item, will extend the local jurisdictions' agencies ability to meet their MOE requirements through either the MOE benchmark dollar amount (traditional process) or MOE expenditures as a proportional share compared to general fund revenues. Given this, the MOE sections in the guidelines' exhibits, appendices, and forms have been updated to reflect both current and proposed MOE benchmark requirements.

With regard to timely use of funds for M2 formula programs, an updated tracking system is recommended to better monitor the timely use of funds requirements. The objective for this recommended change is to make the tracking and reporting of the receipt and use of formula funds more consistent with how the jurisdictions typically track revenues with the annual expenditure report requirement.

The recommended amendments to the guidelines also include minor updates to the eligibility checklist and due dates, general wording modifications, expansion on certain concepts, clarification of submittal requirements, reordering of information, and technical updates/clarifications throughout the document, appendices, and reporting forms.

A summary of recommended revisions to the Eligibility Guidelines is provided in Attachment A, and a redlined version of proposed changes to the Eligibility Guidelines is provided in Attachment B.

Next Steps

Following Board of Directors' (Board) approval of the recommended Eligibility Guidelines revisions, OCTA will conduct a workshop (scheduled for April 15, 2021) to inform the jurisdictions of these changes and guide them through the process. Staff will also coordinate with all local agencies throughout the eligibility review process in order to facilitate timely submittal of required M2 eligibility components.

Staff will return to the Board to seek approval of M2 eligibility findings and recommendations through a two-phased process, with the first components (due in June 2021) being presented for Board consideration in December 2021, and the second component, M2 Expenditure Reports (due in December 2021), being presented in June 2022.

Summary

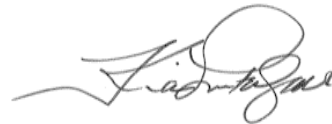
Recommended revisions to the Eligibility Guidelines are recommended to support and facilitate the initiation of the ongoing M2 eligibility review cycle. Upon Board approval of recommended Eligibility Guidelines revisions, the first phase of the M2 eligibility review cycle will commence.

Attachments

- A. Revisions to the Measure M2 Eligibility Guidelines
- B. Measure M2 Eligibility Guidelines, Fiscal Year 2021/2022

Prepared by:

Kelsey Imler
Associate Transportation Funding Analyst
(714) 560-5397

Approved by:

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

Revisions to the Measure M2 Eligibility Guidelines

Recommended Substantive Changes

- **Page 3** – Reorganized and clarified the Audits section in Chapter 1.
- **Page 5** – Updated deadlines in the eligibility requirements table consistent with eligibility requirements and deadlines discussed in Chapter 2.
- **Page 7** – Updated the Circulation Element/Master Plan of Arterial Highways (MPAH) consistency section to better reflect Measure M2 (M2) Ordinance requirements for eligibility.
- **Page 8** – Updated Exhibit 1 with the latest MPAH centerline mileage that is used to calculate local fair share payments.
- **Page 10** – Added a discussion of existing and proposed modifications to the fiscal year (FY) 2020-21 and 2021-22 maintenance of effort (MOE) benchmark requirement, due to the financial impacts of the coronavirus (COVID-19) pandemic.
- **Page 12** – Added a discussion of existing and proposed modifications to the FY 2020-21 and 2021-22 MOE benchmark requirement due to the financial impacts of the COVID-19 pandemic.
- **Page 15** – Reorganized and clarified the Mitigation Fee Program (MFP) verification section in Chapter 2. Added five-year expenditure report as an MFP supporting documentation option.
- **Page 18** – Clarified project final report requirements for cancelled projects.
- **Pages 18-19** – Updated language on how the timely use of funds requirement will be monitored for the Local Fair Share Program and Senior Mobility Program.
- **Pages 22-23** – Updated descriptions of the Taxpayer Oversight Committee and Annual Eligibility Review Subcommittee's roles with respect to M2 eligibility in order to make them more consistent with the M2 Ordinance and current practice.
- **Appendix C** – Added two optional questions to the Congestion Management Program (CMP) checklist related to the federal CMP process, per previous requests from the Southern California Association of Governments.

Revisions to the Measure M2 Eligibility Guidelines

- **Appendix D** – Marked currently not required eligibility submittals as not applicable. Added CMP projects to the Capital Improvement Program section. Reorganized the MFP and updated the resolution of MPAH consistency sections to make them more consistent with Chapter 2.
- **Appendix E** – Updated the language in the MPAH/MFP resolution to affirm that local jurisdictions will bring forward requests to amend the MPAH, when necessary, in order to ensure that the MPAH and the General Plan Circulation Element remain consistent.
- **Appendix F** – Updated FYs in the Pavement Management Plan submittal template.
- **Appendix G** – Modified checkbox on the signature page of the Expenditure Report to note the two potential options for meeting the FY 2020-21 MOE requirement. Also noted that excerpts from the local jurisdiction's Comprehensive Annual Finance Report will be required to be submitted.
- **Appendix H** – Updated and simplified the Arterial Highway Mileage Change Report.
- **Appendix I** – Updated the MOE certification form to reflect proposed modification to the FY 2021-22 MOE benchmark requirement due to the financial impacts of the COVID-19 pandemic.



MEASURE M2 ELIGIBILITY GUIDELINES

FISCAL YEAR 2021 / 2022



ORANGE COUNTY TRANSPORTATION AUTHORITY

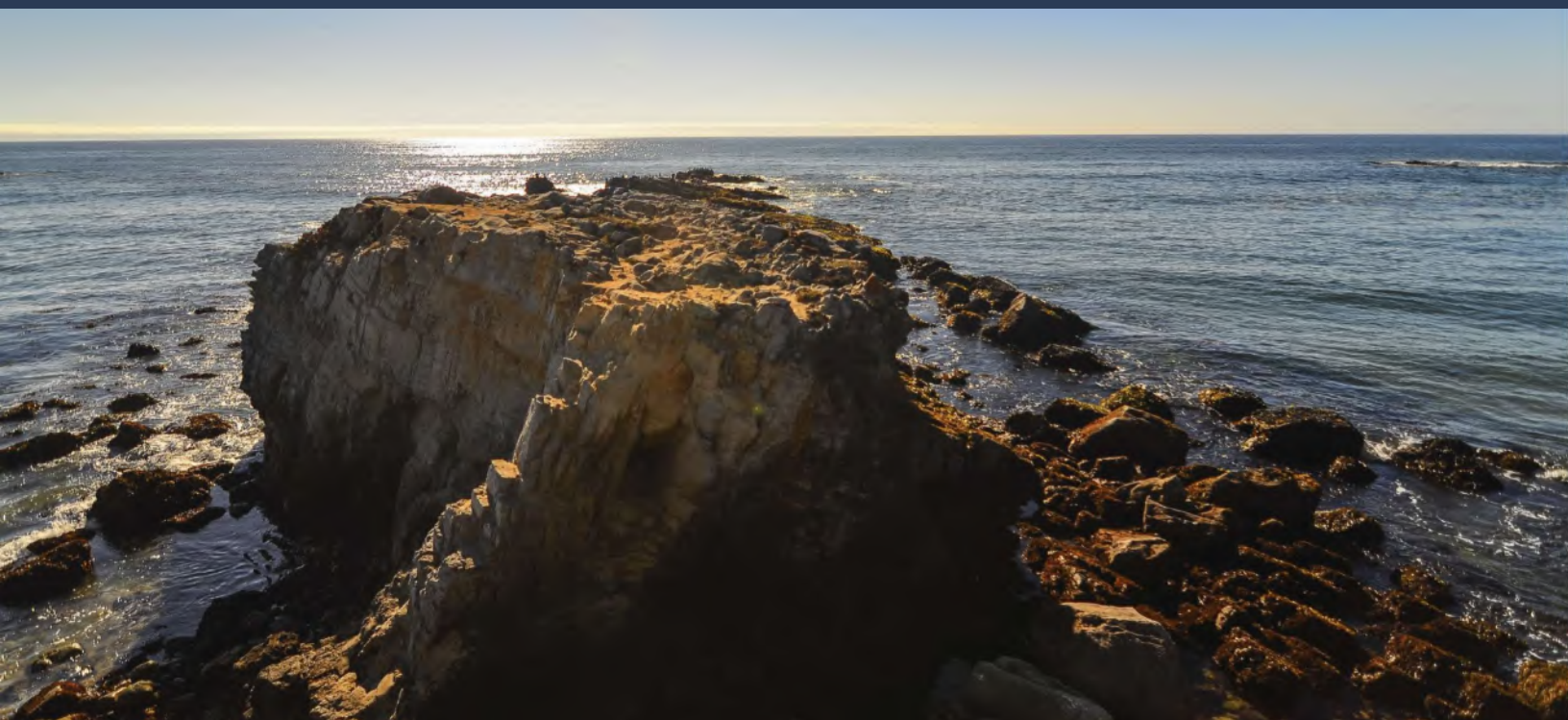


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Chapter 1 – Eligibility Overview

1.1 Introduction

On November 6, 1990, the voters in Orange County approved a ½-cent sales tax for transportation improvements known as Measure M. On November 7, 2006, voters approved a renewal of the original sales tax measure (M2) to continue the ½-cent sales tax for thirty years, beginning in 2011. Major improvement plans target Orange County freeways, streets and roads, transit and environmental programs.

The Measure M2 Ordinance, included as Appendix A, outlines the eligibility requirements that local jurisdictions must satisfy to receive M2 Net Revenues. The M2 Eligibility Guidelines (Eligibility Guidelines) provide the resources local jurisdictions need to remain eligible to participate in M2 funding programs. Guidelines for newly incorporated cities are outlined in Appendix B.

Net Revenues are generated from the transactions and use tax plus any interest or other earnings, after allowable deductions. Net Revenues may be allocated to local jurisdictions for a variety of programs and the Orange County Transportation Authority (OCTA) shall allocate the Net Revenues to freeways, environmental, transit, and streets and roads projects.

Freeway Projects

Orange County freeways will receive forty-three percent (43%) of Net Revenues. Relieving congestion on State Route 91 is the centerpiece of the freeway program. Other major projects include improving Interstate 5 (I-5) in south Orange County, Interstate 405 (I-405) in west Orange County and State Route 57 in North Orange County. Under the plan, major traffic chokepoints on almost every freeway will be improved.

Environmental Programs

To address any environmental impact of freeway improvements, five percent (5%) of the allocated freeway funds will be used for environmental mitigation programs. A Master Agreement between OCTA and state and federal resource jurisdictions will provide higher-value environmental benefits such as habitat protection, wildlife corridors and resource preservation in exchange for streamlined project approvals for the freeway program as a whole. Funds are also available under the Environmental Cleanup Program (ECP) to implement transportation-related water quality improvement projects.

Transit Projects

Orange County's rail and bus service will receive twenty-five percent (25%) of Net Revenues. These funds will be used to add transit extensions to the Metrolink corridor, reduce bus fares for senior citizens and persons with disabilities, and establish local bus circulators.

Streets and Roads Projects

Orange County has more than 7,300 lane miles of streets and roads; many in need of repair and rehabilitation. This sales tax measure will allocate thirty-two percent (32%) of Net Revenues to streets and roads. These funds will help fix potholes, improve intersections, synchronize traffic signals countywide, and make the existing network of streets and roads safer and more efficient.

The allocation of thirty-two percent (32%) of the Net Revenues for Streets and Roads Projects shall be made as follows:

1. Ten percent (10%) of the Net Revenues shall be allocated to Project O, Regional Capacity Program (RCP).
2. Four percent (4%) of the Net Revenues shall be allocated to Project P, Regional Traffic Signal Synchronization Program (RTSSP).
3. Eighteen percent (18%) of the Net Revenues shall be allocated to Project Q, Local Fair Share (LFS) Program.

1.2 Competitive Funds

OCTA shall select projects through a competitive process for the RCP, RTSSP, various transit programs (Projects S, T, V, and W), and the ECP (Project X). The criteria for selecting these projects are included in the Comprehensive Transportation Funding Programs (CTFP) Guidelines, which are updated for each call for projects cycle. The process for calculating and distributing LFS funds are described in Section 1.3.

1.3 Local Fair Share (LFS) Funds

The LFS Program is a formula-based allocation provided to eligible jurisdictions for use on allowable transportation planning and implementation activities. It is intended to provide flexible funding to help jurisdictions keep up with the rising cost of repairing the aging street system. In addition, cities can use these funds for other local transportation needs such as residential street projects, traffic and pedestrian safety near schools, signal priority for emergency vehicles, etc. The LFS Program is funded through an eighteen percent (18%) allocation from Net Revenues and is distributed to eligible jurisdictions on a formula basis as determined by the following:

- Fifty percent (50%) is divided between eligible jurisdictions based upon the ratio of the jurisdiction's population to the County's total population, each from the previous calendar year.
- Twenty-five percent (25%) is divided between eligible jurisdictions based upon the ratio of the jurisdiction's existing Master Plan of Arterial Highways (MPAH) centerline miles to the total MPAH centerline miles within the County as determined annually by OCTA.
- Twenty-five percent (25%) is divided between eligible jurisdictions based upon the ratio of the jurisdiction's total taxable sales to the total taxable sales for the County, each from the previous calendar year.
- 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 the purposes of planning projects and program expenditures. In the past, OCTA has taken an average of the three university taxable sales projections to develop a long-range forecast of taxable sales. On March 28, 2016, as part of the FY 2016-17 budget development process, the Board approved a new sales tax forecast methodology. The new methodology included a more conservative approach by utilizing a five-year forecast from MuniServices, Inc. The resulting revenue estimates are used for programming of competitive funds and as a guide for local jurisdiction planning within their respective Capital Improvement Programs (CIPs).

1.4 Eligibility Requirements for Net Revenues

Every year, OCTA determines if a local jurisdiction is eligible to receive M2 Net Revenues. A local jurisdiction must satisfy certain requirements as outlined in the Ordinance. Specifically, a jurisdiction must:

- Comply with the conditions and requirements of the Orange County Congestion Management Program (CMP)
- Establish a policy which requires new development to pay its fair share of transportation-related improvements associated with their new development
- Adopt and maintain a General Plan Circulation Element consistent with the MPAH
- Adopt and update a Capital Improvement Program (CIP)
- Participate in Traffic Forums
- Adopt and maintain a Local Signal Synchronization Plan (LSSP)
- Adopt and update biennially a Pavement Management Plan (PMP)
- Adopt and provide an annual Expenditure Report to OCTA
- Provide OCTA with a Project Final Report within six months following completion of a project funded with Net Revenues
- Agree to expend Net Revenues received through M2 within three years of receipt
- Satisfy Maintenance of Effort (MOE) requirements
- Agree that Net Revenues shall not be used to supplant developer funding
- Consider, as part of the eligible jurisdiction's General Plan, land use and planning strategies that accommodate transit and non-motorized transportation

1.5 Audits

Local jurisdictions are responsible for meeting eligibility requirements and applicable laws regarding the use of public funds. Many eligibility requirements involve self-certification by local jurisdictions.

Eligibility requirements are subject to audit. Audits shall be conducted by the OCTA Internal Audit Department or other authorized agent either through a regular annual process or on a schedule to be determined by the OCTA Board. Failure to submit to an audit in a timely manner may result in loss of future funding. Audit findings may result in an ineligibility determination and/or other sanctions. Please see Chapter 4 for more information regarding ineligibility and non-compliance consequences.

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Chapter 2 – Eligibility Requirements

The annual eligibility process relies upon a variety of reporting methods to verify local jurisdiction [adherence to M2 eligibility requirements](#). Most methods leverage tools routinely used in the public planning process while others require certification forms or specialized reports. Templates, forms, and report formats are included as appendices to these guidelines and are available in electronic format. The table below summarizes certification frequency and documentation requirements.

Compliance Category	Schedule	Documentation
Capital Improvement Program (CIP)	Annual Next submittal is due June 30, 2021 .	<ul style="list-style-type: none"> Electronic (online) and hard copy of OC Fundtracker CIP Report City Council/Board of Supervisors approval by July 31, 2021.
Circulation Element/MPAH Consistency	Odd numbered years Next submittal is due June 30, 2021 .	<ul style="list-style-type: none"> Resolution (Appendix E) Circulation Element Exhibit Arterial Highway Mileage Change Report (Appendix H) Certify that the Circulation Element is consistent with MPAH in the Eligibility Checklist (Appendix D)
Congestion Management Program (CMP)	Odd numbered years Next submittal is due June 30, 2021 .	<ul style="list-style-type: none"> Eligibility Checklist item in Appendix D Include projects to address deficient intersections in CIP (if applicable) CMP Checklist (Appendix C)
Expenditure Report	Annual – six months after end of fiscal year Next submittal is due December 31, 2021 .	<ul style="list-style-type: none"> Expenditure Report and resolution (Appendix G)
Local Signal Synchronization Plan (LSSP)	Every three years Next submittal is due June 30, 2023	<ul style="list-style-type: none"> Copy of plan Resolution (Appendix E)
Maintenance of Effort (MOE)	Annual Next submittal is due June 30, 2021 .	<ul style="list-style-type: none"> MOE Certification form (Appendix I) signed by Finance Director or equivalent designee that meets/exceeds MOE Benchmark in Exhibit 2 Budget excerpts and fund key
Mitigation Fee Program (MFP)	Odd numbered years Next submittal is due June 30, 2021 . ¹	<ul style="list-style-type: none"> Eligibility Checklist item in Appendix D Supporting documentation Resolution (Appendix E)
No Supplanting Existing Commitments	Annual Next submittal is due June 30, 2021 .	<ul style="list-style-type: none"> Eligibility Checklist item in Appendix D
Pavement Management Plan (PMP)	Every two years Next submittal for odd year jurisdictions is due June 30, 2021 . Refer to Exhibit 3 to determine the required PMP submittal schedule.	<ul style="list-style-type: none"> PMP Submittal Template (Appendix F) with PMP Certification form signed by Public Works Director or City Engineer Pavement report and street listings Adoption - Resolution (Appendix E) or City Council/Board of Supervisors approved adoption recommendation
Project Final Report	Within 6 months of project completion	<ul style="list-style-type: none"> Final Report
Timely Expenditure of Funds	Annual Next submittal is due June 30, 2021 .	<ul style="list-style-type: none"> Eligibility Checklist item in Appendix D
Traffic Forums	Annual Next submittal is due June 30, 2021 .	<ul style="list-style-type: none"> Eligibility Checklist item in Appendix D
Transit/Non-motorized Transportation in General Plan	Annual Next submittal is due June 30, 2021 .	<ul style="list-style-type: none"> Eligibility Checklist item in Appendix D Letter outlining land use planning strategies that accommodate transit and active transportation Excerpts of policies from the land use section of the General Plan

¹ Jurisdictions must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their mitigation program and/or nexus study regardless of eligibility submittal schedule.

2.1 Capital Improvement Program (CIP)

A CIP is a multi-year funding plan to implement capital transportation projects and/or programs including, but not limited to, capacity, safety, operations, maintenance, and rehabilitation projects. For purposes of eligibility, the Ordinance specifies that each jurisdiction must prepare a CIP. The annual seven-year CIP updates are required to enable timely review of eligible use of funds. The CIP shall include all capital transportation projects, such as projects funded by Net Revenues (i.e. ECP, RTSSP, RCP, other M2 Competitive Programs, and LFS projects) and transportation projects required to demonstrate compliance with signal synchronization, pavement management, and CMP requirements (See section 2.3 for the CIP's relevance to the CMP).

Projects funded by M2 Net Revenues include:

Project Description	Project
Freeway Projects	A-M
Regional Capacity Program (RCP)	O
Regional Traffic Signal Synchronization Program (RTSSP)	P
Local Fair Share Program (LFS)	Q
High Frequency Metrolink Service	R
Transit Extensions to Metrolink	S
Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	T
Community Based Transit/Circulators	V
Safe Transit Stops	W
Environmental Cleanup Program (ECP) – Water Quality	X

Each eligible jurisdiction must include projects in their CIP that are needed to meet and maintain the adopted Traffic Level of Service and Performance Standards. The CIP shall also include all projects proposed to receive M2 funding. Local jurisdictions are encouraged, but not required, to include all transportation related projects regardless of M2 funding participation.

If M2 funding needed for a project is not reflected on the current CIP, an amended CIP should be adopted with contract award prior to expending funds. The revised CIP should be submitted to OCTA in hard copy format with evidence of council approval.

Submittal Frequency: Minimum annual or as needed to add M2 projects that are not reflected on the current CIP. Next submittal is due by June 30, 2021. Final CIP adoption due by July 31, 2021.

City Council/Board of Supervisors approval: Required

Documentation Method: Each jurisdiction must submit an electronic (online) and hard copy of its CIP with evidence of City Council/Board of Supervisors approval. OCTA provides a web-based database on OC Fundtracker that is used countywide for reporting approved CIP information. A separate CIP User's Manual has been developed to assist local jurisdictions with the preparation of the seven-year CIP.

The CIP User's Manual is available for download at <https://www.octa.net/OCGoEligibility>.

2.2 Circulation Element/MPAH Consistency

M2 funding eligibility requires that each jurisdiction must adopt and maintain a Circulation Element within the jurisdiction's General Plan that is consistent with the OCTA MPAH. The MPAH is the OCTA plan which identifies the ultimate number of through lanes for arterial streets and designating traffic signal synchronization street routes in Orange County.

Every two years, each local jurisdiction must submit a resolution adopted by their governing body confirming that: the circulation element of their General Plan is in conformance with the MPAH; no unilateral reductions in through lanes have been made during the reporting period; and affirming that it will bring forward requests to amend the MPAH, when necessary, to ensure that the General Plan circulation element remains consistent with the MPAH.

Local jurisdictions shall be determined ineligible to participate in M2 programs if they do not submit the required materials below or if through an audit, it is determined that the jurisdiction did not administer the Circulation Element of its General Plan, consistent with the MPAH disclosures identified in the resolution. Exceptions may be considered subject to appropriate documentation.

Submittal Frequency: Odd years - Next submittal is due by June 30, 2021.

City Council/Board of Supervisors approval: Required (Appendix E)

Documentation Method: Each jurisdiction must provide the following every odd numbered year:

- Eligibility Checklist (Appendix D) confirmation that the local jurisdiction's Circulation Element is in conformance with the MPAH.
- A copy of the most current Circulation Element Exhibit biennially showing all arterial highways and their individual arterial designations. Any proposed changes and/or requests for changes to the MPAH should also be included.
- Resolution adopted by the governing body of the local jurisdiction.
- The Arterial Highway Mileage Change Report (Appendix H). Changes are in actual (newly built or annexed existing facilities) MPAH centerline miles since the previous MPAH Consistency Review are to be reported to the nearest 0.01 mile, excluding State highways. Data should be current as of April 30 of the reporting year. Exhibit 1 lists the current MPAH centerline miles by jurisdiction that is used to calculate Local Fair Share.

OCTA shall review the materials submitted and determine whether the local jurisdictions' submittals satisfy M2 Eligibility requirements. However, it is ultimately each local jurisdictions' responsibility for ensuring that their Circulation Element is consistent with the MPAH.

Exhibit 1: MPAH Centerline Miles

As of August ~~20~~, 2020

Local Jurisdiction	Centerline Mileage
Aliso Viejo	<u>14.85</u>
Anaheim	<u>148.90</u>
Brea	<u>20.57</u>
Buena Park	<u>34.44</u>
Costa Mesa	<u>49.33</u>
County of Orange	<u>60.83</u>
Cypress	<u>24.93</u>
Dana Point	<u>20.16</u>
Fountain Valley	<u>35.50</u>
Fullerton	<u>62.18</u>
Garden Grove	<u>63.78</u>
Huntington Beach	<u>92.32</u>
Irvine	<u>138.05</u>
La Habra	<u>17.13</u>
La Palma	<u>7.23</u>
Laguna Beach ²	<u>14.01</u>
Laguna Hills	<u>20.73</u>
Laguna Niguel	<u>35.94</u>
Laguna Woods	<u>5.77</u>
Lake Forest	<u>38.03</u>
Los Alamitos	<u>6.44</u>
Mission Viejo	<u>43.77</u>
Newport Beach	<u>48.92</u>
Orange	<u>85.03</u>
Placentia	<u>25.01</u>
Rancho Santa Margarita	<u>18.20</u>
San Clemente	<u>25.57</u>
San Juan Capistrano	<u>18.88</u>
Santa Ana	<u>100.15</u>
Seal Beach	<u>12.24</u>
Stanton	<u>9.48</u>
Tustin	<u>41.71</u>
Villa Park	<u>3.49</u>
Westminster	<u>35.75</u>
Yorba Linda	<u>32.67</u>
	<u>1,411.98</u>

² Laguna Beach credited with State Highway mileage by agreement of the TAC.

2.3 Congestion Management Program (CMP)

With the passage of Proposition 111 Gas Tax increase in June 1990, urbanized areas of California were required to adopt a CMP. OCTA was designated as the County's Congestion Management Agency (CMA), and as such, is responsible for the development, monitoring, and biennial updating of Orange County's CMP. Orange County's CMP is a countywide program established in 1992 to support regional mobility and air quality objectives by reducing traffic congestion, providing a mechanism for coordinating land use and development decisions that support the regional economy, and determining gas tax eligibility. Required elements of the County's CMP include traffic level of service (LOS) standards, performance measures, travel demand assessment methods and strategies, land use analysis programs, and Capital Improvement Programs. Each jurisdiction must comply with the following conditions and requirements of the Orange County CMP pursuant to the provisions of Government Code Section 65089 to be considered eligible for both gas tax revenues and M2 funding:

- Level of Service – Highways and roadways designated by OCTA must operate at an established LOS of no less than LOS "E" (unless the LOS from the baseline CMP dataset was lower).
- Deficiency Plans – Any CMP intersections that do not comply with the LOS standards must have a deficiency plan prepared by the responsible local jurisdiction that identifies the cause and necessary improvements for meeting LOS standards (certain exceptions apply).
- Land Use Analysis – Jurisdictions must analyze the impacts of land use decisions on the transportation system, using a designated methodology, consistent with the CMP Traffic Impact Analysis guidelines. The analysis must also include estimated cost to mitigate associated impacts.
- Modeling and Data Consistency – A jurisdiction utilizing a local area model for traffic impact analysis must conform to the Orange County Sub-Area Modeling guidelines, prepared by OCTA.
- CIP – Jurisdictions must submit an adopted seven-year CIP that includes projects to maintain or improve the LOS on CMP facilities or adjacent facilities.

Submittal Frequency: Odd years - Next submittal is due by June 30, 2021.

City Council/Board of Supervisors approval: Not Required

Documentation Method: The CMP checklist, as shown in Appendix C, must be submitted to demonstrate compliance with CMP requirements. If a deficient intersection is identified, the jurisdiction must include a project in their CIP to address the issue or develop a deficiency plan. OCTA will use the M2 CIP prepared by each local jurisdiction as the default CMP CIP rather than require a separate submittal. Projects intended to address CMP deficiencies should be clearly identified in the project description within the CIP. Appendix C is available for download at <https://www.octa.net/OCGoEligibility>.

2.4 Expenditure Report

The Expenditure Report is a detailed financial report that tracks financial activity for M2 and other improvement revenue sources. Each jurisdiction must adopt an annual Expenditure Report to account for M2 funds, developer/traffic impact fees, and funds expended by the jurisdiction that satisfy the MOE requirements. This report is used to validate eligible uses of funds and to report actual MOE expenditures.

- Report required within six months of jurisdiction's end of fiscal year.
- Report to include all Net Revenue, fund balances, and interest earned. If interest earnings are negative, an explanation should be included to explain why.
- Reported expenditures shall be identified by activity type (i.e. construction, maintenance/operations, indirect and/or overhead) and funding source for each M2 program and/or project.

Please note, the MOE requirement has been modified for FY 2020-21 and 2021-22³ due to the ongoing financial impacts of the COVID-19 pandemic. Local jurisdictions can meet either 1) the traditional MOE benchmark dollar amount, or 2) an MOE target that is based on the percent of the MOE benchmark value to General Fund Revenues (GFRs) (see column C of Exhibit 2). This approach allows the MOE amount to float with fluctuations in local jurisdiction GFR levels while upholding the intent of the M2 Ordinance to use M2 revenues as supplemental funding. Local jurisdictions are expected to monitor GFRs as they come in throughout the year and adjust their use of GFRs for street and roads proposes to either meet the approved MOE benchmark dollar value or the proportionate (percent) share of GFRs.

Submittal Frequency: Annual – Within 6 months of the end of the fiscal year. The deadline is December 31, 2021.

City Council/Board of Supervisors approval: Required (Appendix G)

Documentation Method: The Expenditure Report signed by the jurisdiction's Finance Director and City Council/Board of Supervisors resolution attesting to the adoption is required. The Expenditure Report is self-certified by the jurisdiction and OCTA's review is to check for consistency with M2 disbursements only. Further, OCTA's receipt of the Expenditure Report does not constitute or confirm OCTA's acceptance or approval of reporting in the Expenditure Report itself, which is ultimately subject to audit review. The Expenditure Report template, instructions, and resolution are provided in Appendix G. Appendix G is available for download at <https://www.octa.net/OCGoEligibility>.

³ Modification of the MOE requirement due to COVID-19 for FY 2021-22 is subject to OCTA Board approval of an M2 Ordinance amendment. If the OCTA Board does not approve extending the special COVID-19 modification through FY 2021-22, the modification would only extend through FY 2020-21. If the OCTA Board does approve the modification, it would only extend through FY 2021-22. It is expected that in future fiscal years, the MOE requirement will be based solely on the traditional MOE benchmark.

2.5 Local Signal Synchronization Plan (LSSP)

The LSSP⁴ is a three-year plan identifying traffic signal synchronization, street routes and traffic signals to be improved in eligible jurisdictions. The LSSP shall be consistent with the Regional Traffic Signal Synchronization Master Plan (RTSSMP). The LSSP will outline the costs associated with the identified improvements, funding and phasing of capital, and the operations and maintenance of the street routes and traffic signals. Inter-jurisdictional planning of traffic signal synchronization is also a component of the LSSP. Local jurisdictions must update LSSPs every three years and include a performance assessment which compares the information in the current report to prior cycle activities.

Submittal Frequency: Every 3 years – Next LSSP update submittal is due by June 30, 2023.

City Council/Board of Supervisors approval: Required

Documentation Method: Local jurisdictions must ensure that their LSSP is in conformance with the Regional Traffic Signal Synchronization Master Plan (RTSSMP). LSSPs must be updated and adopted every three years starting June 30, 2014. At a minimum, a Public Works Director must sign the LSSP Consistency Review Checklist. A separate document prepared by OCTA, "Guidelines for the Preparation of Local Signal Synchronization Plans," provides additional detail for jurisdiction submittal and is available for download at <https://www.octa.net/OCGoEligibility>.

⁴ A local match reduction of ten percent (10%) is provided for competitive grant applications submitted through the Regional Capacity Program (Project O) if the local jurisdiction has adopted a LSSP consistent with the RTSSMP.

2.6 Maintenance of Effort (MOE)

The MOE Certification is a financial reporting document, which provides annual certification of planned/budgeted maintenance, construction and indirect/other transportation related expenditures and the comparison to the annual MOE Benchmark Requirements for the fiscal year. Each jurisdiction must provide annual certification to OCTA that it will meet MOE requirements of Section 6 of the Ordinance. MOE applies to street and road transportation-related discretionary expenditures using General Fund Revenues (GFRs) or other non-transportation discretionary funds by local jurisdictions. Eligible expenditures are outlined in the State Controller's "Guidelines Relating to Gas Tax Expenditures for Cities and Counties," consistent with Article XIX of the State Constitution, and are subject to audit.

The MOE requirement has been modified for FY 2020-21 and 2021-22⁵ due to the financial impacts of the COVID-19 pandemic. Local jurisdictions have the option to certify to meet MOE benchmark requirement through one of the following options: 1) the traditional MOE benchmark dollar amount (shown in column A of Exhibit 2); or 2) an MOE target that is based on the percent of the MOE benchmark value to GFRs (see column C of Exhibit 2). This approach allows the MOE amount to adjust with fluctuations in local jurisdiction GFR levels while upholding the intent of the M2 Ordinance to use M2 revenues as supplemental funding. **Local jurisdictions are expected to monitor GFRs as they come in throughout the year and adjust their use of GFRs for street and roads proposes to either meet the approved MOE benchmark dollar value or the proportionate (percent) share of GFRs.**

MOE Certification Process

M2 funds may be used to supplement, not replace, existing local revenues being used for transportation improvements and programs. A local jurisdiction cannot redirect discretionary funding, such as general fund revenues, currently being used for transportation purposes to other uses and replace the redirected funds with M2 revenues.

Each jurisdiction is required to maintain a minimum level of local streets and roads expenditures to conform to the MOE requirement. The original minimum level of expenditures was based upon an average of General Fund expenditures for local street maintenance and construction over the period from Fiscal Year 1985-86 through Fiscal Year 1989-90. The expenditure information was obtained from the Orange County Transportation Commission's (OCTC's) Annual Report data collection sheets. The established benchmark was reported in constant dollars and was not adjusted for inflation. Note: Annexation of land into an existing jurisdiction does not affect the MOE.

Per the Ordinance, the MOE benchmark must be adjusted in 2014 and every three years thereafter based upon Caltrans' Construction Cost Index (CCI) for the preceding three calendar years, provided that the CCI-based adjustment cannot exceed growth rate in General Fund revenues during the update period. The current MOE benchmark is reflected in Exhibit 2. The next MOE benchmark adjustment will be effective July 1, 2023.

⁵ Modification of the MOE requirement due to COVID-19 for FY 2021-22 is subject to OCTA Board approval of an M2 Ordinance amendment. If the OCTA Board does not approve extending the special COVID-19 modification through FY 2021-22, the modification would only extend through FY 2020-21. If the OCTA Board does approve the modification, it would only extend through FY 2021-22. It is expected that in future fiscal years, the MOE requirement will be based solely on the traditional MOE benchmark.

Submittal Frequency: Annual - Next MOE submittal is due June 30, 2021.

City Council/Board of Supervisors approval: Not Required

Documentation Method: An MOE Certification form must be completed, signed by the jurisdiction's finance director and submitted on an annual basis. The form is included in the Eligibility Guidelines as Appendix I and is available for download at <https://www.octa.net/OCGoEligibility>.

In addition, excerpts from the jurisdiction's annual budget showing referenced MOE expenditures and dedication of funds shall be included in the annual submittal to substantiate planned relevant discretionary fund expenditures, such as General Funds. MOE expenditures should be budgeted carefully, with clear focus upon benefits to local streets and roads, which can withstand periodic expenditure audit processes. **Jurisdictions are encouraged to submit MOE eligible expenditures higher than their MOE benchmark, so that should certain expenses be ruled ineligible during an MOE audit, the local jurisdiction still has sufficient MOE expenditures to demonstrate continued achievement of the MOE benchmark.**

Any California State Constitution Article XIX street and road eligible expenditure may be "counted" in a local jurisdiction's annual calculation of MOE if the activity is supported (funded) by a local jurisdiction's discretionary funds (e.g. General Fund). This is similar to how MOE is defined in the Gas Tax Guidelines related to the use of Road Maintenance and Rehabilitation Program funds. The California State Controller also provides useful information on Article XIX and Streets and Highways Code eligible expenditures. These guidelines do not replace statutory or legal authority, but explain the general information found in California Constitution Article XIX and the Streets and Highways Code. Additional expenditures spent in support of streets and roads may also be eligible for MOE, subject to providing acceptable justification.

It is the local jurisdiction's responsibility to ensure that both the certified budgeted and the actual expenditures reported through the expenditure report are MOE eligible street and road expenditures. **OCTA's review and receipt of the MOE Certification form does not constitute or confirm OCTA's acceptance or approval of the MOE expenditures provided in the MOE Certification form.**

Exhibit 2: MOE Benchmark by Local Jurisdiction

Local Jurisdiction	(A) MOE Benchmark	(B) GFR ⁶	(C) MOE Benchmark as a % of GFR
Aliso Viejo	\$538,604	\$20,264,249	2.66%
Anaheim	\$11,725,957	\$412,996,000	2.84%
Brea	\$838,243	\$65,445,918	1.28%
Buena Park	\$4,184,754	\$70,242,813	5.96%
Costa Mesa	\$8,607,340	\$143,753,298	5.99%
County of Orange	N/A	N/A	N/A
Cypress	\$3,607,878	\$36,691,594	9.83%
Dana Point	\$1,510,094	\$41,545,825	3.63%
Fountain Valley	\$1,564,638	\$61,380,673	2.55%
Fullerton	\$4,413,567	\$100,526,519	4.39%
Garden Grove	\$3,938,473	\$129,838,910	3.03%
Huntington Beach	\$5,921,206	\$236,631,000	2.50%
Irvine	\$8,001,915	\$221,961,000	3.61%
La Habra	\$1,737,300	\$48,583,838	3.58%
La Palma	\$201,688	\$12,057,831	1.67%
Laguna Beach	\$1,806,353	\$88,020,317	2.05%
Laguna Hills	\$331,579	\$22,047,533	1.50%
Laguna Niguel	\$908,566	\$43,809,474	2.07%
Laguna Woods	\$104,578	\$6,351,788	1.65%
Lake Forest	\$226,678	\$54,795,849	0.41%
Los Alamitos	\$182,250	\$14,165,860	1.29%
Mission Viejo	\$2,864,895	\$63,356,854	4.52%
Newport Beach	\$12,547,102	\$229,812,594	5.46%
Orange	3,392,885	\$124,241,260	2.73%
Placentia	\$770,006	\$35,796,833	2.15%
Rancho Santa Margarita	\$428,337	\$19,137,375	2.24%
San Clemente	\$1,316,842	\$65,789,926	2.00%
San Juan Capistrano	\$492,518	\$36,522,274	1.35%
Santa Ana	\$9,040,904	\$275,532,227	3.28%
Seal Beach	\$642,598	\$35,500,962	1.81%
Stanton	\$285,869	\$23,951,047	1.19%
Tustin	\$1,697,045	\$67,924,240	2.50%
Villa Park	\$373,104	\$3,722,258	10.02%
Westminster	\$1,805,546	\$66,489,760	2.72%
Yorba Linda	\$2,608,191	\$38,335,027	6.80%
Totals	\$98,617,504	\$2,917,222,926	

FY - Fiscal year

MOE - Maintenance of effort

GFR - General fund revenue

N/A - Not Applicable

⁶ General Fund Revenues derived from local jurisdictions' FY 2018-19 Comprehensive Annual Financial Reports.

FY ~~2020~~2021-21-22 Measure M2 Eligibility Guidelines

Effective ~~April 13, 2020~~ April 12, 2021

2.7 Mitigation Fee Program (MFP)

The MFP is a locally established fee program, which assesses fees used to mitigate effects of new development on transportation infrastructure. Appropriate mitigation measures, including payment of fees, construction of improvements, or any combination thereof, will be determined through an established and documented process by each jurisdiction.

Each eligible jurisdiction must assess traffic impacts of new development and require new development to pay a fair share of necessary transportation improvements attributable to the new development. To ensure eligibility, each jurisdiction must have a clearly defined mitigation fee program.

Submittal Frequency: Odd years - Next MFP submittal is due by June 30, 2021.⁷

City Council/Board of Supervisors approval: Required (Appendix E)

Documentation Method: In addition to the City Council/Board of Supervisors approved resolution (Appendix E), the eligibility submittal should include one or more of the following supporting documents: a copy of the nexus study improvement list, a current fee schedule, a 5-Year Expenditure Report, or the process methodology. Where mitigation measures, including fair share contributions and construction of direct impact improvements are used in lieu of an AB1600 compliant Nexus Study fee program, each jurisdiction shall provide a council resolution adopting the mitigation policy.

At such time that a jurisdiction updates their mitigation fee program and/or nexus study, they must submit their updated program and revised fee schedule or process methodology for the following review cycle. In addition, an MFP resolution must be submitted biennially to reaffirm that council concurs with the existing MFP. It is the local jurisdiction's responsibility to ensure fee programs and mitigation measures are updated periodically and meet the infrastructure needs of their community.

2.8 No Supplanting of Developer Commitments

Eligible jurisdictions must ensure that M2 funding will not be used to supplant existing or future development funding commitments for transportation projects. Development must be required to continue paying their fair share for new transportation improvements that are necessary because of the new traffic their project(s) create.

- Development must continue to pay their fair share for needed infrastructure improvements and transportation projects
- Net revenues must not supplant development funding or contributions which have been or will be committed to transportation projects through payment of fees in a defined program, fair share contribution, Community Facilities District (CFD) financing, or other dedicated contribution to a specific transportation improvement

Submittal Frequency: Annual - Next submittal is due by June 30, 2021.

City Council/Board of Supervisors approval: Not Required

Documentation Method: Each jurisdiction must document within the Eligibility Checklist (Appendix D) that there has been no supplanting of developer commitments for transportation projects as

⁷ Jurisdictions must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their mitigation program and/or nexus study on an even year. Annual cost adjustments should be reported but do not constitute an "update" on the Eligibility Checklist (Appendix D).

outlined in the Ordinance. Appendix D is available for download at <https://www.octa.net/OCGoEligibility>.

2.9 Pavement Management Plan (PMP)

A PMP⁸ is a plan to manage the preservation, rehabilitation, and maintenance of paved roads by analyzing pavement life cycles, assessing overall system performance costs, and determining alternative strategies and costs necessary to improve paved roads. MicroPaver or StreetSaver will be used for countywide consistency. The software must be consistent with the latest version of ASTM Standard D6433.

Each jurisdiction must biennially adopt and update a PMP consistent with the specific requirements outlined in the Ordinance, and issue, using a common format (Appendix F) approved by OCTA, a report regarding the status of road pavement conditions and implementation of the PMP including, but not limited to, the following elements:

- The current status of pavement roads
- A seven-year plan for road maintenance and rehabilitation, including projects, funding, and unfunded backlog of pavement needs
- Projected pavement conditions resulting from improvements
- Alternative strategies and estimated costs to improve road pavement conditions

The Countywide PMP Guidelines have been prepared by OCTA to assist local jurisdictions with the PMP submittal. Local jurisdictions should refer to the guidelines for additional PMP submittal criteria. The Countywide PMP Guidelines can be downloaded from OCTA's Eligibility webpage: <https://www.octa.net/OCGoEligibility>.

Submittal Frequency: Every two years - 14 local jurisdictions submit PMP updates in odd years (i.e. June 30, 2021) and 21 local jurisdictions submit PMP updates in even years (i.e. June 30, 2022). Refer to Exhibit 3 to determine the local jurisdiction's required PMP submittal schedule.

City Council/Board of Supervisors approval: Required (Appendix E)

Documentation Method: To establish eligibility, each jurisdiction must complete and submit the adopted PMP Submittal Template (Appendix F). The adoption must be approved by the City Council/Board of Supervisors as a staff report recommendation or through a resolution. A sample resolution is provided in Appendix E. The PMP certification form included in the template must be signed by the Public Works Director or City Engineer. These appendices are available for download at <https://www.octa.net/OCGoEligibility>.

The Executive Summary should include a brief overview of the PMP highlighting issues that have developed between review cycles and provide additional information regarding projects funded through the program. At a minimum, the Executive Summary should include Pavement Condition Index (PCI) reports, Projected PCI, and Alternative Funding Levels.

⁸ The Regional Capacity Program (RCP) Project O includes an incentive for successful PMP implementation. A local match reduction of ten percent (10%) is provided for competitive grant applications submitted through the RCP, if the jurisdiction either has measurable improvement of paved road conditions during the previous reporting period as determined through the countywide pavement management rating standards, or has road pavement conditions during the previous reporting period which are within the highest twenty percent (20%) of the scale for road pavement conditions in conformance with the Ordinance, defined as a PCI of 75 or higher, otherwise defined as in "good condition".

Exhibit 3: Submittal Schedule for Periodic Components

Local Jurisdiction	Updated PMP	CMP	MPAH Consistency	MFP ⁹	Project Final Reports	LSSP
Aliso Viejo	Even Year	Odd Years (Next submittal is due by June 30, 2021)	Odd Years (Next submittal is due by June 30, 2021)	Odd Years (Next submittal is due by June 30, 2021)	Within 6 months of project completion	Every 3 years (Next submittal is due June 30, <u>2023</u>)
Anaheim	Odd Year					
Brea	Odd Year					
Buena Park	Even Year					
Costa Mesa	Even Year					
County of Orange	Odd Year					
Cypress	Odd Year					
Dana Point	Odd Year					
Fountain Valley	Even Year					
Fullerton	Even Year					
Garden Grove	Even Year					
Huntington Beach	Even Year					
Irvine	Odd Year					
La Habra	Odd Year					
La Palma	Even Year					
Laguna Beach	Even Year					
Laguna Hills	Even Year					
Laguna Niguel	Even Year					
Laguna Woods	Even Year					
Lake Forest	Odd Year					
Los Alamitos	Odd Year					
Mission Viejo	Even Year					
Newport Beach	Odd Year					
Orange	Even Year					
Placentia	Even Year					
Rancho Santa Margarita	Even Year					
San Clemente	Odd Year					
San Juan Capistrano	Odd Year					
Santa Ana	Even Year					
Seal Beach	Even Year					
Stanton	Odd Year					
Tustin	Odd Year					
Villa Park	Even Year					
Westminster	Even Year					
Yorba Linda	Even Year					

⁹ Jurisdictions must submit their updated program and revised fee schedule or process methodology when the jurisdiction updates their mitigation program and/or nexus study regardless of allocated submittal schedule.

2.10 Project Final Report

Each jurisdiction must provide OCTA a project final report within six months following completion of a project funded with Net Revenues. Final report formats follow the template used by the CTFP. The CTFP Guidelines define the term "project phase completion" as the date all final third-party contractor invoices have been paid and any pending litigation has been adjudicated either for the engineering phase or for the right-of-way phase, and all liens/claims have been settled for the construction phase. The date of project phase completion will begin the 180-day requirement for the submission of a project final report as required by the Ordinance. Projects that have been cancelled are not required to submit a project final report but may be asked to submit a certification of cancellation form.

City Council/Board of Supervisors approval: Not Required

Documentation Method: To establish eligibility, a jurisdiction must submit a copy of the CTFP Project Final Report for each project utilizing Net Revenues. Each Final Report must be individually submitted to OCTA within six months of the completion of a project funded by Net Revenues, regardless of the eligibility review cycle. For the purposes of reporting non-project work (indirect and/or overhead, maintenance, repair, and other non-project related costs) funded by LFS funds, the annual Expenditure Report shall satisfy reporting requirements. If LFS funds are used for capital projects, the local jurisdiction shall also include a list of those funds and/or other M2 funds in the Project Final Report.

2.11 Time Limit for Use of Net Revenues

The timely expenditure of funds is a policy which must be adopted by each local jurisdiction to ensure Net Revenues are expended and accounted for within 3 years. The local jurisdiction must certify that the receipt and use of all M2 funds received will adhere to the time limits for use as outlined in the Ordinance.

Competitive Programs

- Jurisdictions must agree that Net Revenues for RCP projects and/or Regional Traffic Signal Synchronization Program (RTSSP) projects shall be encumbered by the end of the fiscal year for which Net Revenues are programmed. Jurisdictions can request a delay through the Semi-Annual Review process. Refer to the CTFP Guidelines for additional information regarding encumbrance deadlines and delay requests.
- Local jurisdictions are generally required to expend funds within 36 months from the date of encumbrance for CTFP projects. Jurisdictions can request timely use of funds extensions through the Semi-Annual Review process. Refer to the CTFP Guidelines for additional information regarding expenditure deadlines and extension requests.

Local Fair Share (LFS)

- Net Revenues received by local jurisdictions through the LFS program shall be expended or encumbered within three years of receipt. For review purposes, OCTA will track expenditures based on the fiscal year of receipt plus two additional fiscal years. Fiscal year means July 1 through June 30. For example, funds received in March 2021, if tracked by fiscal year, should be spent by June 30, 2023. An extension may be granted but is limited to a total of five years from the date of receipt of funds. Because OCTA and local jurisdictions may not track the date of receipt, then the OCTA Board may authorize an extension of two additional fiscal years. Requests for extensions shall be submitted prior to expiration and may be considered

by the OCTA Board through the semi-annual review process. Requests for extension must include a plan of expenditure.

- Expired funds including interest earned and related revenues must be returned to OCTA. These funds shall be returned for redistribution within the same source program.
- Use of LFS revenues for bonding (including debt service) shall be limited to 25% of the jurisdiction's annual LFS revenues. Bonding or loan must clearly support work that is otherwise eligible for LFS funds. The Board may consider an exception to the percentage limitation policy on a case-by-case basis.

Interest Derived from Net Revenues

- Interest from any M2 competitive funding program and LFS must be held in separate accounts.
- Local M2 interest proceeds must be spent by the local jurisdiction on transportation activities consistent with LFS eligible transportation activities.
- Interest revenues must be expended within 3 years of the fiscal year of receipt.
- ~~Interest may be accumulated for substantive projects where necessary, with prior OCTA approval, provided that the account balance does not exceed aggregate LFS payments received in the preceding three (3) years of reporting period.~~
- All interest accumulated at the conclusion of M2 is to be expended within three years of the program sunset date (March 31, 2041).

Submittal Frequency: Annual - Next submittal is due by June 30, 2021.

City Council/Board of Supervisors approval: Required if an extension is requested.

Documentation Method: Each jurisdiction must document within the Eligibility Checklist (Appendix D) confirmation that the jurisdiction complies with the timely use of Net Revenues throughout the year as outlined in the Ordinance. Net Revenue and Interest balances are reported on the annual Expenditure Report.

2.12 Traffic Forums

Traffic Forums are working group sessions that include local jurisdictions and OCTA. Traffic forums provide a venue for local jurisdictions to discuss general traffic and transportation issues, traffic circulation between participating jurisdictions, the coordination of specific projects, and the overall RTSSP. Each jurisdiction must participate in Traffic Forums on an annual basis to ensure eligibility.

Submittal Frequency: Annual - Next submittal is due by June 30, 2021.

City Council/Board of Supervisors approval: Not Required

Documentation Method: Each jurisdiction must document within the Eligibility Checklist (Appendix D) evidence of its annual participation in a Traffic Forum.

2.13 Transit/Non-motorized Transportation in General Plan

As part of the eligible jurisdiction's land use section of the General Plan, the jurisdiction must consider land use planning strategies that accommodate transit and non-motorized transportation. Multi-modal options are vital to a comprehensive transportation network. General Plans should include policies and language that demonstrate a thoughtful approach toward land use planning that encourages and facilitates mobility options.

Submittal Frequency: Annual - Next submittal is due by June 30, 2021.

City Council/Board of Supervisors approval: Not Required

Documentation Method: Each jurisdiction must document within the Eligibility Checklist (Appendix D) that it considers, as part of the land use section of the General Plan, land use planning strategies that accommodate transit and non-motorized transportation. A letter outlining the approach to land use planning strategies or policies that accommodate transit and non-motorized transportation should be provided with supporting General Plan excerpts. Policy summaries that directly tie land use planning to alternative modes are required.

These may include:

- Pedestrian friendly neighborhoods
- Transit Oriented Development (TOD)
- Transportation Demand Management (TDM) programs
- Mixed-use development

Chapter 3 - Eligibility Determination

3.1 Submittal Review Process

The Eligibility submittal process has two distinct phases.

First Phase

In the first phase, local jurisdictions submit the eligibility checklist, CIP, MOE Certification and land use planning strategies considered in the General Plan on an annual basis. In addition, the PMP, CMP, MFP, and adoption of the Circulation Element for MPAH consistency are due on a biennial basis. The LSSP is due every three years. The periodic submittal schedule of the eligibility requirements is included in Exhibit 3. The applicable eligibility components for a given year must be submitted to OCTA by June 30 (except the Expenditure Report).

To assist in the initiation of the eligibility process, OCTA hosts eligibility workshops attended by local jurisdictions to prepare for the June 30 submittal date. The workshops outline any changes and provide instructions as to the requirements of the current fiscal year's eligibility cycle. Eligibility package development begins for most local jurisdictions in April and concludes with submittal to OCTA by the June 30 deadline each year.

Second Phase

The second phase includes the submittal of the Expenditure Report, which is due six months following the end of the local jurisdiction's fiscal year per the Ordinance. All local jurisdictions must submit their Expenditure Report annually by December 31. OCTA staff typically holds a workshop in July/August to go over the eligibility requirements for submitting an Expenditure Report that is compliant with the Ordinance. The OCTA Finance department reviews Expenditure Reports. However, OCTA's receipt and review of Expenditure Reports does not constitute or confirm OCTA's acceptance or approval of the reporting provided in the Expenditure Report itself, which is ultimately subject to audit review.

3.2 Approval Process

Annual eligibility determinations are based upon satisfactory submittal of the required documentation of eligibility outlined in the Ordinance and further described in Chapter 2 of these guidelines. OCTA and/or its representatives perform an administrative review of the data to determine eligibility compliance for M2 funds. Once all eligibility submittals have been received, the applicable submittals must be prepared for affirmation of receipt and review by the Taxpayer Oversight Committee (TOC).

TOC

M2 established the TOC to provide an enhanced level of accountability for expenditure of Net Revenues under the Ordinance. The TOC is an independent citizens' committee established for overseeing compliance with the Ordinance and ensuring that safeguards are in place to protect the integrity of the overall program. TOC responsibilities include:

- Approval of any amendment to the Ordinance proposed by OCTA which changes the funding categories, programs or discrete projects identified for improvements in the Funding Plan.
- Receive and review select documentation establishing annual eligibility by jurisdictions including the CMP, MFP, Expenditure Report, LSSP, and PMP.
- Verification that the OCTA is proceeding in accordance with the M2 Plan and is meeting the performance standards outlined in the Ordinance.

The TOC designates the Annual Eligibility Review (AER) subcommittee to first receive and review the required eligibility components for each local jurisdiction on an annual basis. The AER subcommittee affirms that it has completed its receipt and review process annually to the TOC.

In addition, OCTA staff will review items that do not directly require TOC receipt and review and confirm acceptance. After TOC and OCTA's review of all eligibility requirements, OCTA staff will prepare eligibility recommendations for the OCTA Board of Directors (Board). The OCTA Regional Planning and Highways Committee reviews the item prior to being considered by the full Board. The Board will make a final determination as to whether or not a local jurisdiction remains eligible for M2 funding on an annual basis.

Chapter 4 – Failure to Meet Eligibility Requirements

4.1 Non-Compliance Consequences

M2 extends a legacy of successful public funding investment in transportation throughout Orange County. The eligibility process includes a review of required compliance components to ensure that programs and funding guidelines are met as defined by Ordinance. The State Controller's "Guidelines Relating to Gas Tax Expenditures for Cities and Counties", provides useful information regarding the use of revenues for streets and roads purposes, consistent with Article XIX of the State Constitution. These guidelines are used by OCTA to determine eligibility for MOE expenditures. In addition, other non-Article XIX transportation expenditures may be eligible for certain M2 programs. Local jurisdictions should contact OCTA's M2 Program Management Office for specific questions on eligible and ineligible expenditures.

OCTA routinely conducts an audit of local jurisdictions' annual eligibility materials and financial records. Full cooperation is expected to complete the process in a timely manner. Failure to adhere to eligibility compliance components may result in Board action to suspend M2 funds until satisfactory compliance is achieved. For example, failure to meet MOE or other M2 requirements could result in suspension of all M2 formula and competitive grant payments and may prevent approval of awards until specific deficiencies are corrected.

The M2 Ordinance also includes provisions related to misspent M2 funds. For the purposes of this section, "misspent" means misappropriation of public funds, pursuant to state law. If the Board determines that a local jurisdiction has misspent M2 funds, then those funds must be fully re-paid, and the Board may deem that jurisdiction ineligible to receive M2 funds for a period of five (5) years.

4.2 Board Process Related to Ineligibility

Eligibility review and determination is a multi-step process, which relies upon an objective review of information by OCTA staff. Actions related to ineligibility are made by the Board.

4.3 For Additional Information

The Eligibility Guidelines have been developed to assist local jurisdictions located throughout Orange County to understand and continue to implement all eligibility requirements to receive M2 funding. The Guidelines provide general summary information regarding all eligibility requirements as well as a comprehensive summary of all responsibilities and actions for which a local jurisdiction must follow to continue their eligibility.

Please contact the following OCTA staff when seeking additional information or clarification regarding any of the Eligibility Guidelines:

Kelsey Imler

Transportation Funding Analyst

(714) 560-5397

kimler@octa.net

Or

Joe Alcock

Section Manager

(714) 560-5372

JAlcock@octa.net

Appendices:

Appendix A: Ordinance

The Ordinance can be found on the Eligibility Website:
<https://www.octa.net/OCGoEligibility>

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Appendix B: Eligibility for New Cities

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Eligibility for New Cities

Eligibility for Fair Share Funds - New Cities

At the time of incorporation, a new city may adopt current practices previously established by the County of Orange, which have already established eligibility under current M2. As new cities mature, they will adopt their own general plan and growth strategies.

To provide for this transition period, the OCTA Board of Directors (Board) has previously adopted the following new city eligibility process for Fair Share funds:

- A new city may, at its discretion, adopt the approved PMP of the predecessor governing body as its own, providing these policies are fully enforced.
- Prior to incorporation, the proposed new city must work with OCTA and the Local Agency Formation Commission (LAFCO) to identify the variables used in the LFS funds calculation (population, taxable sales, and MPAH mileage). Preliminary data must be identified prior to the date of incorporation.
- The new city will begin accruing LFS funds as of the date of incorporation.
- OCTA will reserve the accrued funds for the new city, pending the determination of eligibility by the Board within one year of the date of incorporation.
- For the new city to receive the reserved accrued funds, OCTA must receive all necessary elements of the eligibility package, complete the necessary review and approval of the package, and the Board must determine the new city eligible to receive M2 funds within one year of the date of incorporation. OCTA recommends the city submit its eligibility package within six months of incorporation to allow sufficient time for OCTA review and approval processes.
- Upon determination of eligibility by the Board, the new city will receive its first LFS payment including the reserved accrued funds, on the first regular payment cycle following the eligibility determination.
- The first LFS payment will be adjusted to reflect final calculation (population, taxable sales, and MPAH miles) as determined through the new city eligibility process.
- In the event a new city is determined to be ineligible to receive LFS funds by the Board, the reserved accrued funds and interest on the funds, shall be distributed to the eligible local jurisdictions on a pro-rata basis, until such time that the new city attains eligibility.
- Such new city will begin to accrue funds as of the first day of the first regular accrual period following its determination of eligibility by the Board and receive its first LFS payment on the corresponding regular payment cycle.

Eligibility for Competitive Funds-New Cities

In addition to the new city eligibility process for LFS funds, the Board has adopted the following process for eligibility for competitive funds:

- A new city may apply for competitive funding upon the date of incorporation, however, may not be awarded competitive funding until the new city has been determined eligible to receive LFS funds by the Board, as described above.
- A new city must include an adopted PMP that is consistent with countywide pavement condition assessment standards (Arterial Highway Rehabilitation Program), a General Plan Circulation Element consistent with the MPAH, and a City Council resolution attesting that no unilateral reduction in lanes have been made on any MPAH arterials in its eligibility package for review and approval by the Board.

- Applications for competitive funding by new cities will be considered until such time in the process of the competitive funding program that projects are ranked for award. If the new city has not been determined eligible by the Board by the time projects are ranked for award, any application by the new city for competitive funding will be withdrawn from further consideration. OCTA staff will work with the new city to revise the schedule specific to its time of incorporation in relation to the current competitive funding program process.

New Cities – MOE

M2 requires the development of a method to apply the MOE to new cities without five years of streets and roads data, including cities incorporated during the thirty years the tax is in effect. New cities unable to meet this requirement may use the appeals process to establish a benchmark number that more accurately reflects network needs. A phase-in period of two years has been established for new cities to achieve the approved MOE expenditure requirement.

The approved method uses the following formula to calculate the MOE for new cities:

$$\frac{\text{Total countywide MOE benchmark}}{\text{Total countywide population}} = \text{Per capita expenditure}$$

$$\text{Per capita expenditure} \times \text{city population} = \text{MOE benchmark for the city}$$

Appeals Process

New cities may appeal the formula benchmark determination above where there is a dispute regarding the city population. OCTA shall use the most recent Census or figures from the State of California Department of Finance. Appeals will be submitted first to the TAC and then to the Board for final determination.

Appendix C: Congestion Management Program Checklist

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CMP Monitoring Checklist: Level of Service (LOS)				
CMP Checklist		YES	NO	N/A
1.	Check "Yes" if either of the following apply: <ul style="list-style-type: none"> There are no CMP intersections in your jurisdiction. Factoring out statutorily-exempt activities¹, all CMP intersections within your jurisdiction are operating at LOS E (or the baseline level, if worse than E) or better. 	<input type="checkbox"/>	<input type="checkbox"/>	
NOTE: ONLY THOSE AGENCIES THAT CHECKED "NO" FOR QUESTION 1 NEED TO ANSWER THE REMAINING QUESTIONS.				
2.	If any, please list those intersections that are not operating at the CMP LOS standards. <ul style="list-style-type: none"> _____ _____ _____ 			<input type="checkbox"/>
3.	Will deficient intersections, if any, be improved by mitigation measures to be implemented in the next 18 months or improvements programmed in the first year of any recent funding program (i.e. local jurisdiction CIP, Measure M CIP)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	a. If not, has a deficiency plan been developed for each intersection that will be operating below the CMP LOS standards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Comments:				
<div style="border: 1px solid black; height: 150px; width: 100%;"></div>				

¹The following activities are statutorily-exempt from deficiency determinations: interregional travel, traffic generated by the provision of low and very low income housing, construction rehabilitation or maintenance of facilities that impact the system, freeway ramp metering, traffic signal coordination by the state or multi-jurisdictional agencies, traffic generated by high-density residential development within 1/4 mile of a fixed-rail passenger station, traffic generated by mixed-use residential development within 1/4 mile of a fixed-rail passenger station.



APPENDIX C

Congestion Management Program (CMP)

CMP Monitoring Checklist: Deficiency Plans				
CMP Checklist		YES	NO	N/A
1.	Check "Yes" if either of the following apply: <ul style="list-style-type: none"> There are no CMP intersections in your jurisdiction. Factoring out statutorily-exempt activities², all CMP Highway System (CMPHS) intersections within your jurisdiction are operating at LOS E (or the baseline level, if worse than E) or better. 	<input type="checkbox"/>	<input type="checkbox"/>	
NOTE: ONLY THOSE AGENCIES THAT CHECKED "NO" FOR QUESTION 1 NEED TO ANSWER THE REMAINING QUESTIONS.				
2.	If any, please list those intersections that are not operating at the CMP LOS standards. <ul style="list-style-type: none"> _____ _____ _____ 			<input type="checkbox"/>
3.	Are there improvements to bring these intersections to the CMP LOS standard scheduled for completion during the next 18 months or programmed in the first year of the CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NOTE: ONLY THOSE AGENCIES THAT CHECKED "NO" FOR QUESTION 3 NEED TO ANSWER THE REMAINING QUESTIONS.				
4.	Has a deficiency plan or a schedule for preparing a deficiency plan been submitted to OCTA?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Does the deficiency plan fulfill the following statutory requirements? :			
	a. Include an analysis of the causes of the deficiency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b. Include a list of improvements necessary to maintain minimum LOS standards on the CMPHS and the estimated costs of the improvements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	c. Include a list of improvements, programs, or actions and estimates of their costs, which will improve LOS on the CMPHS and improve air quality?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	i. Do the improvements, programs, or actions meet the criteria established by South Coast Air Quality Management District (SCAQMD) (see the CMP Preparation Manual)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

²The following activities are statutorily-exempt from deficiency determinations: interregional travel, traffic generated by the provision of low and very low income housing, construction rehabilitation or maintenance of facilities that impact the system, freeway ramp metering, traffic signal coordination by the state or multi-jurisdictional agencies, traffic generated by high-density residential development within 1/4 mile of a fixed-rail passenger station, traffic generated by mixed-use residential development within 1/4 mile of a fixed-rail passenger station.



APPENDIX C

Congestion Management Program (CMP)

CMP Monitoring Checklist: Deficiency Plans (cont.)

CMP Checklist		YES	NO	N/A
6.	Are the capital improvements identified in the deficiency plan programmed in your seven-year CIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does the deficiency plan include a monitoring program that will ensure its implementation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Does the deficiency plan include a process to allow some level of development to proceed pending correction of the deficiency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	Has necessary inter-jurisdictional coordination occurred?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	Please describe any innovative programs, if any, included in the deficiency plan:	<input type="checkbox"/>		
Additional Comments:				



³Exemptions include: any development generating less than 2,400 daily trips, any development generating less than 1,600 daily trips (if it directly accesses a CMP highway), final tract and parcel maps, issuance of building permits, issuance of certificate of use and occupancy, and minor modifications to approved developments where the location and intensity of project uses have been approved through previous and separate local government actions prior to January 1, 1992.



Congestion Management Program (CMP)

Date

Appendix D: Eligibility Checklist

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APPENDIX D

Eligibility Checklist

Jurisdiction:	
----------------------	--

Capital Improvement Program (CIP)		YES	NO
1.	Did you submit your draft or adopted Measure M2 (M2) seven-year CIP to OCTA by June 30?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Did you utilize the required OCTA CIP database?	<input type="checkbox"/>	<input type="checkbox"/>
	b. Have you included projects required to demonstrate compliance with signal synchronization, pavement maintenance, <u>the Congestion Management Program</u> , and environmental clean-up commitments?	<input type="checkbox"/>	<input type="checkbox"/>
	c. Are there any non-transportation related projects included in your M2 CIP?	<input type="checkbox"/>	<input type="checkbox"/>
	d. Did you include all projects that are partially, fully, or potentially funded by M2 Net Revenues?	<input type="checkbox"/>	<input type="checkbox"/>
	e. The City Council/Board of Supervisors approval date* to adopt the final 7-Year CIP is: _____		
	*Must be prior to July 31		
Maintenance of Effort (MOE)		YES	NO
2.	Did you submit the MOE certification form (Appendix I) to OCTA by June 30?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Did you provide supporting budget documentation?	<input type="checkbox"/>	<input type="checkbox"/>
	b. Has the MOE Reporting form been signed by the Finance Director or appropriate designee?	<input type="checkbox"/>	<input type="checkbox"/>
Pavement Management Plan (PMP)		YES	NO
3.	Are you required to submit a PMP update to OCTA for this eligibility cycle? Refer to Exhibit 3 for PMP submittal schedule.	<input type="checkbox"/>	<input type="checkbox"/>
	a. If yes, did you use the current PMP Submittal Template (Appendix F)?	<input type="checkbox"/>	<input type="checkbox"/>
	b. If yes, is the adopted PMP consistent with the OCTA Countywide Pavement Management Plan?	<input type="checkbox"/>	<input type="checkbox"/>
4.	If you answered "no" to question 3, did you submit a PMP Update to OCTA through the previous eligibility cycle by June 30?	<input type="checkbox"/>	<input type="checkbox"/>
Resolution of Master Plan of Arterial Highways (MPAH) Consistency		YES	NO
5.	Did you submit a resolution <u>indicating conformance</u> with the MPAH?	<input type="checkbox"/>	<input type="checkbox"/>
	a. Have you enclosed an <u>exhibit showing roadway designations that</u> represent your most current circulation element?	<input type="checkbox"/>	<input type="checkbox"/>
6.	If the requirement is not due as part of the current cycle, has there been an update to the circulation element since the last report period? If yes, include a copy of the latest circulation element.	<input type="checkbox"/> <u>N/A</u>	<input type="checkbox"/> <u>N/A</u>
Local Signal Synchronization Plan (LSSP)		YES	NO
7.	Did you adopt and submit an update to the LSSP as part of the current cycle?	<input type="checkbox"/> <u>N/A</u>	<input type="checkbox"/> <u>N/A</u>
	a. Is your LSSP consistent with the Regional Traffic Signal Synchronization Master Plan?	<input type="checkbox"/> <u>N/A</u>	<input type="checkbox"/> <u>N/A</u>



APPENDIX D

Eligibility Checklist

Time Limits for Use of Net Revenues		YES	NO
8.	Has your jurisdiction complied with the three-year time limit for the use of Net Revenues over the last year per the requirements outlined in the Ordinance?	<input type="checkbox"/>	<input type="checkbox"/>
	a. If no, has a time extension been requested through the semi-annual review process for funds subject to expiration?	<input type="checkbox"/>	<input type="checkbox"/>
Supplanting of Developer Commitments		YES	NO
9.	Has your jurisdiction ensured they have not supplanted developer commitments for transportation projects and funding with M2 funds?	<input type="checkbox"/>	<input type="checkbox"/>
Mitigation Fee Program (MFP)		YES	NO
10.	Does your jurisdiction currently have a defined development impact MFP in place?	<input type="checkbox"/>	<input type="checkbox"/>
11.	<u>Has your jurisdiction submitted a City Council/Board of Supervisors approved resolution (Appendix E)?</u>	<input type="checkbox"/>	<input type="checkbox"/>
12.	<u>Has your jurisdiction submitted one or more of the supporting documents outlined in chapter 2.7 of the Eligibility Guidelines?</u>	<input type="checkbox"/>	<input type="checkbox"/>
	a. Have you included a copy of your current impact fee schedule; or	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	b. Have you provided OCTA with a copy of your mitigation fee nexus study; or	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	c. Have you provided OCTA with a copy of your City Council/Board of Supervisors resolution approving the MFP?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Planning Strategies		YES	NO
13.	Does your jurisdiction consider as part of its General Plan, land use planning strategies that accommodate transit and non-motorized transportation?	<input type="checkbox"/>	<input type="checkbox"/>
14.	Have you provided a letter identifying land use planning strategies that accommodate transit and non-motorized transportation consideration in the General Plan?	<input type="checkbox"/>	<input type="checkbox"/>
Traffic Forums		YES	NO
15.	Did representatives of your jurisdiction participate in the regional traffic forum(s)?	<input type="checkbox"/>	<input type="checkbox"/>
	a. If you answered yes, provide date(s) of attendance: _____		
Congestion Management Program (CMP)		YES	NO
16.	Has your jurisdiction completed the required CMP checklist? (Appendix C)	<input type="checkbox"/>	<input type="checkbox"/>

Name (Print)

Signature

Date

Appendix E: Resolutions

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**[~~SAMPLE~~ RESOLUTION FOR MPAH CIRCULATION ELEMENT CONSISTENCY AND
MITIGATION FEE PROGRAMS]**

A RESOLUTION OF THE CITY COUNCIL/BOARD OF SUPERVISORS OF THE CITY/COUNTY OF _____
_____ CONCERNING THE STATUS AND UPDATE OF THE CIRCULATION ELEMENT, AND
MITIGATION FEE PROGRAM FOR THE MEASURE M (M2) PROGRAM

WHEREAS, the City/County of _____ desires to maintain and
improve the streets within its jurisdiction, including those arterials contained in the Master Plan of
Arterial Highways (MPAH) and

WHEREAS, the City/County of _____ has ~~s~~ endorsed a definition of
and process for, determining consistency of the City's/County's Traffic Circulation Plan with the MPAH,
and

WHEREAS, the City/County has adopted a General Plan Circulation Element which does not
preclude implementation of the MPAH within its jurisdiction, and

WHEREAS, the City/County is required to adopt a resolution biennially informing the Orange
County Transportation Authority (OCTA) that the City/County's Circulation Element is in conformance
with the MPAH and whether any changes to any arterial highways of said Circulation Element have been
adopted by the City/County during Fiscal Years (FY) 201~~9-20~~ and FY 20~~20-21~~, and

WHEREAS, the City/County is required to send biennially to the OCTA all recommended changes
to the City/County Circulation Element and the MPAH for the purposes of re-qualifying for participation
in the Comprehensive Transportation Funding Programs;

WHEREAS, the City/County is required to adopt a resolution biennially certifying that the
City/County has an existing Mitigation Fee Program that assesses traffic impacts of new development
and requires new development to pay a fair share of necessary transportation improvements
attributable to the new development; and

NOW, THEREFORE, BE IT RESOLVED that the City Council/Board of Supervisors for the
City/County of _____, does hereby inform OCTA that:

a) The arterial highway portion of the City/County Circulation Element of the
City/County is in conformance with the MPAH.

~~b)~~ The City/County attests that no unilateral reduction in through lanes has been made on
any MPAH arterials during FY 201~~9-20~~ and FY 20~~20-21~~.

~~b)c)~~ The City/County affirms that it will bring forward requests to amend the MPAH, when
necessary, in order to ensure that the MPAH and the General Plan Circulation Element remain
consistent.

~~e)d)~~ The City/County reaffirms that Council concurs with the existing Mitigation Fee Program.

PASSED, APPROVED AND ADOPTED THIS [Insert Day] day of [Insert Month], [Insert Year].

[RESOLUTION FOR LOCAL SIGNAL SYNCHRONIZATION PLAN UPDATE]

A RESOLUTION OF THE CITY COUNCIL/BOARD OF SUPERVISORS OF THE CITY/COUNTY OF _____
_____ CONCERNING THE UPDATE OF THE LOCAL SIGNAL SYNCHRONIZATION PLAN FOR THE
MEASURE M (M2) PROGRAM.

WHEREAS, the Orange County Transportation Authority has developed the Regional Traffic Signal Synchronization Master Plan to identify traffic signal synchronization street routes and traffic signals within and across jurisdictional boundaries, and defines the means of implementing the Regional Traffic Signal Synchronization Program; and

WHEREAS, the Regional Traffic Signal Synchronization Program requires that local jurisdictions adopt a Local Signal Synchronization Plan consistent with the Regional Traffic Signal Synchronization Master Plan as a key component of local jurisdictions' efforts to synchronizing traffic signals across local jurisdictions' boundaries; and

WHEREAS, the Local Signal Synchronization Plan must be updated by June 30, 2023 to continue to be eligible to receive Net Revenues as part of Measure M2;

NOW, THEREFORE, BE IT RESOLVED that the City Council/Board of Supervisors for the City/County of _____, does hereby inform OCTA that:

- a) The City/County adopts and maintains a Local Signal Synchronization Plan which includes goals that are consistent with those outlined as part of the Regional Signal Synchronization Master Plan, including signal synchronization across jurisdictions.
- b) The Local Signal Synchronization Plan identifies traffic signal synchronization street routes, including all elements of the Regional Signal Synchronization Network located within the City/County.
- c) The Local Signal Synchronization Plan includes the traffic signal inventory for all traffic signal synchronization street routes.
- d) The Local Signal Synchronization Plan includes a three-year plan showing capital, operations, and maintenance of signal synchronization along the traffic signal synchronization street routes and traffic signals.
- e) The Local Signal Synchronization Plan includes an update on the status and performance of traffic signal synchronization activities.
- f) The Local Signal Synchronization Plan includes a discussion on the review and revision, as may be necessary, on the timing of traffic signals on the traffic signal synchronization street routes.

PASSED, APPROVED AND ADOPTED THIS [Insert Day] day of [Insert Month], [Insert Year].

[RESOLUTION FOR PAVEMENT MANAGEMENT PLAN ADOPTION]

A RESOLUTION OF THE CITY COUNCIL/BOARD OF SUPERVISORS OF THE CITY/COUNTY OF _____ CONCERNING THE STATUS AND UPDATE OF THE PAVEMENT MANAGEMENT PLAN FOR THE MEASURE M2 (M2) PROGRAM

WHEREAS, the local jurisdiction is required to meet eligibility requirements and submit eligibility verification packages to Orange County Transportation Authority (OCTA) in order to remain eligible to receive M2 funds.

WHEREAS, the local jurisdiction is required to adopt and update a Pavement Management Plan (PMP), using the required format, regarding the status of road pavement conditions and implementation of the PMP on a biennial basis; and

WHEREAS, the local jurisdiction is required to provide a plan that manages the preservation, rehabilitation, and maintenance of paved roads by analyzing pavement life cycles, assessing overall system performance costs, and determining alternative strategies and costs necessary to improve paved roads.

NOW, THEREFORE, BE IT RESOLVED that the City Council/Board of Supervisors for the City/County of _____ does hereby inform OCTA that:

- a) The PMP is in conformance with the PMP Submittal Template provided in the Countywide Pavement Management Plan Guidelines.
- b) The City/County hereby adopts a PMP and has provided an updated PMP report, using the required format, to OCTA.
- c) The Public Works Director, City Engineer or designee is authorized to sign the PMP certification form.

PASSED, APPROVED, AND ADOPTED THIS [Insert Day] day of [Insert Month], [Insert Year].

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Appendix F: PMP Submittal Template



Agency

Pavement Management Plan

Prepared by: [Author name]
Submitted to OCTA: [Date]



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I. Pavement Management Plan Certification

The City/County of **Type Here** certifies that it has a Pavement Management Plan in conformance with the criteria stated in the Orange County Transportation Authority Ordinance No. 3. This ordinance requires that a Pavement Management Plan be in place and maintained to qualify for allocation of revenues generated from renewed Measure M2.

The plan was developed by **Type here*** using **Type here**, a pavement management system, confirming to American Society of Testing and Materials (ASTM) Standard D6433, and contains, at a minimum, the following elements:

- Inventory of MPAH and local routes reviewed and updated biennially. The last update of the inventory was completed on **Month, Year** for Arterial (MPAH) streets and **Month, Month** for local streets.
- Assessment of pavement condition for all routes in the system, updated biennially. The last field review of pavement condition was completed on **Month, Year**.
- Percentage of all sections of pavement needing:
 - Preventative Maintenance: **Type here%**
 - Rehabilitation: **Type here%**
 - Reconstruction: **Type here%**
- Budget needs for Preventative Maintenance, Rehabilitation, and/or Reconstruction of deficient sections of pavement for:
 - Current biennial period **\$Type here**
 - Following biennial period **\$Type here**
- Funds budgeted or available for Preventative Maintenance, Rehabilitation, and/or Reconstruction:
 - Current biennial period **\$Type here**
 - Following biennial period **\$Type here**
- Backlog by year of unfunded pavement rehabilitation, restoration, and reconstruction needs.
- The Pavement Management Plan is consistent with countywide pavement condition assessment standards as described in the OCTA Countywide Pavement Management Plan Guidelines adopted by the OCTA Board of Directors.

*An electronic copy of the Pavement Management Plan (with Micro Paver or StreetSaver compatible files) has been, or will be, submitted with the certification statement.

A copy of this certification is being provided to the Orange County Transportation Authority.

Submitted by:

Click here to enter text.

Name (Print)

Click here to enter text.

Jurisdiction

Signed

Click here to enter a date.

Date

Click here to enter text.

Title (Public Works Director and/or City Engineer)



II. Executive Summary

[Click here to enter text.](#)



III. Background (Optional)

[Click here to enter text.](#)



IV. Current Pavement Conditions (PCI)

Current Network PCI	Current MPAH PCI	Current Local PCI
Click here to enter	Click here to enter	Click here to enter

V. Projected Pavement Conditions (PCI)

Should be by projected PCI by year under existing or expected funding levels for next seven fiscal years ("Today" is before June 30, ~~2020~~2021).

Fiscal Year	Current Funding	Entire Network PCI	MPAH	Local
Today	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2020 <u>2021-2122</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2021 <u>2022-2223</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2022 <u>2023-2324</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2023 <u>2024-2425</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2024 <u>2025-2526</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2025 <u>2026-2627</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2026 <u>2027-2728</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter



VI. Alternative Funding Levels

Maintain Existing Average Network PCI

Fiscal Year	Maintain Funding	Entire Network PCI	MPAH	Local
Today	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2021-22 <u>2020-21</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2022-23 <u>2021-22</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2023-24 <u>2022-23</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2024-25 <u>2023-24</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2025-26 <u>2024-25</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2026-27 <u>2025-26</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2027-28 <u>2026-27</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter

Improve Average Network PCI

Fiscal Year	Current Funding	Entire Network PCI	MPAH	Local
Today	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2021-22 <u>2020-21</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2022-23 <u>2021-22</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2023-24 <u>2022-23</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2024-25 <u>2023-24</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2025-26 <u>2024-25</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2026-27 <u>2025-26</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter
2027-28 <u>2026-27</u>	Click here to enter	Click here to enter	Click here to enter	Click here to enter



VII. Current and Projected Backlog by Year of Pavement Maintenance Needs

Fiscal Year	Current Funding Backlog	Maintain PCI Backlog	Increase PCI Backlog
Current	Click here to enter	Click here to enter	Click here to enter
2021-22 2020-21	Click here to enter	Click here to enter	Click here to enter
2022-23 2021-22	Click here to enter	Click here to enter	Click here to enter
2023-24 2022-23	Click here to enter	Click here to enter	Click here to enter
2024-25 2023-24	Click here to enter	Click here to enter	Click here to enter
2025-26 2024-25	Click here to enter	Click here to enter	Click here to enter
2026-27 2025-26	Click here to enter	Click here to enter	Click here to enter
2027-28 2026-27	Click here to enter	Click here to enter	Click here to enter

VIII. Centerline Mileage

Entire Pavement Network	MPAH	Local Roads
Click here to enter	Click here to enter	Click here to enter

IX. Percentage of Network in Each of Five Condition Categories Based on Centerline Miles

Condition Category	PCI Range	Network	Percent Area of Total Pavement	Area of Pavement (sf)	Percent Centerline Mileage of Network	Centerline Mileage of Network
Very Good	86-100	MPAH	Click here to enter%	Click here to enter	Click here to enter%	Click here to enter
		Local	Click here to enter%	Click here to enter		Click here to enter
Good	75-85	MPAH	Click here to enter%	Click here to enter	Click here to enter%	Click here to enter
		Local	Click here to enter%	Click here to enter		Click here to enter
Fair	60-74	MPAH	Click here to enter%	Click here to enter	Click here to enter%	Click here to enter
		Local	Click here to enter%	Click here to enter		Click here to enter
Poor	41-59	MPAH	Click here to enter%	Click here to enter	Click here to enter%	Click here to enter
		Local	Click here to enter%	Click here to enter		Click here to enter
Very Poor	0-40	MPAH	Click here to enter%	Click here to enter	Click here to enter%	Click here to enter
		Local	Click here to enter%	Click here to enter		Click here to enter



X. Reduction in Local Match

A local agency match reduction of 10% of the eligible cost for projects submitted for consideration of funding through the Comprehensive Transportation Funding Programs (CTFP) call for projects is available if the local agency either:

- a. Shows measurable improvement of paved road conditions during the previous reporting period defined as an overall weighted (by area) average system improvement of one Pavement Condition Index (PCI) point with no reduction in the overall weighted (by area) average PCI in the Master Plan of Arterial Highways (MPAH) or local street categories;

or

- b. Have road pavement conditions during the previous reporting period, within the highest 20% of the scale for road pavement conditions in conformance with OCTA Ordinance No. 3, defined as a PCI of 75 or higher, otherwise defined as in "good condition".

If applicable, please use the space below to justify the local agency's eligibility for a reduction in Local Match based on the statement above.

[Click here to enter text.](#)



XI. Appendix A – Seven-Year Road Maintenance and Rehabilitation Plan Based on Current *or* Expected Funding Level

The seven-year plan for road maintenance and rehabilitation should be based on current and projected budget. Street sections selected for treatment should be identified here. Specific data to be submitted should follow the format below:

MPAH								
	Limits of Work							
Street Name	From	To	Length of Segment	Width of Segment	Pavement Area	Type of Treatment	Cost of Treatment	Year of Treatment

LOCAL								
	Limits of Work							
Street Name	From	To	Length of Segment	Width of Segment	Pavement Area	Type of Treatment	Cost of Treatment	Year of Treatment

Please attach the seven-year road maintenance and rehabilitation plan, following the above template, after this sheet. The plan should be labeled Appendix A.



XII. Appendix B – Complete Listing of Current Street Conditions

A complete listing of current pavement conditions should be included in this report. Specific data to be submitted should follow the format below:

MPAH						
Street Name	From	To	Width of Segment	Area	Current PCI	Most Recent Inspection Date

LOCAL						
Street Name	From	To	Width of Segment	Area	Current PCI	Most Recent Inspection Date

Please attach the complete street listing, following the above template, after this sheet. The pages should be labeled Appendix B.



XIII. Appendix C – Quality Assurance/Quality Control Plan

Introduction

When performing data collection in any field, the need for quality control is paramount as it is essential for accurate planning, analysis and design. This is particularly true for collecting pavement distress data for a pavement management system.

The Quality Assurance/Quality Control (QA/QC) Plan establishes minimum quality standards for performance and procedures for updates of the pavement management system.

If applicable, utilize the space below to include information on the agency's QA/QC policies:

[Click here to enter text.](#)

Objectives

This document constitutes a formal QA/QC Plan for the [City/County](#). It was prepared on [Select date](#) and last revised on [Select date](#).

Specifically, it is intended for the [Year Applicable](#) Pavement Management Plan Update. The focus is on the collection of network-level pavement distress data (defined by National Cooperative Highway Research Program (NCHRP) Synthesis 401 Quality Management of Pavement Data Collection, as "Network-level data collection involves collection of large quantities of pavement condition data, which is often converted to individual condition indices or aggregated into composite condition indices.")

This document also addresses the QA/QC plan requirements of the Orange County Transportation Authority (OCTA)'s "Countywide Pavement Management Plan Guidelines" (section 2.4), adopted in May 2010.

Structure of QA/QC Plan

The following components are addressed in this QA/QC Plan:

- Condition survey procedures used
- Accuracy required for data collection
- Inspector qualifications and experience
- Safety



Condition Survey Procedures

The governing document in performing condition surveys for the [Enter agency name](#) is ASTM D6433 “Standard Practice for Roads and Parking Lots Pavement Condition Index (PCI) Surveys.” Both asphalt concrete (AC) and Portland cement concrete (PCC) pavements are included in this protocol. The following distresses are collected for each pavement type.

Asphalt Concrete AC Pavements

1. Alligator (fatigue) cracking
2. Bleeding
3. Block cracking
4. Bumps and sags
5. Corrugation
6. Depression
7. Edge cracking
8. Joint reflection cracking
9. Lane/Shoulder drop off
10. Longitudinal & Transverse cracking
11. Patching and utility cut patching
12. Polished aggregate
13. Potholes
14. Railroad crossing
15. Rutting
16. Shoving
17. Slippage cracking
18. Swell
19. Weathering
20. Raveling

Portland Cement Concrete (Jointed)

1. Blowup/buckling
2. Corner breaks
3. Divided slab
4. Durability (“D”) cracking
5. Faulting
6. Joint seal damage
7. Lane/shoulder drop off
8. Linear cracking
9. Patching (large) and utility cuts
10. Patching (small)
11. Polished aggregate
12. Popouts
13. Pumping
14. Punchout
15. Railroad crossing
16. Scaling, map cracking and crazing
17. Shrinkage cracks
18. Spalling (corner)
19. Spalling (joint)

Any exceptions to the above procedures are discussed before any surveys are performed. They are documented in the paragraphs below.

[Note to agency: these are usually related to distresses or situations that are not covered in the manuals. Examples include roller check marks or edge cracking on streets with no curbs and gutters. Others include the raveling of surface seals or the use of open-graded asphalt concrete mixes where the surface appears to have large voids present. Any modifications must be documented and included in this document. Photos are extremely helpful.]

All surveys are performed as [Indicate type of surveys](#) – walking, windshield, semi-automated etc. surveys, and a minimum 10% sampling rate is utilized. Field crews are typically composed of [Click here to enter field crew information](#) (Typically a one-person crew on residential streets and some collectors, and up to two-person crews for major arterials, depending on traffic volumes and speeds. Edit as appropriate). The safety of field personnel is paramount in all instances.

The sample unit selected must be representative of the entire pavement section. This assumes that the section is homogenous; if it is not homogeneous, then the section must be split according to the criteria agreed upon by the agency. Typically, the criteria used are:

- Pavement condition
- Construction age, if known
- Maintenance history, if known
- Traffic volumes (or functional classification as a surrogate)
- Surface types (e.g. asphalt concrete or Portland cement concrete)
- Geometric elements (e.g. widths)

Any modifications to the section inventory data are documented in the pavement management report.

A sample unit must be between $2,500 \pm 1,000$ square feet in conformance with ASTM D6433 protocols. Typical sample unit dimensions are 100 feet long by the width of the street. Streets that are wider than 40 feet wide will have shorter lengths (generally 50 feet) or if they are divided by a raised median, separate sample units will be taken in each direction.

Any pavement areas that are not representative of the section will be noted and surveyed as an additional sample unit.

Accuracy Required for Data Collection

The accuracy required for data collection has two components, both of which are further described in the following paragraphs.

- Re-inspections
- PCI comparisons with past surveys

Random and Systematic Re-Inspections

Random Re-inspections

Random re-inspections will include a representative selection across the following categories:

- Functional classes (i.e. MPAH, locals);
- Surface types (e.g. asphalt concrete or Portland cement concrete);
- Pavement conditions (e.g. good, fair, poor);
- Inspectors;
- Geographical areas, if applicable.

Systematic Re-inspections

For systematic re-inspections, this could be due to noticed trends such as specific treatment types (e.g. open-graded mixes), a specific inspector or geographical area. In such cases, more than 5% will be re-inspected.



Acceptability Criteria

At the time of re-inspection, the actual distresses will be re-inspected and verified, and any corrections made, if necessary. Distress types and severities must be the same and re-measured quantities within $\pm 10\%$ of the original measured quantity.

If corrections are required on more than 10% of the re-inspected sample unit, then an additional 5% will be re-inspected. This will continue until more than 95% of the re-inspected sections meet the acceptability criteria.

PCI Comparison with Past Surveys

As another level of quality control, the new PCIs are compared with the previous PCIs. If they differ by more than ± 10 PCI points, these sections are automatically flagged for further investigation.

If PCI Increases 10 points

The section is investigated to see if a maintenance and rehabilitation event has occurred since the last survey, but has not been recorded. Typically, it may include activities such as:

- Crack sealing activities – changes medium or high severity cracking to low severity
- Patching activities – alligator cracking that has been removed and patched, so that the resultant PCI is increased.
- Surface seals
- Overlay
- Others

Therefore, an up to date maintenance and rehabilitation history file in the pavement management database is desirable, both for historical accuracy as well as to provide additional quality control.

If PCI decreases 10 points

The section is checked to see if the average deterioration rate (usually 3 to 4 points per year) is exceeded. If the drop in PCI is within range of what is acceptable, no further action is required. If the drop is more than the acceptable range, a re-inspection will be performed. The default performance curves in the pavement management software form the basis for what is acceptable.

Inspector's Qualifications and Experience

The Enter agency here inspectors have attended formal training on pavement condition distress surveys. This training was conducted prior to performing any work using the ASTM D6433 protocols, consistent with OCTA's requirements.

Inspector Name	Date of ASTM D6433 Training	Training Conducted By:
Click here to enter	Click here to enter	Click here to enter
Click here to enter	Click here to enter	Click here to enter
Click here to enter	Click here to enter	Click here to enter
Click here to enter	Click here to enter	Click here to enter

Resumes of the technicians utilized on this project are included as an attachment.



Safety Procedures

The [Enter agency here](#) administers a health and safety program in compliance with the Cal Occupational Safety and Health Administration (OSHA) Title VIII, Section 3203. The program is documented in [Enter document name here](#).

Generally, the safety procedures include (Edit as applicable to agency):

- Inspectors to wear Class 2 or 3 safety vest at all times;
- Flashing beacon on all vehicles utilized for surveys; and
- Stopped vehicles to be parked at locations away from moving traffic (e.g. nearby parking, shoulders, etc.).
- [Enter safety protocol here](#)

On streets where there is a high volume of traffic or high speeds, additional measures may be necessary, such as:

- Surveys to occur during off-peak periods or on weekends;
- Additional inspector to watch out for traffic; and
- Traffic flaggers in extreme cases.

Attachment – Appendix C: Resumes of Field Inspectors

---End of QA/QC Plan---

XIV. Appendix D – Pavement Management Data Files

The Pavement Management data files shall be submitted to OCTA in spreadsheet format. This must include the following information:

- Street name and limits for all public streets
- Street identifiers (Branch ID, Section ID)
- Direction (if applicable)
- Beginning and ending of each section
- Length, widths, and true areas
- Functional Classification (MPAH, Local)
- Number of travel lanes
- PCI and date of inspection
- Type of recommended treatment
- Cost of recommended treatment

The Pavement Management data files are attached here on a CD/flash drive, or included as Appendix D

XV. Appendix E – GIS Maps – Current Conditions (Optional)

If included, attach and label Appendix E.

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Appendix G: M2 Expenditure Report Template, Instructions & Resolution

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Measure M2 Expenditure Report Template

Schedule 1: Summary Statement of Beginning and Ending Balances

Lines 1 – 12: Balances at Beginning of Fiscal Year

Report all fund balances and interest intended for transportation purposes at the beginning of the fiscal year. These balances should be classified by funding source as illustrated in the table below. To provide for continuity of reporting, the beginning balances of any restricted funds must agree with the ending balances of such funds as shown in the prior year's report.

Project	Description
A-M	Freeway Projects
O	Regional Capacity Program (RCP)
P	Regional Traffic Signal Synchronization Program (RTSSP)
Q	Local Fair Share
R	High Frequency Metrolink Service
S	Transit Extensions to Metrolink
T	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems
U	Senior Mobility Program or Senior Non-Emergency Medical Program
V	Community Based Transit/Circulators
W	Safe Transit Stops
X	Environmental Cleanup Program (Water Quality)
Other	Please provide description for other categories

Line 13: Balances at Beginning of Fiscal Year - TOTAL

Sum of Lines 1 – 12 in the "Amount" and "Interest" columns

Line 14: Monies Made Available During Fiscal Year

Report total available monies (revenues) from Schedule 2, Line 13 in the "Amount" and "Interest" columns

Line 15: Total Monies Available

Sum of Lines 13 - 14 in the "Amount" and "Interest" columns

Line 16: Expenditures During Fiscal Year

Report total available monies (revenues) from Schedule 2, Line 26 in the "Amount" and "Interest" columns

Lines 17 - 28: Balances at End of Fiscal Year

Report by funding source all fund balances and interest for transportation purposes at the end of the fiscal year. To provide for continuity of reporting, the beginning balances of the fund sources in next year's report must agree with the ending balances of such funds as shown in this year's report (or otherwise reconciled).

City/County of: _____

Schedule 1

**M2 Expenditure Report
Fiscal Year Ended June 30, 20____
Beginning and Ending Balances**

Description		Line No.	Amount	Interest
Balances at Beginning of Fiscal Year				
A-M	Freeway Projects	1		
O	Regional Capacity Program (RCP)	2		
P	Regional Traffic Signal Synchronization Program (RTSSP)	3		
Q	Local Fair Share	4		
R	High Frequency Metrolink Service	5		
S	Transit Extensions to Metrolink	6		
T	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	7		
U	Senior Mobility Program or Senior Non-Emergency Medical Program	8		
V	Community Based Transit/Circulators	9		
W	Safe Transit Stops	10		
X	Environmental Cleanup Program (Water Quality)	11		
	Other*	12		
Balances at Beginning of the Fiscal Year (Sum Lines 1 to 12)		13		
	Monies Made Available During Fiscal Year	14		
Total Monies Available (Sum Lines 13 & 14)		15		
	Expenditures During Fiscal Year	16		
Balances at End of Fiscal Year				
A-M	Freeway Projects	17		
O	Regional Capacity Program (RCP)	18		
P	Regional Traffic Signal Synchronization Program (RTSSP)	19		
Q	Local Fair Share	20		
R	High Frequency Metrolink Service	21		
S	Transit Extensions to Metrolink	22		
T	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	23		
U	Senior Mobility Program or Senior Non-Emergency Medical Program	24		
V	Community Based Transit/Circulators	25		
W	Safe Transit Stops	26		
X	Environmental Cleanup Program (Water Quality)	27		
	Other*	28		

* Please provide a specific description

Measure M2 Expenditure Report

Schedule 2: Summary Statement of Sources and Uses

Lines 1 - 12: Report the Following Revenue Sources and Interest on the Appropriate Line

Project	Description
A-M	Freeway Projects
O	Regional Capacity Program (RCP)
P	Regional Traffic Signal Synchronization Program (RTSSP)
Q	Local Fair Share
R	High Frequency Metrolink Service
S	Transit Extensions to Metrolink
T	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems
U	Senior Mobility Program or Senior Non-Emergency Medical Program
V	Community Based Transit/Circulators
W	Safe Transit Stops
X	Environmental Cleanup Program (Water Quality)
Other	Please provide description for other categories

Line 13: Total Revenues

Sum of Lines 1 - 12 (should match Total in Schedule 1, Line 14 in the "Amount" and "Interest" columns)

Lines 14 - 25: Report the Following Expenditures on the Appropriate Line

Project	Description
A-M	Freeway Projects
O	Regional Capacity Program (RCP)
P	Regional Traffic Signal Synchronization Program (RTSSP)
Q	Local Fair Share
R	High Frequency Metrolink Service
S	Transit Extensions to Metrolink
T	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems
U	Senior Mobility Program or Senior Non-Emergency Medical Program
V	Community Based Transit/Circulators
W	Safe Transit Stops
X	Environmental Cleanup Program (Water Quality)
Other	Please provide description for other categories

Line 26: Total Expenditures

Sum of Lines 14 - 25 (Should match Total in Schedule 1, Line 16 in the "Amount" and "Interest" columns)

Line 27: Total Balance

Subtract Line 26 from Line 13 in the "Amount" and "Interest" columns

City/County of: _____

Schedule 2

M2 Expenditure Report
Fiscal Year Ended June 30, 20____
Sources and Uses

	Description	Line No.	Amount	Interest
	Revenues:			
A-M	Freeway Projects	1		
O	Regional Capacity Program (RCP)	2		
P	Regional Traffic Signal Synchronization Program (RTSSP)	3		
Q	Local Fair Share	4		
R	High Frequency Metrolink Service	5		
S	Transit Extensions to Metrolink	6		
T	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	7		
U	Senior Mobility Program or Senior Non-Emergency Medical Program	8		
V	Community Based Transit/Circulators	9		
W	Safe Transit Stops	10		
X	Environmental Cleanup Program (Water Quality)	11		
	Other*	12		
	TOTAL REVENUES: (Sum Lines 1 to 12)	13	\$	\$
	Expenditures:			
A-M	Freeway Projects	14		
O	Regional Capacity Program	15		
P	Regional Traffic Signal Synchronization Program	16		
Q	Local Fair Share	17		
R	High Frequency Metrolink Service	18		
S	Transit Extensions to Metrolink	19		
T	Convert Metrolink Station(s) to Regional Gateways that connect Orange County with High-Speed Rail Systems	20		
U	Senior Mobility Program or Senior Non-Emergency Medical Program	21		
V	Community Based Transit/Circulators	22		
W	Safe Transit Stops	23		
X	Environmental Cleanup Program (Water Quality)	24		
	Other*	25		
	TOTAL EXPENDITURES: (Sum Lines 14 to 25)	26	\$	\$
	TOTAL BALANCE (Subtract line 26 from 13)	27	\$	\$

* Please provide a specific description

Measure M2 Expenditure Report Template Instructions

Schedule 3: Summary Statement of Detailed Use of Funds

Line 1: Indirect and/or Overhead

This line covers local jurisdiction costs that cannot be readily identified to a specific project. The costs listed in this line item represent an equitable share of expenditures for activities not directly allocated to right-of-way, construction, or other categories. Allocations must be based on a reasonable, documented methodology.

This includes, but is not limited to:

Payroll	General accounting/finance
Personnel	Departmental accounts/finance
Purchasing/Procurement	Facilities
Advertising	Data processing
Legal costs	Top management
General government	Bids

Lines 2 - 7: Construction

Construction expenditures include the following:

- Projects developing new streets, bridges, lighting facilities, storm drains, etc., in locations that formerly had no such facilities, or projects departing to such an extent from existing alignment and grade that no material salvage value is realized from the old facilities.
- Additions and betterments to the street system and its rights-of-way, including grade separations and urban extensions.
- Any work that materially increases the service life of the original project.
- Resurfacing to a thickness greater than one inch.
- Resurfacing to a thickness less than one inch if the project has been certified by a lead jurisdiction as construction.
- Construction of traffic islands and other traffic safety devices.
- Transit facilities including, but not limited to, bus stops, shelters, and maintenance facilities.
- Streetscape including original landscaping, tree planting, and similar work.
- Acquisition and installation of street lighting facilities, traffic signals, and/or street signs (only when such signs are installed in connection with developing new streets).
- Planning, environmental, or design related to construction.
- Salaries and expenses of employees in connection with construction (direct costs).

Line 8: Total Construction

Sum of Lines 2 - 7

Line 9: Right-of-Way Acquisition

Right-of-way expenditures include the following:

- The acquisition of land or interest for use as a right-of-way in connection with the city's street system; the amount reported should include the cost of acquisition of any improvements situated on the real property at the date of its acquisition by the city.
- The cost of removing, demolishing, moving, resetting, and altering buildings or other structures that obstruct the right-of-way.
- The court costs of condemnation proceedings.

- Title searches and reports.
- Salaries and expenses of employees and right-of-way agents in connection with the acquisition of rights-of-way (direct costs).
- Severance damage to property sustained due to the city's street projects.
- All other costs of acquiring rights-of-way free and clear of all physical obstructions and legal encumbrances.

Line 10: Total Construction and Right-of-Way

Sum of Lines 8-9

Line 11 - 15: Maintenance / Operations

Maintenance expenditures include the following:

- The preservation and keeping of rights-of-way, street structures, and facilities in the safe and usable condition, to which they have been improved or constructed, but not reconstruction or other improvements.
- General utility services such as roadside planting, tree trimming, street cleaning, snow removal, and general weed control.
- Repairs or other work necessitated by damage to street structures or facilities resulting from storms, slides, settlements, or other causes unless it has been determined by the city engineer that such work is properly classified as construction.
- Maintenance of traffic signal equipment, coordination and timing on the city streets, as well as the city's share of such expenditures covering traffic signals situated at intersections of city streets and state highways within the incorporated area of the city.
- Salaries and expenses of employees in connection with maintenance and/or operations (direct costs).

Line 16: Total Maintenance

Sum of Lines 11 - 15

Line 17: Other

Please provide description for other categories. For example: transit, Senior Mobility Program, water quality, transit operations such as vehicle leases and other related operating expenses, etc. This category is not applicable to the MOE column as MOE expenditures would fall into the categories listed above.

Line 18: Grand Totals

Sum of Lines 1, 10, 16, and 17

Line 19: Finance Director Confirmation

Finance Director initials to confirm understanding of MOE.

City/County of: _____

Schedule 3

M2 Expenditure Report
Fiscal Year Ended June 30, 20____
Streets and Roads Detailed Use of Funds

Type of Expenditure	Line Item	MOE	Developer / Impact Fee ⁺	O	O Interest	P	P Interest	Q	Q Interest	X	X Interest	Other M2 ²	Other M2 Interest	Other*	TOTAL
Indirect and/or Overhead	1														\$
Construction & Right-of-Way															
New Street Construction	2														\$
Street Reconstruction	3														\$
Signals, Safety Devices, & Street Lights	4														\$
Pedestrian Ways & Bike paths	5														\$
Storm Drains	6														\$
Storm Damage	7														\$
Total Construction¹	8														\$
Right of Way Acquisition	9														\$
Total Construction & Right-of-Way	10														\$
Maintenance															
Patching	11														\$
Overlay & Sealing	12														\$
Street Lights & Traffic Signals	13														\$
Storm Damage	14														\$
Other Street Purpose Maintenance	15														\$
Total Maintenance¹	16														\$
Other	17														\$
GRAND TOTALS (Sum Lines 1, 10, 16, 17)	18	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Finance Director Confirmation	19	<p>Any California State Constitution Article XIX streets and road eligible expenditure may be "counted" in local jurisdictions' calculation of MOE if the activity is supported (funded) by a local jurisdictions' discretionary funds (e.g. general fund). The California State Controller also provides useful information on Article XIX and the Streets and Highways Code eligible expenditures in its "Guidelines Relating to Gas Tax Expenditures for Cities and Counties". I have reviewed and am aware of these guidelines and their applicability in calculating and reporting on Maintenance of Effort expenditures.</p> <p>Finance Director initial: _____</p>													

¹ Includes direct charges for staff time

+ Transportation related only

² Other M2 includes A-M, R, S, T, U, V, and W

* Please provide a specific description

Measure M2 Expenditure Report Template Instructions

Schedule 4: Summary Statement of Local Fair Share Project List

List the project titles and brief description (maximum of two sentences) for all projects that utilized any portion of Measure M2 (M2) Local Fair Share funding. Please include the total amount of **M2 Local Fair Share** funds only that were expended.

Schedule 4

[illegible]

City/County of: _____

Signature Page

**M2 Expenditure Report
Fiscal Year Ended June 30, 20____**

I hereby certify that:

- ☐ All the information attached herein and included in schedules 1 through 4 is true and accurate to the best of my knowledge;
- ☐ The interest earned on Net Revenues allocated pursuant to the Ordinance shall be expended only for those purposes for which the Net Revenues were allocated;
- ☐ The City/County of _____ is aware of the State Controller's "Guidelines Relating to Gas Tax Expenditures for Cities and Counties", which is a guide for determining MOE Expenditures for M2 Eligibility purposes;
- ☐ The City/County's Expenditure Report is in compliance with direction provided in the State Controller's "Guidelines Relating to Gas Tax Expenditures for Cities and Counties;" and
- ☐ The City/County of _____ has expended in this fiscal year an amount of local discretionary funds for streets and roads purposes at least equal to one ~~the of the level of its~~ maintenance of effort requirements below¹⁰:

A) The City/County met the existing FY 2020-21 MOE benchmark dollar amount.

B) The City/County met a proportional MOE benchmark amount of FY 2020-21 General Funds Revenues that is at least equal to the percent listed in column C of Exhibit 2 in the M2 Eligibility Guidelines.

Director of Finance (Print Name)

Date

Signature

¹⁰ An actual General Fund Revenue excerpt from a jurisdiction's Comprehensive Annual Finance Report (CAFR) must be provided as backup documentation.

[EXPENDITURE REPORT RESOLUTION]

A RESOLUTION OF THE CITY COUNCIL/BOARD OF SUPERVISORS OF THE CITY/COUNTY OF _____ CONCERNING THE MEASURE M2 (M2) EXPENDITURE REPORT FOR THE CITY/COUNTY OF _____.

WHEREAS, local jurisdictions are required to meet eligibility requirements and submit eligibility verification packages to the Orange County Transportation Authority (OCTA) in order to remain eligible to receive M2 funds; and

WHEREAS, local jurisdictions are required to adopt an annual M2 Expenditure Report as part of one of the eligibility requirements; and

WHEREAS, local jurisdictions are required to account for Net Revenues, developer/traffic impact fees, and funds expended by the local jurisdiction in the M2 Expenditure Report that satisfy the Maintenance of Effort requirements; and

WHEREAS, the M2 Expenditure Report shall include all Net Revenue fund balances, interest earned and expenditures identified by type and program or project; and

WHEREAS, the M2 Expenditure Report must be adopted and submitted to the OCTA each year within six months of the end of the local jurisdiction's fiscal year to be eligible to receive Net Revenues as part of M2.

NOW, THEREFORE, BE IT RESOLVED that the City Council/Board of Supervisors for the City/County of _____ does hereby inform OCTA that:

- a) The M2 Expenditure Report is in conformance with the template provided in the Measure M2 Eligibility Guidelines and accounts for Net Revenues including interest earned, expenditures during the fiscal year, and balances at the end of fiscal year.
- b) The M2 Expenditure Report is hereby adopted by the City/County of _____.
- c) The City/County of _____ Finance Director is hereby authorized to sign and submit the M2 Expenditure Report to OCTA for the fiscal year ending _____.

PASSED, APPROVED, AND ADOPTED THIS [Insert Day] day of [Insert Month], [Insert Year].

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Appendix H: Arterial Highway Mileage Change Report

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APPENDIX H

Arterial Highway Mileage Change Report

Jurisdiction:	Choose an item.
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☐ Check here if there are no changes to report[illegible]

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Appendix I: Maintenance of Effort Certification Form

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APPENDIX I

Maintenance of Effort (MOE) Certification Form

Jurisdiction: _____

Type of GENERAL FUND Transportation Expenditures:

Please complete and attach supporting budget documentation for each line item listed below.

MAINTENANCE	Total Expenditure
Subtotal Maintenance	\$

CONSTRUCTION	Total Expenditure
Subtotal Construction	\$

INDIRECT / OTHER	Total Expenditure
Subtotal Indirect / Other	\$

Total General Fund Transportation Expenditures	\$
(Less Total MOE Exclusions ¹)	\$
MOE Expenditures	\$
MOE Benchmark Requirement²	\$
(Shortfall)/Surplus	\$

Certification:

I hereby certify that:

☐ The City/County of _____ is aware of the State Controller's "Guidelines Relating to Gas Tax Expenditures for Cities and Counties", which is a guide for determining MOE Expenditures for Measure M2 Eligibility purposes and;

☐ The City/County of _____'s MOE Certification Form is in compliance with direction provided in the State Controller's "Guidelines Relating to Gas Tax Expenditures for Cities and Counties" and;

☐ The City/County of _____ certifies that the budgeted MOE expenditures meet the fiscal year (FY) 2021-22 MOE benchmark requirement through one of the options below:

A) The budgeted MOE expenditures meet the MOE benchmark dollar value consistent with column A of Exhibit 2 in the M2 Eligibility Guidelines.

B) The budgeted MOE expenditures meet an MOE % of general fund revenues of the City's FY 2021-22 budget, consistent with column C of Exhibit 2 in the M2 Eligibility Guidelines.

Finance Director Signature

Finance Director (Print Name)

Date

¹ Funding sources include Measure M, federal, state, redevelopment, and bond financing.

² Please refer to Exhibit 2 in the M2 Eligibility Guidelines for the City's MOE benchmark requirement. The MOE benchmark requirement is anticipated to be modified due to financial impacts of the COVID-19 pandemic, contingent on OCTA Board approval of an M2 Ordinance amendment.

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Appendix J: Acronyms

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APPENDIX J

Acronyms

Acronym	Description
AHRP	Arterial Highway Rehabilitation Program
<u>AER</u>	<u>Annual Eligibility Review (Subcommittee)</u>
CCI	Construction Cost Index
CFD	Community Facilities District
CIP	Capital Improvement Program
CMP	Congestion Management Program
CTFP	Comprehensive Transportation Funding Programs
ECP	Environmental Cleanup Program (Project X)
LAFCO	Local Agency Formation Commission
LOS	Level of Service
LSSP	Local Signal Synchronization Plan
<u>MFP</u>	<u>Mitigation Fee Program</u>
MOE	Maintenance of Effort
MPAH	Master Plan of Arterial Highways
OCTA	Orange County Transportation Authority
OCTC	Orange County Transportation Commission
PCI	Pavement Condition Index
PMP	Pavement Management Plan
RCP	Regional Capacity Program (Project O)
RTSSMP	Regional Traffic Signal Synchronization Master Plan (Project P)
SCAQMD	South Coast Air Quality Management District
TAC	Technical Advisory Committee
TDM	Traffic Demand Management
TOC	Taxpayer Oversight Committee
TOD	Transit Oriented Development
TSC	Technical Steering Committee

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April 5, 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 approximately \$629 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 in April of this year.

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. Also, later this year, OCTA staff will be presenting the Board 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. This location is separate from the TOC location as it needs to be readily accessible to the public for customer service purposes.

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 (RON) approved by the Board and no additional RONS are anticipated at this time.

Utility Relocations

There are currently 132 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 85 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. A majority of the walls needed for the Project are anticipated to be complete by the end of 2021.

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 nearing completion, and the bridge is anticipated to be opened to traffic in April of this year. Construction on the McFadden Avenue overcrossing bridge also was completed, and the bridge was opened to traffic in October 2020. The Edinger Avenue and Edwards Street overcrossing bridges began construction in the second half of 2020. The Edwards Street overcrossing bridge is anticipated to be opened to traffic late this year. The Edinger Avenue overcrossing bridge is anticipated to be opened to traffic early next year. Slater Avenue, Bushard Street, Talbert Avenue, Edinger 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 the Fairview Road, Brookhurst Street, Magnolia Street, Bolsa Avenue, Goldenwest Street, Westminster Boulevard, and Bolsa Chica Road overcrossing bridges. 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 year, and the full bridge is anticipated to be the first two-stage bridge to be opened to traffic early 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 early next year. The first halves of the new Fairview Road and Westminster Boulevard overcrossing bridges opened in the last few months, and the full bridges are anticipated to be opened early next year. The first half of the Bolsa Avenue overcrossing bridge is anticipated to be opened this summer, and the full bridge is anticipated to be opened later next year. Construction on the first half of the Brookhurst Street overcrossing bridge began late last year.

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 the last several months, the OCTA Outreach team has conducted six virtual meetings with community members along the Project corridor, as well as with key stakeholders such as OCTA's Diverse Community Leaders Group. An average of 100 people participate in each of the virtual meetings, double the average number of participants at past in-person meetings. The Outreach team will continue to utilize virtual meetings, with a phone-in option for those who do not have online access, as a crucial tool to extend the reach of Project communications.

Virtual meetings allow the team to hold more meetings more frequently, providing opportunities to engage the larger community regarding major activities like bridge demolition, as well as connect with smaller groups to provide construction status updates.

From December 1, 2020 to February 28, 2021, the team received an average of about 90 comments and questions per month from the public, a decrease from the monthly average for 2020. The calls and emails focus on construction activities, bridge and interchange design, maintenance inquiries, and schedule questions.

During this three-month period, there was a 50 percent increase in the use of the Project's interactive map of closures and detours, as traffic volume picked up. Meanwhile, the team continues to utilize proven communication methods, distributing an average of approximately 40,000 flyers each month, and sending out an average of 35 email alerts. Social media and location-based advertising, which deliver short, relevant messages about upcoming activities to mobile devices in specific geographic areas, continue to be cost-effective methods to reach a broad audience. These tools encourage new subscribers to join the Project email database.

In the next three months, the team has another five neighborhood meetings planned to discuss major activities at Ward Street, Bolsa Avenue, and Warner Avenue, and to provide status updates on work at Beach Boulevard and Edwards Street. In addition, the team will hold several focused presentations with smaller groups of residents and business owners to discuss activities occurring adjacent to the groups' properties and businesses.

The team also is focusing on additional strategies to reach diverse and disadvantaged communities throughout the Project corridor. The core element of this effort is partnering with several community-based groups and faith-based organizations that serve the County's diverse populations. These partnerships will be the foundation for additional proactive, culturally sensitive outreach to notify these communities about construction activities and impacts.

Meanwhile, the team will continue coordinating closely with residents living along the freeway whose properties are directly impacted by construction activities such as wall and bridge construction. In the last three months, the team has facilitated more than 60 pre- and post-construction surveys and worked with another 60 property owners who have temporary construction easements. These sensitive activities require a significant level of coordination between the OCTA Outreach and ROW teams and the contractor to ensure easement conditions are met and residents' concerns are addressed.

Next month, the second half of the Magnolia Street bridge is anticipated to open to traffic. This will be the first two-stage bridge on the Project to fully open, and the Outreach team is working on plans to commemorate the milestone.

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:



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

Approved by:



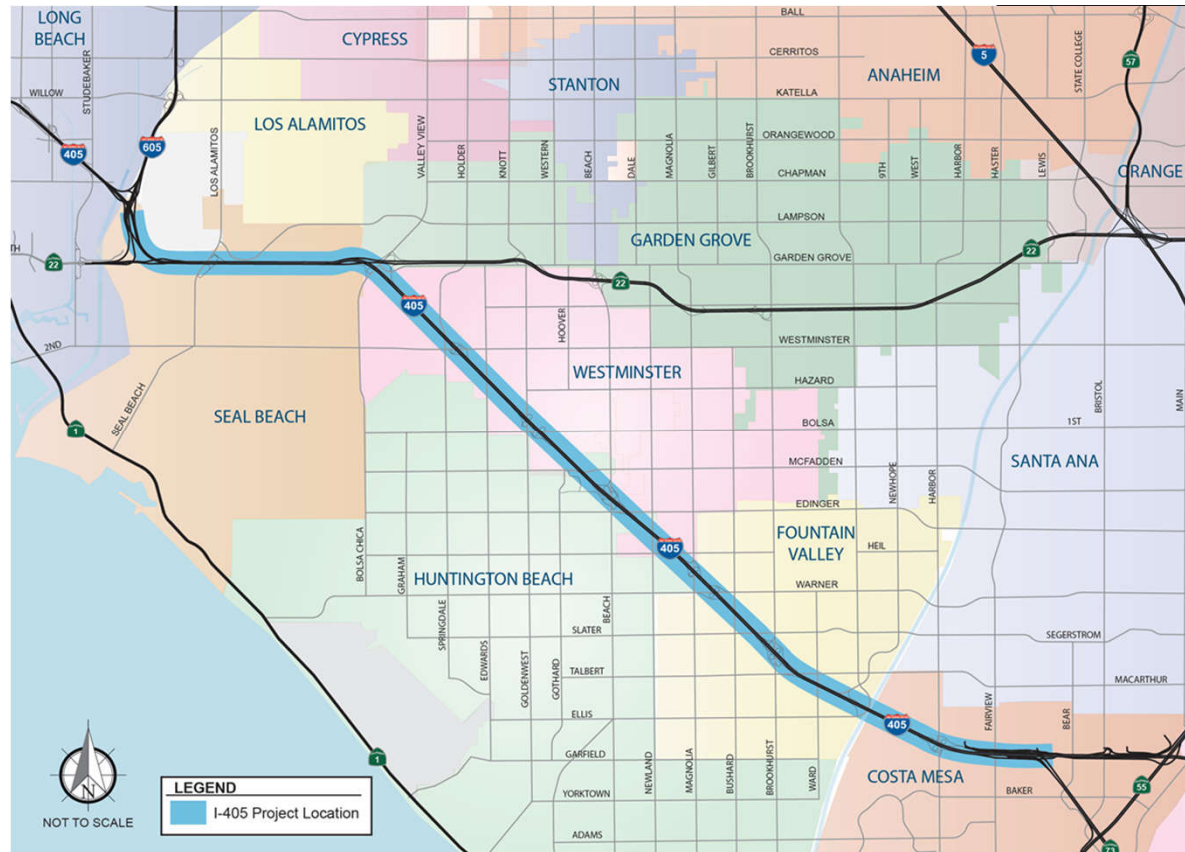
James G. Beil, P.E.
Executive Director, Capital Programs
(714) 560-5646



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
Anticipated substantial completion	Late 2023

* Transportation Infrastructure Finance and Innovation Act

Project Update



General

- Over 55 percent complete with project
- TIFIA interest rate reset

Design and Right-of-Way Possession

- Substantially complete with both design and right-of-way possession

Construction

- Three bridge replacements complete
- Most of the retaining walls and soundwalls needed for the project will be completed in 2021
- Over 1,000 workers involved in the project each working day

Construction Update

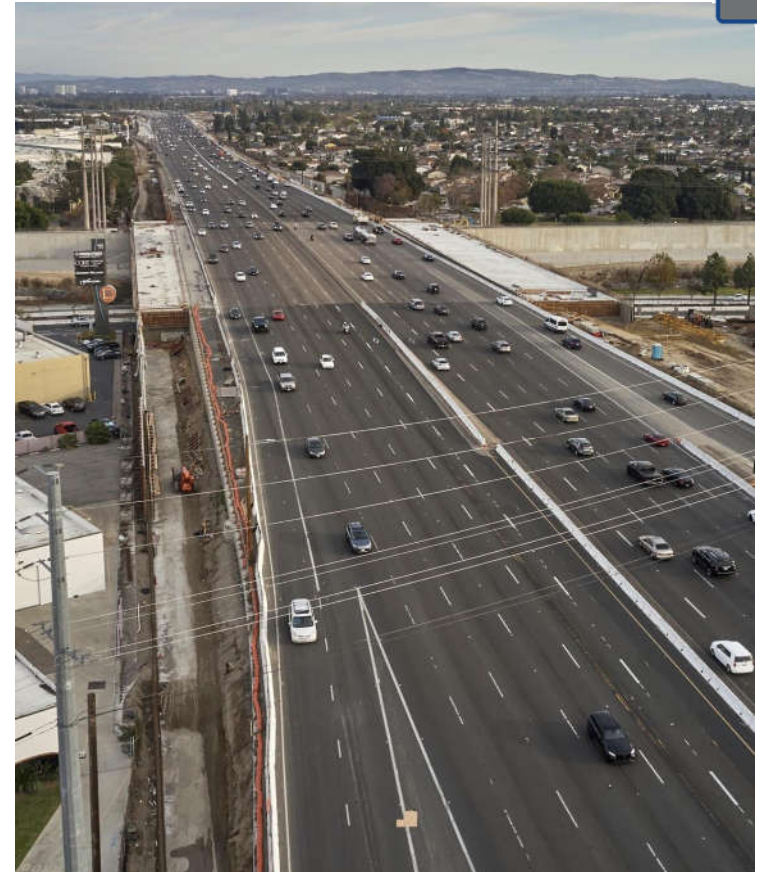


Slater Avenue, Bushard Street, and McFadden Avenue bridges complete

Construction Update



Fairview Road bridge construction



Santa Ana River bridge construction

Construction Update



Talbert Avenue bridge construction



Magnolia Street bridge construction

Construction Update



Heil Avenue pedestrian overcrossing construction



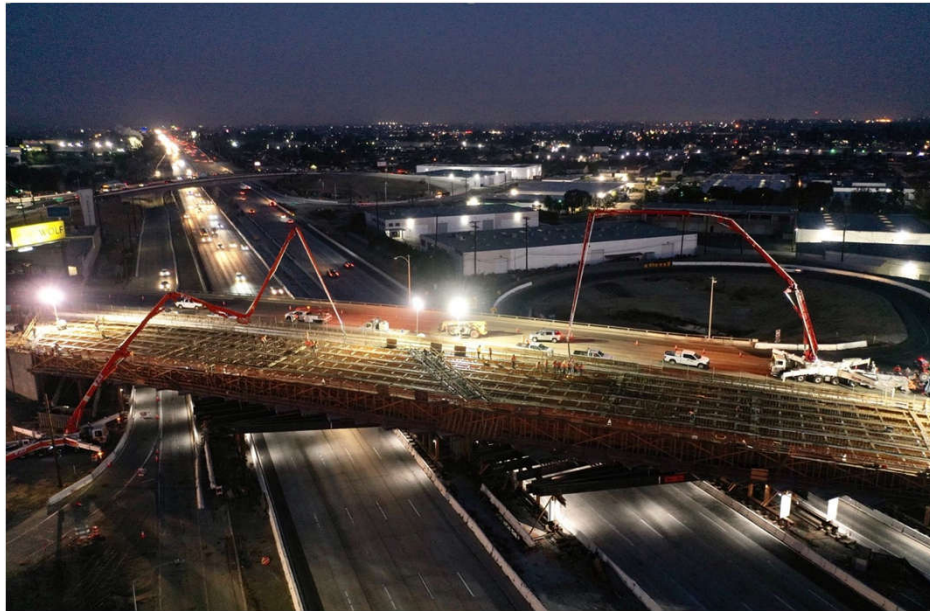
Edinger Avenue bridge construction

Construction Update



Beach Boulevard construction

Construction Update



Bolsa Avenue bridge construction



Goldenwest Street bridge construction

Construction Update

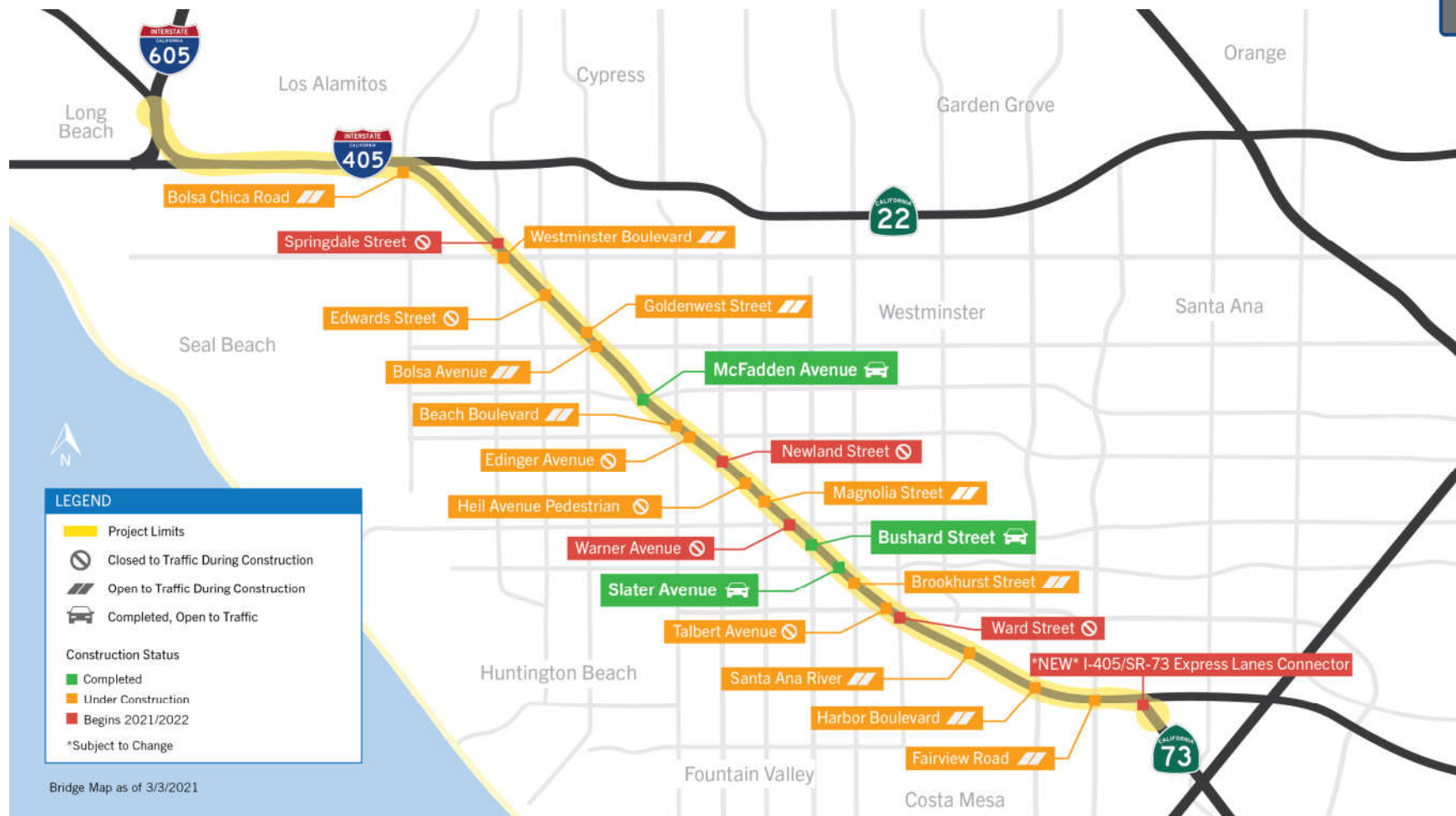


Edwards Street bridge construction

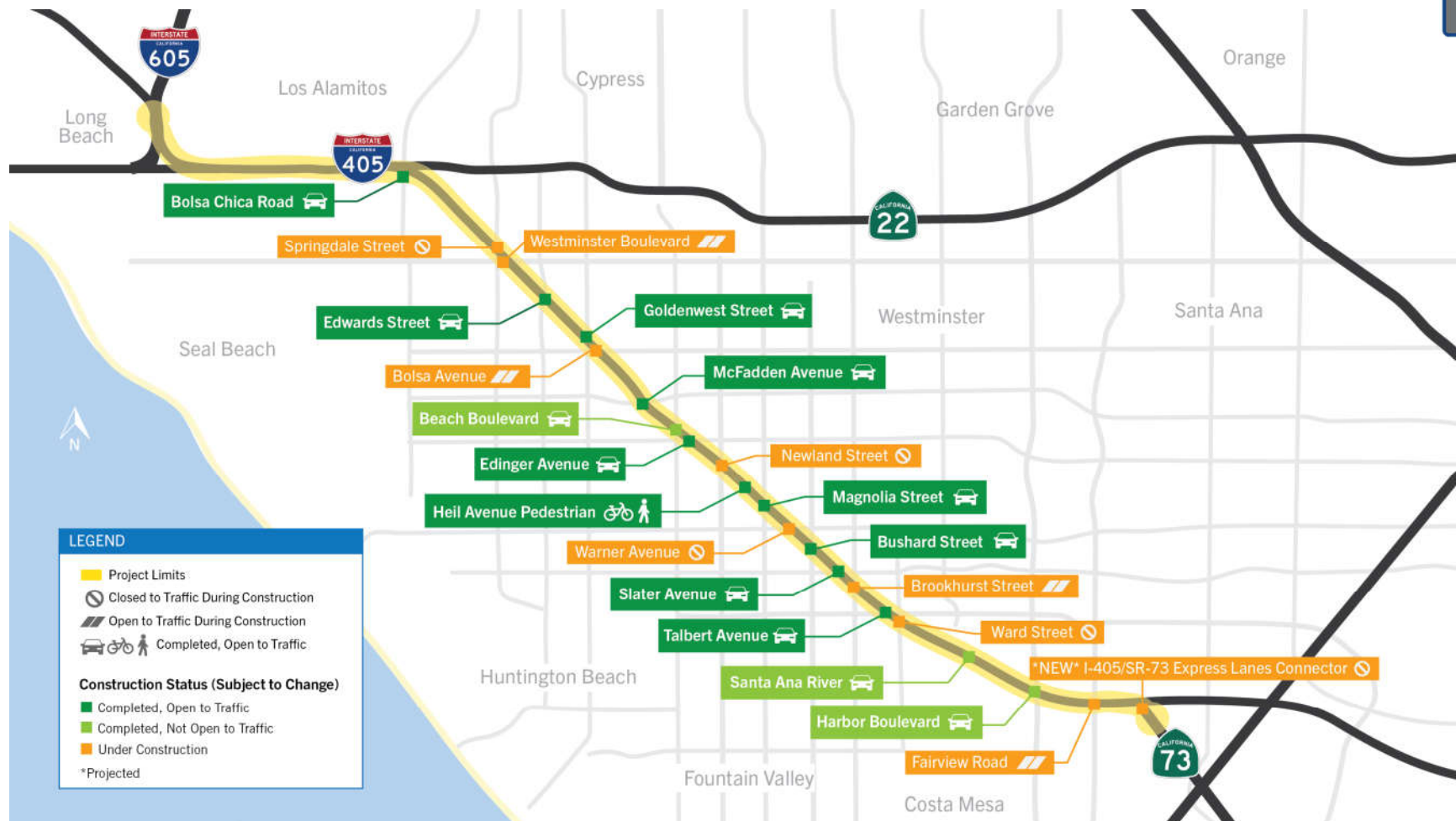


Bolsa Chica Road bridge construction

Bridge Construction Map – Today



Bridge Construction Map – Spring 2022



Major Risks Remaining



- Additional archaeological discoveries
- Coronavirus (COVID-19)
- Utility relocation delays
- Design-builder/toll lanes system integrator coordination

Outreach Metrics



Category	Monthly Average December 2020 to February 2021	Monthly Average 2020
Public Comments, Questions	87	143
Social Media Reach	205,449	233,645
Construction Alerts	35 alerts (31 percent open rate)	21 alerts (29 percent open rate)
Interactive Map Users	1,579	1,049
Location-Based Advertising	210,929 impressions	298,468 impressions
Flyers	39,350	39,568

Upcoming Outreach



- Virtual neighborhood meetings
 - Ward Street
 - Bolsa Avenue
 - Warner Avenue
 - Beach Boulevard
 - Edwards Street
- Major activity notifications
 - Bridge demolition and pile driving
 - Extended ramp closures
- Key stakeholders
 - Diverse/disadvantaged communities
 - First responders
 - School districts, OC Fair, and Event Center
- Milestones
 - Magnolia Street bridge completion

CONSTRUCTION ALERT
Fairview Road Bridge Partial Demolition

WHAT
Crews shifted traffic to the new side of the Fairview bridge over I-405 on Friday, Feb. 12, in anticipation of partial demolition.
Demolition activities have begun and the second half of the bridge will be demolished over two nights, under full freeway closures. Additional nighttime demolition will occur for several weeks under freeway lane closures. Some daytime demolition also is anticipated.
Please be advised that this work may be loud.

WHERE
Fairview bridge over northbound (NB) and southbound (SB) I-405, in Costa Mesa.

WHEN
Night One
• NB full closure from 10 p.m. Saturday, Feb. 20, to 6 a.m. Sunday, Feb. 21
• NB lane reduction from 8 a.m. to 9 a.m. Sunday, Feb. 21
• SB full closure from 10 p.m. Saturday, Feb. 20, to 9 a.m. Sunday, Feb. 21
Fairview between McCormick Lane and South Coast Drive also will be closed for this work. However, residential access will be maintained.
Night Two
• Saturday, Feb. 27
• The outreach team will provide more information including the detour information in the coming days.
Detours: octa.net/405map
Note: Dates and times may change due to unforeseen operational factors or inclement weather.

WHY
Several bridges are being replaced as part of the freeway widening.
Sign up for project-wide and bridge-specific construction alert at bit.ly/405map

FOR MORE INFORMATION
PROJECT HELP LINE: 800-405-8884
PROJECT EMAIL: 405improvement@ocdot.ca.gov
PROJECT PHONE: 949-440-8994
PROJECT WEBSITE: www.405improvement.com
PROJECT MAP: www.405improvement.com/map
PROJECT VIDEO: www.405improvement.com/video
PROJECT SOCIAL MEDIA: www.405improvement.com/social



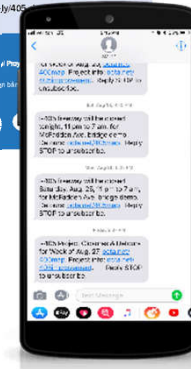
CONSTRUCTION ALERT

For more information about this project, please contact the 405 Community Outreach Team at 405community@ocdot.ca.gov or 800-405-8994, or visit www.405improvement.com.

Si prefieren recibir información en español, por favor llámenos al número 800-405-8994. Si usted quiere más información sobre este proyecto, por favor llámenos al número 800-405-8994 o visite www.405improvement.com.

CLICK HERE TO VIEW CONSTRUCTION ACTIVITIES ON THE INTERACTIVE MAP

The video and print a detailed list of closures and detours. **CLICK HERE!**



REMINDER! Fairview Road Bridge Partial Demolition

405 Improvement Project | Fairview Road Bridge and Northbound (NB) I-405 Closures and Detours
Cierre y desvío de la carretera Fairview Road y I-405 en dirección norte
Đóng cửa đường Fairview và các làn xe hướng Bắc trên đường I-405

waze



April 5, 2021

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Consultant Selection for Construction Management Support Services for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

Overview

On October 26, 2020, the Orange County Transportation Authority Board of Directors authorized the release of a request for proposals to provide construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of AECOM Technical Services, Inc., as the firm to provide construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2582 between the Orange County Transportation Authority and AECOM Technical Services, Inc., as the firm to provide construction management support services 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 (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 (HOV) lanes in each direction between I-405 and I-5 and will also add auxiliary lanes between interchanges. The final design package will be submitted to Caltrans in April 2021, and is close to being ready for construction. The construction contract is expected to be advertised in December 2021.

Cooperative Agreement No. C-0-2726 between Caltrans and OCTA outlines the responsibilities of both agencies for the Project, and was approved by the Board on January 11, 2021. As specified in the cooperative agreement, Caltrans will be the implementing agency responsible for advertisement, award, and administration of the construction contract. Caltrans will also provide the resident engineer and structures representative, and other field personnel, along with construction administrative support and environmental monitoring. OCTA will retain a construction management (CM) consultant firm to supplement Caltrans staff with structural, roadway, and electrical inspection, office engineering, field surveying, materials testing, and claims support services. OCTA's consultant will also provide a field office to house construction staff working on the Project. Through separate contracts, OCTA will lead the public outreach and freeway service patrol efforts.

Procurement Approach

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

On October 26, 2020, Request for Proposals (RFP) 0-2582 was issued electronically on CAMM NET. The RFP was advertised in a newspaper of general circulation on October 27, 2020 and November 3, 2020. A pre-proposal conference was held on November 3, 2020, with 33 attendees representing 22 firms. Four addenda were issued to make available the pre-proposal conference registration sheets and presentation materials, provide responses to questions received, and address administrative issues related to the RFP.

On December 1, 2020, three proposals were received. An evaluation committee consisting of staff from OCTA's Contracts Administration and Materials Management and Highway Programs departments, as well as external representatives from Caltrans and the City of Santa Ana, met to review all submitted proposals. The proposals were evaluated based on the following Board-approved evaluation criteria and weightings:

- Qualifications of the Firm 20 percent
- Staffing and Project Organization 40 percent
- Work Plan 40 percent

In developing the criteria and weightings, several factors were considered. The firm's qualifications and experience in performing relevant work of similar scope, size, and complexity are important to the success of the Project. Next, staff assigned a high level of importance to staffing and project organization, as the qualifications of the project manager and other key task leaders are critical to understanding the Project requirements and to the timely delivery and successful performance of the work. An equal level of importance is also assigned to the work plan, as an understanding of freeway construction and other required critical activities, such as utility relocations and coordination, control of the contractor's work within temporary construction easement limits, and management of anticipated critical work elements in the risk register is critical to the success of the Project.

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

Firms and Location

AECOM Technical Services, Inc. (AECOM)
Orange, California

WSP USA Inc. (WSP)
Orange, California

On January 27, 2021, the evaluation committee interviewed the two short-listed firms. The interviews consisted of a presentation allowing each team to discuss its qualifications, highlight its proposal, and respond to evaluation committee questions. Each firm highlighted its staffing plan, work plan, and perceived Project issues. The firms were asked general questions regarding their approach to the requirements of the scope of work (SOW), management of the Project,

coordination with various agencies, experiences with similar projects, and solutions in achieving the Project goals. After considering the presentations and responses to questions asked during the interviews, the evaluation committee adjusted the preliminary scores for both firms. However, AECOM remained as the top-ranked firm with the highest cumulative score.

Based on the evaluation of the written proposals and information obtained during the interviews, the evaluation committee recommends AECOM as the top-ranked firm to provide CM support services for the Project. AECOM submitted a comprehensive proposal that was responsive to the requirements of the RFP and presented a cohesive interview highlighting the firm's experience, staffing, and the technical approach to the work plan.

Qualifications of the Firm

Both short-listed firms are qualified to perform the required services. Each firm received positive references. The two short-listed firms demonstrated expertise in delivering and managing CM services. Both firms are established firms with relevant resources and experience providing construction inspection services for freeway and bridge widening projects.

AECOM is a global firm that was founded in 1927 and has specialized in transportation-related construction projects for the last 20 years. More than 75 percent of its CM services work is for highway and bridge projects with Caltrans. The firm has six offices in southern California, and over 150 CM staff in the western United States. AECOM has provided CM support services for freeway widening, roadway improvement, interchange/overcrossing replacement, and bridge replacement projects as a prime consultant and as part of an integrated team, including 60 projects in Orange County, 20 of which involved Caltrans.

AECOM has demonstrated proficiency in providing CM support services such as inspection for freeway widening, street improvements, bridge and retaining wall construction, and electrical installation, traffic management, oversight of utility relocations, office engineering, scheduling, claims analysis, constructability review, and Caltrans and public agency coordination. Similar project experience includes CM services on OCTA's State Route 91 (SR-91) westbound widening between State Route 57 (SR-57) and I-5, and I-405 Improvement Project between State Route 73 and Interstate 605 (I-605), Caltrans' I-5/EI Camino Real road bridge widening, State Route 22 (SR-22) widening safety improvement, State Route 210 slab replacement and rehabilitation between I-5 and Wheatland Avenue, and I-5 north corridor improvements Segment 3 between

Buena Vista Street and Magnolia Boulevard and Segment 4 between Magnolia Boulevard and I-5/State Route 134 projects. The proposed subconsultants have experience working with AECOM and will support AECOM with additional construction inspection, field materials testing, and survey services.

WSP is a national firm that was founded in 1885 and has specialized in transportation-related construction projects for the last 30 years. The firm has four offices in southern California with 500 employees, including 135 CM staff in California. WSP has provided CM support services in southern California for freeway widening, roadway improvement, interchange/overcrossing replacement, and bridge replacement projects as a prime consultant and as part of an integrated team.

WSP has demonstrated proficiency in providing CM support services such as inspection for highway, retaining wall and bridge construction, and electrical installation, traffic management, office engineering, scheduling, claims analysis, and Caltrans and public agency coordination. Examples of relevant experience include CM support services for the Transportation Corridor Agency's on-call program and signage enhancements, Riverside County Transportation Commission's Interstate 15 Express Lanes, San Bernardino County Transportation Authority's Interstate 10 (I-10)/Cedar Avenue interchange, Alameda Corridor East Fairway Drive grade separation and Lemon Avenue interchange, and Caltrans I-10 corridor express lanes projects. Most of the proposed subconsultants have experience working with WSP and will support WSP with additional construction inspection, office engineering, field materials testing, and survey services.

Staffing and Project Organization

Both short-listed firms proposed qualified project managers, key personnel, and subconsultants with relevant CM experience in freeway and bridge widening, and roadway and structure inspection.

AECOM proposed a qualified project team with each key personnel demonstrating relevant and comprehensive CM experience with freeway and bridge widening projects. The team has demonstrated experience in roadway and structures inspections, utility relocations, large concrete channel construction, traffic management plan and staging, and has extensive experience with Caltrans. AECOM's proposed project manager (PM) has 23 years of CM experience on similar freeway/bridge construction projects, and performed the PM role for the SR-91 westbound widening between SR-57 and I-5 project, and

Caltrans Districts 7 and 8 highway construction inspection/engineering contracts.

AECOM's proposed senior roadway inspector has successfully delivered freeway and bridge widening, bridge replacement, and interchange improvement projects for over 29 years. The proposed personnel was a former Caltrans employee and managed both the SR-57/State Route 60 HOV interchange and the I-10 widening projects in Los Angeles County as a senior resident engineer (RE), and the I-5 reconstruction from Katella Avenue to State College Boulevard project in the City of Anaheim as a RE. Relevant experience includes serving as the RE for OCTA's Tustin Avenue/Rose Drive railroad grade separation project in the cities of Anaheim and Placentia, lead assistant RE for the I-5/El Camino Real road bridge widening project in the City of San Clemente, and lead assistant RE for the SR-22 widening safety improvement project.

AECOM presented a team with a majority of proposed staff that are cross-trained in multiple disciplines, including roadway inspection, structures inspection, contract administration, Stormwater Pollution Prevention Plan, claims support, and scheduling. Having a pool of cross-trained personnel provides efficiencies for OCTA by quickly mobilizing personnel that can bring different perspectives to the work based on the team's varied experiences, allowing the team to resolve problems quickly.

The AECOM team presented an interview demonstrating comprehensive knowledge of its proposed approach to the SOW, and all team members contributed detailed responses to interview questions.

WSP proposed a qualified project team with CM experience. The team's expertise includes a range of relevant CM services, including CM, roadway inspection, structural engineering and inspection, electrical inspection, and scheduling support, among other relevant expertise. WSP's proposed PM has over 28 years of project management, CM, and design experience, including eight years with Caltrans District 12. Relevant PM experience includes the I-5 HOV improvement Segment 2 from Avenida Vista Hermosa to Pacific Coast Highway, I-5 HOV widening from SR-55 to SR-57, and I-405/I-605 HOV connector projects.

WSP's proposed senior roadway inspector brings 29 years of experience with Caltrans Districts 7 and 12 in all aspects of highway construction and design. Relevant project experience includes senior RE for the I-5 HOV improvement

Segment 1 from Avenida Pico to Avenida Vista Hermosa, I-405/SR-22 HOV connector, and I-405/I-605 HOV connector projects.

The proposed PM and key personnel were responsive to interview questions; however, there was limited participation from other personnel, which indicated less team cohesion. In addition, some responses to specific questions were general.

Work Plan

Both short-listed firms met the requirements of the RFP, and each firm discussed its approach to the Project, identified risks, and discussed utility relocation, quality, budget, and schedule control methods.

AECOM presented a Project-specific and comprehensive work plan. The work plan included a complete discussion of Project issues and challenges with realistic recommendations and proposed solutions demonstrating the firm's knowledge and experience. Solutions to challenges included timely monitoring of utility relocations for the Southern California Edison (SCE) transmission lines and poles and the City of Santa Ana water pressure reducing station and waterlines, proactive management of temporary construction easements (TCE) to minimize impacts to businesses, identification of time-saving construction staging, early and continuous coordination with the Orange County Flood Control District (OCFCD) for the Lane Channel reconstruction, and proactive documentation for claims prevention. The approach to the Lane Channel reconstruction was further emphasized at the interview by the senior roadway inspector, formerly an OCFCD employee. A recommendation was proposed for an early meeting with the contractor and OCFCD to refine the work plan, shoring requirements, materials, and stormwater diversion plan. The work plan also identified many critical issues that may be encountered, along with mitigations. A detailed construction schedule was provided with potential schedule savings related to railroad and bridge work. The AECOM team presented an interview demonstrating comprehensive knowledge of its proposed approach to the SOW, and all team members contributed detailed responses to interview questions.

WSP also presented a comprehensive work plan with a Project-specific approach for all plan elements. The team demonstrated a good understanding of the overall Project issues and challenges. The work plan identified challenges and proposed solutions for utility relocations of SCE and City of Santa Ana facilities, Lane Channel reconstruction, bridge and retaining wall construction, construction staging, and TCEs. The sequential outline of activities provided clear delineation of personnel responsibility by task throughout the Project.

A detailed construction schedule was provided with key staging modifications highlighted. The WSP team presented an interview demonstrating knowledge of its proposed approach to the SOW. The proposed PM and key personnel were responsive to interview questions; however, there was limited participation from other personnel and some responses to specific questions were general.

Procurement Summary

Based on the evaluation of the written proposals, team qualifications, and information obtained during the interviews, the evaluation committee recommends the selection of AECOM as the top-ranked firm to provide CM support services for the Project.

Fiscal Impact

The Project is included in OCTA's Fiscal Year (FY) 2020-21 Budget and subsequent FY budgets, Capital Programs Division, Account No. 0017-9085-FF101-1OP, and will be funded with federal and local M2 funds.

Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Agreement No. C-0-2582 with AECOM Technical Services, Inc., as the firm to provide construction management support services for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

Attachments

- A. Review of Proposals, RFP 0-2582 Construction Management Support Services for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5
- B. Proposal Evaluation Criteria Matrix (Short-Listed), RFP 0-2582 Construction Management Support Services for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5
- C. Contract History for the Past Two Years, RFP 0-2582, Construction Management Support Services for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

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

Review of Proposals
RFP 0-2582 Construction Management Support Services for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5
Presented to the Regional Planning and Highways Committee - April 5, 2021

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

Overall Ranking	Overall Score	Firm & Location	Subcontractors	Evaluation Committee Comments
1	92	AECOM Technical Services, Inc. Orange, California	Fountainhead Consulting Corporation HDR Construction Control Corporation Analyzer International, Inc. Ghirardelli Associates, Inc. V&A, Inc. Ninyo & Moore Gulda Surveying, Inc.	Highest-ranked proposal. Firm has served as prime consultant providing consultant management (CM) support services on numerous freeway/bridge widening projects. Key personnel have CM experience on freeway and bridge widening projects. Proposed project manager (PM) has 23 years of relevant CM experience. Proposed senior roadway inspector has 29 years of relevant CM experience. Proposed project team demonstrated experience working together. Proposed subconsultants to provide construction inspection, survey, and materials testing services. Comprehensive and project-specific work plan. Thorough responses to questions and broad interview participation of key personnel. Received positive responses from references.
2	87	WSP USA Inc. Orange, California	Coast Surveying Construction Quality Management Solutions, Inc. Dynamic Engineering Services, Inc. FCG Consultants Inc. Leighton Consulting RT Engineering & Associates TRC Engineers, Inc. T.Y. Lin International	Experience providing CM support services on numerous freeway/bridge widening projects. Key personnel have wide range of CM experience on freeway and bridge widening projects. Proposed PM has 28 years of relevant CM experience. Proposed senior roadway inspector has 29 years of relevant CM experience. Proposed project team demonstrated experience working together; however, proposed PM, senior roadway engineer, and structural inspector have been with WSP USA Inc., for only one year. Proposed subconsultants to provide construction inspection, materials testing, survey, and office engineering services. Comprehensive work plan with a project-specific approach across most plan elements. Proposed PM was responsive to interview questions, but participation was limited from some of the other key personnel. Received positive responses from references.

Evaluation Panel: Six Members

Internal:

Contracts Administration and Materials Management (1)
Highway Programs (2)

External:

California Department of Transportation (2)
City of Santa Ana (1)

Evaluation Criteria:

Qualifications of the Firm
Staffing and Project Organization
Work Plan

Weight Factors

20 percent
40 percent
40 percent

PROPOSAL EVALUATION CRITERIA MATRIX (Short-Listed)
RFP 0-2582 Construction Management Support Services for the
State Route 55 Improvement Project Between Interstate 405 and Interstate 5

AECOM Technical Services, Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.5	4.5	4.0	4.5	4.5	4.5	4	17.7
Staffing/Project Organization	5.0	4.5	4.5	4.5	5.0	4.5	8	37.3
Work Plan	5.0	4.5	4.5	4.5	4.5	4.5	8	36.7
Overall Score	98.0	90.0	88.0	90.0	94.0	90.0		92

WSP USA, Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.5	4.5	4.0	4.0	4.5	4.5	4	17.3
Staffing/Project Organization	4.5	4.0	4.5	4.0	4.0	4.0	8	33.3
Work Plan	4.5	4.5	4.5	4.5	4.5	4.5	8	36.0
Overall Score	90.0	86.0	88.0	84.0	86.0	86.0		87

The score for the non-short-listed firm was 65.

Construction Management Support Services for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
AECOM Technical Services, Inc.	C-3-1433	Project report and environmental document for the Interstate 5 Improvement Project from north of Interstate 405 to State Route 55	May 8, 2014	December 31, 2020		\$ 7,463,942
Contract Type: Firm-Fixed Price						
Subconsultants:						
CNS Engineering, Inc.					\$ 263,257.00	
Coast Surveying, Inc.					\$ 230,485.00	
Earth Mechanics, Inc					\$ 159,455.00	
Epic Land Solutions, Inc.					\$ 136,508.00	
FPL and Associates, Inc.					\$ 144,173.00	
LSA Associates, Inc.					\$ 1,671,786.00	
Lynn Capouya, Inc.					\$ 76,554.00	
RBF Consulting					\$ 358,437.00	
Value Management Strategies, Inc.					\$ 42,474.00	
Wiltec					\$ 26,000.00	
Total \$7,463,942						
WSP USA, Inc.	C-5-3273	On-call planning services for commuter and intercity rail support	March 2, 2016	January 31, 2020		
Contract Type: Time and Expense						\$200,000
Subconsultants:						
Arellano Associates						
Cogstone Resource Management, Inc.						
Epic Land Solutions, Inc.						
Kal Krishnan Consulting Services, Inc.						
Michael Kodama Planning						
MLM & Associates Engineering, Inc.						
SMA Rail Consulting + IT						
Contract Type: Firm-Fixed Price	C-8-1629	Bristol Street Transit Corridor Study	October 24, 2018	July 31, 2021		\$538,158
Subconsultants:						
Arellano Associates					\$53,084	
Kal Krishnan Consulting Services, Inc.					\$20,000	
STV Incorporated					\$170,854	
Contract Type: Firm-Fixed Price	C-8-2072	Orange County Rail Infrastructure Defense Against Climate Change Plan	September 3, 2019	March 31, 2021		\$549,953
Subconsultants:						
Arellano Associates					\$67,517	
Fehr & Peers					\$29,842	
Watearth, Inc.					\$26,448	
Total \$1,288,111						

State Plans and Policies Related to Climate Change

State Perspective/Overview

- Transportation is a large contributor to statewide emissions
- State planning policies and funding programs shifting to transit, bicycle, and pedestrian travel modes
- Highway expansion using state funds possible but limited in scope
- Draft policies under development present challenges and opportunities



Key Policies and Legislation

EO S-3-05

- CA Greenhouse gas (GHG) emissions 80% below 1990 levels by 2050

SB 375

- Sustainable Communities Strategy required in Regional Transportation Plans

EO B-16-2012

- Transportation sector GHG emissions 80% below 1990 levels by 2050

SB 32

- CA GHG emissions 40% below 1990 levels by 2030

EO N-79-20

- 100% zero-emission passenger vehicle sales by 2035
- 100% zero-emission buses in operation by 2045

2005

2006

2008

2009

2012

2013

2016

2019

2020

AB 32

- CA GHG emissions reduced to 1990 levels by 2020

SB 391

- California Transportation Plan must demonstrate achievement of CA GHG goals

SB 743

- CEQA transportation impact analysis shall support infill, public health, and GHG reductions

EO N-19-19

- Achieve CA GHG goals by leveraging state transportation spending

Outcome

Automobile delay is no longer an impact under CEQA

Goals, Strategies, and Issues

Goals: Reduce vehicle miles traveled (VMT), encourage infill development, and support alternative travel modes

Strategies: Use VMT as the transportation impact analysis metric rather than congestion delays

Issue #1: Devalues benefits of traditional congestion reduction approach for improving air quality

Issue #2: Significant impacts are more likely from lane addition/capacity projects

Issue #3: Environmental clearance more complex for capacity projects (*e.g., statement of overriding considerations, etc.*)

Governor's EO N-19-19

Purpose

Achieve climate goals by leveraging state transportation spending

Strategies

Align planning and programming with objectives of California Climate Change Scoping Plan

Reduce VMT by directing investments in a way that support infill development, especially housing near jobs

Reduce congestion through innovative strategies that encourage people to shift from cars to other modes of travel

Fund infrastructure that encourages transit use, walking, and bicycling

Mitigate for any increases in transportation costs incurred on lower income residents of California

Climate Action Plan for Transportation Infrastructure

- Known as “CAPTI”
- Draft state policy that includes direction on discretionary funding programs
- Applies to:
 - Active Transportation Program (ATP)
 - Interregional Transportation Improvement Program (ITIP)*
 - Local Partnership Program (LPP)*
 - Solutions for Congested Corridors (SCCP)*
 - State Highway Operations & Protection Program (SHOPP)*
 - Trade Corridor Enhancement Program (TCEP)*
 - Transit & Intercity Rail Capital Program (TIRCP)

** Freeway capacity projects eligible under current or prior funding guidelines*

Seven CAPTI Strategy Areas

1. Cultivate and accelerate sustainable transportation innovation by leading with state investments for multimodal and zero-emission vehicle projects and supporting planning for future projects that align with CAPTI.
(SCCP, TCEP, ITIP)
2. Support a robust economic recovery by revitalizing transit (state rail plan and California Integrated Travel Project), supporting zero-emission vehicle deployment, expanding active transportation investments.
(ATP, ITIP, SCCP, TCEP, TIRCP)
3. Elevate community voices in how OCTA plans and funds transportation projects through establishing an equity committee, providing technical assistance, better community engagement.
(All seven fund sources)

ATP - Active Transportation Program
ITIP - Interregional Transportation Improvement Program
SCCP - Solutions for Congested Corridors
TCEP - Trade Corridor Enhancement Program
TIRCP - Transit & Intercity Rail Capital Program

Seven CAPTI Strategy Areas

4. Advance state transportation leadership on climate and equity through improved planning and project partnerships by aligning Caltrans plans and strategies as well as the SHS Management Plan with CAPTI framework.
(ITIP, SCCP, SHOPP, TIRCP)
5. Support climate resilience through transportation system improvements and protections for natural and working lands further through incentives to support climate risk assessments and resiliency planning.
(ITIP, LPP, SCCP, SHOPP, TCEP)
6. Support local and regional innovation to advance sustainable mobility through limit or mitigate VMT growth, local/regional roadway pricing, and sustainable communities strategies.
(All seven fund sources)
7. Strengthen transportation land-use connections by incentivizing infill, address displacement and conversion of highways to boulevards.
(All seven fund sources)

Challenges and Opportunities

Challenges

- Shift in expectations and commitments
- Incentives for transportation investments linked to development projects
- Lack of flexibility for capacity projects that reduce emissions but increase VMT
- Lack of long-term transit operations funding (*start-up operations only*)

Opportunities

- Potential funding for transit and bikeway capital projects
- Funding for zero-emission buses and charging infrastructure more likely
- Some capacity projects may be possible if VMT increase is mitigated
- Efficiency improvements through technology more likely to receive funding (*e.g., signal coordination*)

Next Steps

- Comments on CAPTI due May 4, 2021
- More detailed report planned for future Board of Directors meeting
- Potential future changes to OCTA planning efforts and funding policies