



BOARD AGENDA

Orange County Transportation Authority Board Meeting
Orange County Transportation Authority Headquarters
Board Room - Conference Room 07-08
550 South Main Street
Orange, California
Monday, August 23, 2021 at 9:00 a.m.

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the 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

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

Public Availability of Agenda Materials

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

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

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

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



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

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

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

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

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 **90 minutes prior to the start time of the Board and Committee meeting date.**

Call to Order

Roll Call

Invocation

Director Delgleize

Pledge of Allegiance

Director Chaffee

Special Calendar

Orange County Transportation Authority Special Calendar Matters

1. California Transportation Commission Update Kia Mortazavi

California Transportation Commissioner Michele Martinez will provide an update on recent and upcoming state transportation funding issues and opportunities.



BOARD AGENDA**Consent Calendar (Items 2 through 7)**

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

Orange County Transportation Authority Consent Calendar Matters**2. Approval of Minutes**

Approval of the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of August 9, 2021.

3. 91 Express Lanes Update for the Period Ending - June 30, 2021

Kirk Avila

Overview

The Orange County Transportation Authority has owned and managed the operations of the 91 Express Lanes since January 2003. Since that time, traffic volumes and toll revenues have fluctuated with the changes in the economy, added capacity to the State Route 91 corridor, and the recent coronavirus pandemic. Over the last quarter, there were approximately 4.8 million trips taken on the 91 Express Lanes in Orange County. This report focuses on the operational and financial activities for the period ending June 30, 2021.

Recommendation

Receive and file as an information item.

4. Fiscal Year 2020-21 Fourth Quarter Grant Reimbursement Status Report
Sam Kaur/Andrew Oftelie**Overview**

The Quarterly Grant Reimbursement Status Report summarizes grant activities for the Orange County Transportation Authority Board of Directors. This report focuses on activity for the fourth quarter of fiscal year 2020-21, covering April through June 2021.



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4. (Continued)

Recommendation

Receive and file as an information item.

5. Agreements for Health Insurance Services

Bea Maselli/Maggie McJilton

Overview

The Orange County Transportation Authority currently has agreements with various companies to provide medical, dental, vision, life, accidental death and dismemberment, disability, and supplemental life plans for administrative employees and employees represented by the Transportation Communications International Union and represented by Teamsters Local 952 Union. These agreements expire on December 31, 2021. Staff is presenting recommendations for medical, dental, vision, life, accidental death and dismemberment, disability, and supplemental life insurance, as well as leave administration for the calendar year 2022.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3649 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Kaiser Permanente Health Plan, Inc., on a cost per employee basis, for prepaid medical services through December 31, 2022. The annual 2022 Kaiser Permanente Health Plan, Inc. premium cost will vary in accordance with actual enrollment.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3650 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Anthem Blue Cross, on a cost per employee basis, for prepaid medical services through December 31, 2022. The annual 2022 Anthem Blue Cross health maintenance organization premium costs will vary in accordance with actual enrollment.



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5. (Continued)

- C. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3651 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Anthem Blue Cross, on a cost per employee basis, for preferred provider organization medical services through December 31, 2022. The annual 2022 Anthem Blue Cross preferred provider organization premium costs will vary in accordance with actual enrollment.
- D. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3652 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Anthem Blue Cross, on a cost per employee basis, for a consumer driven health plan through December 31, 2022. The annual 2022 Anthem Blue Cross consumer driven health plan premium costs and health savings account expenses will vary in accordance with actual enrollment.
- E. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3670 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Delta Dental, on a cost per employee basis, for preferred provider organization dental services through December 31, 2022. The annual 2022 Delta Dental preferred provider organization premium costs will vary in accordance with actual enrollment.
- F. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 11 to Agreement No. C-1-2995 between the Orange County Transportation Authority and Delta Dental, on a cost per employee basis, for health maintenance organization dental services through December 31, 2022. The annual 2022 Delta Dental health maintenance organization premium costs will vary in accordance with actual enrollment.



BOARD AGENDA**5. (Continued)**

- G. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3672 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Delta Dental, on a cost per employee basis, for health maintenance organization dental services through December 31, 2022. The annual 2022 Delta Dental health maintenance organization premium costs will vary in accordance with actual enrollment.
- H. Authorize Chief Executive Officer to negotiate and execute Agreement No. C-1-3671 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Vision Service Plan, on a cost per employee basis, for vision services through December 31, 2022. The annual 2022 vision services premium costs will vary in accordance with actual enrollment.
- I. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Purchase Order No. C-7-1897 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA for life and accidental death and dismemberment insurance through December 31, 2022. The annual 2022 life and accidental death and dismemberment premium costs will vary in accordance with actual volume in the plan.
- J. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Purchase Order No. C-7-1898 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA to provide supplemental life insurance to employees at their own expense through December 31, 2022.
- K. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Purchase Order No. C-7-1899 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA for short-term and long-term disability insurance through December 31, 2022. The annual 2022 short-term and long-term disability premium costs will vary in accordance with actual volume in the plan.



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5. (Continued)

- L. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Purchase Order No. C-7-1900 between Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA with Compsych to provide employee leave administration through December 31, 2022.

6. Public Transportation Agency Safety Plan - Annual Review and Update Matthew DesRosier/Maggie McJilton

Overview

The Federal Transit Administration published the Public Transportation Agency Safety Plan regulation, 49 Code of Federal Regulations Part 673, on July 19, 2018, which took effect on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Section 5307 Urbanized Area Formula program (must develop and have adopted by the Board of Directors a Public Transportation Agency Safety Plan for its transit system. The Board of Directors adopted the Orange County Transportation Authority's Public Transportation Agency Safety Plan on May 11, 2020, as required. Consistent with the regulation, staff has conducted an annual review and recommended updates for Board of Directors consideration.

Recommendations

- A. Adopt the proposed 2021 Public Transportation Agency Safety Plan safety performance targets and administrative edits.
- B. Adjust the annual review and Board of Directors update to be scheduled on a calendar year basis to align with the calendar year reporting requirements of the Federal Transit Administration National Transit Database.



BOARD AGENDA

7. SB 1 (Chapter 5, Statutes of 2017) State of Good Repair Program Recommendations for Fiscal Year 2021-22 Funds

Heidi Busslinger/Kia Mortazavi

Overview

The SB 1 (Chapter 5, Statutes of 2017) State of Good Repair Program provides funding for transit capital, which is generated from the Transportation Improvement Fee. Programming recommendations are presented for fiscal year 2021-22 funds. These funds will help upgrade the Orange County Transportation Authority bus system, consistent with state program goals.

Recommendations

- A. Approve Resolution No. 2021-063 authorizing the use of fiscal year 2021-22 SB 1 State of Good Repair Program funding, which is estimated to provide approximately \$6.4 million, for the Transit Security and Operations Center Project.
- B. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program, and execute any necessary agreements to facilitate the above recommendation.

Regular Calendar

Orange County Transportation Authority Regular Calendar Matters

8. 2022 State Transportation Improvement Program Overview

Ben Ku/Kia Mortazavi

Overview

The State Transportation Improvement Program is a five-year plan of projects adopted by the California Transportation Commission for future allocations of state transportation funds. Every two years, the Orange County Transportation Authority updates the program of projects to be funded through this program. An overview of the 2022 State Transportation Improvement Program process is presented for information purposes.



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

Receive and file as an information item.

Orange County Local Transportation Authority Regular Calendar Matters**9. 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.

10. Contract Change Orders for Construction of the OC Streetcar Project

Ross Lew/James G. Beil

Overview

On September 24, 2018, the Orange County Transportation Authority Board of Directors authorized Agreement No. C-7-1904 with Walsh Construction Company II, LLC, for construction of the OC Streetcar project. Contract change orders are required for additional removal and disposal of contaminated materials within the Orange County Transit District-owned Pacific Electric Right-of-Way and other project areas, as well as removal of buried man-made objects.



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10. (Continued)

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 3.2 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$1,100,000, for additional removal and disposal of contaminated materials within the Orange County Transit District-owned Pacific Electric Right-of-Way and other project areas.
- B. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 18.1 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$300,000, to increase the allowance for removal of buried man-made objects.

Discussion Items

11. Public Comments

12. Chief Executive Officer's Report

13. Directors' Reports

14. Closed Session

A Closed Session is scheduled as follows:

Pursuant to Government Code Section 54956.9(d)(1) - Conference with General Counsel Existing Litigation - Letticia Diaz-Badillo v. Orange County Transportation Authority. OCSC Case No. 30-2019-01119072.

15. Adjournment

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, September 13, 2021** at the Orange County Transportation Authority Headquarters, Board Room - Conference Room 07-08, 550 South Main Street, Orange, California.

MINUTES

Board of Directors' Meeting

Call to Order

The Monday, August 9, 2021, regular meeting of the Orange County Transportation Authority (OCTA) and affiliated agencies was called to order by Chairman Do at 9:01 a.m. at the OCTA Headquarters, 550 South Main Street, Board Room – Conference Room 07-08, Orange, California.

Roll Call

The Clerk of the Board, Senior (COBS), conducted an attendance Roll Call and announced a quorum of the Board of Directors (Board) as follows:

Via Teleconference: Andrew Do. Chairman
Mark A. Murphy, Vice Chairman
Lisa A. Bartlett
Doug Chaffee
Barbara Delgleize
Katrina Foley
Brian Goodell
Patrick Harper
Michael Hennessey
Gene Hernandez
Steve Jones
Joseph Muller
Tam Nguyen
Vicente Sarmiento
Harry S. Sidhu
Donald P. Wagner
Ryan Chamberlain

Directors Absent: Tim Shaw

Staff Present: Darrell E. Johnson, Chief Executive Officer
Jennifer L. Bergener, Deputy Chief Executive Officer
Gina Ramirez, Clerk of the Board Specialist, Senior
Allison Cheshire, Clerk of the Board Specialist, Senior
Greg Weisberg, General Counsel

Via Teleconference: James Donich, General Counsel

Invocation

Director Bartlett gave the Invocation.

Pledge of Allegiance

Chairman Do led the Pledge of Allegiance.

Special Calendar

1. Adopt Resolutions of Necessity for the State Route 55 Improvement Project Between Interstate 405 and Interstate 5

Chairman Do opened the hearing and introduced James Donich, OCTA's General Counsel, who provided opening comments.

Mr. Donich stated as part of the statutory process. OCTA is required to provide notice of this hearing 30 days in advance of the hearing to interested parties and the property owners. Through that process, OCTA includes information on the time and date of the hearing. Last night, at 9:44 p.m. OCTA, received an objection letter from counsel for Bedrosian Tustin LLC (Bedrosian). This morning at 7:24 a.m. OCTA received an objection letter from the counsel for Ricoh Development of CA, Inc. Mr. Donich discussed both objection letters. He commented that they contained inaccuracies and wanted to clear up and assist the Board in their deliberation.

Mr. Donich discussed the four requirements for Board consideration to adopt the Resolutions of Necessity (RONs) and stated that 12 affirmative votes are required to pass the RONs.

Ross Lew, Program Manager, provided a PowerPoint presentation for this item.

Chairman Do inquired about public comments, and the COBS noted that one speaker was present for the record.

Erin Naderi, General Counsel from Palmieri, Hennessey, and Leifer, who represents Bedrosian, provided public comment on RON # 2021-052. The Owner objects to the RON for the following reasons:

- OCTA has not shown that the project is necessary for the public good with the least amount of private injury;
- OCTA has not shown the numerous highway easements are necessary for the project;
- OCTA has contractually committed to deliver the right-of-way to the contractor without knowing the project's requirements; and
- OCTA's offer and appraisal presented to the Owner does not address the five-year construction period that takes parking and removes and reconstructs the part of the building.

1. (Continued)

The COBS noted that the COB Department received public comments on August 9, 2021, from David Martinez and John C. Murphy of Murphy and Evertz, LLP. All public comments were emailed to the Board Members on August 9, 2021, at 8:20 a.m. The comments would be retained as part of the record for today's Board meeting.

A motion was made by Director Hernandez, seconded by Director Sarmiento, and following a roll call vote, declared passed 14-2, to adopt Resolution of Necessity Nos. 2021-052 and 2021-053, and authorize and direct General Counsel to prepare, commence, and prosecute a proceeding in eminent domain for the purpose of acquiring necessary right-of-way and real property interests for the State Route 55 Improvement Project between Interstate 405 and Interstate 5.

Directors Foley and Wagner voted in opposition.

Consent Calendar (Items 2 through 15)

2. Approval of Minutes

Director Wagner pulled this item to request the minutes from the July 26, 2021 Board meeting be amended to reflect the three opposing votes in the tally on Item #1.

Darrell E. Johnson, Chief Executive Officer (CEO), responded that staff would make the necessary correction.

A motion was made by Director Hernandez, seconded by Director Wagner, and following a roll call vote, declared passed 16-0, to approve the amended Orange County Transportation Authority and affiliated agencies' regular meeting minutes of July 26, 2021.

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

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

4. Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan

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

- A. Approve the Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan.
- B. Direct the Executive Director of the Internal Audit Department to provide quarterly updates on the Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan.

5. Orange County Transportation Authority, Proposition 1B Bond Program, Project Number P2500-0008

A motion was made by Director Hernandez, seconded by Director Wagner, and following a roll call vote, declared passed 16-0, to direct staff to work, as requested with the California Department of Transportation on the appropriate disposition of the observations and recommendations identified through the audit conducted by the California Department of Finance related to Proposition 1B projects.

6. Administrative Controls Related to Conflict of Interest Code and California Form 700 Statement of Economic Interests, Internal Audit Report No. 21-510

A motion was made by Director Hernandez, seconded by Director Wagner, and following a roll call vote, declared passed 16-0, to direct staff to implement three recommendations provided in Administrative Controls Related to Conflict of Interest Code and California Form 700 Statement of Economic Interests, Internal Audit Report No. 21-510.

7. Coronavirus Update

Director Foley pulled this item to receive an update on OCTA's protocols for this month.

Mr. Johnson, CEO, provided an overview of the Coronavirus (COVID-19) response as follows:

- To date, the number of OCTA employees that have tested positive in July is 42 and 16 contractors.

7. (Continued)

- There is an incentive program in place for vaccinations, and 66 percent of OCTA employees are vaccinated. He noted that is about 75 percent of administrative staff, 60 percent of coach operators, and about 70 percent of the maintenance staff. At the headquarters offices at 600 South Main, 79 percent of the office staff has reported a vaccination status.
- On all OCTA's public transit buses, there are enhanced cleaning protocols.
- Masks are required for all riders and operators.
- Hand sanitizer stations and mask dispensers were installed on all buses.
- OCTA continues to promote "The No Mask No Ride" requirement from the Federal Transportation Security Administration through September 13, 2021.
- The staff is taking a cautious approach moving forward.
- The capacity constraints were lifted on June 15, 2021, and OCTA continues to follow existing ridership and capacity issues. He noted that OCTA currently runs about 70 percent of the pre-COVID service and carries about 50 percent of the pre-COVID riders.
- Staff continues to monitor all aspects of the Delta variant.
- Fifty percent of staff are back with hybrid and remote work environments.
- Executive staff are reviewing staff's total return to work on September 7, 2021, and are taking direction from public health officials.

Director Foley inquired about surveying employees to determine the obstacles to obtain vaccines.

Mr. Johnson, CEO, stated that some informal discussions were held regarding the Coach Operators' schedules. He noted it is a more challenging population to reach since they do not have employer-provided emails. OCTA continues to promote the incentive program to get vaccinated.

Director Foley inquired about having a mobile vaccine unit come to the bus yard.

Mr. Johnson, CEO, responded that staff had conversations with county health officials. He stated this is not conducive to Coach Operators' schedules as many of the Coach Operators' do not live close to OCTA facilities.

Director Hernandez stated that the COVID information is on the website. Board members can direct their constituents or the community to go and look there for a thorough briefing in detail of what Mr. Johnson discussed. He also expressed concern that OCTA carefully promotes the vaccine and does not come across as pressuring staff to get the vaccine when it is their decision.

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

8. Orange County Transportation Authority Investment and Debt Programs Report - June 2021

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

9. Fourth Quarter Fiscal Year 2020-21 Procurement Status Report

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

10. Fiscal Year 2020-21 Third Quarter Budget Status Report

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

11. Public Transportation Agency Safety Plan - Annual Review and Update

Director Goodell pulled this item and noted an error on Attachment A, page 11, fourth paragraph, with the word “lots” being redlined and replaced with “Origami.”

Maria Lopez, a public member, noted that on Attachment A, page 12, the system map was missing Route 862 in the legend on the map.

Johnny Dunning, Jr., Department Manager of Scheduling and Bus Operations Support responded that route 862 essentially mimics the future OC Streetcar service. The route operates at a low frequency of every 10 minutes. Staff will review how OCTA can line that route up with the Metrolink and Amtrak schedules. Mr. Dunning also stated that staff would correct the map and identify that route 862 was inappropriately highlighted.

Chairman Do inquired if there was an urgency to approve this item at this Board meeting.

Mr. Johnson, CEO, responded that there was no urgency, and this item could return to a future Board meeting.

Chairman Do requested that staff make the necessary corrections and deferred the item to the next Board of Directors meeting on August 23, 2021.

12. Capital Programs Division - Fourth Quarter Fiscal Year 2020-21 and Planned Fiscal Year 2021-22 Capital Action Plan Performance Metrics

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

13. Measure M2 Comprehensive Transportation Funding Programs - 2022 Annual Calls for Projects

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

- A. Approve proposed revisions to the Comprehensive Transportation Funding Programs Guidelines.
- B. Authorize staff to issue the 2022 annual call for projects for the Regional Capacity Program.
- C. Authorize staff to issue the 2022 annual call for projects for the Regional Traffic Signal Synchronization Program.

14. Comprehensive Transportation Funding Programs - Project X, Tier 1 Fiscal Year 2021-22 Call for Projects Programming Recommendations

A motion was made by Director Hernandez, seconded by Director Wagner, and following a roll call vote, declared passed 16-0 to, approve ten projects in the amount of \$2,697,424 for the 2021 Environmental Cleanup Program Tier 1 call for projects.

15. Cooperative Agreements for Regional Traffic Signal Synchronization Program Projects

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

- A. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-1-3597 between the Orange County Transportation Authority and the cities of Irvine and Lake Forest for the Alton Parkway Regional Traffic Signal Synchronization Program Project, with local agency in-kind services and cash matching funds totaling \$759,558.

15. (Continued)

- B. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-1-3598 between the Orange County Transportation Authority and the cities of Huntington Beach, Santa Ana, Tustin, Westminster, and the County of Orange for the First Street/Bolsa Avenue Regional Traffic Signal Synchronization Program Project, with local agency in-kind services and cash matching
- C. Authorize the Chief Executive Officer to negotiate and execute Cooperative Agreement No. C-1-3599 between the Orange County Transportation Authority and the cities of Lake Forest, Mission Viejo, and Rancho Santa Margarita for the Portola Parkway/Santa Margarita Parkway Regional Traffic Signal Synchronization Program Project, with local agency in-kind services and cash matching funds totaling \$575,550.

Regular Calendar

16. Contractor Selection for the Back-Office System and Customer Service Center Operations for the 405 Express Lanes in Orange County

Kirk Avila, General Manager of Express Lanes, provided a PowerPoint presentation on this item.

Chairman Do provided the following comments:

- Customized software with multiple components and dealing with various partners who run different operation functions increases the complexity exponentially.
- A significant item the Board should note is that no complaints or change orders were received from Cofiroute.
- When you break down the scores between the two finalists, the difference isn't significant. The scores were based on subjective preferences, which staff felt may be beneficial to incorporate but were not.
- OCTA should consider issues there have been in the past with vendors over the years. In addition, consider the track record with a vendor OCTA has been working with for over 20 years. The variance in the breakdown of scores is not that great, and the preference may be objective. Both finalists can do the work, and Cofiroute, USA, LLC (Cofiroute) can scale up if needed.

Director Chaffee inquired about the contract and if it would be provided at a later date.

16. (Continued)

Mr. Johnson, CEO, responded as part of the Request for Proposal (RFP); the Board previously approved the draft RFP, and no changes had been made.

Director Chaffee inquired if OCTA's evaluation committee had investigated the recommended vendor on a late provision with Washington state and the penalty paid. In addition, he asked about the unhappiness of some companies with the services provided in both Florida and Texas.

Mr. Avila responded that reference checks are part of the evaluation process and stated ten reference checks were conducted for WSP USA Services Inc. (WSP).

Pia Veasapen, Director of Contracts, Administration, and Materials Management (CAMM), stated that reference checks were conducted as part of the procurement process. OCTA's CAMM department did contact all of WSP's references provided. In addition, OCTA's CAMM department contacted other transit agencies, and the comments supplied state that WSP had a mutually supportive working relationship and solid technical abilities. She noted that Washington state issues were resolved, and they have a good working relationship.

Ms. Veasapen discussed Electronic Transaction Consultants, LLC (ETC). OCTA's CAMM department spoke with Harris County Toll Road Authority (Harris County) individuals who reported that ETC provided the back-office implementation, and the project team was large. Harris County stated that staff involvement ranged from their CEO to development staff, and the performance for ETC was good when responding to changes and issues were addressed promptly.

Ms. Veasapen stated that OCTA received references from the Riverside County Transportation Commission (RCTC) for Cofiroute. They said Cofiroute did an excellent job on the 91 Express Lanes. In addition, positive comments came back from the Central Texas Regional Mobility Authority, and all the references came back very positive.

Director Chaffee inquired about staff checking with the Washington State Department of Transportation regarding the penalty paid by the vendor for the delay in implementation.

Ms. Veasapen responded that the comments OCTA received from Washington State were that it was a rough beginning and, Washington State said that the issues were not all on ETC. The Washington State agency had its problems. However, ETC pulled it together towards the end, and now they have an excellent working relationship.

16. (Continued)

Director Chaffee thanked staff for clarifying that WSP had to pay the penalty for the startup delays. He stated he would like the comfort of staying with the current vendor we have been working with instead of having two different vendors on similar projects.

Director Bartlett stated both vendors are excellent and inquired about the different approaches each firm took and asked Mr. Avila to elaborate on the various methods used. She noted one firm used the process of putting financial and other resources into the back office. The other flipped it and decided to put all the financial and personnel resources into customer service.

Mr. Avila responded it's not that each firm put all the resources in a particular area. It was the way they responded to the pricing component. He noted the WSP team does have more people allocated to the customer service center. He introduced Dan Baker from HNTB to provide some comments since he reviewed the pricing and score sheets.

Mr. Baker provided comments on the following:

- Two different categories, one for the office administration and one for the Customer Service Center operations.
- Overview of the differences between Cofiroute and WSP customer contact processes and cost differences.
- Evaluations of labor costs between vendors.

Director Bartlett inquired about the 91 Express Lanes ingress/egress points spanning two counties versus the Interstate 405 (I-405) project. And is it more complex having to scale up to the I-405 Project versus 91 Express Lanes because of the requirements.

Mr. Avila responded that the I-405 would be more challenging from a technical perspective. There are slightly different business rules regarding High Occupancy Vehicle requirements. The project would utilize both back-office and customer-facing components. The 91 Express Lanes currently includes both back-office and customer service. There are complexities between the two properties, and staff is confident that both firms can handle the project's scope of work.

16. (Continued)

Director Wagner stated he met with WSP and was impressed with the skill, dedication, and eagerness to serve OCTA. He noted he had not seen any dissatisfaction with Cofiroute's performance, and the staff report doesn't indicate that the I-405 is a more complicated property. The only risk with Cofiroute was on page 9 of the staff report on promoting internal employees. This is not an inherent risk to the 91 Express Lanes or the I-405. In addition, he did not see the justification why OCTA would spend more money to bring on a new vendor.

Director Hennessey discussed the following:

- This item was vetted at the Finance & Administration (F&A) Committee. He noted the Committee spent a lot of time asking many questions, and the Committee ultimately passed this item unanimously in support of the staff recommendation.
- Staff used the procurement process standard the Board approved, and this is the result.
- OCTA will do more tolling procurements in the future, and it was good to have two credible choices, and he has not seen anything that supports not going with staff's recommendation.

Chairman Do concurred with Director Hennessey. He stated if the Committee deliberated and there was a concurrent agreement, the Board is entitled to exercise their judgment and not second guess staff.

Director Hernandez stated that at the F&A Committee, there was a good discussion with valid points. However, this Board's opinion is to weigh all options and make a choice. The diversity of cost should have an option as part of the decision-making. He inquired if Cofiroute had to ramp up, will the cost be the same.

Director Muller expressed some of the same concerns being shared. He also discussed the following:

- Did the evaluators who reviewed the proposals without cost consider that WSP would come with new technology and that came with a price and evaluated them without the cost. When the cost is factored in and afforded, both firms deliver but can the cost be justified.
- OCTA has not had change orders from Cofiroute.
- OCTA knows Cofiroute and knows how they operate.
- WSP has had change orders on implementing projects at other properties.
- Was the cost part of the initial evaluation, and would that have changed the final recommendation.

16. (Continued)

Mr. Avila stated that the cost was not initially discussed, but the team members' experience was. OCTA has a relationship with Cofiroute and has enjoyed that partnership over the years.

Director Muller stated Cofiroute's intention to promote from within is one of OCTA's core values, and staff should see that as a positive and not a negative. The back-office is more important than the customer service side because if the back office goes down and cannot collect tolls, that is a problem. He inquired if WSP has enough money in the back-office support to handle a breakdown.

Mr. Baker saw nothing in their back-office support from a labor standpoint that raised any red flags that they wouldn't be able to support it. He also noted that WSP's system is an entirely cloud-based back-office system.

Director Muller inquired why there was a significant discrepancy between the vendors.

Mr. Baker responded that the pricing is based on a per-trip basis, violation, and account basis. We asked for additional pricing build-up detail, looked at year one only, and saw no red flags.

Vice Chairman Murphy discussed his concerns about a new system. He stated there is no substitute for proven experience when the results affect the agency's bottom line and both solutions are comparable.

The COBS read a public comment from Tawnya Freund of Cofiroute, USA. The public comment was emailed to the Board Members on August 9, 2021 at 8:20 a.m. The comment would be retained as part of the record for today's Board meeting.

A motion was made by Director Hennessey, seconded by Director Goodell, to approve staff's recommendation, and following a roll call vote, the motion failed 8-8.

Chairman Do, Vice Chairman Murphy, Directors Chaffee, Foley, Miller, Sarmiento, Sidhu, and Wagner voted in opposition.

A substitute motion was made by Vice Chairman Murphy, seconded by Director Wagner to select Cofiroute, USA, LLC and not staff's recommendation, following a roll call vote, declared passed 10-6.

Directors Bartlett, Delgleize, Goodell, Harper, Hennessey, and Hernandez voted in opposition.

Discussion Items

17. Public Comments

The COBS noted that the COB Department received public comment on August 8, 2021 from Marvin Nagel. The public comment was emailed to the Board Members on August 9, 2021 at 8:20 a.m. The comment would be retained as part of the record for today's Board meeting.

Maria Lopez, a member of the public, discussed her concerns with route 862 and asked OCTA to connect this route with Metrolink and Amtrak schedules. Ms. Lopez stated how difficult it was getting a shuttle to connect with the Metrolink train service. If the bus is late meeting the train, other transportation methods must be used, delaying arrival to the destination.

In addition, she noted the bus runs empty, and the only riders are Metrolink passengers. Several riders work in the civic center area along with students at the school of the arts. However, since route 83 no longer runs in the area, some employees and deputies from the courts utilize the 862. Last week one of Chairman Do's staff observed the empty bus, and the only time the bus has riders is when connecting to and from the train.

Chairman Do thanked Ms. Lopez for bringing the issue to the Board.

Mr. Johnson, CEO, requested that Mr. Dunning speak with Ms. Lopez after the Board meeting

Director Foley thanked staff for looking into the issue brought up by Ms. Lopez.

Director Sarmiento concurred with Director Foley and is happy to assist in any way.

18. Chief Executive Officer's Report

Mr. Johnson, CEO, stated that Mr. Dunning would speak with Ms. Lopez after the meeting to determine the issue with route 862 and report back to the Board.

Bipartisan Infrastructure Bill -

- OCTA continues to closely monitor the bipartisan infrastructure bill, which would include \$550 billion in new federal money for the nation's physical infrastructure over five years.
- The bill is slated for passage in the Senate this week and would then move to the House of Representatives.
- Staff will continue to monitor the bill and keep the Board apprised of any updates.

18. (Continued)

Anaheim Canyon Metrolink Station -

- On August 11, 2021, at 4:00 p.m., OCTA will host a community meeting via Zoom for the Anaheim Canyon Metrolink Station Project. This project will construct a second main track and a new station platform to meet rail transit demand and improve the station.
- Staff will be discussing project improvements and upcoming activities.
- A recording of the meeting will be uploaded to OCTA's YouTube channel.

Interstate 5 (I-5) South County Improvements Project -

- On August 12, 2021, at 5:30 p.m., OCTA will host a community meeting via Zoom for the I-5 South County Improvements Project. This project will increase capacity, improve operations and enhance safety in southern Orange County from State Route 73 to El Toro Road.
- Staff will highlight the community impacts for Stage 1 demolition of the Los Alisos Boulevard overcrossing and provide an overview of Segment 3 from Alicia Parkway to El Toro Road. This meeting will be live-streamed through the Project's Facebook page.

19. Directors' Reports

There were no Directors' Reports.

20. Closed Session

There were no Closed Sessions scheduled.

21. Adjournment

The meeting was adjourned at 11:05 a.m.

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, August 23, 2021** at the Orange County Transportation Authority Headquarters, Board Room - Conference Room 07-08, 550 South Main Street, Orange, California.

ATTEST:

Gina Ramirez
Clerk of the Board Specialist, Senior

Andrew Do
Chairman



COMMITTEE TRANSMITTAL

August 23, 2021

To: Members of the Board of Directors
From: Andrea West, Interim Clerk of the Board *Andrea West*
Subject: 91 Express Lanes Update for the Period Ending – June 30, 2021

Finance and Administration Committee Meeting of August 11, 2021

Present: Directors Foley, Goodell, Harper, Hennessey, Hernandez, Jones,
and Muller
Absent: None

Committee Vote

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

Director Goodell was not present to vote on this item.

Committee Recommendation

Receive and file as an information item.



August 11, 2021

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: 91 Express Lanes Update for the Period Ending - June 30, 2021

Overview

The Orange County Transportation Authority has owned and managed the operations of the 91 Express Lanes since January 2003. Since that time, traffic volumes and toll revenues have fluctuated with the changes in the economy, added capacity to the State Route 91 corridor, and the recent coronavirus pandemic. Over the last quarter, there were approximately 4.8 million trips taken on the 91 Express Lanes in Orange County. This report focuses on the operational and financial activities for the period ending June 30, 2021.

Recommendation

Receive and file as an information item.

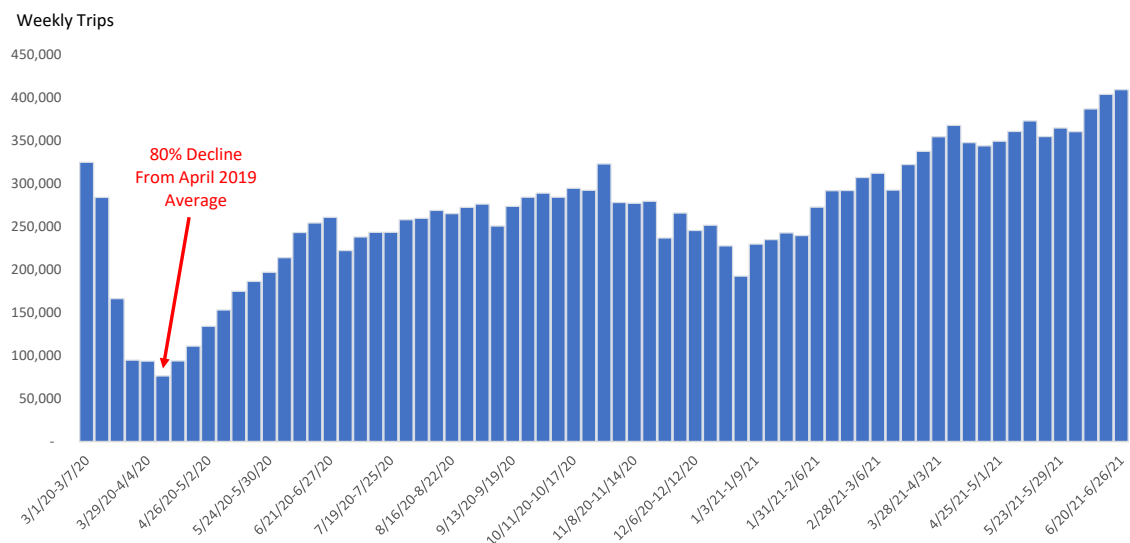
Background

Since January 2003, the Orange County Transportation Authority (OCTA) has owned the 91 Express Lanes (91 EL), which is a two-lane managed lane facility in each direction in the median of the State Route 91 (SR-91) freeway from State Route 55 (SR-55) to the Orange/Riverside County Line. During OCTA ownership, toll rates have been adjusted up and down, additional capacity has been added to the general purpose lanes in the SR-91 corridor through various improvement projects, the outstanding debt has been restructured, and an extension of the facility from the Orange/Riverside County Line to Interstate 15 was completed by the Riverside County Transportation Commission (RCTC).

In addition to these events, the 91 EL experienced impacts of the coronavirus (COVID-19) pandemic and State of California's stay-at-home order. Over the past year, state and local governments across the United States issued orders for residents to self-quarantine and refrain from non-essential travel to slow the spread of COVID-19. These efforts caused the economy to slow and resulted in decreases in traffic volumes and toll revenues.

Discussion

The graph below provides the weekly trips on the 91 EL since March 2020 through the end of June 2021. At the lowest point in April 2020, traffic volumes on the 91 EL dropped 80 percent from the average levels reached in 2019. Since then, traffic volumes have increased and reached a peak during the last week in June 2021. Since January 2021, traffic volumes have been increasing steadily through the first and second quarters of the calendar year. A graph of toll revenues would show a similar trend for the same period.



Traffic Volumes

Total traffic volume on the OCTA 91 EL for the month of June 2021 was 1,704,291. This represents a daily average of 56,810. This is a 62.9 percent increase in total traffic volume from the same period last year when traffic levels totaled 1,046,473. The lower traffic volumes in June 2020 were a direct result of the stay-at-home orders and therefore provide a lower amount for the base comparison to 2021. A better comparison is to look at the volumes in June 2019. The June 2021 traffic volumes are 15.3 percent higher than the volumes in June 2019.

In looking at the 12-month period ending June 2021, traffic volumes totaled 15.4 million which was a 2.5 percent increase over the same period the prior year. A comparison to 2019 shows that traffic volumes are still lower than the peaks reached during that fiscal year. For the fiscal year ending June 2021, traffic volumes were 12.5 percent lower than the 12-month period ending June 2019. Carpool percentage for the period ending June 2021 was 22.5 percent.

Gross Potential Toll Revenues (GPTR)

GPTR for the month of June 2021 was \$5,078,868, which represents an increase of 46.6 percent from the prior year's total of \$3,465,059. GPTR is equal to the toll rate times the number of vehicles traveling on the 91 EL (the amount does not consider violations or discounts). In comparing to the same period in June 2019, GPTR increased by 22.3 percent. For the previous 12 months, GPTR totaled \$49 million and increased by 5.3 percent over the same period in 2020 but declined by 5.6 percent compared to the 12-month period ending in June 2019.

Toll Adjustments

The Board of Directors (Board)-adopted Toll Policy requires staff to review traffic volumes on the Orange County segment of the 91 EL for potential toll adjustments on a quarterly basis. The most recent toll adjustment occurred on April 1, 2021, whereby six peak hours had toll rate decreases. As of the end of June 2021, toll rates ranged from a minimum of \$1.70 to a maximum of \$8.10. The next scheduled toll adjustment will occur on July 1, 2021.

Number of Accounts and Transponders

The number of active accounts totaled 154,469, and 588,045 transponders were assigned to those accounts as of June 30, 2021. Over the past 12 months, the number of accounts has increased by approximately 5,000 while the number of transponders in circulation has increased by 265,726. The large increase in transponders is due to the distribution of 6C transponders to customers. In 2019, a new transponder protocol was adopted by California. The new transponders are referred to as 6C transponders. The single setting 6C transponders are in the form of a sticker, whereby they are affixed to the vehicle's windshield. The previous transponder protocol was portable if customers choose to move it from vehicle to vehicle. The new 6C transponders are assigned to a specific vehicle and therefore not portable. OCTA and RCTC have been distributing these 6C transponders to 91 EL customers over the past year.

Outstanding Debt

As of June 30, 2021, the outstanding amount of the 91 EL tax-exempt 2013 Senior Lien Toll Road Revenue Refunding Bonds (Bonds) totaled \$85.3 million. The Bonds are rated "AA-" by Standard and Poor's, "A1" by Moody's, and "A+" by Fitch Ratings. The next scheduled debt service payment is on August 15, 2021.

Reserve Funds

The bond indenture for the 2013 Bonds requires three reserve funds: a major maintenance fund, an operating fund, and a debt service reserve fund. All three funds are fully funded with a total balance of \$25.3 million as of June 30, 2021.

In addition to the required debt reserve funds, the OCTA Board elected to establish two additional reserve funds. An internal capital projects fund has a balance of \$23.8 million and is used for large capital projects for the 91 EL such as pavement rehabilitation and back-office systems. The other reserve fund was established in 2017 for two future Measure M2 projects on the SR-91 corridor. The balance in that reserve fund is \$65.5 million. Lastly, OCTA has approximately \$100.7 million set aside in excess toll revenues for various other SR-91 corridor projects.

Recent Events

In the previous quarter, Cofiroute USA, LLC (CUSA) notified OCTA and RCTC of a delay to the implementation of the new back-office system (BOS) for the 91 EL for both Orange and Riverside counties as a result of the COVID-19 pandemic. CUSA is the current operator of the 91 EL for both OCTA and RCTC and is the firm selected for the design, development, and implementation of the new BOS, as well as the customer service center operation, once the current contract expires on June 30, 2021.

In April 2021, OCTA and RCTC (Agencies) provided notice to CUSA that the Agencies will be exercising the first of the six one-month extension period, which will commence July 1, 2021 through July 31, 2021. The Agencies intend to exercise the one-month options until the Agencies transition to the new contract. Agencies' staff are continuing to work with CUSA to meet the revised anticipated go-live date in October 2021.

The transition to 6C transponders and conversion account plans continues. It is anticipated that the distribution of transponders and conversion of accounts will be completed in July 2021.

Summary

An operational report for the 91 Express Lanes for the period ending June 30, 2021, is provided for Board of Directors' review. The report provides a summary of key operational and financial activities.

Attachment

- A. 91 Express Lanes Status Report, June 2021

Prepared by:

A handwritten signature in black ink, appearing to read "Kirk Avila". The signature is fluid and cursive, with the first name "Kirk" and last name "Avila" clearly distinguishable.

Kirk Avila
General Manager,
Express Lanes Programs
(714) 560-5674



**Orange County Transportation Authority
Riverside County Transportation Commission**



Status Report
June 2021

As of June 30, 2021

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OPERATIONS OVERVIEW OCTA

TRAFFIC AND REVENUE STATISTICS FOR OCTA

Total traffic volume on the 91 Express Lanes for June 2021 was 1,704,291. This represents a daily average of 56,810 vehicles. This is a 62.9 percent increase in total traffic volume from the same period last year, which totaled 1,046,473, and was the fourth month of the State of California's stay-at-home order due to the coronavirus (COVID-19) pandemic. Potential toll revenue for June was \$5,078,868, which represents an increase of 46.6 percent from the prior year's total of \$3,465,059. Carpool percentage for June was 22.5 percent as compared to the previous year's rate of 23.3 percent. As compared to June 2019, traffic volume increased by 15.3 percent and revenue increased by 22.5 percent. Traffic volumes have returned to pre-COVID-19 levels.

Month-to-date traffic and revenue data is summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the Orange County Transportation Authority (OCTA) 91 Express Lanes and associated potential revenue for the month of June 2021.

Current Month-to-Date (MTD) as of June 30, 2021

	Jun-21 MTD Actual	Jun-20 MTD Actual	Yr 21-to-Yr 20 % Variance	Jun-19 MTD Actual	Yr 21-to-Yr 19 % Variance
Trips					
Full Toll Lanes	1,320,950	802,501	64.6%	1,050,770	25.7%
3+ Lanes	383,341	243,972	57.1%	427,282	(10.3%)
Total Gross Trips	1,704,291	1,046,473	62.9%	1,478,052	15.3%
Revenue					
Full Toll Lanes	\$5,028,385	\$3,408,166	47.5%	\$4,074,814	23.4%
3+ Lanes	\$50,484	\$56,892	(11.3%)	\$77,348	(34.7%)
Total Gross Revenue	\$5,078,868	\$3,465,059	46.6%	\$4,152,162	22.3%
Average Revenue per Trip					
Average Full Toll Lanes	\$3.81	\$4.25	(10.4%)	\$3.88	(1.8%)
Average 3+ Lanes	\$0.13	\$0.23	(43.5%)	\$0.18	(27.8%)
Average Gross Revenue	\$2.98	\$3.31	(10.0%)	\$2.81	6.0%

The 2021 fiscal year-to-date traffic volume increased by 2.5 percent and potential toll revenue increased by 5.3 percent, when compared with the same period last year. Year-to-date average revenue per trip is \$3.19.

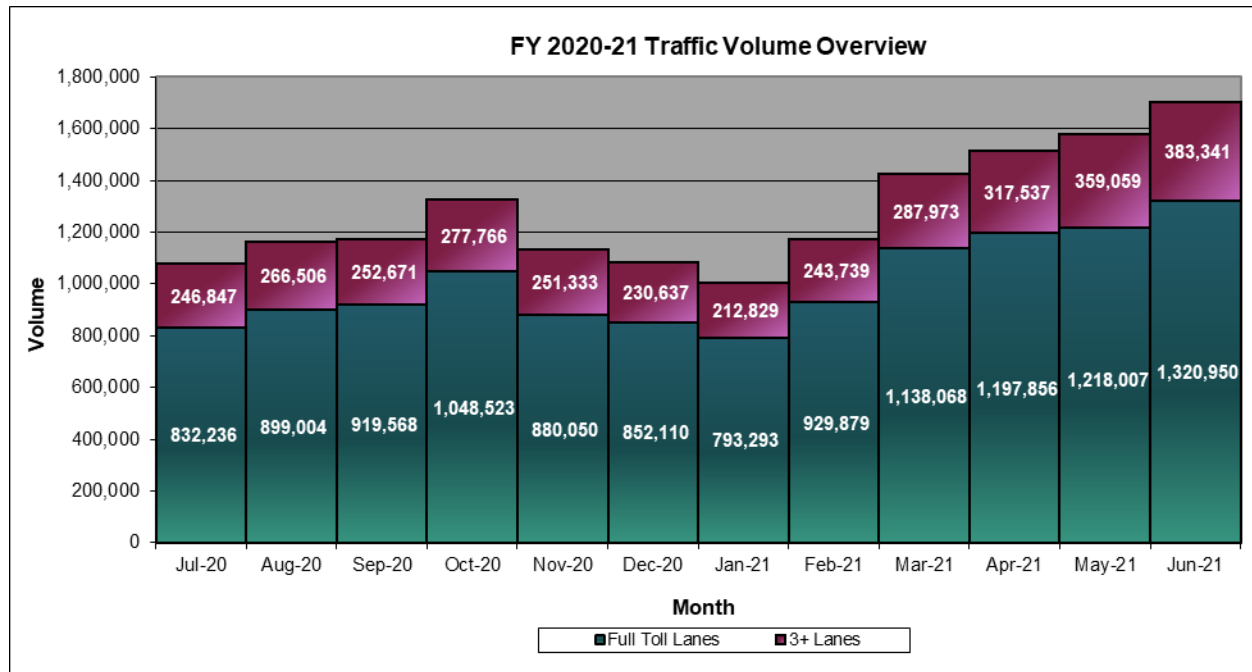
Fiscal year-to-date traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the OCTA 91 Express Lanes and associated potential revenue for the months of July 2020 through June 2021.

Fiscal Year (FY) 2020-21 Year-to-Date (YTD) as of June 30, 2021

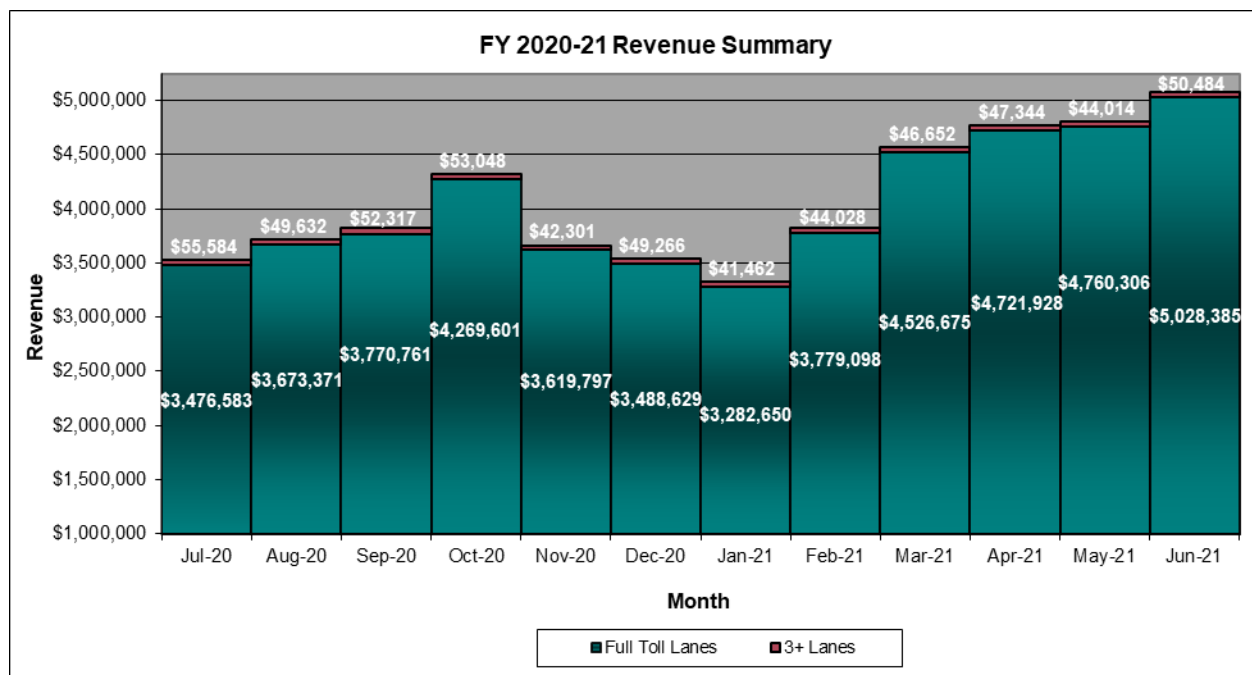
	FY 2020-21 YTD Actual	FY 2019-20 YTD Actual	Yr-to-Yr % Variance
Trips			
Full Toll Lanes	12,029,546	11,220,034	7.2%
3+ Lanes	3,330,239	3,770,568	(11.7%)
Total Gross Trips	15,359,785	14,990,602	2.5%
Revenue			
Full Toll Lanes	\$48,397,791	\$45,790,271	5.7%
3+ Lanes	\$576,132	\$719,350	(19.9%)
Total Gross Revenue	\$48,973,923	\$46,509,621	5.3%
Average Revenue per Trip			
Average Full Toll Lanes	\$4.02	\$4.08	(1.5%)
Average 3+ Lanes	\$0.17	\$0.19	(10.5%)
Average Gross Revenue	\$3.19	\$3.10	2.9%

OCTA Traffic and Revenue Summary

The chart below reflects the total trips breakdown between full toll trips and high-occupancy vehicle (HOV3+) trips for FY 2020-21 on a monthly basis.



The chart below reflects the gross potential revenue breakdown between full toll trips and HOV3+ trips for FY 2020-21 on a monthly basis.



OCTA EASTBOUND PEAK-HOUR VOLUMES

Peak-hour traffic in the eastbound direction reached or exceeded 90 percent of defined capacity 18 times during the month of June 2021. As demonstrated on the next chart, westbound peak-hour traffic volumes top out at 82 percent of defined capacity.

PM Time	Monday 05/31/21				Tuesday 06/01/21				Wednesday 06/02/21				Thursday 06/03/21				Friday 06/04/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500					\$5.15	431	2,609	77%	\$5.15	448	3,056	90%	\$6.95	424	3,228	95%	\$8.10	508	2,842	84%
1500 - 1600					\$4.75	478	3,462	102%	\$7.25	471	2,794	82%	\$7.25	333	1,386	41%	\$7.65	596	3,035	89%
1600 - 1700					\$5.00	347	2,495	73%	\$6.50	343	2,758	81%	\$6.80	366	2,672	79%	\$7.45	405	2,861	84%
1700 - 1800					\$4.90	390	3,042	89%	\$5.40	368	2,854	84%	\$6.70	380	2,930	86%	\$6.55	449	2,796	82%
1800 - 1900					\$3.95	454	2,518	74%	\$3.95	510	2,840	84%	\$4.35	517	3,040	89%	\$6.55	590	2,661	78%
1900 - 2000					\$3.85	327	1,476	43%	\$3.85	369	1,621	48%	\$5.60	471	2,076	61%	\$6.05	566	2,127	63%

PM Time	Monday 06/07/21				Tuesday 06/08/21				Wednesday 06/09/21				Thursday 06/10/21				Friday 06/11/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	428	2,819	83%	\$5.15	423	2,722	80%	\$5.15	374	2,641	78%	\$6.95	451	3,183	94%	\$8.10	546	2,787	82%
1500 - 1600	\$5.50	504	3,169	93%	\$4.75	479	3,217	95%	\$7.25	519	2,737	81%	\$7.25	522	2,651	78%	\$7.65	577	2,967	87%
1600 - 1700	\$4.35	417	3,295	97%	\$5.00	348	2,557	75%	\$6.50	320	2,822	83%	\$6.80	367	2,883	85%	\$7.45	410	2,739	81%
1700 - 1800	\$4.80	304	2,360	69%	\$4.90	388	2,870	84%	\$5.40	426	2,998	88%	\$6.70	393	2,759	81%	\$6.55	522	2,882	85%
1800 - 1900	\$5.50	495	2,438	72%	\$3.95	486	2,968	87%	\$3.95	479	2,730	80%	\$4.35	513	2,884	85%	\$6.55	600	2,731	80%
1900 - 2000	\$3.85	327	1,257	37%	\$3.85	377	1,724	51%	\$3.85	420	1,695	50%	\$5.60	507	2,263	67%	\$6.05	517	2,035	60%

PM Time	Monday 06/14/21				Tuesday 06/15/21				Wednesday 06/16/21				Thursday 06/17/21				Friday 06/18/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	477	2,829	83%	\$5.15	459	2,789	82%	\$5.15	468	3,116	92%	\$6.95	465	3,213	95%	\$8.10	475	2,729	80%
1500 - 1600	\$5.50	496	2,954	87%	\$4.75	500	3,262	96%	\$7.25	501	2,751	81%	\$7.25	490	2,624	77%	\$7.65	557	2,853	84%
1600 - 1700	\$4.35	429	3,148	93%	\$5.00	351	2,467	73%	\$6.50	362	2,844	84%	\$6.80	407	2,884	85%	\$7.45	412	2,636	78%
1700 - 1800	\$4.80	338	2,605	77%	\$4.90	398	2,774	82%	\$5.40	418	2,882	85%	\$6.70	409	2,751	81%	\$6.55	471	2,861	84%
1800 - 1900	\$5.50	473	2,366	70%	\$3.95	573	2,862	84%	\$3.95	552	2,983	88%	\$4.35	559	2,962	87%	\$6.55	567	2,443	72%
1900 - 2000	\$3.85	381	1,441	42%	\$3.85	454	1,900	56%	\$3.85	485	2,000	59%	\$5.60	509	2,146	63%	\$6.05	586	2,092	62%

PM Time	Monday 06/21/21				Tuesday 06/22/21				Wednesday 06/23/21				Thursday 06/24/21				Friday 06/25/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	390	2,581	76%	\$5.15	465	2,791	82%	\$5.15	436	3,062	90%	\$6.95	500	3,248	96%	\$8.10	483	2,746	81%
1500 - 1600	\$5.50	432	2,526	74%	\$4.75	468	3,278	96%	\$7.25	511	2,823	83%	\$7.25	491	2,693	79%	\$7.65	578	3,064	90%
1600 - 1700	\$4.35	462	3,249	96%	\$5.00	392	2,531	74%	\$6.50	364	2,789	82%	\$6.80	349	2,682	79%	\$7.45	404	2,722	80%
1700 - 1800	\$4.80	371	2,633	77%	\$4.90	378	2,755	81%	\$5.40	430	2,889	85%	\$6.70	393	2,534	75%	\$6.55	467	2,716	80%
1800 - 1900	\$5.50	533	2,562	75%	\$3.95	561	3,026	89%	\$3.95	549	2,857	84%	\$4.35	531	2,906	85%	\$6.55	532	2,655	78%
1900 - 2000	\$3.85	382	1,596	47%	\$3.85	402	1,799	53%	\$3.85	483	2,312	68%	\$5.60	526	2,375	70%	\$6.05	498	2,007	59%

PM Time	Monday 06/28/21				Tuesday 06/29/21				Wednesday 06/30/21				Thursday 07/01/21				Friday 07/02/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.15	436	2,783	82%	\$5.15	425	2,740	81%	\$5.15	474	2,942	87%								
1500 - 1600	\$5.50	497	2,905	85%	\$4.75	498	3,436	101%	\$7.25	472	2,772	82%								
1600 - 1700	\$4.35	467	3,301	97%	\$5.00	379	2,537	75%	\$6.50	380	2,854	84%								
1700 - 1800	\$4.80	380	2,759	81%	\$4.90	422	3,038	89%	\$5.40	378	2,541	75%								
1800 - 1900	\$5.50	570	2,325	68%	\$3.95	552	2,896	85%	\$3.95	538	2,936	86%								
1900 - 2000	\$3.85	399	1,586	47%	\$3.85	412	1,820	54%	\$3.85	512	2,323	68%								

OCTA WESTBOUND PEAK-HOUR VOLUMES

AM Time	Monday 05/31/21				Tuesday 06/01/21				Wednesday 06/02/21				Thursday 06/03/21				Friday 06/04/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500					\$3.05	433	1,338	39%	\$3.05	411	1,180	35%	\$3.05	412	1,239	36%	\$3.05	345	1,134	33%
0500 - 0600					\$4.95	551	2,549	75%	\$4.95	590	2,568	76%	\$4.95	561	2,520	74%	\$4.70	486	2,283	67%
0600 - 0700					\$5.15	426	2,656	78%	\$5.15	405	2,519	74%	\$5.15	415	2,549	75%	\$4.95	370	2,286	67%
0700 - 0800					\$5.65	453	2,572	76%	\$5.65	425	2,563	75%	\$5.65	452	2,536	75%	\$5.50	386	2,331	69%
0800 - 0900					\$5.15	326	2,503	74%	\$5.15	331	2,389	70%	\$5.15	316	2,351	69%	\$4.95	330	2,224	65%
0900 - 1000					\$4.10	291	2,307	68%	\$4.10	281	2,289	67%	\$4.10	266	2,186	64%	\$4.10	382	2,211	65%

AM Time	Monday 06/07/21				Tuesday 06/08/21				Wednesday 06/09/21				Thursday 06/10/21				Friday 06/11/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	421	1,312	39%	\$3.05	406	1,229	36%	\$3.05	421	1,311	39%	\$3.05	416	1,265	37%	\$3.05	335	1,100	32%
0500 - 0600	\$4.95	569	2,647	78%	\$4.95	614	2,629	77%	\$4.95	613	2,548	75%	\$4.95	584	2,544	75%	\$4.70	470	2,189	64%
0600 - 0700	\$5.15	407	2,561	75%	\$5.15	417	2,529	74%	\$5.15	435	2,614	77%	\$5.15	436	2,506	74%	\$4.95	385	2,312	68%
0700 - 0800	\$5.65	431	2,648	78%	\$5.65	413	2,448	72%	\$5.65	465	2,559	75%	\$5.65	427	2,629	77%	\$5.50	352	2,129	63%
0800 - 0900	\$5.15	301	2,215	65%	\$5.15	337	2,226	65%	\$5.15	341	2,422	71%	\$5.15	297	2,274	67%	\$4.95	370	2,218	65%
0900 - 1000	\$4.10	288	2,017	59%	\$4.10	299	2,240	66%	\$4.10	294	2,138	63%	\$4.10	395	2,250	66%	\$4.10	401	2,270	67%

AM Time	Monday 06/14/21				Tuesday 06/15/21				Wednesday 06/16/21				Thursday 06/17/21				Friday 06/18/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	403	1,302	38%	\$3.05	430	1,305	38%	\$3.05	431	1,324	39%	\$3.05	405	1,292	38%	\$3.05	354	1,082	32%
0500 - 0600	\$4.95	523	2,547	75%	\$4.95	558	2,500	74%	\$4.95	579	2,533	75%	\$4.95	564	2,501	74%	\$4.70	510	2,167	64%
0600 - 0700	\$5.15	404	2,528	74%	\$5.15	470	2,733	80%	\$5.15	443	2,642	78%	\$5.15	406	2,534	75%	\$4.95	416	2,271	67%
0700 - 0800	\$5.65	420	2,594	76%	\$5.65	426	2,642	78%	\$5.65	401	2,501	74%	\$5.65	399	2,530	74%	\$5.50	346	2,108	62%
0800 - 0900	\$5.15	310	2,287	67%	\$5.15	387	2,535	75%	\$5.15	296	2,168	64%	\$5.15	359	2,388	70%	\$4.95	362	2,179	64%
0900 - 1000	\$4.10	335	2,156	63%	\$4.10	370	2,418	71%	\$4.10	380	2,288	67%	\$4.10	378	2,288	67%	\$4.10	414	1,990	59%

AM Time	Monday 06/21/21				Tuesday 06/22/21				Wednesday 06/23/21				Thursday 06/24/21				Friday 06/25/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	402	1,272	37%	\$3.05	447	1,316	39%	\$3.05	430	1,332	39%	\$3.05	416	1,239	36%	\$3.05	348	1,097	32%
0500 - 0600	\$4.95	574	2,556	75%	\$4.95	585	2,541	75%	\$4.95	585	2,591	76%	\$4.95	598	2,537	75%	\$4.70	449	2,200	65%
0600 - 0700	\$5.15	436	2,511	74%	\$5.15	436	2,618	77%	\$5.15	397	2,520	74%	\$5.15	446	2,576	76%	\$4.95	393	2,320	68%
0700 - 0800	\$5.65	234	1,568	46%	\$5.65	412	2,541	75%	\$5.65	398	2,598	76%	\$5.65	389	2,471	73%	\$5.50	340	2,247	66%
0800 - 0900	\$5.15	310	2,094	62%	\$5.15	334	2,336	69%	\$5.15	364	2,472	73%	\$5.15	366	2,480	73%	\$4.95	352	2,242	66%
0900 - 1000	\$4.10	445	2,793	82%	\$4.10	357	2,470	73%	\$4.10	401	2,416	71%	\$4.10	354	2,390	70%	\$4.10	425	2,217	65%

AM Time	Monday 06/28/21				Tuesday 06/29/21				Wednesday 06/30/21				Thursday 07/01/21				Friday 07/02/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.05	431	1,291	38%	\$3.05	401	1,309	39%	\$3.05	427	1,283	38%								
0500 - 0600	\$4.95	546	2,474	73%	\$4.95	580	2,529	74%	\$4.95	564	2,542	75%								
0600 - 0700	\$5.15	368	2,465	73%	\$5.15	400	2,638	78%	\$5.15	427	2,551	75%								
0700 - 0800	\$5.65	366	2,513	74%	\$5.65	404	2,526	74%	\$5.65	443	2,567	76%								
0800 - 0900	\$5.15	351	2,184	64%	\$5.15	385	2,539	75%	\$5.15	412	2,595	76%								
0900 - 1000	\$4.10	388	2,197	65%	\$4.10	402	2,398	71%	\$4.10	423	2,424	71%								

OCTA OPERATIONAL HIGHLIGHTS

On-Road Operations

OCTA customer assistance specialists (CAS) responded to 125 calls during the month of June. Of those calls, 81 were to assist disabled vehicles and 32 calls to remove debris. The CAS provided assistance to 12 accidents in the 91 Express Lanes with none of those accidents originating in the State Route 91 general purpose lanes.

91 Express Lanes Back-Office System (BOS) Development Update

In February, Cofiroute USA, LLC (CUSA) notified OCTA and the Riverside County Transportation Commission (RCTC) of a delay to the implementation of the new BOS for the 91 Express Lanes for both Orange and Riverside counties as a result of the COVID-19 pandemic. CUSA is the current operator of the 91 Express Lanes for both OCTA and RCTC and is the firm selected for the design, development, and implementation of the new BOS, as well as the customer service center operations, once the current contract expires on June 30, 2021.

In April 2021, OCTA and RCTC (Agencies) provided notice to CUSA that the Agencies will be exercising the first of the six one-month extension period, which will commence July 1, 2021 through July 31, 2021. The Agencies intend to exercise the one-month options until the Agencies transition to the new contract. Staff from both agencies are continuing to work with CUSA to meet the revised anticipated go-live date in October 2021.

91 Express Lanes Toll Entrance Gantries Infrastructure Project Update

OCTA entered into an agreement with the California Department of Transportation (Caltrans) to provide construction and construction management services for the 91 Express Lanes Toll Entrance Gantries Infrastructure Project. This project entails constructing new toll gantries infrastructure at the three entrances of the OCTA 91 Express Lanes. Caltrans advertised and awarded the project in March 2021 and May 2021, respectively. In June, the contract was executed, and construction is anticipated to begin in August. Upon completion of the infrastructure project, Kapsch TrafficCom USA, Inc., the toll lanes system integrator for the 91 Express Lanes, will install new Electronic Toll and Traffic Management system equipment onto the new gantries.

FINANCIAL HIGHLIGHTS OCTA

91 Express Lanes Operating Statement

Description	YTD as of : 6/30/2021		YTD Variance	
	Actual ⁽¹⁾⁽⁶⁾	Budget ⁽¹⁾	Dollar \$	Percent (%)
Operating revenues:				
Toll Revenue	\$ 44,954,613.60	\$ 32,670,000.00	\$ 12,284,613.60	37.6
Fee Revenue	5,445,327.90	2,320,000.00	3,125,327.90	134.7
Total operating revenues	50,399,941.50	34,990,000.00	15,409,941.50	44.0
Operating expenses:				
Contracted Services	6,759,534.22	7,200,000.00	440,465.78	6.1
Administrative Fee	2,996,580.00	3,121,756.00	125,176.00	4.0
Other Professional Services	1,496,373.26	4,000,900.00	2,504,526.74	62.6
Credit Card Processing Fees	1,106,039.98	900,000.00	(206,039.98)	(22.9)
Toll Road Account Servicing	636,884.40	600,000.00	(36,884.40)	(6.1)
Other Insurance Expense	444,076.36	825,000.00	380,923.64	46.2
Toll Road Maintenance Supply Repairs	174,544.47	2,400,000.00	2,225,455.53	92.7
Patrol Services	805,514.88	1,060,000.00	254,485.12	24.0
Building Equipment Repairs and Maint	914,431.39	1,230,000.00	315,568.61	25.7
6C Transponders	-	250,000.00	250,000.00	100.0
Other Services ⁽⁵⁾	23,294.18	62,429.00	39,134.82	62.7
Utilities	44,604.65	115,000.00	70,395.35	61.2
Office Expense	14,745.52	98,000.00	83,254.48	85.0
Bad Debt Expense	149,461.04	-	(149,461.04)	N/A
Miscellaneous ⁽²⁾	46,053.91	161,670.00	115,616.09	71.5
Leases	480,925.79	485,000.00	4,074.21	0.8
Total operating expenses	16,093,064.05	22,509,755.00	6,416,690.95	28.5
Depreciation and Amortization ⁽³⁾	4,216,267.68	-	(4,216,267.68)	N/A
Operating income (loss)	30,090,609.77	12,480,245.00	17,610,364.77	141.1
Nonoperating revenues (expenses):				
Reimbursement from Other Agencies	875,192.41	1,250,000.00	(374,807.59)	(30.0)
Interest Income	3,344,818.33	1,471,495.00	1,873,323.33	127.3
Interest Expense	(4,280,324.68)	(4,400,700.00)	120,375.32	2.7
Other	11,462.08	-	11,462.08	N/A
Total nonoperating revenues (expenses)	(48,851.86)	(1,679,205.00)	1,630,353.14	97.1
Transfers In	-	-	-	N/A
Transfers Out ⁽⁴⁾	(11,566,156.36)	(41,711,150.00)	30,144,993.64	72.3
Net income (loss)	\$ 18,475,601.55	\$ (30,910,110.00)	\$ 49,385,711.55	(159.8)

¹Actual amounts are accounted for on the accrual basis of accounting in an enterprise fund. Budget amounts are accounted for on a modified accrual basis of accounting.

²Miscellaneous expenses include: Bond Insurance Costs, Bank Service Charge, Transponder Materials.

³Depreciation and amortization are not budgeted items.

⁴Transfers Out: For M2 Project I and Project J expense reimbursements.

⁵Litigation settlement was accrued, the negative will be offset once the litigation payment is issued.

⁶Actuals are preliminary pre-closing amounts as of FY 2020-21. Final numbers will be shown in the audited financial statements.

Capital Asset Activity

During the 12 months ending June 30, 2021, capital asset activities included \$11,453 for the replacement of the air conditioning units for the eastbound toll plaza, \$1,491,991 for

the BOS replacement project, and \$2,491,662 for payment of 6C implementation costs for the Electronic Toll and Traffic Management system.

OPERATIONS OVERVIEW RCTC

TRAFFIC AND REVENUE STATISTICS FOR RCTC

Total traffic volume on the 91 Express Lanes for June 2021 was 1,445,027. This represents a daily average of 48,168 vehicles. This is a 60.2 percent increase in total traffic volume from the same period last year, which totaled 901,930, and was the fourth month of the COVID-19 stay-at-home order. Potential toll revenue for June was \$4,708,887, which represents an increase of 73.9 percent from the prior year's total of \$2,708,569. Carpool percentage for June was 21 percent as compared to the previous year's rate of 22.1 percent. As compared to June 2019, traffic volume increased by 20.5 percent and revenue increased by 0.7 percent. Traffic volumes have returned to pre-COVID-19 levels.

Month-to-date traffic and revenue data is summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the RCTC 91 Express Lanes and associated potential revenue for the month of June 2021.

Current Month-to-Date as of June 30, 2021

Trips	JUN-21 MTD Actual	Stantec MTD Projected	# Variance	% Variance	JUN-20 MTD Actual	Yr 21-to-Yr 20 % Variance	Jun-19 MTD Actual	Yr 21-to-Yr 19 % Variance
Full Toll Lanes	1,140,850	1,035,600	105,250	10.2%	702,369	62.4%	878,365	29.9%
3+ Lanes	304,177	337,829	(33,652)	(10.0%)	199,561	52.4%	320,850	(5.2%)
Total Gross Trips	1,445,027	1,373,429	71,598	5.2%	901,930	60.2%	1,199,215	20.5%
Revenue								
Full Toll Lanes	\$4,663,860	\$4,588,114	\$75,746	1.7%	\$2,673,259	74.5%	\$4,632,609	0.7%
3+ Lanes	\$45,027	\$0	\$45,027		\$35,310	27.5%	\$42,682	5.5%
Total Gross Revenue	\$4,708,887	\$4,588,114	\$120,773	2.6%	\$2,708,569	73.9%	\$4,675,291	0.7%
Average Revenue per Trip								
Average Full Toll Lanes	\$4.09	\$4.43	(\$0.34)	(7.7%)	\$3.81	7.3%	\$5.27	(22.4%)
Average 3+ Lanes	\$0.15	\$0.00	\$0.15		\$0.18	(16.7%)	\$0.13	15.4%
Average Gross Revenue	\$3.26	\$3.34	(\$0.08)	(2.4%)	\$3.00	8.7%	\$3.90	(16.4%)

The 2021 fiscal year-to-date traffic volume decreased by 0.7 percent and potential toll revenue decreased by 19.1 percent, when compared with the same period last year. Year-to-date average revenue per-trip is \$3.36.

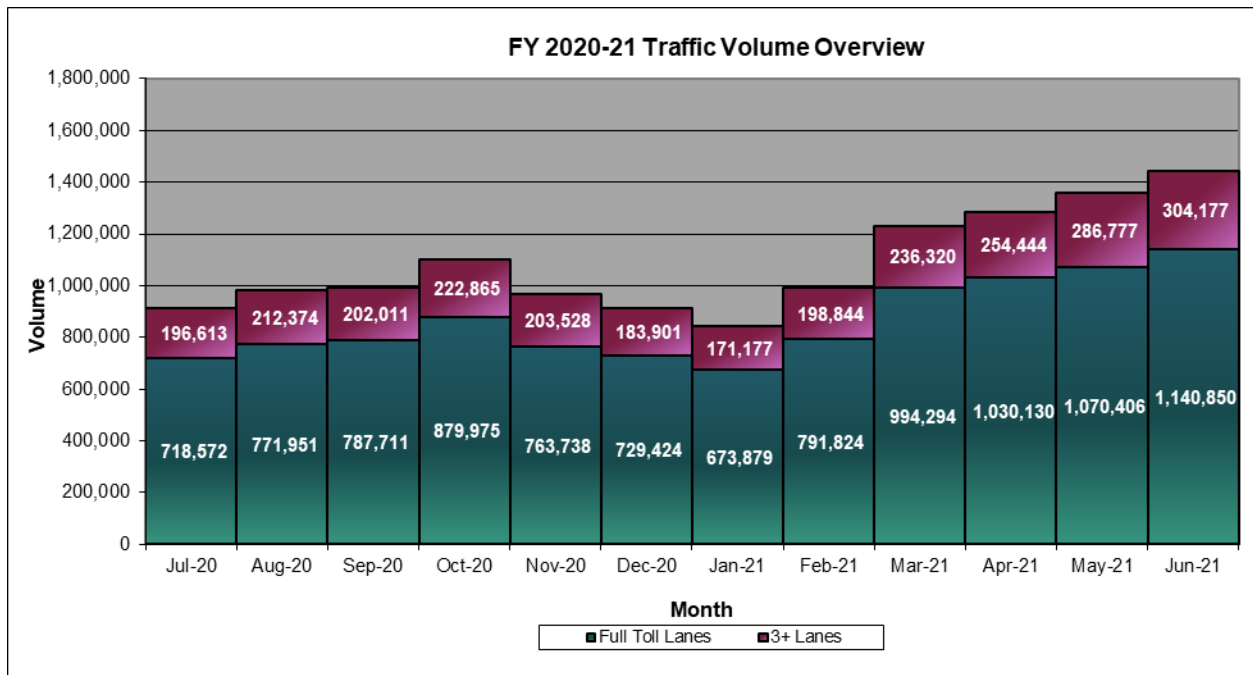
Fiscal year-to-date traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the RCTC 91 Express Lanes and associated potential revenue for the months of July 2020 through June 2021.

FY 2020-21 Year-to-Date as of June 30, 2021

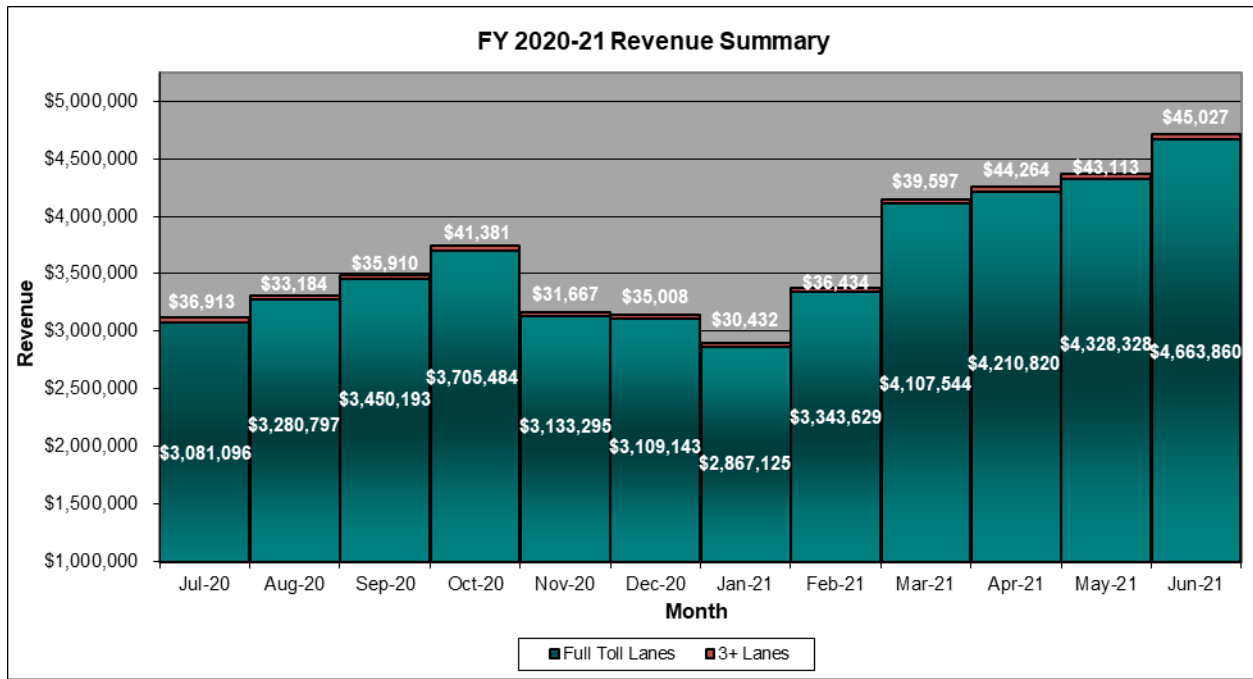
Trips	FY 2020-21 YTD Actual	Stantec YTD Projected	# Variance	% Variance	FY 2019-20 YTD Actual	Yr-to-Yr % Variance
Full Toll Lanes	10,352,754	12,188,900	(1,836,146)	(15.1%)	10,044,914	3.1%
3+ Lanes	2,673,031	3,967,543	(1,294,512)	(32.6%)	3,074,209	(13.0%)
Total Gross Trips	13,025,785	16,156,443	(3,130,658)	(19.4%)	13,119,123	(0.7%)
Revenue						
Full Toll Lanes	\$43,281,313	\$52,698,686	(\$9,417,373)	(17.9%)	\$53,676,973	(19.4%)
3+ Lanes	\$452,929	\$0	\$452,929		\$381,477	18.7%
Total Gross Revenue	\$43,734,242	\$52,698,686	(\$8,964,443)	(17.0%)	\$54,058,450	(19.1%)
Average Revenue per Trip						
Average Full Toll Lanes	\$4.18	\$4.32	(\$0.14)	(3.2%)	\$5.34	(21.7%)
Average 3+ Lanes	\$0.17	\$0.00	\$0.17		\$0.12	41.7%
Average Gross Revenue	\$3.36	\$3.26	\$0.10	3.1%	\$4.12	(18.4%)

RCTC Traffic and Revenue Summary

The chart below reflects the total trips broken down between full toll lanes and HOV3+ lanes for FY 2020-21 on a monthly basis.



The chart below reflects the gross potential revenue breakdown between full toll lanes and HOV3+ lanes for FY 2020-21 on a monthly basis.



RCTC PEAK-HOUR VOLUMES

In June, there were no toll rates adjusted in response to traffic volumes. RCTC evaluates traffic volumes for peak period hours and increases or decreases rates according to the toll rate policy.

RCTC EASTBOUND PEAK-HOUR VOLUMES

Eastbound PM Peak - County Line to McKinley

PM Time	Monday 05/31/21					Tuesday 06/01/21					Wednesday 06/02/21					Thursday 06/03/21					Friday 06/04/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500						\$5.30	209	1055	1,264	E	\$8.95	212	1125	1,337	F	\$10.95	229	1,159	1,388	F	\$24.95	291	1,132	1,423	F
1500 - 1600						\$10.95	235	1065	1,300	E	\$13.95	224	971	1,195	D	\$16.95	157	719	876	C	\$24.95	299	991	1,290	E
1600 - 1700						\$6.95	172	935	1,107	D	\$6.95	177	958	1,135	D	\$8.95	188	944	1,132	D	\$14.95	294	1,018	1,312	F
1700 - 1800						\$5.30	176	975	1,151	D	\$5.30	176	981	1,157	D	\$5.30	270	1,198	1,468	F	\$7.95	244	974	1,218	E
1800 - 1900						\$4.20	228	798	1,026	D	\$5.30	242	895	1,137	D	\$5.30	211	1,007	1,218	E	\$5.30	266	926	1,192	D
1900 - 2000						\$2.25	155	543	698	B	\$2.25	207	666	873	C	\$2.25	237	858	1,095	D	\$2.25	247	709	956	C

PM Time	Monday 06/07/21					Tuesday 06/08/21					Wednesday 06/09/21					Thursday 06/10/21					Friday 06/11/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	217	1,107	1,324	F	\$5.30	213	1,054	1,267	E	\$8.95	194	1,005	1,199	D	\$10.95	237	1,173	1,410	F	\$24.95	352	1,066	1,418	F
1500 - 1600	\$8.95	211	1,032	1,243	E	\$10.95	220	990	1,210	E	\$13.95	210	978	1,188	D	\$16.95	226	966	1,192	D	\$24.95	287	895	1,182	D
1600 - 1700	\$6.95	192	999	1,191	D	\$6.95	177	921	1,098	D	\$6.95	178	1,009	1,187	D	\$8.95	211	1,019	1,230	E	\$14.95	288	989	1,277	E
1700 - 1800	\$5.30	165	913	1,078	D	\$5.30	177	956	1,133	D	\$5.30	193	1,008	1,201	E	\$5.30	199	879	1,078	D	\$7.95	271	955	1,226	E
1800 - 1900	\$4.20	207	812	1,019	D	\$4.20	222	852	1,074	D	\$5.30	211	934	1,145	D	\$5.30	245	956	1,201	E	\$5.30	256	1,021	1,277	E
1900 - 2000	\$2.25	177	443	620	B	\$2.25	180	692	872	C	\$2.25	178	660	838	C	\$2.25	236	911	1,147	D	\$2.25	272	797	1,069	D

PM Time	Monday 06/14/21					Tuesday 06/15/21					Wednesday 06/16/21					Thursday 06/17/21					Friday 06/18/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	236	1,123	1,359	F	\$5.30	239	1,105	1,344	F	\$8.95	216	1,048	1,264	E	\$10.95	240	1,161	1,401	F	\$24.95	300	1,000	1,300	E
1500 - 1600	\$8.95	219	972	1,191	D	\$10.95	236	993	1,229	E	\$13.95	254	975	1,229	E	\$16.95	256	964	1,220	E	\$24.95	319	901	1,220	E
1600 - 1700	\$6.95	210	997	1,207	E	\$6.95	191	980	1,171	D	\$6.95	214	1,048	1,262	E	\$8.95	260	1,025	1,285	E	\$14.95	288	905	1,193	D
1700 - 1800	\$5.30	167	944	1,111	D	\$5.30	189	957	1,146	D	\$5.30	218	1,009	1,227	E	\$5.30	222	1,002	1,224	E	\$7.95	243	899	1,142	D
1800 - 1900	\$4.20	206	876	1,082	D	\$4.20	258	929	1,187	D	\$5.30	280	955	1,235	E	\$5.30	244	997	1,241	E	\$5.30	288	840	1,128	D
1900 - 2000	\$2.25	200	491	691	B	\$2.25	242	931	1,173	D	\$2.25	253	749	1,002	D	\$2.25	240	925	1,165	D	\$2.25	283	820	1,103	D

PM Time	Monday 06/21/21					Tuesday 06/22/21					Wednesday 06/23/21					Thursday 06/24/21					Friday 06/25/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	209	1,111	1,320	F	\$5.30	219	1,100	1,319	F	\$8.95	233	1,106	1,339	F	\$10.95	241	1,128	1,369	F	\$24.95	280	1,090	1,370	F
1500 - 1600	\$8.95	212	852	1,064	D	\$10.95	246	1,002	1,248	E	\$13.95	240	938	1,178	D	\$16.95	247	952	1,199	D	\$24.95	294	1,067	1,361	F
1600 - 1700	\$6.95	239	975	1,214	E	\$6.95	198	933	1,131	D	\$6.95	221	986	1,207	E	\$8.95	204	832	1,036	D	\$14.95	286	956	1,242	E
1700 - 1800	\$5.30	224	907	1,131	D	\$5.30	199	912	1,111	D	\$5.30	202	981	1,183	D	\$5.30	201	936	1,137	D	\$7.95	245	921	1,166	D
1800 - 1900	\$4.20	265	853	1,118	D	\$4.20	271	988	1,259	E	\$5.30	267	935	1,202	E	\$5.30	248	986	1,234	E	\$5.30	281	930	1,211	E
1900 - 2000	\$2.25	187	591	778	B	\$2.25	208	668	876	C	\$2.25	228	893	1,121	D	\$2.25	308	963	1,271	E	\$2.25	235	811	1,046	D

PM Time	Monday 06/28/21					Tuesday 06/29/21					Wednesday 06/30/21					Thursday 07/01/21					Friday 07/02/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	253	1,088	1,341	F	\$5.30	210	1,003	1,213	E	\$8.95	230	1,095	1,325	F										
1500 - 1600	\$8.95	244	974	1,218	E	\$10.95	193	913	1,106	D	\$13.95	228	917	1,145	D										
1600 - 1700	\$6.95	236	983	1,219	E	\$6.95	189	967	1,156	D	\$6.95	201	985	1,186	D										
1700 - 1800	\$5.30	228	1,011	1,239	E	\$5.30	193	921	1,114	D	\$5.30	191	944	1,135	D										
1800 - 1900	\$4.20	311	814	1,125	D	\$4.20	245	904	1,149	D	\$5.30	253	874	1,127	D										
1900 - 2000	\$2.25	200	565	765	B	\$2.25	213	719	932	C	\$2.25	259	874	1,133	D										

Eastbound PM Peak - County Line to 15 SB Ontario

	Monday 05/31/21					Tuesday 06/01/21					Wednesday 06/02/21					Thursday 06/03/21					Friday 06/04/21				
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500						\$5.30	101	739	840	C	\$5.30	119	776	895	C	\$5.30	121	774	895	C	\$5.30	127	679	806	C
1500 - 1600						\$5.30	111	769	880	C	\$5.30	124	775	899	C	\$5.30	75	485	560	B	\$5.30	140	626	766	B
1600 - 1700						\$5.30	89	671	760	B	\$5.30	101	655	756	B	\$5.30	91	595	686	B	\$2.95	135	558	693	B
1700 - 1800						\$2.95	95	687	782	B	\$2.95	92	670	762	B	\$5.30	104	786	890	C	\$2.95	147	657	804	C
1800 - 1900						\$2.95	117	671	788	B	\$2.95	119	659	778	B	\$2.95	128	668	796	B	\$2.95	141	590	731	B
1900 - 2000						\$1.95	100	457	557	B	\$2.95	97	447	544	B	\$2.95	143	602	745	B	\$2.95	153	488	641	B

	Monday 06/07/21					Tuesday 06/08/21					Wednesday 06/09/21					Thursday 06/10/21					Friday 06/11/21				
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	121	733	854	C	\$5.30	122	750	872	C	\$5.30	109	698	807	C	\$5.30	109	706	815	C	\$5.30	170	671	841	C
1500 - 1600	\$5.30	132	732	864	C	\$5.30	128	726	854	C	\$5.30	123	713	836	C	\$5.30	122	660	782	B	\$5.30	151	569	720	B
1600 - 1700	\$2.95	96	669	765	B	\$5.30	99	677	776	B	\$5.30	90	691	781	B	\$5.30	101	633	734	B	\$2.95	145	597	742	B
1700 - 1800	\$2.95	84	645	729	B	\$2.95	79	614	693	B	\$2.95	91	670	761	B	\$5.30	104	573	677	B	\$2.95	132	644	776	B
1800 - 1900	\$2.95	120	575	695	B	\$2.95	125	670	795	B	\$2.95	109	706	815	C	\$2.95	119	648	767	B	\$2.95	145	624	769	B
1900 - 2000	\$1.95	95	346	441	B	\$1.95	119	523	642	B	\$2.95	115	480	595	B	\$2.95	152	600	752	B	\$2.95	150	536	686	B

	Monday 06/14/21					Tuesday 06/15/21					Wednesday 06/16/21					Thursday 06/17/21					Friday 06/18/21				
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	123	621	744	B	\$5.30	138	782	920	C	\$5.30	144	806	950	C	\$5.30	130	754	884	C	\$5.30	133	573	706	B
1500 - 1600	\$5.30	133	720	853	C	\$5.30	109	678	787	B	\$5.30	110	695	805	C	\$5.30	110	693	803	C	\$5.30	158	601	759	B
1600 - 1700	\$2.95	108	648	756	B	\$5.30	110	623	733	B	\$5.30	108	677	785	B	\$5.30	122	679	801	C	\$2.95	132	599	731	B
1700 - 1800	\$2.95	91	640	731	B	\$2.95	108	628	736	B	\$2.95	115	654	769	B	\$5.30	113	598	711	B	\$2.95	109	563	672	B
1800 - 1900	\$2.95	110	636	746	B	\$2.95	131	641	772	B	\$2.95	135	688	823	C	\$2.95	119	710	829	C	\$2.95	174	548	722	B
1900 - 2000	\$1.95	116	350	466	B	\$1.95	156	615	771	B	\$2.95	139	539	678	B	\$2.95	149	579	728	B	\$2.95	169	494	663	B

	Monday 06/21/21					Tuesday 06/22/21					Wednesday 06/23/21					Thursday 06/24/21					Friday 06/25/21				
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	119	710	829	C	\$5.30	137	775	912	C	\$5.30	124	798	922	C	\$5.30	139	714	853	C	\$5.30	127	654	781	B
1500 - 1600	\$5.30	97	548	645	B	\$5.30	125	703	828	C	\$5.30	121	690	811	C	\$5.30	125	682	807	C	\$5.30	115	601	716	B
1600 - 1700	\$2.95	120	668	788	B	\$5.30	93	674	767	B	\$5.30	109	605	714	B	\$5.30	104	568	672	B	\$2.95	175	574	749	B
1700 - 1800	\$2.95	100	638	738	B	\$2.95	90	596	686	B	\$2.95	103	642	745	B	\$5.30	87	556	643	B	\$2.95	118	615	733	B
1800 - 1900	\$2.95	146	634	780	B	\$2.95	120	667	787	B	\$2.95	133	637	770	B	\$2.95	131	635	766	B	\$2.95	132	594	726	B
1900 - 2000	\$1.95	102	419	521	B	\$1.95	125	545	670	B	\$2.95	123	610	733	B	\$2.95	138	655	793	B	\$2.95	158	523	681	B

	Monday 06/28/21					Tuesday 06/29/21					Wednesday 06/30/21					Thursday 07/01/21					Friday 07/02/21				
PM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.30	115	657	772	B	\$5.30	124	794	918	C	\$5.30	129	730	859	C										
1500 - 1600	\$5.30	125	673	798	B	\$5.30	100	747	847	C	\$5.30	98	727	825	C										
1600 - 1700	\$2.95	126	608	734	B	\$5.30	102	658	760	B	\$5.30	119	627	746	B										
1700 - 1800	\$2.95	136	709	845	C	\$2.95	109	627	736	B	\$2.95	118	666	784	B										
1800 - 1900	\$2.95	126	592	718	B	\$2.95	135	701	836	C	\$2.95	137	629	766	B										
1900 - 2000	\$1.95	111	430	541	B	\$1.95	126	522	648	B	\$2.95	151	585	736	B										

RCTC WESTBOUND PEAK-HOUR VOLUMES

Westbound AM Peak - McKinley to County Line

AM Time	Monday 05/31/21					Tuesday 06/01/21					Wednesday 06/02/21					Thursday 06/03/21					Friday 06/04/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500						\$5.30	202	498	700	B	\$5.30	255	478	733	B	\$5.30	209	536	745	B	\$2.25	223	491	714	B
0500 - 0600						\$9.95	295	1309	1,604	F	\$9.95	376	1387	1,763	F	\$9.95	312	1,438	1,750	F	\$6.95	294	1,337	1,631	F
0600 - 0700						\$12.95	259	1377	1,636	F	\$12.95	222	1319	1,541	F	\$11.95	249	1,525	1,774	F	\$6.95	201	1,324	1,525	F
0700 - 0800						\$8.95	285	1545	1,830	F	\$8.95	276	1657	1,933	F	\$7.95	351	1,778	2,129	F	\$5.30	262	1,733	1,995	F
0800 - 0900						\$5.30	223	1569	1,792	F	\$5.30	208	1639	1,847	F	\$5.30	216	1,571	1,787	F	\$2.25	222	1,385	1,607	F
0900 - 1000						\$5.30	164	1151	1,315	E	\$5.30	177	1182	1,359	F	\$5.30	155	1,070	1,225	E	\$2.25	216	1,064	1,280	E

AM Time	Monday 06/07/21					Tuesday 06/08/21					Wednesday 06/09/21					Thursday 06/10/21					Friday 06/11/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$5.30	232	489	721	B	\$5.30	240	474	714	B	\$5.30	205	528	733	B	\$5.30	229	480	709	B	\$2.25	182	481	663	B
0500 - 0600	\$9.95	347	1,384	1,731	F	\$9.95	386	1,396	1,782	F	\$9.95	371	1,383	1,754	F	\$9.95	324	1,267	1,591	F	\$6.95	292	1,154	1,446	F
0600 - 0700	\$11.95	269	1,579	1,848	F	\$12.95	271	1,338	1,609	F	\$12.95	286	1,460	1,746	F	\$11.95	270	1,402	1,672	F	\$6.95	235	1,267	1,502	F
0700 - 0800	\$8.95	312	1,793	2,105	F	\$8.95	331	1,802	2,133	F	\$8.95	334	1,765	2,099	F	\$7.95	322	1,791	2,113	F	\$5.30	297	1,431	1,728	F
0800 - 0900	\$5.30	207	1,449	1,656	F	\$5.30	226	1,651	1,877	F	\$5.30	200	1,584	1,784	F	\$5.30	217	1,596	1,813	F	\$2.25	232	1,398	1,630	F
0900 - 1000	\$5.30	157	954	1,111	D	\$5.30	179	1,106	1,285	E	\$5.30	180	1,129	1,309	E	\$5.30	229	1,115	1,344	E	\$2.25	211	984	1,195	D

AM Time	Monday 06/14/21					Tuesday 06/15/21					Wednesday 06/16/21					Thursday 06/17/21					Friday 06/18/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$5.30	222	549	771	B	\$5.30	230	512	742	B	\$5.30	230	501	731	B	\$5.30	215	533	748	B	\$2.25	193	466	659	B
0500 - 0600	\$9.95	277	1,424	1,701	F	\$9.95	363	1,354	1,717	F	\$9.95	303	1,344	1,647	F	\$9.95	284	1,359	1,643	F	\$6.95	339	1,074	1,413	F
0600 - 0700	\$11.95	243	1,483	1,726	F	\$12.95	308	1,668	1,976	F	\$12.95	255	1,656	1,911	F	\$11.95	268	1,498	1,766	F	\$6.95	269	1,424	1,693	F
0700 - 0800	\$8.95	322	1,710	2,032	F	\$8.95	347	1,937	2,284	F	\$8.95	317	1,696	2,013	F	\$7.95	316	1,842	2,158	F	\$5.30	260	1,541	1,801	F
0800 - 0900	\$5.30	229	1,598	1,827	F	\$5.30	258	1,652	1,910	F	\$5.30	212	1,441	1,653	F	\$5.30	237	1,617	1,854	F	\$2.25	234	1,337	1,571	F
0900 - 1000	\$5.30	204	1,134	1,338	E	\$5.30	217	1,246	1,463	F	\$5.30	222	1,069	1,291	E	\$5.30	216	1,147	1,363	F	\$2.25	243	876	1,119	D

AM Time	Monday 06/21/21					Tuesday 06/22/21					Wednesday 06/23/21					Thursday 06/24/21					Friday 06/25/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$5.30	225	529	754	B	\$5.30	237	479	716	B	\$5.30	223	421	644	B	\$5.30	199	373	572	B	\$2.25	161	374	535	B
0500 - 0600	\$9.95	327	1,309	1,636	F	\$9.95	381	1,332	1,713	F	\$9.95	318	1,087	1,405	F	\$9.95	321	1,081	1,402	F	\$6.95	235	1,108	1,343	E
0600 - 0700	\$11.95	269	1,399	1,668	F	\$12.95	273	1,516	1,789	F	\$12.95	228	1,198	1,426	F	\$11.95	279	1,264	1,543	F	\$6.95	198	1,242	1,440	F
0700 - 0800	\$8.95	277	1,461	1,738	F	\$8.95	286	1,794	2,080	F	\$8.95	284	1,525	1,809	F	\$7.95	255	1,437	1,692	F	\$5.30	197	1,432	1,629	F
0800 - 0900	\$5.30	278	1,700	1,978	F	\$5.30	204	1,686	1,890	F	\$5.30	246	1,393	1,639	F	\$5.30	211	1,393	1,604	F	\$2.25	208	1,261	1,469	F
0900 - 1000	\$5.30	259	1,397	1,656	F	\$5.30	210	1,341	1,551	F	\$5.30	217	1,052	1,269	E	\$5.30	179	1,015	1,194	D	\$2.25	192	935	1,127	D

AM Time	Monday 06/28/21					Tuesday 06/29/21					Wednesday 06/30/21					Thursday 07/01/21					Friday 07/02/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$5.30	208	389	597	B	\$5.30	185	455	640	B	\$5.30	163	431	594	B										
0500 - 0600	\$9.95	288	1,113	1,401	F	\$9.95	336	1,128	1,464	F	\$9.95	252	1,121	1,373	F										
0600 - 0700	\$11.95	197	1,208	1,405	F	\$12.95	199	1,333	1,532	F	\$12.95	225	1,252	1,477	F										
0700 - 0800	\$8.95	277	1,544	1,821	F	\$8.95	271	1,524	1,795	F	\$8.95	281	1,461	1,742	F										
0800 - 0900	\$5.30	179	1,111	1,290	E	\$5.30	226	1,495	1,721	F	\$5.30	266	1,503	1,769	F										
0900 - 1000	\$5.30	230	956	1,186	D	\$5.30	195	1,090	1,285	E	\$5.30	208	1,084	1,292	E										

Westbound AM Peak - 15 North to County Line

AM Time	Monday 05/31/21					Tuesday 06/01/21					Wednesday 06/02/21					Thursday 06/03/21					Friday 06/04/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500						\$2.95	119	369	488	B	\$2.95	71	245	316	A	\$2.95	77	304	381	A	\$2.95	73	247	320	A
0500 - 0600						\$6.85	140	835	975	C	\$6.85	125	779	904	C	\$6.85	103	726	829	C	\$5.30	80	594	674	B
0600 - 0700						\$6.85	148	1005	1,153	D	\$6.85	121	1037	1,158	D	\$6.85	106	780	886	C	\$5.30	103	779	882	C
0700 - 0800						\$6.85	114	1061	1,175	D	\$6.85	106	866	972	C	\$6.85	96	762	858	C	\$2.95	71	625	696	B
0800 - 0900						\$2.95	95	936	1,031	D	\$2.95	86	783	869	C	\$2.95	82	823	905	C	\$2.95	77	649	726	B
0900 - 1000						\$2.95	68	699	767	B	\$2.95	77	583	660	B	\$2.95	67	631	698	B	\$2.95	78	432	510	B

AM Time	Monday 06/07/21					Tuesday 06/08/21					Wednesday 06/09/21					Thursday 06/10/21					Friday 06/11/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$2.95	112	326	438	B	\$2.95	83	296	379	A	\$2.95	76	350	426	B	\$2.95	97	298	395	A	\$2.95	80	288	368	A
0500 - 0600	\$6.85	106	730	836	C	\$6.85	152	759	911	C	\$6.85	109	716	825	C	\$6.85	128	821	949	C	\$5.30	99	651	750	B
0600 - 0700	\$6.85	105	725	830	C	\$6.85	115	836	951	C	\$6.85	116	896	1,012	D	\$6.85	120	841	961	C	\$5.30	110	793	903	C
0700 - 0800	\$6.85	97	799	896	C	\$6.85	138	903	1,041	D	\$6.85	142	873	1,015	D	\$6.85	133	913	1,046	D	\$2.95	110	743	853	C
0800 - 0900	\$2.95	83	691	774	B	\$2.95	96	677	773	B	\$2.95	115	801	916	C	\$2.95	92	647	739	B	\$2.95	102	602	704	B
0900 - 1000	\$2.95	91	591	682	B	\$2.95	91	642	733	B	\$2.95	83	633	716	B	\$2.95	104	576	680	B	\$2.95	114	631	745	B

AM Time	Monday 06/14/21					Tuesday 06/15/21					Wednesday 06/16/21					Thursday 06/17/21					Friday 06/18/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$2.95	87	326	413	B	\$2.95	95	340	435	B	\$2.95	92	342	434	B	\$2.95	59	336	395	A	\$2.95	84	269	353	A
0500 - 0600	\$6.85	106	782	888	C	\$6.85	142	715	857	C	\$6.85	124	791	915	C	\$6.85	112	761	873	C	\$5.30	125	641	766	B
0600 - 0700	\$6.85	97	825	922	C	\$6.85	98	782	880	C	\$6.85	105	846	951	C	\$6.85	113	907	1,020	D	\$5.30	88	645	733	B
0700 - 0800	\$6.85	131	904	1,035	D	\$6.85	111	730	841	C	\$6.85	139	900	1,039	D	\$6.85	107	795	902	C	\$2.95	79	672	751	B
0800 - 0900	\$2.95	67	655	722	B	\$2.95	94	871	965	C	\$2.95	77	632	709	B	\$2.95	120	812	932	C	\$2.95	83	535	618	B
0900 - 1000	\$2.95	90	574	664	B	\$2.95	89	628	717	B	\$2.95	107	701	808	C	\$2.95	108	613	721	B	\$2.95	120	488	608	B

AM Time	Monday 06/21/21					Tuesday 06/22/21					Wednesday 06/23/21					Thursday 06/24/21					Friday 06/25/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$2.95	87	313	400	A	\$2.95	107	353	460	B	\$2.95	113	405	518	B	\$2.95	109	390	499	B	\$2.95	95	365	460	B
0500 - 0600	\$6.85	136	815	951	C	\$6.85	124	738	862	C	\$6.85	164	937	1,101	D	\$6.85	192	974	1,166	D	\$5.30	112	844	956	C
0600 - 0700	\$6.85	127	887	1,014	D	\$6.85	109	937	1,046	D	\$6.85	150	1,176	1,326	E	\$6.85	167	1,137	1,304	E	\$5.30	119	999	1,118	D
0700 - 0800	\$6.85	86	713	799	B	\$6.85	123	910	1,033	D	\$6.85	170	1,256	1,426	F	\$6.85	161	1,163	1,324	E	\$2.95	124	961	1,085	D
0800 - 0900	\$2.95	32	173	205	A	\$2.95	83	748	831	C	\$2.95	144	1,026	1,170	D	\$2.95	139	1,060	1,199	D	\$2.95	110	869	979	C
0900 - 1000	\$2.95	91	594	685	B	\$2.95	109	680	789	B	\$2.95	149	832	981	C	\$2.95	125	761	886	C	\$2.95	149	715	864	C

AM Time	Monday 06/28/21					Tuesday 06/29/21					Wednesday 06/30/21					Thursday 07/01/21					Friday 07/02/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$2.95	113	446	559	B	\$2.95	96	419	515	B	\$2.95	101	423	524	B										
0500 - 0600	\$6.85	159	949	1,108	D	\$6.85	163	982	1,145	D	\$6.85	150	1,001	1,151	D										
0600 - 0700	\$6.85	125	1,124	1,249	E	\$6.85	128	1,236	1,364	E	\$6.85	155	1,138	1,293	E										
0700 - 0800	\$6.85	138	1,114	1,252	E	\$6.85	154	1,177	1,331	E	\$6.85	163	1,241	1,404	F										
0800 - 0900	\$2.95	139	940	1,079	D	\$2.95	156	1,087	1,243	E	\$2.95	118	968	1,086	D										
0900 - 1000	\$2.95	152	686	838	C	\$2.95	127	804	931	C	\$2.95	144	823	967	C										

RCTC OPERATIONAL HIGHLIGHTS

On-Road Operations

RCTC Freeway Service Patrol responded to 98 calls during the month of June. Of those calls, 73 were to assist disabled vehicles, 11 calls to remove debris, and 14 were in response to accidents in the Express Lanes.

91 Express Lanes BOS Development Update

In February, CUSA notified OCTA and RCTC of a delay to the implementation of the new BOS for the 91 Express Lanes for both Orange and Riverside counties as a result of the COVID-19 pandemic. CUSA is the current operator of the 91 Express Lanes for both OCTA and RCTC and is the firm selected for the design, development, and implementation of the new BOS, as well as the customer service center operation, once the current contract expires on June 30, 2021.

In April 2021, OCTA and RCTC (Agencies) provided notice to CUSA that the Agencies will be exercising the first of the six one-month extension period, which will commence July 1, 2021 through July 31, 2021. The Agencies intend to exercise the one-month options until the Agencies transition to the new contract. Agencies' staff are continuing to work with CUSA to meet the revised anticipated go-live date in October 2021.

FINANCIAL HIGHLIGHTS RCTC

RCTC 91 Express Lanes Operating Statement

Description	YTD as of : 6/30/2021		YTD Variance	
	Actual ¹	Budget	Dollar \$	Percent (%)
Operating revenues:				
Toll Revenue	\$ 39,930,214.27	\$ 25,754,400.00	\$ 14,175,814.27	55.0
Fee Revenue	6,320,347.12	2,450,500.00	3,869,847.12	157.9
Total operating revenues	46,250,561.39	28,204,900.00	18,045,661.39	64.0
Operating expenses:				
Salaries and Benefits	611,942.17	675,500.00	63,557.83	9.4
Legal Services	110,513.98	350,000.00	239,486.02	68.4
Advisory Services	57,833.86	75,000.00	17,166.14	22.9
Audit and Accounting Fees	37,775.00	36,000.00	(1,775.00)	(4.9)
Service Fees	5,475.33	20,000.00	14,524.67	72.6
Other Professional Services	764,452.33	2,621,000.00	1,856,547.67	70.8
Lease Expense	258,155.49	490,200.00	232,044.51	47.3
Operations	2,127,972.41	2,987,000.00	859,027.59	28.8
Utilities	64,984.02	81,600.00	16,615.98	20.4
Supplies and Materials	4,909.00	30,000.00	25,091.00	83.6
Membership and Subscription Fees	28,281.50	30,000.00	1,718.50	5.7
Office Equipment & Furniture (Non-Capital)	5,383.88	15,000.00	9,616.12	64.1
Maintenance/Repairs	126,670.76	365,100.00	238,429.24	65.3
Training Seminars and Conferences	(720.00)	2,300.00	3,020.00	131.3
Transportation Expenses	-	4,000.00	4,000.00	100.0
Lodging	-	3,500.00	3,500.00	100.0
Meals	-	500.00	500.00	100.0
Other Staff Expenses	-	500.00	500.00	100.0
Advertising	4,611.25	275,000.00	270,388.75	98.3
Program Management	75,689.76	166,100.00	90,410.24	54.4
Program Operations	7,409,400.61	8,635,700.00	1,226,299.39	14.2
Litigation Settlement	-	-	-	N/A
Furniture & Equipment	-	305,000.00	305,000.00	100.0
Improvements	-	-	-	N/A
Bad Debt Expense	17,973.78	-	(17,973.78)	N/A
Total operating expenses	11,711,305.13	17,169,000.00	5,457,694.87	31.8
Operating income (loss)	34,539,256.26	11,035,900.00	23,503,356.26	213.0
Nonoperating revenues (expenses):				
Interest Revenue	529,601.68	691,900.00	(162,298.32)	23.5
Other Miscellaneous Revenue	944,155.83	100.00	944,055.83	(944,055.8)
Interest Expense	(29,687,116.56)	(7,119,900.00)	(22,567,216.56)	317.0
Total nonoperating revenues (expenses)	(28,213,359.05)	(6,427,900.00)	(21,785,459.05)	(338.9)
Transfers In	-	-	-	N/A
Transfers Out	(643,900.00)	(1,025,300.00)	381,400.00	(37.2)
Net income (loss)	\$ 5,681,997.21	\$ 3,582,700.00	\$ 2,099,297.21	58.6

¹ Unaudited

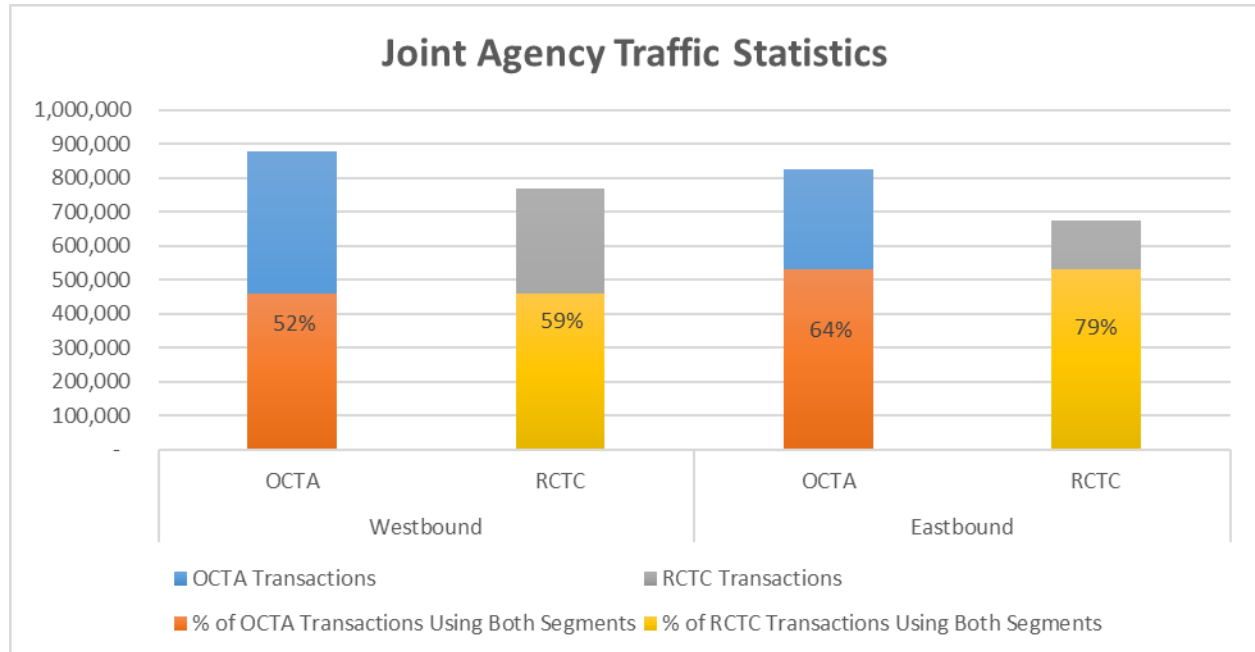
JOINT AGENCY TRIP AND REVENUE STATISTICS

MULTI AGENCY TRIP AND REVENUE STATISTICS

MONTH ENDING June 30, 2021

MTD	Transactions by Agency	Transactions Using Both Segments	% Using Both Segments	Revenue
Westbound				
OCTA	878,371	458,036	52%	\$2,339,539
RCTC	770,811	458,036	59%	\$2,534,675
I-15	274,149	244,866	89%	\$770,218
McKinley	496,662	213,170	43%	\$1,764,457
Eastbound				
OCTA	825,920	531,501	64%	\$2,739,329
RCTC	674,216	531,501	79%	\$2,174,212
I-15	257,131	211,763	82%	\$617,734
McKinley	417,085	319,738	77%	\$1,556,478

JOINT AGENCY TRAFFIC STATISTICS



JOINT AGENCY PERFORMANCE MEASURES

REPORTING REQUIREMENT	Reporting Period	PERFORMANCE STANDARD	Jun-21 Performance
CUSTOMER SERVICE			
Call Wait Time**	Monthly	Not to exceed 2 minutes	2:07
Abandon Rate	Monthly	No more than 4.0%	3.2%
Customer Satisfaction	Monthly	At least 75 outbound calls	76
VIOLATION PROCESSING			
Response Time	Monthly	Within 2 business days of receipt	0.7
CUSA Violation Collection Rate	Quarterly	70% or more	69%
CUSA Violation Collection Rate	Annually	74% or more	61%
TRAFFIC OPERATIONS			
Initial & Secondary Review s	Monthly	Equal to or less than 15 days	0.9
* Plate Misread Errors	Monthly	Equal to or less than 0.4%	0.02%
CAS Response Time	Monthly	0:20 (minutes) per call	0:19
ACCOUNTING			
OCTA Exceptions	Monthly	No more than 3	0
RCTC Exceptions	Monthly	No more than 3	0
INFORMATION TECHNOLOGY			
Back-office System Uptime	Monthly	99% Availability	100%
Network Uptime	Monthly	99% Availability	100%

CUSA = Cofiroute USA; CAS = OCTA Customer Assistance Specialists

* Plate Misread Error performance is current after a 60-day hold-back period; therefore, percentage reported here is for two months prior to the month of this report.

** Call Wait Time was not met in June 2021 as a result of decrease availability of staff due to the pandemic.

JOINT AGENCY TRANSPONDER DISTRIBUTION

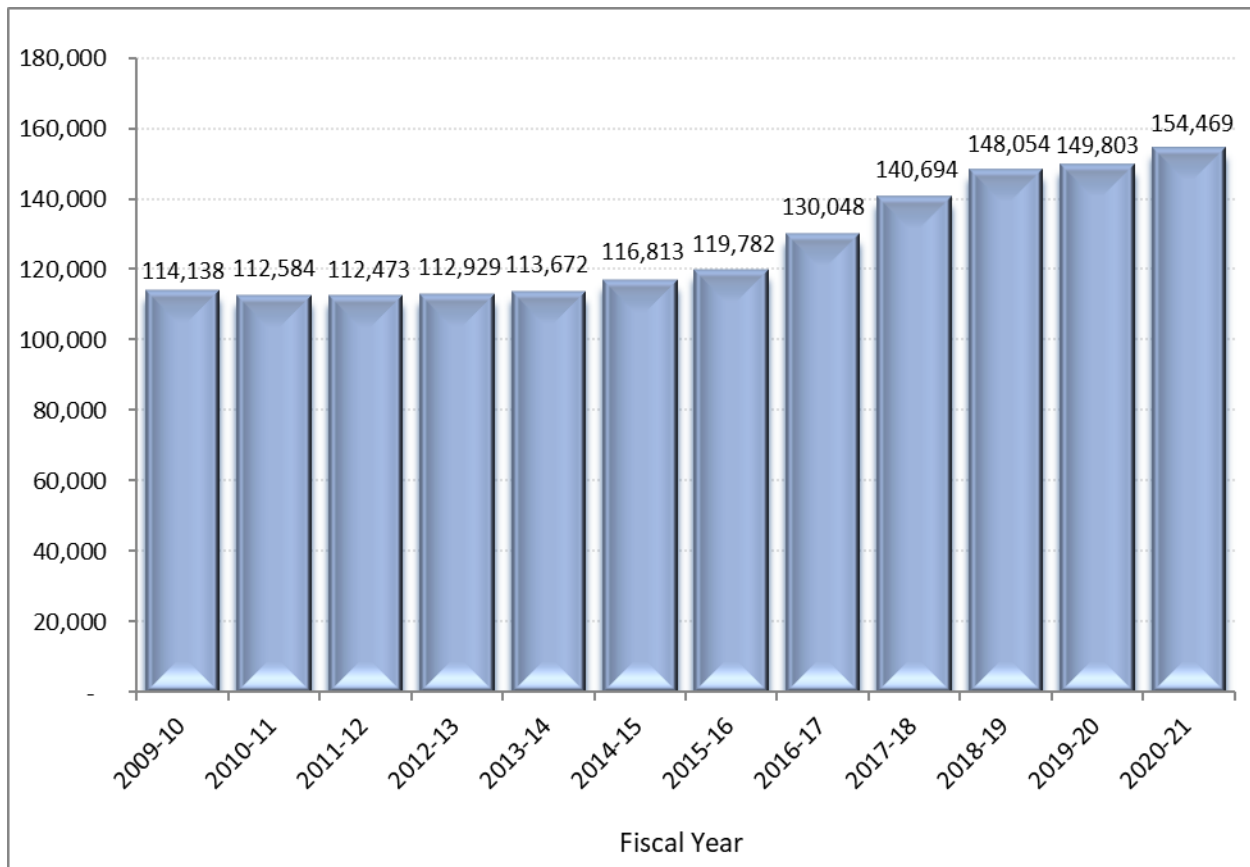
T21 TRANSPONDER DISTRIBUTION	June-21		May-21		FY 2020-21	
	Tags	% of Total	Tags	% of Total	Average To-Date	
Issued						
To New Accounts	295	81.0%	1,181	97.3%	798	96.5%
Additional Tags to Existing Accounts	7	1.9%	22	1.8%	15	1.8%
Replacement Transponders	62	17.0%	11	0.9%	14	1.7%
Total Issued	364		1,214		827	
Returned						
Account Closures					16	0.5%
Accounts Downsizing					4	0.1%
Defective Transponders	6,113	100.0%	1,785	100.0%	3,190	99.4%
Total Returned	6,113		1,785		3,210	

6C TRANSPONDER DISTRIBUTION		June-21		May-21		FY 2020-21	
		Tags	% of Total	Tags	% of Total	Average To-Date	
Issued							
To New Accounts	18,544	99.4%	35,117	99.8%	28,320	99.9%	
Additional Tags to Existing Accounts	116	0.6%	61	0.2%	38	0.1%	
Replacement Transponders			1	0.0%	1	0.0%	
Total Issued	18,660		35,179		28,359		
Returned							
Account Closures							
Accounts Downsizing							
Defective Transponders							
Total Returned							

At the end of June 2021, the 91 Express Lanes had 154,469 active customer accounts and 588,045 transponders classified as assigned.

Number of Accounts by FY

As of June 30, 2021



Incoming Email Activity

During June, the Anaheim Processing Center received 4,381 emails.

Operational Activity

Amid concerns about the spread of COVID-19 and following the State of California's guidance to help reduce its spread, the 91 Express Lanes Customer Walk-In Center was closed in March 2020 and will remain so until July 6, 2021. Operational activities in the Anaheim and Corona locations continued to function with a combination of remote workers and core staff located at the facilities. Core essential functions include aiding stranded motorists, providing incident management services, and dispatching emergency vehicles through the traffic operations center. The call center remains open to respond to customer service and violation calls.



COMMITTEE TRANSMITTAL

August 23, 2021

To: Members of the Board of Directors

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

Subject: Fiscal Year 2020-21 Fourth Quarter Grant Reimbursement Status Report

Finance and Administration Committee Meeting of August 11, 2021

Present: Directors Foley, Goodell, Harper, Hennessey, Hernandez, Jones, and Muller

Absent: None

Committee Vote

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

Director Goodell was not present to vote on this item.

Committee Recommendation

Receive and file as an information item.



August 11, 2021

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Fiscal Year 2020-21 Fourth Quarter Grant Reimbursement Status Report

Overview

The Quarterly Grant Reimbursement Status Report summarizes grant activities for the Orange County Transportation Authority Board of Directors. This report focuses on activity for the fourth quarter of fiscal year 2020-21, covering April through June 2021.

Recommendation

Receive and file as an information item.

Discussion

The Orange County Transportation Authority (OCTA) has secured grant funding from federal and state grant agencies to deliver programs, projects, and services to improve mobility in Orange County. The use of these funds is consistent with the capital programming policies approved by the OCTA Board of Directors (Board). The Quarterly Grant Reimbursement Status Report summarizes current, pending close-out, and closed grant agreements.

Awarded/Executed Grant Agreements:

OCTA executed one competitive grant during the Fourth Quarter, which is summarized below.

OCTA executed a grant agreement with the Federal Transit Administration (FTA) to secure \$1.2 million in FTA Section 5339 funds. The funds will be used to ensure OCTA's bus facilities maintain a state of good repair. Expenditures include heating, ventilation, and air conditioner replacements, and rehabilitation of bus wash and steam cleaning areas to maintain the bus fleet.

Current Grant Agreements:

OCTA's FTA formula grant agreements total 12 and FTA discretionary grant agreements total five.

The 12 FTA formula grant agreements have a total federal amount of \$412 million. A total of \$132.3 million has been reimbursed, leaving a balance of approximately \$279.7 million. The balance of these FTA formula grant agreements will primarily fund the OC Streetcar Project, fixed-route bus procurements, and rail rehabilitation projects.

The FTA discretionary grant agreements have a total federal amount of \$164.1 million. This includes the full funding grant agreement award of \$148.9 million. A total of \$56.6 million has been reimbursed, leaving a balance of \$107.5 million. The balance of these FTA discretionary grant agreements will also primarily fund the OC Streetcar Project in addition to slope stabilization improvements on the railroad right-of-way from the City of Laguna Niguel to the City of Lake Forest.

The total FTA formula and discretionary grant agreements amount to \$576.2 million. The total amount reimbursed through the fourth quarter under these grant agreements is \$188.9 million, leaving a balance of \$387.3 million. These grant agreements are summarized in Attachment A.

OCTA has 27 active state and Federal Highway Administration formula grant agreements that total \$80.6 million. The total amount reimbursed through the fourth quarter under these grant agreements is \$39.5 million, leaving a balance of \$41.1 million, and summarized in Attachment B.

In addition, OCTA has 12 active state discretionary grant agreements totaling approximately \$34.5 million. A total of \$15.7 million of these discretionary grant agreements has been reimbursed, leaving a balance of \$18.8 million. These discretionary grant agreements are summarized in Attachment C.

This report activity is as of June 30, 2021, and any grants with a deadline between the quarter end and the date this report is published will be fully reimbursed and closed out. This activity will be reflected in next quarter's report. Additionally, for these grants, staff anticipates each of the remaining balances to be fully reimbursed prior to the grant agreement expiration date.

Grant Agreements Pending Close-Out:

There are three grant agreements totaling \$11.9 million that are pending close-out in the fourth quarter of fiscal year (FY) 2020-21. All invoices for these grant agreements have been submitted to their external funding agency for reimbursement. OCTA is pending approval of close-out documentation. These grant agreements are summarized in Attachment D.

Closed Grant Agreements:

There are seven grant agreements totaling \$180.1 million that were closed out in the fourth quarter of FY 2020-21. These grant agreements are summarized in Attachment E.

Summary

This report provides an update of the grant agreement-funded activities for the fourth quarter of FY 2020-21, April through June 2021. Staff recommends this report be received and filed as an information item.

Attachments

- A. Fourth Quarter Grant Reimbursement Status Report, April through June 2021, Federal Transit Administration Formula and Discretionary Grant Agreements
- B. Fourth Quarter Grant Reimbursement Status Report, April through June 2021, State and Federal Highway Administration Formula Grant Agreements
- C. Fourth Quarter Grant Reimbursement Status Report, April through June 2021, State Discretionary Grant Agreements
- D. Fourth Quarter Grant Reimbursement Status Report, April through June 2021, Grant Agreements Pending Close-out
- E. Fourth Quarter Grant Reimbursement Status Report, April through June 2021, Closed Grant Agreements

Prepared by:



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

Approved by:



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

Fourth Quarter Grant Reimbursement Status Report

April through June 2021

Federal Transit Administration (FTA) Formula and Discretionary Grant Agreements						
	FEDERAL FISCAL YEAR	GRANT NUMBER	FEDERAL AMOUNT	FEDERAL AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
FTA Section 5307 - Coronavirus Aid, Relief and Economic Security (CARES) Act						
	1	2020	CA-2020-146	\$ 160,419,003	\$ 31,368,200	\$ 129,050,803
	FTA Section 5307 CARES Grant Subtotal			\$ 160,419,003	\$ 31,368,200	\$ 129,050,803
FTA Section 5307 - Urbanized Area Formula Grant Program						
	2	2013	CA-90-2027	\$ 53,878,508	\$ 53,554,939	\$ 323,569
	FTA Section 5307 Grant Subtotal			\$ 53,878,508	\$ 53,554,939	\$ 323,569
FTA Section 5307 - Federal Funds flexed from the Federal Highway Administration (FHWA):						
	3	2010	CA-95-X131	\$ 2,102,650	\$ 1,870,690	\$ 231,960
	4	2014	CA-95-X286	6,621,000	5,248,022	1,372,978
	5	2017	CA-2017-072	31,567,405	23,704,007	7,863,398
	6	2019	CA-2020-050	76,843,769	3,928,915	72,914,854
	7	2020	CA-2021-010	42,599,378	0	42,599,378
	FTA Section 5307 Flexed Grant Subtotal			\$ 159,734,202	\$ 34,751,634	\$ 124,982,568
FTA Section 5316 - Jobs Access and Reverse Commute (JARC) Grant Program						
	8	2009	CA-37-X113	\$ 13,962,491	\$ 12,512,504	\$ 1,449,987
	FTA Section 5316 Grant Subtotal			\$ 13,962,491	\$ 12,512,504	\$ 1,449,987
FTA Section 5337 - State of Good Repair Grant Program						
	9	2020	CA-2020-269	\$ 3,470,454	0	\$ 3,470,454
	FTA Section 5337 Grant Subtotal			\$ 3,470,454	0	\$ 3,470,454
FTA Section 5339 - Buses and Bus Facilities Grant Program						
	10	2019	CA-2020-041	\$ 13,605,987	\$ 0	\$ 13,605,987
	11	2020	CA-2020-276	6,794,700	0	6,794,700
	FTA Section 5339 Grant Subtotal			\$ 20,400,687	\$ 0	\$ 20,400,687
FTA Section 5304 - Sustainable Communities						
	12	2020	Freeway Bus Rapid Transit Concept Study	\$ 210,602	\$ 148,740	\$ 61,862
	FTA Section 5304 Grant Subtotal			\$ 210,602	\$ 148,740	\$ 61,862
Federal Transit Administration Formula Grants Total				\$ 412,075,947	\$ 132,336,017	\$ 279,739,930

Fourth Quarter Grant Reimbursement Status Report
April through June 2021

Federal Transit Administration Formula and Discretionary Grant Agreements						
FEDERAL FISCAL YEAR	GRANT NUMBER	FEDERAL AMOUNT	FEDERAL AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT	
FTA Section 5309 - Discretionary Capital Grant Program						
13	2008 CA-04-0078	\$ 7,021,300	\$ 6,302,251	\$ 719,049	December 2021	
14	2012 CA-05-0269	6,000,000	5,952,588	47,412	November 2021	
15	2018 CA-2020-281	913,115	0	913,115	September 2025	
FTA Section 5309 Grant Subtotal						
		\$ 13,934,415	\$ 12,254,839	\$ 1,679,576		
FTA Section 5309 - Discretionary Capital Grant Program (FFGA)						
16	2019 CA-2019-018	\$ 148,955,409	\$ 44,300,741	\$ 104,654,668	October 2023	
FTA Section 5309 FFGA Grant Subtotal						
		\$ 148,955,409	\$ 44,300,741	\$ 104,654,668		
FTA Section 5339b - Bus and Bus Facilities						
17	2017 CA-2021-052	\$ 1,206,518	\$ 0	\$ 1,206,518	April 2022	
FTA 5339b Grant Subtotal						
		\$ 1,206,518	\$ 0	\$ 1,206,518		
Federal Transit Administration Discretionary Grants Total						
		\$ 164,096,342	\$ 56,555,580	\$ 107,540,762		
Total Federal Transit Administration Formula and Discretionary Grant Agreements						
		\$ 576,172,289	\$ 188,891,597	\$ 387,280,691		

Funding Source Notes:

FTA Section 5307 - Coronavirus Aid, Relief and Economic Security (CARES) Act: Federal emergency relief funds in response to COVID-19

FTA Section 5307 - Urbanized Area Formula Grant Program: Funds are used to fund preventive maintenance, capital cost of contracting, and to purchase revenue vehicles, facility modifications, and bus-related equipment.

FTA Section 5316 - Jobs Access and Reverse Commute (JARC) Grant Program: Grants provide funds to support new transit services and to establish mobility management programs to assist low-income individuals.

FTA Section 5337 - State of Good Repair Grant Program: A formula-based State of Good Repair program dedicated to repairing and upgrading the nation's rail transit systems along with high-intensity motor bus systems that use high-occupancy lanes.

FTA Section 5339 - Buses and Bus Facilities Grant Program: A new formula-based program dedicated to support capital projects such as the replacement, rehabilitation, and purchase of buses, vans, and related equipment.

FTA Section 5309 - Discretionary Capital Grant Program: Grants provide for projects that improve efficiency and coordination of transportation systems.

FTA Section 5309 - Discretionary Capital Grant Program (FFGA): Grants provide for projects that improve efficiency and coordination of transportation systems.

FTA Section 5304 - Sustainable Communities: A formula-based grant to provide a safe, sustainable, integrated and efficient transportation system.

Fourth Quarter Grant Reimbursement Status Report

April through June 2021

State and Federal Highway Administration Formula Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
CMAQ - Federal Highway Administration Grant Program - Congestion Mitigation & Air Quality						
1	2015	Interstate-5, State Route-55 to State Route-57 (PS&E)	\$ 2,800,000	\$ 2,352,003	\$ 447,997	June 2022
CMAQ Subtotal			\$ 2,800,000	\$ 2,352,003	\$ 447,997	
RSTP - Federal Highway Administration Grant Program - Regional Surface Transportation Program						
2	2015	State Route-91, State Route-57 to State Route-55 (PA/ED)	\$ 7,000,000	\$ 6,366,118	\$ 633,882	June 2022
3	2016	State Route-57, Orangewood to Katella Ave (PA/ED)	2,500,000	1,928,825	571,175	August 2021
RSTP Subtotal			\$ 9,500,000	\$ 8,294,943	\$ 1,205,057	
STBG - Federal Highway Administration Grant Program - State Transportation Block Grant						
4	2016	Interstate-405, State Route-73 to Interstate-605 (CON)	\$ 1,000	\$ 0	\$ 1,000	June 2022
5	2018	Interstate-5, State Route-55 to State Route-57 (CON)	1,340,000	129,522	1,210,478	June 2022
6	2018	State Route-55, Interstate-405 to Interstate-5 (PS&E)	18,100,000	18,064,887	35,113	June 2023
7	2019	Interstate-5, Orange/San Diego County Line to Avenida Pico (PA/ED)	5,500,000	87,855	5,412,145	June 2022
STBG Subtotal			\$ 24,941,000	\$ 18,282,265	\$ 6,658,735	
Low Carbon Transit Operations Program (LCTOP) - California Department of Transportation (CALTRANS)						
8	2018	Bravo! Route 529 Start-up & Operations	\$ 4,787,534	\$ 4,291,737	\$ 495,797	January 2022
9	2019	Battery Electric Buses, Bus Depot Upgrades & Charging Infrastructure	2,523,000	0	2,523,000	June 2023
10	2019	College Fare Program for Fullerton	381,523	0	381,523	August 2022
11	2019	College Fare Program for Golden West	215,279	98,952	116,327	August 2022
12	2019	College Fare Program for Santa Ana College	393,198	0	393,198	December 2021
13	2019	Travel Training	685,000	276,264	408,736	July 2022
14	2020	Battery Electric Buses, Bus Depot Upgrades & Charging Infrastructure	2,909,886	0	2,909,886	June 2023
15	2020	Bravo! Route 529 Start-up & Operations	1,470,913	0	1,470,913	January 2023
16	2020	College Fare Program - Irvine Valley, Saddleback, Cypress and Coastline	749,243	0	749,243	December 2023
17	2020	Discounted Age-Based Fare Program	2,000,000	0	2,000,000	September 2024
18	2020	Metrolink Service Expansion	2,100,000	0	2,100,000	September 2023
LCTOP Subtotal			\$ 18,215,576	\$ 4,666,953	\$ 13,548,623	
State Proposition 116: Clean Air and Transportation Improvement Act Bond Funds						
19	2019	Laguna Niguel to San Juan Capistrano Passing Siding (CON)	\$ 4,733,344	\$ 4,733,344	\$ 0	June 2023
PROP 116 Subtotal			\$ 4,733,344	\$ 4,733,344	\$ 0	
State Transportation Improvement Plan (STIP) Programming, Planning & Monitoring (PPM)						
20	2019	PPM Program	\$ 1,481,000	\$ 781,978	\$ 699,022	December 2021
21	2021	PPM Program	1,000,000	0	1,000,000	December 2023
STIP PPM Subtotal			\$ 2,481,000	\$ 781,978	\$ 1,699,022	

Fourth Quarter Grant Reimbursement Status Report

April through June 2021

State and Federal Highway Administration Formula Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
Senate Bill 1: State of Good Repair (SB1 SGR)						
22	2019	iShuttle Replacement Buses	\$ 5,580,604	\$ 0	\$ 5,580,604	December 2021
23	2020	El Dorado Cutaway Bus Replacement	2,070,281	0	2,070,281	September 2022
24	2020	iShuttle Replacement Buses	3,062,751	0	3,062,751	December 2021
25	2020	Replacement of Emergency Standby Generators	800,000	410,410	389,591	October 2021
26	2021	Facilities Modifications, Upgrades and Replacement	5,852,278	0	5,852,278	August 2022
27	2021	Replacement of Emergency Standby Generators	574,200	0	574,200	October 2021
SB1 SGR Subtotal			\$ 17,940,114	\$ 410,410	\$ 17,529,705	
Total State and Federal Highway Administration Formula Grant Agreements			\$ 80,611,034	\$ 39,521,895	\$ 41,089,139	

Project Phases:

CON- Construction, Construction Management, Construction Engineering or Force Account expenses.
 PA/ED- Project Approval and Environmental Design.
 PS&E- Agency Preliminary Engineering.
 PSR- Development Support and Project Study Report.
 ROW- Right of Way Services, Engineering, Administration, Acquisition, Utility Relocation or Relocation Assistance.

Fourth Quarter Grant Reimbursement Status Report
April through June 2021

State Discretionary Grant Agreements					
FISCAL YEAR	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
Hazard Mitigation Grant Program - FEMA - CalOES					
1 2020	Hazard Mitigation Plan	\$ 93,750	\$ 0	\$ 93,750	September 2022
HMGP Subtotal		\$ 93,750	\$ 0	\$ 93,750	
Active Transportation Program (ATP)					
2 2020	Safe Travels Education Program (STEP) Campaign	\$ 500,000	\$ 120,479	\$ 379,521	July 2022
ATP Subtotal		\$ 500,000	\$ 120,479	\$ 379,521	
Air Quality Management District (AQMD) Grant Program and Mobile Source Air Pollution Reduction Review Committee (MSRC)					
3 2019	La Habra Union Pacific Rail Bikeway	\$ 91,760	\$ 0	\$ 91,760	November 2023
4 2019	OC Fair Express	468,298	0	468,298	October 2021
5 2020	College Fare Program for Fullerton	212,000	165,236	46,764	March 2022
MSRC Subtotal		\$ 772,058	\$ 165,236	\$ 606,822	
Transit and Intercity Rail Capital Program (TIRCP)					
6 2016	OC Streetcar (CON)	\$ 25,586,000	\$ 12,705,055	\$ 12,880,945	May 2022
CAP & TRADE TIRCP Subtotal		\$ 25,586,000	\$ 12,705,055	\$ 12,880,945	
Transit Security Administration (TSA) National Explosives Detection Canine Team Program (NEDCTP) - Department of Homeland Security					
7 2020	Transportation Security Administration Canine	\$ 568,125	\$ 184,164	\$ 383,961	December 2021
TSA Canine Subtotal		\$ 568,125	\$ 184,164	\$ 383,961	
Senate Bill 1: Local Partnership Program (SB1 LPP)					
8 2018	Garden Grove Boulevard Signal Synchronization (CON)	\$ 1,353,000	\$ 796,976	\$ 556,024	December 2023
9 2018	Katella Avenue Signal Synchronization (CON)	2,449,000	98,074	2,350,926	December 2023
10 2018	Los Alisos Boulevard Signal Synchronization (CON)	1,117,000	657,922	459,078	December 2023
11 2018	Main Street Signal Synchronization (CON)	1,926,000	968,562	957,438	December 2023
SB1 LPP Subtotal		\$ 6,845,000	\$ 2,521,534	\$ 4,323,466	

Fourth Quarter Grant Reimbursement Status Report
April through June 2021

State Discretionary Grant Agreements									
Senate Bill 1: Planning Grants (SB1 PL)									
12	2021	OC Bike Connectors Gap Closure Feasibility Study	\$	160,000	\$	0	\$	160,000	April 2023
SB1 PL Subtotal			\$	160,000	\$	0	\$	160,000	
Total State Discretionary Grant Agreements			\$	34,524,933	\$	15,696,467	\$	18,828,466	

Project Phases:	
CON-	Construction, Construction Management, Construction Engineering or Force Account expenses.
PA/ED-	Project Approval and Environmental Design.
PS&E-	Agency Preliminary Engineering.
PSR-	Development Support and Project Study Report.
ROW-	Right of Way Services, Engineering, Administration, Acquisition, Utility Relocation or Relocation Assistance.

Fourth Quarter Grant Reimbursement Status Report
April through June 2021

Grant Agreements Pending Close-out						
	FISCAL YEAR (FY)	FUNDING SOURCE	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE
1	2017	LCTOP	Bus Bicycle Racks	\$ 766,345	\$ 766,345	\$ 0
2	2018	PROP 1B IRI	Laguna Niguel to San Juan Capistrano Passing Siding (CON)	2,000,000	2,000,000	0
3	2015	RSTP	Interstate-5 Segment 1, State Route-73 to Oso Pkwy (PS&E)	9,101,000	9,101,000	0
Total Grant Agreements Pending Close-out				\$ 11,867,345	\$ 11,867,345	\$ 0

Funding Source Notes

LCTOP - Low Carbon Transit Operations Program - California Department of Transportation.
PROP 1B IRI - State Proposition 1B Intercity Rail Improvement.
RSTP - Federal Highway Administration Regional Surface Transportation Program Grant Program.

Project Phases:

CON- Construction, Construction Management, Construction Engineering or Force Account expenses.
PA/ED- Project Approval and Environmental Design.
PS&E- Agency Preliminary Engineering.
PSR- Development Support and Project Study Report.
ROW- Right of Way Services, Engineering, Administration, Acquisition, Utility Relocation or Relocation Assistance.

Fourth Quarter Grant Reimbursement Status Report
April through June 2021

Closed Grant Agreements						
	FISCAL YEAR (FY)	FUNDING SOURCE	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE
1	2015	CMAQ	Interstate-5, Orange/San Diego County Line to Avenida Pico (PSR)	\$ 450,000	\$ 450,000	\$ 0
2	2012	FTA Section 5307	FTA CA-90-Y942	57,746,966	57,746,966	0
3	2015	FTA Section 5307	FTA CA-2016-032	55,400,721	55,400,721	0
4	2019	FTA Section 5337	FTA CA-2020-039	8,349,277	8,349,277	0
5	2015	PROP 1B PTMISEA	Raymond Ave Grade Separation Project (CON)	45,159,889	45,159,889	0
6	2013	RSTP	Interstate-5, Interstate-405 to State Route-55 (PA/ED)	8,000,000	7,915,878	84,122
7	2017	RSTP	State Route-55, Interstate-5 to State Route-91 (PA/ED)	5,000,000	4,645,589	354,411
Total Closed Grants				\$ 180,106,853	\$ 179,668,320	\$ 438,533

Funding Source Notes

CMAQ - Federal Highway Administration Congestion Mitigation & Air Quality Grant Program.
 FTA Section 5307 - Federal Transit Administration Urbanized Area Formula Grant Program.
 FTA Section 5337 - Federal Transit Administration State of Good Repair Grant Program.
 PROP 1B PTMISEA - State Proposition 1B: Public Transportation Modernization, Improvement, and Service Enhancement Account.
 RSTP - Federal Highway Administration Regional Surface Transportation Program Grant Program:
 Balance will be de-obligated and programmed to a future eligible RSTP project.

Project Phases:

CON- Construction, Construction Management, Construction Engineering or Force Account expenses.
 PA/ED- Project Approval and Environmental Design.
 PS&E- Agency Preliminary Engineering.
 PSR- Development Support and Project Study Report.
 ROW- Right of Way Services, Engineering, Administration, Acquisition, Utility Relocation or Relocation Assistance.



COMMITTEE TRANSMITTAL

August 23, 2021

To: Members of the Board of Directors

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

Subject: Agreements for Health Insurance Services

Finance and Administration Committee Meeting of August 11, 2021

Present: Directors Foley, Goodell, Harper, Hennessey, Hernandez, Jones, and Muller

Absent: None

Committee Vote

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

Committee Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3649 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Kaiser Permanente Health Plan, Inc., on a cost per employee basis, for prepaid medical services through December 31, 2022. The annual 2022 Kaiser Permanente Health Plan, Inc. premium cost will vary in accordance with actual enrollment.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3650 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Anthem Blue Cross, on a cost per employee basis, for prepaid medical services through December 31, 2022. The annual 2022 Anthem Blue Cross health maintenance organization premium costs will vary in accordance with actual enrollment.



Committee Recommendations (Continued)

- C. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3651 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Anthem Blue Cross, on a cost per employee basis, for preferred provider organization medical services through December 31, 2022. The annual 2022 Anthem Blue Cross preferred provider organization premium costs will vary in accordance with actual enrollment.
- D. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3652 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Anthem Blue Cross, on a cost per employee basis, for a consumer driven health plan through December 31, 2022. The annual 2022 Anthem Blue Cross consumer driven health plan premium costs and health savings account expenses will vary in accordance with actual enrollment.
- E. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3670 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Delta Dental, on a cost per employee basis, for preferred provider organization dental services through December 31, 2022. The annual 2022 Delta Dental preferred provider organization premium costs will vary in accordance with actual enrollment.
- F. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 11 to Agreement No. C-1-2995 between the Orange County Transportation Authority and Delta Dental, on a cost per employee basis, for health maintenance organization dental services through December 31, 2022. The annual 2022 Delta Dental health maintenance organization premium costs will vary in accordance with actual enrollment.
- G. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3672 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Delta Dental, on a cost per employee basis, for health maintenance organization dental services through December 31, 2022. The annual 2022 Delta Dental health maintenance organization premium costs will vary in accordance with actual enrollment.



Committee Recommendations (Continued)

- H. Authorize Chief Executive Officer to negotiate and execute Agreement No. C-1-3671 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Vision Service Plan, on a cost per employee basis, for vision services through December 31, 2022. The annual 2022 vision services premium costs will vary in accordance with actual enrollment.
- I. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Purchase Order No. C-7-1897 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA for life and accidental death and dismemberment insurance through December 31, 2022. The annual 2022 life and accidental death and dismemberment premium costs will vary in accordance with actual volume in the plan.
- J. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Purchase Order No. C-7-1898 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA to provide supplemental life insurance to employees at their own expense through December 31, 2022.
- K. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Purchase Order No. C-7-1899 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA for short-term and long-term disability insurance through December 31, 2022. The annual 2022 short-term and long-term disability premium costs will vary in accordance with actual volume in the plan.
- L. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Purchase Order No. C-7-1900 between Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA with Compsych to provide employee leave administration through December 31, 2022.

Note:

Attachment M (Orange County Transportation Authority Financial Overview, Effective January 1, 2022) has been updated to reflect the correct Long-Term Disability rate for the current year (2021). The rate previously listed, \$122,187, was the 2020 rate, rather than the 2021 rate of \$112,554. This does not change any of the recommendations.



August 11, 2021

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Agreements for Health Insurance Services

Overview

The Orange County Transportation Authority currently has agreements with various companies to provide medical, dental, vision, life, accidental death and dismemberment, disability, and supplemental life plans for administrative employees and employees represented by the Transportation Communications International Union and represented by Teamsters Local 952 Union. These agreements expire on December 31, 2021. Staff is presenting recommendations for medical, dental, vision, life, accidental death and dismemberment, disability, and supplemental life insurance, as well as leave administration for the calendar year 2022.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3649 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Kaiser Permanente Health Plan, Inc., on a cost per employee basis, for prepaid medical services through December 31, 2022. The annual 2022 Kaiser Permanente Health Plan, Inc. premium cost will vary in accordance with actual enrollment.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3650 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Anthem Blue Cross, on a cost per employee basis, for prepaid medical services through December 31, 2022. The annual 2022 Anthem Blue Cross health maintenance organization premium costs will vary in accordance with actual enrollment.

- C. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3651 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Anthem Blue Cross, on a cost per employee basis, for preferred provider organization medical services through December 31, 2022. The annual 2022 Anthem Blue Cross preferred provider organization premium costs will vary in accordance with actual enrollment.
- D. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-5-3652 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Anthem Blue Cross, on a cost per employee basis, for a consumer driven health plan through December 31, 2022. The annual 2022 Anthem Blue Cross consumer driven health plan premium costs and health savings account expenses will vary in accordance with actual enrollment.
- E. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3670 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Delta Dental, on a cost per employee basis, for preferred provider organization dental services through December 31, 2022. The annual 2022 Delta Dental preferred provider organization premium costs will vary in accordance with actual enrollment.
- F. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 11 to Agreement No. C-1-2995 between the Orange County Transportation Authority and Delta Dental, on a cost per employee basis, for health maintenance organization dental services through December 31, 2022. The annual 2022 Delta Dental health maintenance organization premium costs will vary in accordance with actual enrollment.
- G. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3672 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Delta Dental, on a cost per employee basis, for health maintenance organization dental services through December 31, 2022. The annual 2022 Delta Dental health maintenance organization premium costs will vary in accordance with actual enrollment.

- H. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3671 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for Vision Service Plan, on a cost per employee basis, for vision services through December 31, 2022. The annual 2022 vision services premium costs will vary in accordance with actual enrollment.
- I. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Purchase Order No. C-7-1897 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA for life and accidental death and dismemberment insurance through December 31, 2022. The annual 2022 life and accidental death and dismemberment premium costs will vary in accordance with actual volume in the plan.
- J. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Purchase Order No. C-7-1898 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA to provide supplemental life insurance to employees at their own expense through December 31, 2022.
- K. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Purchase Order No. C-7-1899 between the Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA for short-term and long-term disability insurance through December 31, 2022. The annual 2022 short-term and long-term disability premium costs will vary in accordance with actual volume in the plan.
- L. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Purchase Order No. C-7-1900 between Orange County Transportation Authority and Public Risk Innovation, Solutions, and Management for VOYA with Compsych to provide employee leave administration through December 31, 2022.

Background

Staff continues to focus on developing and maintaining a long-term strategy to contain rising healthcare costs as a multi-year program. The goal of this long-term strategy is to develop and maintain a sustainable and strategic long-term benefits program that is both cost-effective and meets the needs of the employees, and consists of four basic components:

- 1) Provide an equitable cost-sharing structure,
- 2) Manage utilization,
- 3) Educate employees to be better healthcare consumers, and
- 4) Implement a health risk management program.

An equitable employee contribution schedule was developed that rewards tenure within the Orange County Transportation Authority (OCTA) for administrative employees and employees represented by the Transportation Communications International Union (TCU) with a reduction in premium costs after ten years of continuous service. For coach operators, cost sharing is defined in the Collective Bargaining Agreement. All coach operators who participate in the medical, dental, and vision plans will continue to make employee contributions to the medical, dental, and vision premium(s) not to exceed five percent for the employee-only coverage, seven percent for the employee plus one coverage, and ten percent for the employee plus family coverage of the total cost. According to Article 49 (Section 1), the schedule allows employees to share in the cost as they share in the benefits. Employees who select the more expensive Preferred Provider Organization (PPO) plan pay a higher percentage of the premium than those electing the lower cost Health Maintenance Organization (HMO) plans.

The Consumer Driven Health Plan (CDHP), along with a Health Savings Account, supports employee engagement and encourages employees to be connected to health care dollars, thereby increasing use of generic drugs, reducing emergency visits, and increasing participation in wellness programs. Cost savings continue to increase as employees migrate to the CDHP plan, which has a 24 percent lower premium than the PPO plan.

Discussion

OCTA received proposals for medical and life insurance plans from Public Risk Innovation, Solutions, and Management (PRISM) and OCTA's broker, Alliant Insurance Services, for services effective January 1, 2022, through December 31, 2022.

Staff recommends the following medical, dental, vision, life, accidental death and dismemberment, disability, administrative services for protected leaves, and supplemental life insurance.

Medical

Since 2015, the OCTA Board of Directors (Board) has approved contracting with CSAC-EIA, now known as PRISM, for the most competitive pricing of medical

insurances. OCTA's experience with PRISM for administrative, coach operator, and TCU employee health plans has resulted in competitive pricing below California market trends for five of the last six years. In 2020, OCTA experienced a 1.35 percent renewal decrease as compared to market trends of 5.5 percent increases for medical plans, and in 2021, OCTA experienced a 0.9 percent renewal increase as compared to market trends of seven to nine percent increases for medical plans.

For the 2022 medical rate renewal, PRISM proposes a renewal decrease of 3.7 percent for the Kaiser and Anthem Blue Cross (Anthem) medical insurance plans. This renewal decrease of 3.7 percent is less than market trend of seven percent increases for medical plans. Staff recommends continuing to offer the PRISM Kaiser and Anthem HMO, PPO, and CDHP plans and adding acupuncture benefits to these plans, thereby modifying the overall renewal rate decrease to 3.4 percent.

Dental

OCTA currently offers two choices of dental plans to its employees: a dental PPO and a dental HMO plan. Administrative, TCU, and coach operator employees are offered a dental PPO plan with Delta Dental, contracted through PRISM. A rate decrease of 2.5 percent is proposed for the dental PPO plan. The dental HMO plan for administrative and TCU employees is a Delta Dental plan contracted through PRISM, while the dental HMO plan offered to coach operators is contracted directly with Delta Dental. Neither dental HMO plan has proposed an increase for calendar year 2022.

Vision

The PRISM Vision Service Plan for vision insurance proposed no rate increases.

Life Insurance

OCTA provides eligible employees with life insurance as well as accidental death and dismemberment insurance. For administrative and TCU employees, the benefit amount is equal to two times the annual salary of the employee, to a maximum of \$500,000. For coach operators, life insurance of \$25,000 is provided, as well as a \$5,000 spousal and \$500 child life insurance benefit. PRISM for Voya life insurance proposed no rate increases.

Supplemental Life Insurance

OCTA offers voluntary supplemental life insurance to all eligible employees at their own expense. PRISM for Voya proposed no rate increases.

Disability Insurance

OCTA provides administrative employees with short-term disability and administrative and TCU employees with long-term disability insurance. It provides a benefit amount of 67 percent of base income up to maximum amounts of \$2,300 weekly for short-term disability leave and \$8,000 monthly for long-term disability leave. These current weekly and monthly maximums offer less than the recommended 67 percent income protection for approximately 87 administrative staff. Staff recommends increasing insurance benefit maximums to \$2,800 weekly for short-term disability and \$12,500 for long-term disability to offer 72 of the 87 administrative staff with 67 percent income protection for approved disability leave of absence.

Protected Leave Management

PRISM for Voya provides protected leave administrative services to OCTA. No rate increases are proposed for 2022.

Fiscal Impact

The costs for healthcare benefits were approved in OCTA's Fiscal Year (FY) 2021-22 Budget, assuming a ten percent increase in rates beginning January 1, 2022. Based on staff recommendations for calendar year 2022, OCTA's cost for health and life insurance benefits for the administrative, TCU, and coach operator employees will be approximately 3.1 percent lower than last calendar year and within the budgeted amount for FY 2021-22. Since the renewals are on a calendar year basis, OCTA will address the FY 2022-23 amounts, along with the other assumptions utilized in the budget, during the next budgeting cycle.

Summary

Staff is recommending that the Board authorize the Chief Executive Officer to negotiate and execute amendments to the existing contracts with PRISM for medical, dental, and vision insurance, and with Delta Dental for dental insurance, as well as negotiate and execute amendments with PRISM for life, accidental death and dismemberment, short-term and long-term disability, and supplemental life insurance, and protected leave management through December 31, 2022.

Attachments

- A. Public Risk Innovation, Solutions, and Management, Kaiser Permanente Health Plan, Inc., Agreement No. C-5-3649 Fact Sheet
- B. Public Risk Innovation, Solutions, and Management, Anthem Blue Cross Health Maintenance Organization, Agreement No. C-5-3650 Fact Sheet
- C. Public Risk Innovation, Solutions, and Management, Anthem Blue Cross Preferred Provider Organization, Agreement No. C-5-3651 Fact Sheet
- D. Public Risk Innovation, Solutions, and Management, Anthem Blue Cross Consumer Driven Health Plan, Agreement No. C-5-3652 Fact Sheet
- E. Public Risk Innovation, Solutions, and Management, Delta Dental Preferred Provider Organization, Agreement No. C-1-3670 Fact Sheet
- F. Delta Dental Health Maintenance Organization for Coach Operators, Agreement No. C-1-2995 Fact Sheet
- G. Public Risk Innovation, Solutions, and Management, Delta Dental Health Maintenance Organization, Agreement No. C-1-3672 Fact Sheet
- H. Public Risk Innovation, Solutions, and Management Vision Service Plan, Agreement No. C-1-3671 Fact Sheet
- I. Public Risk Innovation, Solutions, and Management, VOYA, Purchase Order No. C-7-1897 Fact Sheet
- J. Public Risk Innovation, Solutions, and Management, VOYA, Purchase Order No. C-7-1898 Fact Sheet
- K. Public Risk Innovation, Solutions, and Management, VOYA, Purchase Order No. C-7-1899 Fact Sheet
- L. Public Risk Innovation, Solutions, and Management, VOYA, Purchase Order No. C-7-1900 Fact Sheet
- M. Orange County Transportation Authority, Financial Overview, Effective January 1, 2022
- N. Orange County Transportation Authority, Monthly Rate Comparison – 2022 vs. 2021
- O. Orange County Transportation Authority, Administrative & TCU Monthly Employee Cost for 2022

- P. Orange County Transportation Authority, Coach Operators Monthly Employee Cost for 2022

Prepared by:



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Approved by:



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**Public Risk Innovation, Solutions, and Management
Kaiser Permanente Health Plan, Inc.
Agreement No. C-5-3649 Fact Sheet**

1. October 12, 2015, Agreement No. C-5-3649, \$2,520,000, approved by the Board of Director (Board).
2. August 22, 2016, Amendment No. 1 to Agreement No. C-5-3649, \$2,500,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2017 through December 31, 2017.
3. August 28, 2017, Amendment No. 2 to Agreement No. C-5-3649, \$2,760,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2018 through December 31, 2018.
4. August 27, 2018, Amendment No. 3 to Agreement No. C-5-3649, \$11,986,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2019 through December 31, 2019.
5. August 26, 2019, Amendment No. 4 to Agreement No. C-5-3649, \$13,260,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2020 through December 31, 2020.
6. August 24, 2020, Amendment No. 5 to Agreement No. C-5-3649, \$13,112,500, approved by the Board.
 - To continue services and extend contract for period January 1, 2021 through December 31, 2021.
7. August 23, 2021, Amendment No. 6 to Agreement No. C-5-3649, \$12,285,340, pending approval by the Board.
 - To continue services and extend contract for period January 1, 2022 through December 31, 2022.

Total committed to Public Risk Innovation, Solutions, and Management for Kaiser Permanente Health Plan, Inc., Agreement No. C-5-3649, in the amount of \$58,423,840.

**Public Risk Innovation, Solutions, and Management
Anthem Blue Cross Health Maintenance Organization
Agreement No. C-5-3650 Fact Sheet**

1. October 12, 2015, Agreement No. C-5-3650, \$2,500,000, approved by the Board of Directors (Board).
2. August 22, 2016, Amendment No. 1 to Agreement No. C-5-3650, \$2,500,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2017 through December 31, 2017.
3. August 28, 2017, Amendment No. 2 to Agreement No. C-5-3650, \$2,100,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2018 through December 31, 2018.
4. August 27, 2018, Amendment No. 3 to Agreement No. C-5-3650, \$3,092,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2019 through December 31, 2019.
5. August 26, 2019, Amendment No. 4 to Agreement No. C-5-3650, \$2,350,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2020 through December 31, 2020.
6. August 24, 2020, Amendment No. 5 to Agreement No. C-5-3650, \$2,753,904, approved by the Board.
 - To continue services and extend contract for period January 1, 2021 through December 31, 2021.
7. August 23, 2021, Amendment No. 6 to Agreement No. C-5-3650, \$2,669,360, pending approval by the Board.
 - To continue services and extend contract for period January 1, 2022 through December 31, 2022.

Total committed to Public Risk Innovation, Solutions and Management for Anthem Blue Cross Health Maintenance Organization, Agreement No. C-5-3650, in the amount of \$17,965,264.

**Public Risk Innovation, Solutions, and Management
Anthem Blue Cross Preferred Provider Organization
Agreement No. C-5-3651 Fact Sheet**

1. October 12, 2015, Agreement No. C-5-3651, \$1,700,000, approved by the Board of Directors (Board).
2. August 22, 2016, Amendment No. 1 to Agreement No. C-5-3651, \$1,300,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2017 through December 31, 2017.
3. August 28, 2017, Amendment No. 2 to Agreement No. C-5-3651, \$1,035,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2018 through December 31, 2018.
4. August 27, 2018, Amendment No. 3 to Agreement No. C-5-3651, \$1,432,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2019 through December 31, 2019.
5. August 26, 2019, Amendment No. 4 to Agreement No. C-5-3651, \$1,600,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2020 through December 31, 2020.
6. August 24, 2020, Amendment No. 5 to Agreement No. C-5-3651, \$1,717,656, approved by the Board.
 - To continue services and extend contract for period January 1, 2021 through December 31, 2021.
7. August 23, 2021, Amendment No. 6 to Agreement No. C-5-3651, \$1,677,565, pending approval by the Board.
 - To continue services and extend contract for period January 1, 2022 through December 31, 2022.

Total committed to Public Risk Innovation, Solutions, and Management for Anthem Blue Cross Preferred Provider Organization, Agreement No. C-5-3651, in the amount of \$10,462,221.

**Public Risk Innovation, Solutions, and Management
Anthem Blue Cross Consumer Driven Health Plan
Agreement No. C-5-3652 Fact Sheet**

1. October 12, 2015, Agreement No. C-5-3652, \$1,600,000, approved the by Board of Directors (Board).
2. August 22, 2016, Amendment No. 1 to Agreement No. C-5-3652, \$2,900,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2017 through December 31, 2017.
3. August 28, 2017, Amendment No. 2 to Agreement No. C-5-3652, \$2,160,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2018 through December 31, 2018.
4. August 27, 2018, Amendment No. 3 to Agreement No. C-5-3652, \$2,443,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2019 through December 31, 2019.
5. August 26, 2019, Amendment No. 4 to Agreement No. C-5-3652, \$2,420,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2020 through December 31, 2020.
6. August 24, 2020, Amendment No. 5 to Agreement No. C-5-3652, \$2,454,912, approved by the Board.
 - To continue services and extend contract for period January 1, 2021 through December 31, 2021.
7. August 23, 2021, Amendment No. 6 to Agreement No. C-5-3652, \$2,367,132, pending approval by the Board.
 - To continue services and extend contract for period January 1, 2022 through December 31, 2022.

Total committed to Public Risk Innovation, Solutions, and Management for Anthem Blue Cross Consumer Driven Health Plan, Agreement No. C-5-3652, in the amount of \$16,345,044.

**Public Risk Innovation, Solutions, and Management
Delta Dental Preferred Provider Organization
Agreement No. C-1-3670 Fact Sheet**

August 23, 2021, Agreement No. C-1-3670, \$1,266,010, pending approval by Board of Directors.

Total committed to Public Risk Innovation, Solutions, and Management for Delta Dental Preferred Provider Organization, Agreement No. C-1-3670, in the amount of \$1,266,010.

**Delta Dental Health Maintenance Organization for Coach Operators
Agreement No. C-1-2995 Fact Sheet**

1. October 7, 2011, Agreement No. C-1-2995, \$18,000, approved by the Board of Directors (Board).
2. October 22, 2012, Amendment No. 1 to Agreement No. C-1-2995, \$18,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2013 through December 31, 2013.
3. October 11, 2013, Amendment No. 2 to Agreement No. C-1-2995, \$15,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2014 through December 31, 2014.
4. October 13, 2014, Amendment No. 3 to Agreement No. C-1-2995, \$19,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2015 through December 31, 2015.
5. October 12, 2015, Amendment No. 4 to Agreement No. C-1-2995, \$19,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2016 through December 31, 2016.
6. August 22, 2016, Amendment No. 5 to Agreement No. C-1-2995, \$16,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2017 through December 31, 2017.
7. August 28, 2017, Amendment No. 6 to Agreement No. C-1-2995, \$15,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2018 through December 31, 2018.

8. April 23, 2018, Amendment No. 7 to Agreement No. C-1-2995, \$60,963, approved by the Board.
 - To provide dental services to include the coach operators beginning July 1, 2018 through December 31, 2018.
9. August 27, 2018, Amendment No. 8 to Agreement No. C-1-2995, \$51,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2019 through December 31, 2019.
10. August 26, 2019, Amendment No. 9 to Agreement No. C-1-2995, \$54,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2020 through December 31, 2020.
11. August 24, 2020, Amendment No. 10 to Agreement No. C-1-2995, \$57,069, approved by the Board.
 - To continue services and extend contract for period January 1, 2021 through December 31, 2021.
12. August 23, 2021, Amendment No. 11 to Agreement No. C-1-2995, \$51,722, pending approval by the Board.
 - To continue services and extend contract for period January 1, 2022 through December 31, 2022.

Total committed to Delta Dental Health Maintenance Organization for coach operators, Agreement No. C-1-2995, in the amount of \$394,754.

**Public Risk Innovation, Solutions, and Management
Delta Dental Health Maintenance Organization
Agreement No. C-1-3672 Fact Sheet**

August 23, 2021, Agreement No. C-1-3672, \$18,960, pending approval by Board of Directors.

Total committed to Public Risk Innovation, Solutions, and Management for Delta Dental Health Maintenance Organization, Agreement No. C-1-3672, the amount of \$18,960.

**Public Risk Innovation, Solutions, and Management
Vision Service Plan
Agreement No. C-1-3671 Fact Sheet**

August 23, 2021, Agreement No. C-1-3671, \$248,562, pending approval by Board of Directors.

Total committed to Public Risk Innovation, Solutions, and Management for Vision Service Plan, Agreement No. C-1-3671, the amount of \$248,562.

**Public Risk Innovation, Solutions, and Management
VOYA
Purchase Order No. C-7-1897 Fact Sheet**

1. August 28, 2017, Purchase Order No. C-7-1897, \$155,000, approved by the Board of Directors (Board).
 - Agreement to provide life and accidental death and dismemberment insurance.
 - Term of the agreement is effective January 1, 2018 through December 31, 2018.
2. April 23, 2018, Amendment No. 1 to Purchase Order No. C-7-1897, \$40,983, approved by the Board.
 - To provide life and accidental death and dismemberment insurance to include the coach operators beginning July 1, 2018 through December 31, 2018.
3. August 27, 2018, Amendment No. 2 to Purchase Order No. C-7-1897, \$232,203, approved by the Board.
 - To continue services and extend contract for period January 1, 2019 through December 31, 2019.
4. August 26, 2019, Amendment No. 3 to Purchase Order No. C-7-1897, \$240,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2020 through December 31, 2020.
5. August 24, 2020, Amendment No. 4 to Purchase Order No. C-7-1897, \$264,242, approved by the Board.
 - To continue services and extend contract for period January 1, 2021 through December 31, 2021.
6. August 23, 2021, Amendment No. 5 to Purchase Order No. C-7-1897, \$262,170, pending approval by the Board.
 - To continue services and extend contract for period January 1, 2022 through December 31, 2022.

Total committed to Public Risk Innovation, Solutions, and Management for VOYA, Purchase Order No. C-7-1897, in the amount of \$1,194,598.

**Public Risk Innovation, Solutions, and Management
VOYA
Purchase Order No. C-7-1898 Fact Sheet**

1. August 28, 2017, Purchase Order No. C-7-1898, \$0.00, approved by the Board of Directors (Board).
 - Agreement to provide supplemental life insurance to employees at their own expense.
 - Term of the agreement is effective January 1, 2018 through December 31, 2018.
2. August 27, 2018, Amendment No. 1 to Purchase Order No. C-7-1898, \$0.00, approved by the Board.
 - To continue services and extend contract for period January 1, 2019 through December 31, 2019.
3. August 26, 2019, Amendment No. 2 to Purchase Order No. C-7-1898, \$0.00, approved by the Board.
 - To continue services and extend contract for period January 1, 2020 through December 31, 2020.
4. August 24, 2020, Amendment No. 3 to Purchase Order No. C-7-1898, \$0.00, approved by the Board.
 - To continue services and extend contract for period January 1, 2021 through December 31, 2021.
5. August 23, 2021, Amendment No. 4 to Purchase Order No. C-7-1898, \$0.00, pending approval by the Board.
 - To continue services and extend contract for period January 1, 2022 through December 31, 2022.

Total committed to Public Risk Innovation, Solutions, and Management for VOYA, Purchase Order No. C-7-1898, in the amount of \$0.00.

**Public Risk Innovation, Solutions, and Management
VOYA
Purchase Order No. C-7-1899 Fact Sheet**

1. August 28, 2017, Purchase Order No. C-7-1899, \$130,000, approved by the Board of Directors (Board).
 - Agreement to provide short-term and long-term disability insurance.
 - Term of the agreement is effective January 1, 2018 through December 31, 2018.
2. August 27, 2018, Amendment No. 1 to Purchase Order No. C-7-1899, \$130,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2019 through December 31, 2019.
3. August 26, 2019, Amendment No. 2 to Purchase Order No. C-7-1899, \$167,000, approved by the Board.
 - To continue services through December 31, 2019 and extend contract for period January 1, 2020 through December 31, 2020.
4. August 24, 2020, Amendment No. 3 to Purchase Order No. C-7-1899, \$160,631, approved by the Board.
 - To continue services through December 31, 2020 and extend contract for period January 1, 2021 through December 31, 2021.
5. August 23, 2021, Amendment No. 4 to Purchase Order No. C-7-1899, \$180,418, pending approval by the Board.
 - To continue services and extend contract for period January 1, 2022 through December 31, 2022.

Total committed to Public Risk Innovation, Solutions, and Management for VOYA, Purchase Order No. C-7-1899, in the amount of \$768,049.

**Public Risk Innovation, Solutions, and Management
VOYA
Purchase Order No. C-7-1900 Fact Sheet**

1. August 28, 2017, Purchase Order No. C-7-1900, \$26,000, approved by the Board of Directors (Board).
 - Agreement to provide employee leave administration.
 - Term of the agreement is effective January 1, 2018 through December 31, 2018.
2. August 27, 2018, Amendment No. 1 to Purchase Order No. C-7-1900, \$26,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2019 through December 31, 2019.
3. August 26, 2019, Amendment No. 2 to Purchase Order No. C-7-1900, \$30,000, approved by the Board.
 - To continue services and extend contract for period January 1, 2020 through December 31, 2020.
4. August 24, 2020, Amendment No. 3 to Purchase Order No. C-7-1900, \$24,388, approved by the Board.
 - To continue services and extend contract for period January 1, 2021 through December 31, 2021.
5. August 23, 2021, Amendment No. 4 to Purchase Order No. C-7-1900, \$27,234, pending approval by the Board.
 - To continue services and extend contract for period January 1, 2022 through December 31, 2022.

Total committed to Public Risk Innovation, Solutions, and Management for VOYA, Purchase Order No. C-7-1900, in the amount of \$133,622.

ORANGE COUNTY TRANSPORTATION AUTHORITY

FINANCIAL OVERVIEW Effective January 1, 2022

PLAN/COVERAGE		Current Annual Cost	Renewal Annual Cost	% Δ
MEDICAL	EE's			
PRISM-Kaiser Admin/TCU HMO	189	\$3,080,232	\$2,974,022	-3.4%
PRISM-Kaiser Coach HMO	597	\$9,644,436	\$9,311,318	-3.5%
PRISM-Anthem HMO Admin/TCU	120	\$2,195,376	\$2,126,647	-3.1%
PRISM-Anthem HMO Coach	32	\$560,256	\$542,713	-3.1%
PRISM-Anthem PPO Admin/TCU	58	\$1,113,576	\$1,076,716	-3.3%
PRISM-Anthem PPO Coach	36	\$621,408	\$600,849	-3.3%
PRISM-Anthem CDHP Admin/TCU	139	\$2,448,132	\$2,367,132	-3.3%
DENTAL				
PRISM-Delta Admin/TCU DMO	53	\$17,460	\$17,460	0.0%
Direct-Delta Coach Operators DMO	157	\$51,722	\$51,722	0.0%
PRISM-Delta Admin/TCU DPO	452	\$718,691	\$700,583	-2.5%
PRISM-Delta Coach Operators DPO	486	\$580,079	\$565,427	-2.5%
VISION				
PRISM-VSP Vision Admin (Actives)	491	\$149,012	\$149,012	0.0%
PRISM-VSP Vision Coach Operators	613	\$99,550	\$99,550	0.0%
BASIC LIFE/AD&D				
PRISM-Voya Life/AD&D Admin	536	\$180,461	\$180,461	0.0%
PRISM-Voya Life/AD&D Coach	650	\$81,709	\$81,709	0.0%
SHORT TERM DISABILITY				
PRISM-Voya STD Admin	485	\$28,152	\$31,968	13.6%
LONG TERM DISABILITY				
PRISM-Voya LTD Admin	521	\$112,554	\$148,450	31.9%
FMLA Leave Management				
VOYA	1355	\$27,234	\$27,234	0.0%
TOTAL ANNUAL PREMIUM		\$21,710,041	\$21,052,973	
ANNUAL DOLLAR CHANGE			(\$657,068)	
ANNUAL PERCENT CHANGE			-3.1%	

Orange County Transportation Authority

Monthly Rate Comparison - 2022 vs. 2021

PLAN	COVERAGE	CURRENT	RENEWAL	\$ CHANGE
(PRISM) Kaiser - Coach HMO	Employee	\$661.00	\$638.00	(\$23.00)
	Employee + one	\$1,305.00	\$1,260.00	(\$45.00)
	Employee + family	\$1,839.00	\$1,776.00	(\$63.00)
(PRISM) Kaiser HMO	Employee	\$667.00	\$644.00	(\$23.00)
	Employee + one	\$1,400.00	\$1,352.00	(\$48.00)
	Employee + family	\$1,999.00	\$1,930.00	(\$69.00)
(PRISM) Anthem HMO	Employee	\$716.00	\$693.00	(\$23.00)
	Employee + one	\$1,504.00	\$1,457.00	(\$47.00)
	Employee + family	\$2,148.00	\$2,081.00	(\$67.00)
(PRISM) Anthem PPO	Employee	\$906.00	\$876.00	(\$30.00)
	Employee + one	\$1,900.00	\$1,838.00	(\$62.00)
	Employee + family	\$2,716.00	\$2,626.00	(\$90.00)
(PRISM) Anthem CDHP PPO	Employee	\$666.00	\$644.00	(\$22.00)
	Employee + one	\$1,399.00	\$1,353.00	(\$46.00)
	Employee + family	\$1,997.00	\$1,931.00	(\$66.00)
(PRISM) DeltaCare DHMO - Admin/TCU	Employee	\$16.80	\$16.80	\$0.00
	Employee + one	\$29.90	\$29.90	\$0.00
	Employee + family	\$43.80	\$43.80	\$0.00
(PRISM) Delta PPO - Admin/TCU	Employee	\$62.10	\$60.50	(\$1.60)
	Employee + one	\$131.10	\$127.80	(\$3.30)
	Employee + family	\$175.40	\$171.00	(\$4.40)
DeltaCare DHMO - Coach	Employee	\$14.43	\$14.43	\$0.00
	Employee + one	\$27.54	\$27.54	\$0.00
	Employee + family	\$42.91	\$42.91	\$0.00
(PRISM) Delta PPO - Coach	Employee	\$48.10	\$46.90	(\$1.20)
	Employee + one	\$86.20	\$84.00	(\$2.20)
	Employee + family	\$138.80	\$135.30	(\$3.50)
(PRISM) VSP - Admin/TCU	Employee	\$13.25	\$13.25	\$0.00
	Employee + one	\$24.50	\$24.50	\$0.00
	Employee + family	\$34.62	\$34.62	\$0.00
(PRISM) VSP - Coach	Employee	\$6.70	\$6.70	\$0.00
	Employee + one	\$12.00	\$12.00	\$0.00
	Employee + family	\$19.32	\$19.32	\$0.00

Orange County Transportation Authority Administrative & TCU Monthly Employee Cost for 2022

PLAN	COVERAGE	LESS THAN 10 YEARS OF SERVICE		MORE THAN 10 YEARS OF SERVICE	
		COST SHARE %	MONTHLY COST	COST SHARE %	MONTHLY COST
(PRISM) Kaiser HMO	Employee	10%	\$64.39	0%	\$0.00
	Employee + one	15%	\$202.80	5%	\$67.60
	Employee + family	15%	\$289.51	5%	\$96.50
(PRISM) Anthem HMO	Employee	10%	\$69.29	0%	\$0.00
	Employee + one	15%	\$218.55	5%	\$72.84
	Employee + family	15%	\$312.15	5%	\$104.04
(PRISM) Anthem PPO	Employee	15%	\$131.41	7.5%	\$65.69
	Employee + one	20%	\$367.60	10%	\$183.80
	Employee + family	20%	\$525.20	10%	\$262.60
(PRISM) Anthem CDHP PPO	Employee	10%	\$64.39	5%	\$32.20
	Employee + one	15%	\$202.95	7.5%	\$101.47
	Employee + family	15%	\$289.64	7.5%	\$144.82
(PRISM) DeltaCare DHMO	Employee	10%	\$1.69	10%	\$1.69
	Employee + one	15%	\$4.49	15%	\$4.49
	Employee + family	15%	\$6.57	15%	\$6.57
(PRISM) Delta PPO	Employee	10%	\$6.05	10%	\$6.05
	Employee + one	15%	\$19.18	15%	\$19.18
	Employee + family	15%	\$25.65	15%	\$25.65
(PRISM) VSP	Employee	10%	\$1.33	10%	\$1.33
	Employee + one	15%	\$3.68	15%	\$3.68
	Employee + family	15%	\$5.19	15%	\$5.19

CDHP - Consumer Driven Health Plan
 DHMO - Dental Health Maintenance Organization
 HMO - Health Maintenance Organization
 PPO - Preferred Provider Organization
 PRISM - Public Risk Innovation, Solutions, and Management
 TCU - Transportation Communications International Union
 VSP - Vision Service Plan

Orange County Transportation Authority Coach Operators Monthly Employee Cost for 2022

PLAN	COVERAGE	COST SHARE %	MONTHLY COST*
(PRISM) Kaiser - Coach HMO	Employee	5%	\$31.89
	Employee + one	7%	\$88.21
	Employee + family	10%	\$177.60
(PRISM) Anthem HMO	Employee	5%	\$34.65
	Employee + one	7%	\$101.99
	Employee + family	10%	\$208.11
(PRISM) Anthem PPO	Employee	5%	\$43.81
	Employee + one	7%	\$128.66
	Employee + family	10%	\$262.60
DeltaCare DHMO	Employee	5%	\$0.72
	Employee + one	7%	\$1.93
	Employee + family	10%	\$4.29
(PRISM) Delta PPO - Coach	Employee	5%	\$2.34
	Employee + one	7%	\$5.87
	Employee + family	10%	\$13.52
(PRISM) VSP - Coach	Employee	5%	\$0.33
	Employee + one	7%	\$0.85
	Employee + family	10%	\$1.93

*Note: Cost share is in agreement with Teamsters Local 952 Union Collective Bargaining Agreement as negotiated.


CDHP - Consumer Driven Health Plan
DHMO - Dental Health Maintenance Organization
HMO - Health Maintenance Organization
PPO - Preferred Provider Organization
PRISM - Public Risk Innovation, Solutions, and Management
TCU - Transportation Communications International Union
VSP - Vision Service Plan



BOARD TRANSMITTAL

August 23, 2021

To: Members of the Board of Directors

From: Andrea West, Interim Clerk of the Board 

Subject: Public Transportation Agency Safety Plan - Annual Review and Update

Board of Directors Meeting of August 9, 2021

Present: Chairman Do, Vice Chairman Murphy, Directors Bartlett, Chaffee, Delgleize, Foley, Goodell, Harper, Hennessey, Hernandez, Jones, Muller, Nguyen, Sarmiento, Sidhu, and Wagner

Absent: Director Shaw

Board Discussion

At the August 9, 2021 Board of Directors meeting, Director Goodell noted an error on Attachment A, Page 11, fourth paragraph, with the word "lots" being redlined and replaced with "Origami." The word "lots" is no longer crossed out and the word "Origami" has been removed.

In response to a public comment, staff has updated the map on page 12 to a higher resolution route map for increased visibility. In addition, a link to the OCTA webpage is provided for route information.

Board Vote

This item was deferred to the August 23, 2021 Board of Directors Meeting to allow staff to address the above-noted concerns.

Committee Vote and Recommendations

See the "Committee Transmittal" for the Executive Committee meeting of August 2, 2021 vote and recommendations.



COMMITTEE TRANSMITTAL

August 9, 2021

To: Members of the Board of Directors

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

Subject: Public Transportation Agency Safety Plan - Annual Review and Update

Executive Committee Meeting of August 2, 2021

Present: Directors Do, Murphy, Bartlett, Hennessey, Jones, and Shaw
Absent: None

Committee Vote

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

Committee Recommendations

- A. Adopt the proposed 2021 Public Transportation Agency Safety Plan safety performance targets and administrative edits.
- B. Adjust the annual review and Board of Directors update to be scheduled on a calendar year basis to align with the calendar year reporting requirements of the Federal Transit Administration National Transit Database.



August 23, 2021

To: Members of the Board of Directors

From: Darrell E. Johnson, Chief Executive Officer

Subject: Public Transportation Agency Safety Plan – Annual Review and Update

Overview

The Federal Transit Administration published the Public Transportation Agency Safety Plan regulation, 49 Code of Federal Regulations Part 673, on July 19, 2018, which took effect on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Section 5307 Urbanized Area Formula program (must develop and have adopted by the Board of Directors a Public Transportation Agency Safety Plan for its transit system. The Board of Directors adopted the Orange County Transportation Authority's Public Transportation Agency Safety Plan on May 11, 2020, as required. Consistent with the regulation, staff has conducted an annual review and recommended updates for Board of Directors consideration.

Recommendations

- A. Adopt the proposed 2021 Public Transportation Agency Safety Plan safety performance targets and administrative edits.
- B. Adjust the annual review and Board of Directors update to be scheduled on a calendar year basis to align with the calendar year reporting requirements of the Federal Transit Administration National Transit Database.

Background

The Health, Safety, and Environmental Compliance Department (HSEC) oversees safety compliance programs and the Public Transportation Agency Safety Plan (PTASP) adoption by the Orange County Transportation Authority (OCTA). The Board of Directors (Board) adopted OCTA's PTASP on May 11, 2020. The PTASP includes four primary components and 16 subcomponents.

Component 1: Safety Management Policy

Subcomponents:

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

Component 2: Safety Risk Management

Subcomponents:

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

Component 3: Safety Assurance

Subcomponents:

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

Component 4: Safety Promotion

Subcomponents:

- Safety training program
- Safety communication

OCTA has completed the first year of plan implementation and assessed overall safety program results against initial safety performance targets and the action items identified. In addition, some of the processes and tools described in the initial PTASP requires updating which must be reflected in a revised 2021 PTASP document.

Discussion

The safety performance targets initially adopted in the PTASP were associated with OCTA's National Transit Database (NTD) reportable events including fatalities, injuries, and safety events. Using a baseline rate per 100,000 vehicle revenue miles (VRM), datapoints were established that served as targets for the year's performance. When allocating a performance target for system reliability, a baseline was established for the number of road calls per VRM.

Baseline metrics that served as OCTA’s fixed-route bus performance targets are shown in the table below.

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

Baseline metrics that served as OCTA’s paratransit service performance targets are shown below.

	Objective	Metric	Baseline	Target
Paratransit	Reduce Fatalities	Fatalities per 100K VRM	0.00	Maintain
	Reduce Injuries	Injuries per 100K VRM	0.00	Maintain
	Reduce Safety Events	Safety Events per 100K VRM	0.00	Maintain
	Maintain System Reliability	Miles between Road Calls	1 per 14K VRM	Maintain

OCTA met all the established safety performance targets except for fatalities. OCTA experienced one fatality on November 28, 2020, when a pedestrian intentionally jumped beneath the rear curbside tires that led to their death. This was a non-preventable event and did not occur due to any action or failure of the system or the coach operator.

OCTA fixed-route bus performance actuals are shown below.

	Objective	Metric	Target	Actuals
Bus	Reduce Fatalities	Fatalities per 100K VRM	0.00	0.007
	Reduce Injuries	Injuries per 100K VRM	0.59	0.22
	Reduce Safety Events	Safety Events per 100K VRM	1.03	0.80
	Maintain System Reliability	Miles between Road Calls	1 per 14K VRM	15,746

OCTA paratransit service actuals are shown below.

	Objective	Metric	Target	Actuals
Paratransit	Reduce Fatalities	Fatalities per 100K VRM	0.00	0.00
	Reduce Injuries	Injuries per 100K VRM	0.00	0.00
	Reduce Safety Events	Safety Events per 100K VRM	0.00	0.00
	Maintain System Reliability	Miles between Road Calls	1 per 14K VRM	28,822

OCTA's safety performance targets are established using data gathered from the Federal Transit Administration's (FTA) NTD reporting requirements. These requirements establish reporting criteria, and the timeline of which events are required to be reported. Events are required to be reported to the FTA every 30 days, with an annual report due by March of each year. The annual reporting requirement summarizes the events that have occurred throughout the calendar year. While OCTA adopted the PTASP as directed by the regulation in May 2020, this adoption date does not coincide with the required annual reporting each March. In order to align the reporting and adoption cycles, staff recommends switching the PTASP review cycle to a calendar year cycle that matches the reporting and data management requirements of the FTA's reporting cycle. This July 2021 update will go forward until the next annual review is rescheduled and performed in February 2023.

OCTA's action items for the implementation of new Safety Management System (SMS) processes and procedures are documented in Appendix A and were developed as part of the May 2020 PTASP. In review of the action items list, all items that required action and the allocation of resources were either completed on-time or delayed due to unforeseen circumstances caused by the coronavirus pandemic. In total, out of the 14 established action items, 11 were completed on time, one was delayed by four months, and two are still pending completion.

Some of the completed action items include, but are not limited to, the establishment of a staff PTASP/SMS Committee, the establishment of a documentation control/management system within SharePoint, PTASP/SMS communication tools and strategies, creation of an anonymous safety hazard reporting system, and the implementation of a formal risk assessment process.

One of the action items that had an unexpected delay due to the pandemic was the safety culture survey, originally scheduled to be completed by December 31, 2020. Due to a heightened number of employee communications regarding pandemic planning and response, the survey was intentionally delayed and completed in April 2021. The two outstanding action items remain in a pending status due to the development and programming of a new online software solution. OCTA is transitioning its HSEC and risk management data management system from an obsolete system called the Occurrence Tracking System (OTS) to a cloud-based solution called Origami. With this process underway, establishment of a single SMS data depository and a hazard/risk mitigation monitoring process have yet to be completed.

Upon review of the May 2020 PTASP and the organization's performance to date, staff is recommending updates to one safety performance target, future action item target dates, and significant changes to the processes described within the document that have changed.

One item realized during the first year of PTASP vehicle reliability monitoring was that Paratransit vehicles are less complex than a fixed-route bus and therefore are more reliable in performance. Increased reliability leads to decreased road calls. Staff is requesting that the system reliability target for paratransit be changed to one road call per 25,000 VRM and all other safety performance targets remain the same for the upcoming PTASP cycle (2021-2022).

Recommended edits to the PTASP include the following.

Section	Recommended Edits
4.0	Adopt new Paratransit miles between road calls safety performance target to 25,000 VRM
Acronyms, 6.3, 7.1, 7.3	Change OTS references to Origami
Appendix B	Update risk assessment process to reflect changes in risk ranking/rating criteria and designed features within Origami
Appendix A	Adopt a new timeline date for incorporation of OC Streetcar into PTASP - 2022 PTASP update
Appendix A	Adopt new timeline for establishment of a hazard/risk mitigation monitoring process – Q4 2021 (December)
Appendix A	Adopt new timetable for the establishment a single data depository for safety and SMS data/dashboard – Q4 2021 (December)

Summary

Staff is requesting the Board accept OCTA's updated May 2021 PTASP and 2021 annual review, thereby confirming compliance with federal law. In addition, staff is requesting that the annual review and Board update be adjusted to a calendar year basis to align with FTA NTD reporting requirements.

Attachments

- A. Orange County Transportation Authority Public Transportation Agency Safety Plan, July 2021 (Redlined)
- B. Public Transportation Agency Safety Plan Annual Review, June 2021

Prepared by:



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

Approved by:



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

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

ATTACHMENT A

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**ORANGE COUNTY
TRANSPORTATION
AUTHORITY**

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

AUGUST 2021

Deleted: MAY 2020

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**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
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EXECUTIVE SUMMARY

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

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

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

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

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

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

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

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

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

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

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

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

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DEFINITIONS

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

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

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

Change Control - Is a method of maintaining the consistency and reliability of a system or product's performance, function, and design; and the control of changes made to the system or product throughout its life cycle.

Change Control Committee - The Change Control Committee is a group of staff members that represent various areas of expertise within OCTA. These staff members have been selected to be diverse in expertise and responsibility to ensure that all of OCTA's interests and objectives are met by each project.

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

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

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

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

Event: any accident, incident, or occurrence.

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

Hazard Probability: likelihood of a hazard consequence to occur.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Flexible: adapting to changing demands and reacting to events

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

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

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

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

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

Source: NTD Safety and Security Reporting Manual

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

Source: National Public Transportation Plan Performance Measures

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

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

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

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

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

ACRONYMS

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

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**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
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1. INTRODUCTION

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

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

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

Facilities and Bus Facilities:

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

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

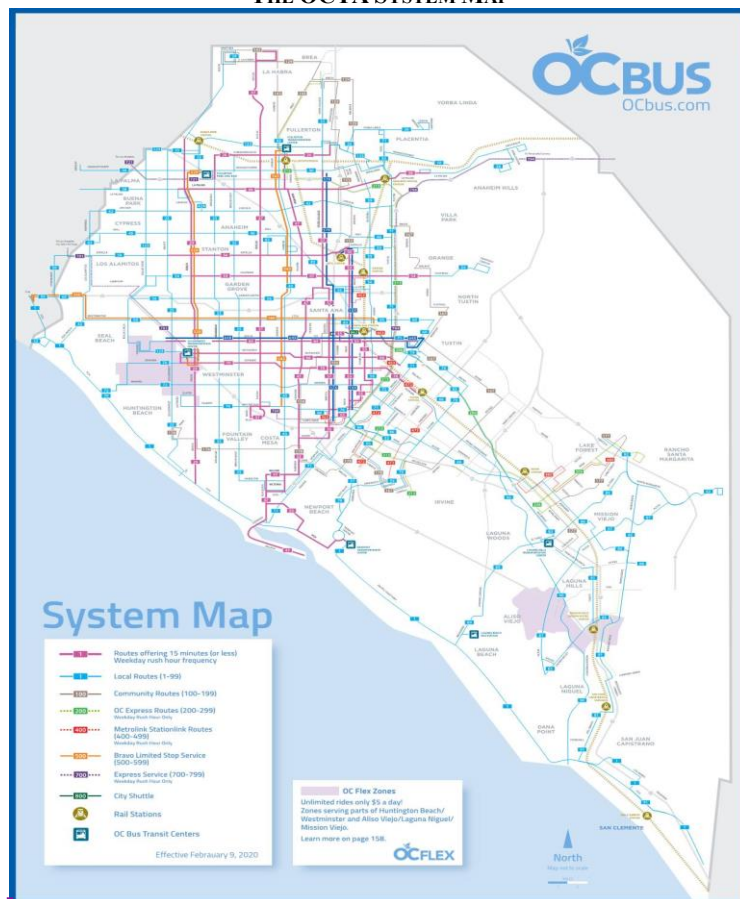
- Base 1-Santa Ana;
- Base 2-Irvine Construction Circle (Paratransit);
- Base 4-Garden Grove;
- Base 6-Anaheim (Contracted Fixed Route); and
- Base 7-Irvine Sand Canyon (Contracted Fixed Route).

Bus Service and System Description

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

Figure 1

THE OCTA SYSTEM MAP



SOURCE: Routes and Schedules - System Map (octa.net)

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

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

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3. PLAN DEVELOPMENT, APPROVAL, AND UPDATES

Name of Entity That Drafted This Plan	Orange County Transportation Authority	
	Signature of Accountable Executive	Date of Signature
Signature by Accountable Executive		
Approval by the Board of Directors or an Equivalent Authority	Name of Individual/Entity That Approved This Plan	Date of Approval
	OCTA Executive Committee OCTA Board of Directors	<u>August 2, 2021</u>
	Relevant Documentation (title and location)	
	Name of Individual Entity That Certified This Plan	Date of Certification
	Matthew DesRosier (CSO)	
Certification of Compliance	Relevant Documentation (title and location)	

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Version Number and Updates Record the complete history of successive versions of this plan.			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
<u>2</u>	<u>19, 33, 37, 40, 45, 52, 56, 61</u>	<u>Appendix A, OTS Origami Process, Configuration Process Updates</u>	<u>06/30/2021</u>

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Annual Review and Update of the Public Transportation Agency Safety Plan

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

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

Management's Commitment

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



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

4/27/2020

Date



Andrew Oftelie, Chief Financial Officer

4/24/2020

Date



Beth McCormick, Executive Director of Bus Operations

4/24/2020

Date



Maggie McJilton, Executive Director, HROD

4/24/2020

Date



Jim Beil, Executive Director, Capital Programs

4/24/2020

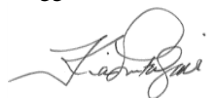
Date



Maggie McJilton, Executive Director, External Affairs

4/24/2020

Date



Kia Mortazavi, Executive Director, Planning

4/27/2020

Date



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

4/24/2020

Date

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4. SAFETY PERFORMANCE TARGETS

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

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

*Safety Performance Targets are calculated on the calendar year.

Annual Safety Performance Targets (Based on safety performance measures under NSP)							
Mode	Fatalities (Total)	Fatalities Per 100k VRM	Injuries (Total)	Injuries Per 100k VRM	Safety Events (Total)	Safety Events Per 100k VRM	System Reliability (Failures/VRM)
Bus	0	0.00	81	0.59	133	1.03	1/14,000
	Objective		Metric		Baseline		Target
Paratransit	Reduce Fatalities		Fatalities per 100K VRM		0.00		Maintain
	Reduce Injuries		Injuries per 100K VRM		0.00		Maintain
	Reduce Safety Events		Safety Events per 100K VRM		0.00		Maintain
	Maintain System Reliability		Miles between Road Calls		1 per 14K VRM		Maintain

*Safety Performance Targets are calculated on the calendar year.

Annual Safety Performance Targets (Based on safety performance measures under NSP)							
Mode	Fatalities (Total)	Fatalities Per 100k VRM	Injuries (Total)	Injuries Per 100k VRM	Safety Events (Total)	Safety Events Per 100k VRM	System Reliability (Failures/VRM)
Paratransit	0	0.00	0	0.00	0	0.00	1/25,000

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Safety Performance Target Coordination		
Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets		
OCTA will foster agency-wide support for transit safety and will provide copies of their PTASP and additional information as requested to Southern California Association of Governments (SCAG) and California Public Utilities Commission (CPUC). Additionally, OCTA will evaluate agency Safety Performance Targets annually; the updated targets will be shared with the SCAG, and CPUC.		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	CPUC	
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	SCAG	

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5. SAFETY MANAGEMENT POLICY (673.23)

5.1 Safety Management Policy Statement- 673.23 (a)

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

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

OCTA is committed to:

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

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

5.2 Process for Reporting Unsafe Conditions-673.23(b)

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

OCTA Health, Safety & Environmental Compliance Intranet Page

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

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

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

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

5.3 Safety Management Policy Communication-673.23(c)

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

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

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

Board of Directors

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

Executive Staff

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

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

Divisions/Departments

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

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

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

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

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

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

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

Positions

Directors, Managers Roles and Responsibilities

All directors and managers are accountable and responsible for:

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

Supervisor Roles and Responsibilities

Supervisors are accountable and responsible for:

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

Employee Responsibilities

All OCTA employees are responsible for:

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

Contractors

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

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

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

Lines of Authority for Safety:

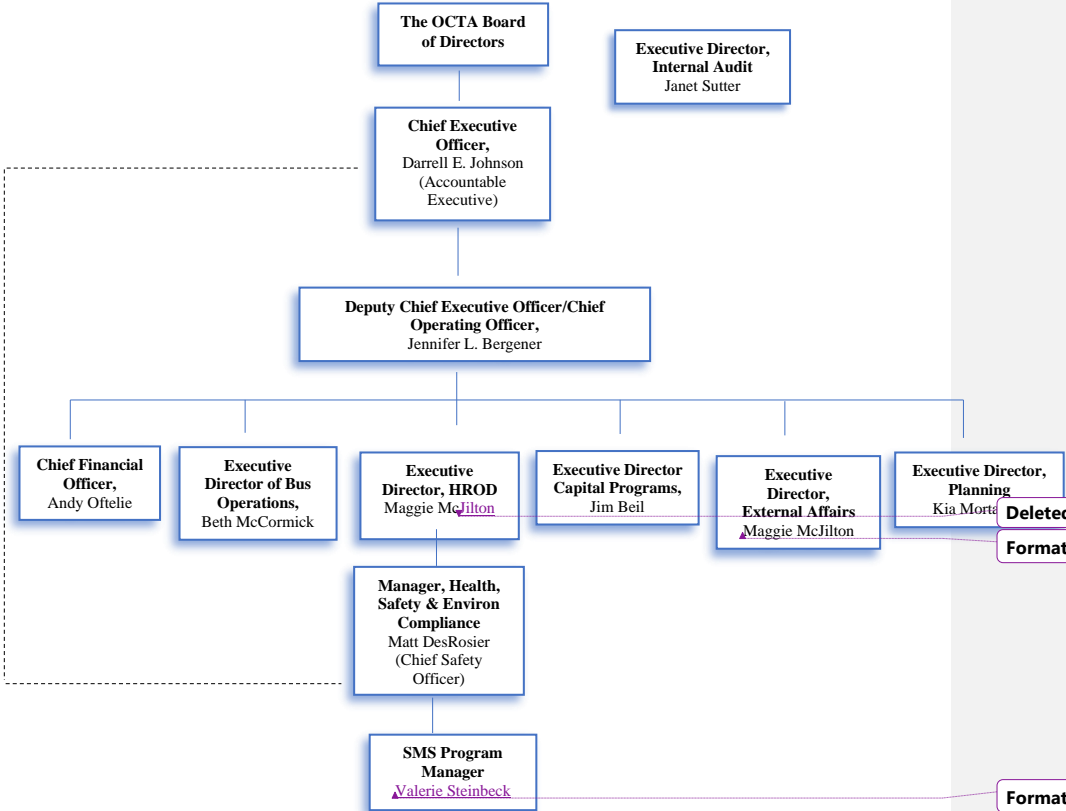
The Health, Safety, & Environmental Department, led by the Health, Safety, & Environmental Compliance Manager/CSO, reports directly to the CEO through a dotted line and reports administratively daily to the Executive Director of HROD. The Health, Safety, & Environmental Compliance Manager/CSO, is responsible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

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

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

Figure 2

Executive Management Reporting



Source: The Orange County Transportation Authority

Chief Safety Officer (CSO)

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

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

SMS Program Manager

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

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

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

Table 1

Safety Task Roles and Responsibilities

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

Safety Management Policy

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

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Legend:

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

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6. SAFETY RISK MANAGEMENT (673.25)

6.1 Safety Risk Management Process 673.25(a)

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

6.2 Safety Hazard Identification 673.25(b)

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

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

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

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

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

6.3 Safety Risk Assessment 673.25(c)

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

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

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

Safety Risk Assessment Request Process

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

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

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6.4 Safety Risk Mitigation 673.25(d)

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

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

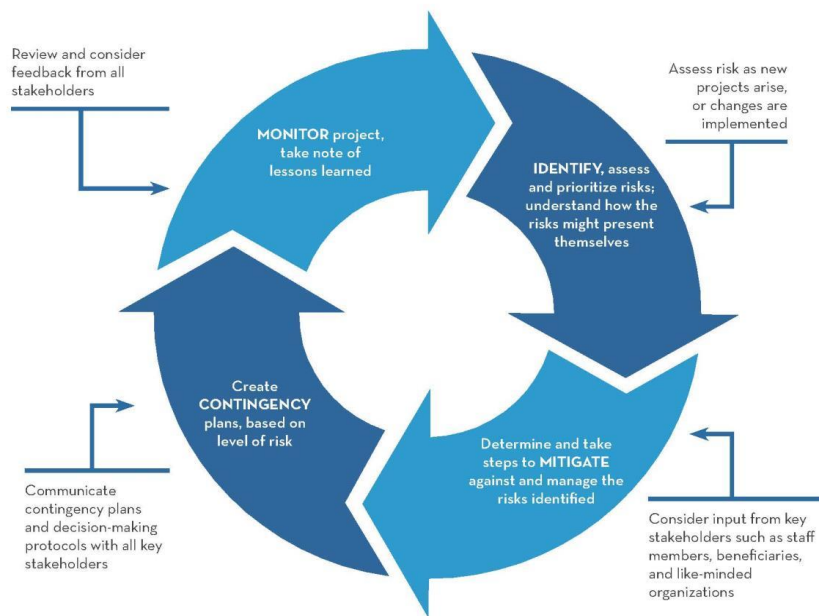
The PTASP/SMS Committee Chair (CSO) discusses reports with the Accountable Executive; if required, the CSO will direct the SMS Program Manager, to prepare a report based on the Accountable Executive's response to the recommendation, including all necessary data pertaining to the decision. If deemed necessary,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

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

Figure 3

Risk Assessment Flow Diagram

The risk assessment cycle



Adapted from The Charity Commission

6.5 Emergency Preparedness

Integration with Public Safety and Emergency Management

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

Responsibilities for Emergency Preparedness

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

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

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

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

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

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

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

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

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

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

Emergency Exercises

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

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

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7. SAFETY ASSURANCE (673.27)

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

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

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

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

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

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

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

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

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

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Safety Certification

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

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

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

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

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

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

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

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

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

Corrective Action Resulting from Accident Investigation

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

7.4 Drug and Alcohol Policy

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

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

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

Internal Safety Audits

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

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

7.6 Change Control 673.27 (c)

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

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

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

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

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7.7 Continuous Improvement 673.27(d)

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

Data Analysis and Tracking

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

Procurement Risk Mitigation

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

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

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

Transit Asset Management (TAM)

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

**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
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8. SAFETY PROMOTION (673.29)

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

8.1 Safety Training Program 673.29 (a)

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

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

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

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

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

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

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

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

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

Emergency Response Planning, Coordination, and Training

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

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

Contractor Safety

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

8.2 Safety Communication 673.29 (b)

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

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

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

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

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

8.3 SMS Documentation and Records 673.11 (c), 673.31

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

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

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

**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
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**APPENDIX A
IMPLEMENTATION ACTIONS**

2020 IMPLEMENTATION ACTIONS

PTASP/FTA Code	Action Item	Timeline	Responsible Person / Group
673.23	Establish and implement PTASP/SMS Committee	Q1	HSEC/Planning
673.23	Establish safety performance targets and objectives	Q1	PTASP/SMS Committee
673.23	Engage the Contracted Services Management in PTASP expectations/requirements	Q1	HSEC / Operations
673.31	Establish a Documentation Control/Management System (Records Management)	Q1	Information Systems / HSEC
673.23	Implement PTASP through the Board of Directors	Q2 (May)	CEO/Planning/HSEC/Operations
5323	Submit Certification of Assurance to the FTA	Q2 (July)	Finance and Administration / Government Affairs / HSEC
673.23	Safety Management Policy Communication – existing and new employees	Q2	HSEC / HR / Operations
673.29	Establish SMS communication tools and strategy	Q3	HSEC / External and Internal Communications
	Expand on existing hazard reporting systems to include anonymous reporting	Q3	IS / HSEC / Operations
673.29	Identify and establish SMS training requirements for OCTA staff and contractors	Q4	HSEC / Learning & Development / Operations
673.27	Conduct a safety culture survey to assess existing status	Q4	HSEC / HR

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2021-2023 IMPLEMENTATION ACTIONS

PTASP/FTA Code	Action Item	Timeline	Responsible Person / Group
673.27	Annual PTASP review and updates	Q2 2021 (June)	CEO / Chief Safety Officer / SMS/PTASP Committee
<u>673.27</u>	<u>Establish a hazard/risk mitigation monitoring process</u>	<u>Q4 2021 (December)</u>	<u>PTASP/SMS Committee / Operations / HSEC</u>
<u>673.27</u>	<u>Establish a single data depository for safety and SMS data</u> <u>- Create dashboard for summary and real time analysis</u> <u>Safety performance monitoring and measuring</u>	<u>Q4 2021</u>	<u>Information Systems / HSEC / Operations</u>
673.23	Incorporate OC Streetcar into the PTASP and submit draft to the CPUC for review/approval	Q2 2022 (April)	HSEC / Operations
673.23	Submit updated PTASP through the Board of Directors to OC Streetcar detail	Q2 2022 (July)	CEO / HSEC / Operations
673.27	Independent PTASP/SMS audit utilizing contractor, consultant, or other organization	Q2 2022 (June)	HSEC / Internal Audit
673.25	Complete a formal risk analysis for existing operational hazards	Q4 2022	HSEC / Operations
673.27	FTA Triennial Review to include PTASP/SMS	Q4 2022	Government Relations / HSEC / Operations

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**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
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**APPENDIX B
HAZARD MANAGEMENT PROCESS-IDENTIFICATION/ANALYSIS**

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

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

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

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

Hazard Identification

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

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

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

Hazard Investigation and Reporting

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

Safety Risk Assessment

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

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

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

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

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

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

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

Hazard Analysis Methodology

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

Hazard Severity

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

Category 4, Catastrophic - Operating conditions are such that design deficiencies, human error, element, sub system or component failure or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.

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Category 3, Critical - Operating conditions are such that design deficiencies, human error, element, sub system or component failure or procedural deficiencies may cause severe injury, severe occupational illness or major system damage and require immediate corrective action.

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Category 2, Marginal - Operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.

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Category 1, Negligible - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies will result in less than minor injury, occupational illness or system damage.

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

Hazard Severity Index

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

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Hazard Probability

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

Hazard Probability Index

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HAZARD PROBABILITY			
Description	Level	Specific Individual Event	Fleet/ Inventory
Frequent	6	Likely to occur frequently	Continuously experienced
Probable	4	Will occur several times in the system's lifecycle	Will occur frequently
Occasional	5	Likely to occur sometime in the system's lifecycle	Will occur several times
Remote	3	Unlikely, but possible to occur in the system's lifecycle	Unlikely, but can be expected to occur
Improbable	2	So unlikely it can be assumed occurrence may not be experienced	Unlikely to occur but possible
Eliminated	1	Eliminated	

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Hazard Categorization (Identified by Hazard Risk Index)

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

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

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

Hazard Risk Index

Probability	HAZARD RISK INDEX			
	Frequency of Occurrence	Negligible	Marginal	Critical
	6	6	12	24
	5	5	10	20
	4	4	8	16
	3	3	6	12
	2	2	4	8
	1	1	2	4
Severity				

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HAZARD RISK INDEX

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

Hazard Acceptance Criteria

HAZARD ACCEPTANCE CRITERIA			
Hazard Risk Index		Decision Authority	Special Conditions
	10-24	Unacceptable	Requires review by CSO and Executive Director
	4-9	Undesirable	Requires review by CSO and Executive Director
	2-3	Acceptable with Review	Requires review by CSO
	1	Acceptable	Determination made by Manager, No Review Required

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1F, 2F, 3F, 4F**Hazard Control and Elimination**

Before implementation of any corrective action, system safety analyses establish a hazard severity category (1 through 4) and a probability ranking (1 through 6) which are combined to form a Risk Index, reflecting both severity and probability of occurrence for each identified hazard. The range of possible Risk Indices is shown in the above Sample Hazard Evaluation, Analysis, and Resolution Matrix.

Hazard Risk Indices

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

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

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

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

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

Warning, caution, and other forms of written advisories cannot be used as the only method of risk reduction for UN (Catastrophic) and UD/WR (Critical) hazards.

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

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

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

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

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

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

Hazard Tracking

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

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

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

**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
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APPENDIX C

PTASP RELATIONSHIP TO OTHER FEDERAL REGULATIONS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

FTA SAFETY REGULATIONS

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

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

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

**APPENDIX D
REFERENCED AND RELATED DOCUMENTS**

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

Deleted: Configuration Management



**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
ANNUAL REVIEW**

JUNE 2021

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PUBLIC TRANSPORTATION AGENCY SAFETY PLAN ANNUAL REVIEW

1.0 Scope

The Federal Transit Administration published the Public Transportation Agency Safety Plan (PTASP) regulation, 49 CFR Part 673, on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Urbanized Area Formula Program are required to develop and implement a Public Transportation Agency Safety Plan (PTASP), based on Safety Management Systems (SMS) principles and methods. The Board of Directors adopted the Orange County Transportation Authority's (OCTA) PTASP on May 11, 2020 as required. As part of the regulation, agencies are to conduct an annual review and Board of Directors update through the Safety Management System (SMS) risk-based approach.

2.0 Purpose

Due to the implementation of 49 CFR Part 673, OCTA is required to annually submit the current PTASP to the Board of Directors for review and approval, along with an annual safety report. The annual review of the PTASP will be conducted by the Accountable Executive, the Chief Safety Officer, and the SMS Program Manager each fiscal year, no later than June 30. OCTA has completed its first year of program implementation and assessed our overall safety program results against our initial safety performance targets and the action items identified. In addition, some of the processes and tools described in the initial PTASP have changed, which need reflected in a revised 2021 PTASP document.

3.0 PTASP Review Checklist

The PTASP Review Checklist is intended to verify compliance with the written PTASP components and an item that is checked has been verified as compliant. Any item that is not verified as compliant must have a comment that describes the action necessary to achieve compliance.

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	Name(s) and address(es) of the transit agency(ies) that the Agency Safety Plan applies to.	13	
<input checked="" type="checkbox"/>	Mode(s) of transit service covered by the Agency Safety Plan.	13	
<input checked="" type="checkbox"/>	Mode(s) of service provided by the transit agency (directly operated or contracted service).	13	
<input checked="" type="checkbox"/>	FTA funding types. (e.g., 5307, 5337, 5339)	13	
<input checked="" type="checkbox"/>	Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).	13	

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN ANNUAL REVIEW

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).	7, 13	
<input checked="" type="checkbox"/>	A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)(2).	7, 13	

Plan Development, Approval, and Updates

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	Name of the entity that drafted the Agency Safety Plan (e.g., State Department of Transportation).	15	
<input checked="" type="checkbox"/>	The Accountable Executive's signature on the Agency Safety Plan and date of signature.	15	
<input checked="" type="checkbox"/>	The Board of Directors' or Equivalent Authority's approval of the Agency Safety Plan and date of approval.	15	
<input type="checkbox"/>	Certification of compliance with Part 673, including the name of the individual or entity that certifies the Agency Safety Plan and date of certification.	15	<i>Blank – Look at including in next revision</i>
<input checked="" type="checkbox"/>	Process and timeline for conducting an annual review and update of the Agency Safety Plan, including the Agency Safety Plan version number and other relevant information.	15	
<input checked="" type="checkbox"/>	The Agency Safety Plan addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.	6	

Safety Performance Targets

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	<i>Fatalities:</i> Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.	19	
<input checked="" type="checkbox"/>	<i>Injuries:</i> Total number of reportable injuries and rate per total vehicle revenue miles, by mode.	19	
<input checked="" type="checkbox"/>	<i>Safety Events:</i> Total number of reportable events and rate per total vehicle revenue miles, by mode. (Event, as defined in § 673.5)	19	
<input checked="" type="checkbox"/>	<i>System Reliability:</i> Mean (or average) distance between major mechanical failures, by mode.	19	
<input type="checkbox"/>	Performance targets are made available to the State to aid in the planning process.	19	<i>Missing Date Targets</i>
<input type="checkbox"/>	Performance targets are made available to the Metropolitan Planning Organization(s) (MPOs) to aid in the planning process.	19	<i>Metropolitan Planning Organization Name has CPUC as well as SCAG. A place holder is provided for date transmitted to the MPO. Transmittal occurred on ...</i>
<input checked="" type="checkbox"/>	Coordination with the State and MPO(s) in the selection of State and MPO safety performance targets, to the maximum extent practicable.	19	

Safety Management Policy

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	Written statement of Safety Management Policy (SMP), including the agency's safety objectives.	19 - 20	
<input checked="" type="checkbox"/>	Employee safety reporting program, that includes: <ul style="list-style-type: none"> • A process that allows employees to report safety conditions to senior management; • Protections for employees who report safety conditions to senior management; and • A description of employee behaviors that may result in disciplinary action, and therefore are excluded from protection. 	20 - 23	
<input checked="" type="checkbox"/>	Communication of the safety management policy throughout the agency's organization.	23	
<input checked="" type="checkbox"/>	Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's Safety Management System (SMS), for the following individuals: <ul style="list-style-type: none"> • The Accountable Executive • The Chief Safety Officer or SMS Executive • Agency leadership and executive management • Key staff 	23 - 28	

Safety Risk Management

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	<i>Safety hazard identification:</i> Methods or processes to identify hazards and consequences of hazards, which includes data and information provided by an oversight authority and the FTA as sources for hazard identification.	29 - 30	
<input checked="" type="checkbox"/>	<i>Safety risk assessment:</i> Methods or processes to assess the safety risks associated with identified safety hazards. This must include assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.	49 Appendix B	
<input checked="" type="checkbox"/>	<i>Safety risk mitigation:</i> Methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards.	31 – 33, 37 - 38	

Safety Assurance

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	Activities to monitor the transit agency's system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance. (<i>safety performance monitoring and measurement</i>)	35	
<input checked="" type="checkbox"/>	Activities to monitor the transit agency's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. (<i>safety performance monitoring and measurement</i>)	37 - 38	
<input checked="" type="checkbox"/>	Activities to conduct investigations of safety events, including the identification of causal factors. (<i>safety performance monitoring and measurement</i>)	38 - 39	
<input checked="" type="checkbox"/>	Activities to monitor information reported through any internal safety reporting programs. (<i>safety performance monitoring and measurement</i>)	39 - 40	
<input checked="" type="checkbox"/>	<i>Management of change</i> : A process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. These proposed changes must be evaluated through the agency's Safety Risk Management process.	40	<i>Notes OCTA's Configuration management Policy Change Control</i>
<input checked="" type="checkbox"/>	<i>Continuous improvement</i> : A process to assess the transit agency's safety performance. If the agency identifies safety deficiencies as part of its safety performance assessment, the agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies.	41 - 42	

Safety Promotion

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	A comprehensive safety training program for all transit agency employees and contractors designated as directly responsible for safety in the agency's public transportation system. This program must include refresher training, as necessary.	43 - 44	
<input checked="" type="checkbox"/>	Communication of safety and safety performance information throughout the transit agency's organization that conveys, at a minimum: <ul style="list-style-type: none"> Information on hazards and safety risks relevant to employees' roles and responsibilities; and Safety actions taken in response to reports submitted through an employee safety reporting program. 	44 - 46	
<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	Documentation not included or referenced elsewhere in the Agency Safety Plan, related to: <ul style="list-style-type: none"> The implementation of the transit agency's Safety Management System; The programs, policies, and procedures that the agency uses to carry out its Agency Safety Plan; and Results from Safety Management System processes and activities. <i>The documents must be maintained for three years after they are created and must be made available upon request by the FTA or other Federal entity, or a State Safety Oversight Agency having jurisdiction.</i>	45 - 46 Appendix D	
<input checked="" type="checkbox"/>	Definitions of terms used in the Agency Safety Plan.	7 - 9	
<input checked="" type="checkbox"/>	List of acronyms used in the Agency Safety Plan.	10	

4.0 Safety Performance Targets**Bus**

	Goal	Actual	Status	Detail
Fatalities	0	1	Not Achieved	*See Note
Injuries	81	33	Achieved	
Safety Events	133	116	Achieved	
Miles Between Riad Calls	14,827	14,463	Achieved	

*Fatality due to suicide – not a result of system or operator activity

	Objective	Metric	Target	Actuals
Bus	Reduce Fatalities	Fatalities per 100K VRM	0.00	0.007
	Reduce Injuries	Injuries per 100K VRM	0.59	0.22
	Reduce Safety Events	Safety Events per 100K VRM	1.03	0.80
	Maintain System Reliability	Miles between Road Calls	1 per 14K VRM	15,746

Paratransit

	Goal	Actual	Status	Detail
Fatalities	0	0	Achieved	
Injuries	0	0	Achieved	
Safety Events	0	0	Achieved	
Miles Between Riad Calls	14,827	28,822	Achieved	

	Objective	Metric	Target	Actuals
Paratransit	Reduce Fatalities	Fatalities per 100K VRM	0.00	0.00
	Reduce Injuries	Injuries per 100K VRM	0.00	0.00
	Reduce Safety Events	Safety Events per 100K VRM	0.00	0.00
	Maintain System Reliability	Miles between Road Calls	1 per 14K VRM	28,822

5.0 Implementation Actions

Appendix A

PTASP/FTA Code	Action Item	Timeline	Responsible Person / Group	Status
673.23	Establish and implement PTASP/SMS Committee	Q1	HSEC/Planning	Achieved
673.23	Establish safety performance targets and objectives	Q1	PTASP/SMS Committee	Achieved
673.23	Engage the Contracted Services Management in PTASP expectations/requirements	Q1	HSEC / Operations	Achieved
673.31	Establish a Documentation Control/Management System (Records Management)	Q1	Information Systems / HSEC	Achieved
673.23	Implement PTASP through the Board of Directors	Q2 (May)	CEO/Planning/HSEC/Operations	Achieved
5323	Submit Certification of Assurance to the FTA	Q2 (July)	Finance and Administration / Government Affairs / HSEC	Achieved
673.23	Safety Management Policy Communication –	Q2	HSEC / HR / Operations	Achieved
673.29	Establish SMS communication tools and strategy	Q3	HSEC / External and Internal Communications	Achieved
	Expand on existing hazard reporting systems to include anonymous reporting	Q3	IS / HSEC / Operations	Achieved
673.25	Identify and implement a Risk Assessment process (All new hazards)	Q4	PTASP/SMS Committee / Operations / HSEC	Achieved
673.27	Establish a hazard/risk mitigation monitoring process	Q4	PTASP/SMS Committee / Operations / HSEC	Not Achieved – Pending Origami electronic tool development.
673.27	Establish a single data depository for safety and SMS data - Create dashboard for summary and real time analysis	Q4	Information Systems / HSEC / Operations	Not Achieved – Pending Origami electronic tool development

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN ANNUAL REVIEW

	- Safety performance monitoring and measuring			
673.29	Identify and establish SMS training requirements for OCTA staff and contractors	Q4	HSEC / Learning & Development / Operations	Achieved
673.27	Conduct a safety culture survey to assess existing status	Q4	HSEC / HR	Not Achieved – Delayed due to COVID-19 pandemic and prioritization of other related surveys. Completed: April 2020

PTASP/FTA Code	Action Item	Timeline	Responsible Person / Group	Status
673.27	Annual PTASP review and updates	Q2 2021 (June)	CEO / Chief Safety Officer / SMS/PTASP Committee	Achieved
673.23	Incorporate OC Streetcar into the PTASP and submit draft to the CPUC for review/approval	Q2 2021 (April)	HSEC / Operations	Not Achieved – Delayed due to construction schedule challenged /delays. Propose incorporating Streetcar into 2022 revision
673.23	Submit updated PTASP through the Board of Directors to OC Streetcar detail	Q2 2021 (July)	CEO / HSEC / Operations	Pending – On Target
673.27	Independent PTASP/SMS audit utilizing contractor, consultant, or other organization	Q2 2022 (June)	HSEC / Internal Audit	Pending – On Target

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN ANNUAL REVIEW

673.25	Complete a formal risk analysis for existing operational hazards	Q4 2022	HSEC / Operations	Pending – On Target
673.27	FTA Triennial Review to include PTASP/SMS	Q4 2022	Government Relations / HSEC / Operations	Pending – On Target

In review of the action items list, all items that required action and the allocation of resources were either completed on-time or delayed due to unforeseen circumstances caused by the COVID-19 pandemic. In total, out of the fourteen established action items, eleven were completed on time, one was delayed by four months, and two are still pending completion.

6.0 Areas of Improvement

Other areas of Review

1. Roles and Responsibilities – Opportunity for improvement
 - a. Action item(S)
 - i. Ownership and communication of safety performance targets and status on responsible party (Operations Management, Maintenance Management)
 - b. PTASP communications
 - i. Launch Safety Survey Results Communications

PTASP Edits or Proposed Changes:

Section	Proposed Edit/Change
4.0	Adopt new Paratransit miles between roadcalls safety performance target to 25,000 miles.
Acronyms, 6.3, 7.1, 7.3	Change OTS references to Origami
Appendix B	Update risk assessment process to reflect changes in risk ranking/rating criteria and designed features within Origami.
Appendix A	Adopt a new timeline date for incorporation of OC Streetcar into PTASP - 2022 PTASP update
Appendix A	Adopt new timeline for Establishment of a hazard/risk mitigation monitoring process – Q4 2021 (December)
Appendix A	Adopt new timetable for the establishment a single data depository for safety and SMS data / dashboard – Q4 2021 (December)

7.0 Summary

OCTA met all the established safety performance targets except for fatalities. OCTA experienced one fatality. This was a non-preventable event and did not occur due to any action or failure of the system or the Coach Operator.

OCTA fixed route bus performance actuals were 0.007 fatalities per 100,000 VRM, 0.22 injuries per 100 VRM, and 0.80 safety events per 100,000 VRM. For system reliability, the fixed route bus actuals for directly operated service was one road call per 17,080 VRM and for contracted fixed route was one road call per 14,412 VRM.

OCTA paratransit service actuals were 0.00 fatalities per 100,000 VRM, 0.00 injuries per 100 VRM, and 0.00 safety events per 100,000 VRM for system reliability, the paratransit actuals were one road call per 28,822.

Communications have been sent out to capture employee engagement which include the PTASP / SMS acknowledgement form, safety performance goals and the safety culture survey.

8.0 2021 Proposed Performance Targets

Bus

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

Paratransit

	Objective	Metric	Baseline	Target
Paratransit	Reduce Fatalities	Fatalities per 100K VRM	0.00	Maintain
	Reduce Injuries	Injuries per 100K VRM	0.00	Maintain
	Reduce Safety Events	Safety Events per 100K VRM	0.00	Maintain
	Maintain System Reliability	Miles between Road Calls	1 per 25K VRM	Maintain

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN ANNUAL REVIEW


9.0 Annual Review Certification

By signing below, you certify that the annual review has been completed and the information captured is accurate.



6/9/21

Valerie Steinbeck, PTASP Program Manager



6/9/21

Matthew DesRosier, Chief Safety Officer



COMMITTEE TRANSMITTAL

August 23, 2021

To: Members of the Board of Directors

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

Subject: SB 1 (Chapter 5, Statutes of 2017) State of Good Repair Program Recommendations for Fiscal Year 2021-22 Funds

Transit Committee Meeting of August 12, 2021

Present: Directors Chaffee, Do, Jones, Nguyen, Sarmiento, Shaw, and Sidhu

Absent: None

Committee Vote

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

Committee Recommendations

- A. Approve Resolution No. 2021-063 authorizing the use of fiscal year 2021-22 SB 1 State of Good Repair Program funding, which is estimated to provide approximately \$6.4 million, for the Transit Security and Operations Center Project.
- B. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program, and execute any necessary agreements to facilitate the above recommendation.



August 12, 2021

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: SB 1 (Chapter 5, Statutes of 2017) State of Good Repair Program Recommendations for Fiscal Year 2021-22 Funds

Overview

The SB 1 (Chapter 5, Statutes of 2017) State of Good Repair Program provides funding for transit capital, which is generated from the Transportation Improvement Fee. Programming recommendations are presented for fiscal year 2021-22 funds. These funds will help upgrade the Orange County Transportation Authority bus system, consistent with state program goals.

Recommendations

- A. Approve Resolution No. 2021-063 authorizing the use of fiscal year 2021-22 SB 1 State of Good Repair Program funding, which is estimated to provide approximately \$6.4 million, for the Transit Security and Operations Center Project.
- B. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program, and execute any necessary agreements to facilitate the above recommendation.

Background

On April 28, 2017, Governor Brown signed SB 1, known as the Road Repair and Accountability Act of 2017. The State of Good Repair (SGR) Program is a transit capital program funded from the SB 1 Transportation Improvement Fee (TIF), that is funded through vehicle registrations. It is estimated that the TIF will provide \$117.5 million statewide in SGR for fiscal year (FY) 2021-22. The Orange County Transportation Authority's (OCTA) share is currently estimated to be \$6.4 million. The State Controller's Office (SCO) will release a revised estimate for the FY 2021-22 SGR funds in August 2021, after this staff report is published. Actual revenues may differ based on the collection of funds through the TIF.

The specific goal of the SGR Program is to rehabilitate and modernize existing local transit systems, equipment, and facilities. Eligible projects include transit capital projects or services to maintain or repair a transit operator's existing transit vehicle fleet, or transit facilities that improve existing transit services and transit services that complement local efforts.

OCTA has received four cycles of SGR funding which have been used to support OC Bus fleet and facilities. The OCTA Board of Directors (Board) approved prior-year SGR funding for the following projects:

- Purchase ten zero-emission hydrogen fuel cell electric buses (\$5.6 million),
- Heating-ventilation unit replacements at the Anaheim Bus Base maintenance building (\$0.1 million),
- Purchase up to 17 iShuttle replacement buses (\$9.7 million),
- Replace up to five 40-foot compressed natural gas-powered buses with 40-foot zero-emission battery-electric buses (\$1.9 million),
- Power Generator Replacement Project at the Anaheim and Irvine Construction Circle Bus Bases (\$1.4 million),
- Facility modifications, upgrades, and replacement projects at the OCTA bus bases (\$5.3 million).

The California Department of Transportation (Caltrans) revises the SGR guidelines on an annual basis with the latest version approved in July 2021. Transit agencies will submit projects for Caltrans' confirmation of eligibility by September 1, 2021. Funds will be allocated quarterly by the SCO starting in November 2021.

Discussion

To access the SGR funds, OCTA is required to submit a Board-approved list of projects. Staff is requesting Board approval to use the FY 2021-22 SGR funds, currently estimated to be approximately \$6.4 million, for the Transit Security and Operations Center (TSOC) Project. This project includes replacing OCTA's control center facility, known as the Garden Grove Annex. The current facility cannot be retrofitted to achieve the continuous operations standards required of essential facilities in California. Planned uses of the TSOC include providing space and equipment for Central Communications (dispatch), Field Operations, Security and Emergency Preparedness, Transit Police Services, and OCTA operations support personnel. The TSOC will also support Orange County emergency operations. A detailed project fact sheet is provided in Attachment A.

OCTA has completed the environmental review and secured the necessary right of way for the project, and final design is underway. Staff recommends programming \$6.4 million of SGR funding to partially fund the construction phase of the project. Staff will return to the Board with a full funding plan for the construction phase once the final design estimate is finalized.

The use of SGR funding for the TSOC Project is consistent with Caltrans' SGR Program guidelines and also meets the program goals. The proposed action is also consistent with OCTA's Capital Programming Policies, approved by the Board in February 2019. As part of the SGR application process, OCTA is required to submit a Board-approved list of projects through a resolution (Attachment B). The action recommended in this report has been added to OCTA's Capital Funding Program (Attachment C).

Next Steps

With Board approval, staff will submit a request to Caltrans by September 1, 2021, for the use of \$6.4 million or the revised estimate/actual FY 2021-22 SGR funding to support the TSOC Project. Caltrans will finalize and submit the statewide list of FY 2021-22 projects to the SCO on October 1, 2021. It is anticipated that the SCO FY 2021-22 funds will begin being released to transit agencies on a quarterly basis, beginning November 2021.

Summary

Staff is recommending OCTA use FY 2021-22 SGR funds for the TSOC Project, which will provide space and equipment for Central Communications (dispatch), Field Operations, Security and Emergency Preparedness, Transit Police Services, and OCTA operations support personnel.

Attachments

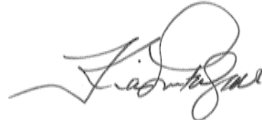
- A. Transit Security and Operations Center Project, Fact Sheet
- B. Resolution 2021-063 of the Orange County Transportation Authority,
SB 1 (Chapter 5, Statutes of 2017) State of Good Repair Program,
Fiscal Year 2021-22
- C. Capital Funding Program Report

Prepared by:



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Senior Transportation Funding Analyst,
Formula Funding Programs
(714) 560-5098

Approved by:



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

Transit Security and Operations Center Project Fact Sheet



Project Scope

Engineering studies determined that the building that houses the Orange County Transportation Authority's (OCTA) Transit Police Services, operations support, and Central Communications cannot be expanded to accommodate OCTA's projected needs as the transportation system expands. Further, the structure does not currently meet the continuous operation standard, which is required of essential facilities in California. To ensure OCTA can provide for more effective management of OCTA's expanding transportation network, for continuity of operations, and for disaster response transportation that can move people, goods, emergency personnel, and equipment in the aftermath of a disaster, OCTA is working to replace OCTA's control center facility, known as the Garden Grove Annex, which is currently located at 11800 Woodbury Road in the City of Garden Grove. This new Transit Security and Operations Center (TSOC) will be located on a 2.86-acre site at the intersection of Lincoln Avenue and Manchester Avenue in the City of Anaheim. The TSOC will be a secured facility for authorized personnel only and not open to the general public. The two-story building is planned to support the following user groups:

- Emergency Operations Center
- Central Communications (Dispatch)
- Field Operations (Transit)
- Public Information Officer
- Security and Emergency Preparedness
- Transit Police Services

Transit Security and Operations Center Project Fact Sheet

The TSOC will provide for dispatch of 60 OCTA bus routes over the OCTA service area in Orange County and parts of Los Angeles and Riverside counties. The TSOC will also provide additional parking intended for emergency events and a proposed microwave tower would improve the level of communication and collaboration with the Loma Ridge Emergency Center, the Orange County Emergency Operations Center, and other partner agencies. It could also serve as an alternate site of California Department of Transportation emergency operations.

TSOC Benefits

- Provides for essential services and allows for ongoing dispatch of buses and Transit Police Services.
- Supports OCTA's Emergency Operations Plan; OCTA's Continuity of Operations Plan, and the Business Impact Analysis.
- Provides space for OCTA's Public Information Officer.
- Supports public safety and improves operational efficiency.
- Houses an Emergency Operations Center, which will allow OCTA to coordinate with Emergency Operations Centers in Orange County and surrounding counties.
- Built to provide an efficient space plan that allows for existing needs and accommodate future growth to Transit Police Services, transit centers, operations support, and Central Communications.
- Strengthened infrastructure meeting the standards set forth by the Essential Services Buildings Seismic Safety Act of 1986 and allows for continued operations during and after a disaster.

OCTA is currently working on the final design for the project, which is expected to be complete later this year.

The current funding by phase and schedule is provided below:

Phase	Complete	Cost Estimate (\$000s)	OCTA Committed Funds		Shortfall (\$000s)
			TSSSDRA (\$000s)	OCTA Local (\$000s)	
PA/ED	May-19	\$1,085	\$884	\$201	\$0
PS&E	Dec-21	\$4,588	\$0	\$4,588	\$0
ROW	Jun-19	\$4,719	\$4,719	\$0	\$0
CON	Dec-23	TBD	\$0	\$0	TBD
TOTAL		\$10,392	\$5,603	\$4,789	\$0

CON - Construction

PA/ED - Project Approval/Environmental Document

PS&E - Plans, Specifications & Estimates

ROW - Right-of-Way

TSSSDRA - Transit System Safety, Security and Disaster Response Account

**RESOLUTION 2021-063
OF THE ORANGE COUNTY TRANSPORTATION AUTHORITY
SB 1 (CHAPTER 5, STATUTES OF 2017) STATE OF GOOD REPAIR PROGRAM
FISCAL YEAR 2021-22**

WHEREAS, the Orange County Transportation Authority (OCTA) is an eligible project sponsor and may receive state funding from the SB 1 (Chapter 5, Statutes of 2017) State of Good Repair (SGR) Program future for transit projects; and

WHEREAS, the statutes related to state-funded transit projects require a local or regional implementing agency to abide by various regulations; and

WHEREAS, in collaboration with the State Controller's Office (SCO), the California Department of Transportation (Caltrans) is tasked with the management and administration of the SGR Program; and

WHEREAS, Caltrans has developed guidelines for administering and distributing SGR funds to eligible project sponsors (local agencies); and

WHEREAS, OCTA wishes to use the SGR funding of up to \$6,416,264 for the Transit Security and Operations Center Project and;

WHEREAS, OCTA will adjust funding levels for projects, if necessary, upon receipt of the SCO's revised estimates, which are expected in early August 2021 or based on actual receipt of funds;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors (Board) that the fund recipient agrees to comply with all conditions and requirements set forth in applicable statutes, regulations, and guidelines for all SGR-funded transit projects;

NOW, THEREFORE, BE IT FURTHER RESOLVED by the Board that it hereby authorizes the submittal of the following project nomination to Caltrans in fiscal year 2021-22 SGR funds:

- Transit Security and Operations Center (\$6,416,264).

ADOPTED, SIGNED, AND APPROVED this 23rd day of August 2021.

AYES:

NOES:

ABSENT:

ATTEST:

Andrea West
Interim Clerk of the Board

Andrew Do, Chairman
Orange County Transportation Authority



Capital Funding Program Report

Pending OCTA Board of Directors (Board) Approval - August 23, 2021

Bus Transit Project											
Project Title	M Code	Total Funding	Federal Funds			State Funds			Local Funds		
			STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local
Go Local - Step 1	S	\$5,730							\$5,730		
Mobile ticketing equipment	S	\$4,036						\$4,036			
M2 Project V Community Circulators	V	\$53,767								\$53,767	
M2 Project W Safe Transit Stops (City)	W	\$1,708								\$1,708	
M2 Project W Safe Transit Stops (OCTA)	W	\$370								\$370	
ACCESS and fixed-route radio systems upgrade		\$22,465		\$4,434	\$341			\$16,239			\$1,451
Associated Transportation Improvements		\$556		\$556							
Bravo! 529 buses (six)		\$3,595	\$549					\$3,046			
Bus Engine Repowers (173)		\$12,526	\$12,526								
Bus replacement - articulated alternative fuel buses (60')		\$31,105	\$22,250	\$8,855							
Bus replacement (40' and ACCESS)		\$149,009	\$29,198	\$68,139							\$51,672
Capital cost of contracting FY2018-19 to FY2024-25 (ACCESS and contracted fixed-route contracts)		\$349,243		\$185,623							\$163,620
Engine rebuild		\$16,294		\$14,824				\$1,470			
Facility modifications, upgrades, and replacement projects		\$5,347					\$5,347				
FTA Section 5310 Enhanced Mobility of Seniors & Individuals with Disabilities		\$3,657		\$3,657							
FTA Section 5316 Jobs Access and Reverse Commute		\$13,962		\$13,962							
FTA Section 5317 New Freedom		\$6,388		\$6,388							
Goldenwest Transportation Center parking structure		\$4,000	\$3,400								\$600
Goldenwest Transportation Center surface lot		\$2,000						\$1,200			\$800
iShuttle replacement buses (12)		\$6,803					\$6,123				\$680
iShuttle replacement buses (five)		\$2,800					\$2,520				\$280
MSRC County Transportation Commission Partnership Program		\$2,319				\$176					\$2,143
Non-fixed-route paratransit operations assistance - FY 2018-19 to FY 2024-25		\$420,500		\$84,101							\$336,399
OC Mobility Hubs Strategy		\$300	\$266			\$34					
OCTA Transit Security & Operations Center ¹		\$16,808					\$6,416	\$5,603			\$4,789
Preventive maintenance - including salaries and benefits (includes ATN & Laguna Beach)		\$167,572		\$167,572							
Purchase (201) 40-foot alternative fuel replacement buses (OCTA)		\$229,384	\$134,670	\$47,696							\$47,018
Purchase 117 replacement paratransit vehicles		\$14,995		\$14,995							
Rehabilitation and Renovation at OCTA Bus Facilities		\$1,509		\$1,207							\$302
Rideshare/vanpool		\$11,232	\$11,232								
Standby backup generators at Anaheim and IRCC bases		\$1,374					\$1,374				
Transit Security Program		\$3,167						\$3,167			
Vanpool Program - capital lease		\$12,838	\$12,838								
VSS upgrades at OCTA facilities		\$1,159		\$960				\$199			
Zero-emission Bravo! buses (ten battery electric) and bus infrastructure		\$14,004					\$6,466	\$7,538			
Bus Transit Project Totals		\$1,592,522	\$226,929	\$622,969	\$341	\$210	\$28,246	\$42,498	\$5,730	\$55,845	\$609,754



Capital Funding Program Report

Pending OCTA Board of Directors (Board) Approval - August 23, 2021

Bus Transit Project												
			Federal Funds			State Funds			Local Funds			
Project Title	M Code	Total Funding	STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local	
Federal Funding Total		\$850,239										
State Funding Total		\$70,954										
Local Funding Total		\$671,329										
Total Funding (000's)		\$1,592,522										

Bus Transit Project Completed												
			Federal Funds			State Funds			Local Funds			
Project Title	M Code	Total Funding	STBG/CMAQ	FTA	Other Fed.	STIP	SB1	Other State	M1	M2	Other Local	
Heating ventilation unit replacements		\$405		\$313			\$92					
Zero-emission hydrogen fuel cell buses (10)		\$12,978					\$5,640	\$7,338				
Bus Transit Project Completed Totals		\$13,383		\$313			\$5,732	\$7,338				
Federal Funding Total		\$313										
State Funding Total		\$13,070										
Local Funding Total		\$0										
Total Funding (000's)		\$13,383										



Capital Funding Program Report

Pending OCTA Board of Directors (Board) Approval - August 23, 2021

Board Action:

1. Approve Resolution No. 2021-063, consistent with the SB 1 State of Good Repair Program Guidelines, authorizing the use of fiscal year 2021-22 SB 1 State of Good Repair Program funding, which is estimated to provide approximately \$6.4 million for the Transit Security and Operations Center project.

Acronyms:

ATN - Anaheim Transportation Network
CMAQ - Congestion Mitigation Air Quality Improvement Program
FTA - Federal Transit Administration
FY - Fiscal Year
IRCC - Irvine Construction Circle
M Code - Project Codes in Measure M1 and M2
M1 - Measure M1
M2 - Measure M2
MSRC - Mobile Source Air Pollution Reduction Review Committee
OCTA - Orange County Transportation Authority
SB 1 - Chapter 5, Statutes of 2017
STBG - Surface Transportation Block Grant
STIP - State Transportation Improvement Program
VSS - Video Surveillance System



COMMITTEE TRANSMITTAL

August 23, 2021

To: Members of the Board of Directors
From: Andrea West, Interim Clerk of the Board *Andrea West*
Subject: 2022 State Transportation Improvement Program Overview

Regional Planning and Highways Committee Meeting of August 2, 2021

Present: Directors Bartlett, Chaffee, Delgleize, Harper, Hernandez, Murphy, and Sarmiento
Absent: Director Muller

Committee Vote


Following the discussion, no action was taken on this item.

Staff Recommendation

Receive and file as an information item.



August 2, 2021

To: Regional Planning and Highways Committee
From: Darrell E. Johnson, Chief Executive Officer 
Subject: 2022 State Transportation Improvement Program Overview

Overview

The State Transportation Improvement Program is a five-year plan of projects adopted by the California Transportation Commission for future allocations of state transportation funds. Every two years, the Orange County Transportation Authority updates the program of projects to be funded through this program. An overview of the 2022 State Transportation Improvement Program process is presented for information purposes.

Recommendation

Receive and file as an information item.

Background

The State Transportation Improvement Program (STIP) is a five-year state funding program for transportation projects that is administered and adopted by the California Transportation Commission (CTC). The STIP is divided into two major funding categories: The Regional Improvement Program (RIP) and the Interregional Improvement Program (IIP). Seventy-five percent of the program is allocated to the RIP, which is then provided to counties by formula to help deliver transportation capital projects that are consistent with the regional transportation plan. The remaining 25 percent is provided to the California Department of Transportation (Caltrans) for transportation projects of interregional significance and intercity rail projects through the IIP.

Every two years, the CTC considers changes to the STIP Guidelines (Guidelines) and approves the fund estimate (FE), which forecasts what level of funding will be available to support the STIP, as well as other state funding programs,

for the following five-year period. This year, the draft Guidelines, particularly related to the IIP, must align with the Climate Action Plan for Transportation Infrastructure (CAPTI), which was finalized by the California State Transportation Agency in July 2021. The CAPTI is a framework for aligning state transportation funding investments with the state's climate goals and was partially developed in response to California Executive Order N-19-19 and N-79-20, targeted at reducing greenhouse gas emissions in transportation. As noted in the draft FE, the revenue that supports the STIP derives from the price-based excise tax and Federal Highway Trust Fund. Historically, Orange County's share, which is based on a formula that considers highway centerline miles and population, is approximately 6.5 percent of the total statewide RIP. Centerline miles are calculated by measuring down the center of all lanes of traffic verses lane miles, which are calculated by multiplying the centerline roadway length by the number of through lanes.

Projects eligible for the STIP must adhere to the Guidelines and the Orange County Transportation Authority (OCTA) Capital Programming Policies that were adopted by the Board of Directors (Board) on February 11, 2019 (Attachment A). OCTA is responsible for the development and programming of Orange County's share of the RIP portion of STIP revenues, which is submitted to CTC for approval. OCTA and Caltrans coordinate the development of projects that are considered for inclusion in the RIP and the IIP.

The current 2020 STIP was approved on March 26, 2020, by the CTC. Orange County's approved 2020 STIP contained six projects for Orange County and totaled \$200.6 million (Attachment B). The CTC has already allocated \$1 million from the 2020 STIP to one project with \$80.8 million proposed to be allocated in fiscal year (FY) 2021-22 for two more projects, meaning that the remaining \$118.8 million will carry over into the 2022 STIP.

Enacted on December 27, 2020, the Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (COVID Relief Funds) provided additional transportation funding that CTC will allocate. The CTC will make these funds available through the STIP process and has adopted separate funding guidelines entitled 2021 mid-cycle STIP. On June 14, 2021, the Board approved recommendations for the use of a portion of the 2021 mid-cycle STIP funds for two projects and confirmed that programming of the remaining \$10.4 million in mid-cycle STIP funds would be deferred to be considered for projects along with the 2022 STIP.

Discussion**2022 STIP Draft FE**

The 2022 draft FE, which was noticed by the CTC on June 23, 2021, indicates that the total statewide STIP funding capacity for the 2022 STIP is \$2.7 billion, of which approximately \$2 billion will be distributed to regional agencies through the RIP. Additional information on the 2022 STIP FE is provided in Attachment C. The OCTA share of the new capacity is approximately \$20.5 million including adjustments for prior STIP advancements. For the 2022 STIP, it is anticipated that OCTA's program of projects would be approximately \$150 million including \$118.8 million in carryover funds committed to projects in the 2020 STIP, and the \$10.4 million remaining funding available from the mid-cycle STIP. It should be noted that the final FE is subject to change as the adoption by the CTC will not occur until August 18, 2021.

Draft 2022 Guidelines

The Guidelines identify procedures and requirements that project sponsors and implementing agencies must adhere to in order to program, allocate, deliver, and seek reimbursement for STIP funds. In terms of the draft 2022 Guidelines, the CTC is proposing several changes.

The CTC is proposing to require all RIP submittals to include a discussion of:

- The most significant interregional highway and intercity rail needs within the region,
- The most significant multimodal corridor deficiencies within the region, and
- Any state routes within the region that might be potential candidates for a Highways to Boulevard Conversion Pilot Program.

While this does not change what type of projects can be submitted, it directs attention to needs that are more consistent with the CAPTI framework.

Additional changes proposed in the draft 2022 Guidelines related to the IIP that Caltrans must follow include:

- Identifying projects that have previously received IIP funds for preconstruction but have not been fully funded through construction,
- Developing an assessment of functional gaps within priority interregional facilities in the approved Interregional Transportation Strategic Plan,
- Identifying deficiencies within interregional multimodal corridors, and
- Discussion of possible highways to boulevards conversion.

Additionally, IIP submittals by Caltrans must now consider CAPTI climate goals to:

- Align planning and programming with objectives of the California Climate Change Scoping Plan,
- Reduce vehicles miles traveled 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 single-occupant vehicles 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 Californian residents.

Next Steps

Staff is coordinating with Caltrans and local agencies, as applicable, on specific project proposals for the RIP and the IIP. A schedule of next steps is included as Attachment D. Staff expects to return to the Board at the September 13, 2021 meeting with specific programming recommendations. Additionally, these recommendations are due by September 15, 2021, to the Southern California Association of Governments for modeling purposes, and to the CTC by December 15, 2021. The CTC is expected to approve the 2022 STIP at the March 2022 meeting.

The updated program of projects that will be recommended to the Board next month may include modifications to existing projects or new projects that are consistent with the OCTA Long-Range Transportation Plan, and requests to expedite existing STIP projects.

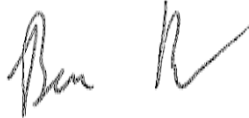
Summary

OCTA is responsible for the development and programming of the STIP projects for Orange County. With the upcoming 2022 STIP cycle, OCTA staff has started the process to consider priority projects for recommendation to the Board for the RIP submittal to the CTC.

Attachments

- A. Existing Capital Programming Policies by Fund Source, February 2019
- B. Funding Plan for 2020 STIP - CTC Approved Projects, STIP Funding
- C. Fund Estimate (FE) Overview and Factors Impacting Capacity and Gasoline Consumption
- D. 2022 State Transportation Improvement Program Development Schedule

Prepared by:



Ben Ku
Section Manager,
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Approved by:



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

**Existing Capital Programming Policies by Fund Source
February 2019**

Funding Source/Agency	State and Federal Programming Policies
All State and Federal Fund Sources	First priority of all funding sources is to fulfill commitments to the latest Next 10 Delivery Plan, specifically Measure M2 (M2) projects and to maintain existing the Orange County Transportation Authority's (OCTA) assets in a state of good repair. Consideration will also be given to use state and federal funds for projects that are complementary to M2 projects and that share the program goals to reduce congestion, strengthen the economy, and improve the quality of life. All fund sources must be programmed through formal programming actions.
State	
Active Transportation Program – Southern California Association of Governments (SCAG) Regional Selection (Formula)/California Transportation Commission (CTC)/SCAG	Bicycle and pedestrian projects up to a ten percent set-aside and contingent on ready-to-go projects as submitted through competitive calls.
Cap-and-Trade (Competitive) – Affordable Housing and Sustainable Communities Program (AHSC)/Strategic Growth Council	<p>Use AHSC for fixed-guideway and transit corridor projects that serve disadvantaged communities and reduce greenhouse gas (GHG) emissions.</p> <p>*Note – In the guidelines, a transit project must be paired with an affordable housing project for Transit-Oriented Development Program funds.</p>
Cap-and-Trade (Formula) – Low Carbon Transit Operations Program (LCTOP)/California Department of Transportation (Caltrans)	Use LCTOP for transit operations or capital for expansion of bus transit service, fare reduction programs, and other bus and commuter rail transit efforts that increase ridership and reduce GHG emissions, where 50 percent of the funds provide benefits for passengers in disadvantaged communities. Funds generated from commuter rail service in Orange County may be used in Orange County for the expansion of commuter rail service, fare reduction programs for commuter rail, and other eligible commuter rail efforts that increase ridership and reduce GHG emissions.
Cap-and-Trade (Competitive) – Transit and Intercity Rail Capital Program (TIRCP)/California State Transportation Agency	Use TIRCP for capital projects that expand bus and rail service to increase ridership and for projects that improve the integration between bus and rail systems. Projects must also reduce GHG emissions.
Funding Source/Agency	State and Federal Programming Policies
Proposition 1A/CTC	All funds are programmed.
Proposition 1B – Competitive Programs Funding/CTC	Maximize the Orange County allocations consistent with each program and ensure the receipt of allocated funds.
Proposition 1B Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA)/ Caltrans	Use PTMISEA funds for commuter rail improvements and to fund existing State Transportation Improvement Program (STIP) - Public Transit Administration projects (approximately \$60 million) currently programmed in the 2010 STIP and for eligible OC Bridges projects.

**Existing Capital Programming Policies by Fund Source
February 2019**

Funding Source/Agency	State and Federal Programming Policies
Proposition 1B – Transit System Safety, Security and Disaster Response Account (TSSSDRA)/California Governor’s Office of Emergency Services	Use TSSSDRA to support capital projects that enhance the safety, security, and emergency response capabilities of transit.
Proposition 116 (CTC)	Use cost savings for commuter or intercity rail capital improvement projects along the Metrolink corridor (between the cities of Buena Park and San Clemente) that are funded with Measure M1 and M2 funds on a first-come, first-served basis.
SB 1 (Chapter 5, Statutes 2017) - Local Partnership Program (LPP) – Formula/CTC	Use LPP for ready-to-deliver M2 projects which are compatible with state goals and seek to balance funds between freeways, streets and roads, transit capital and eligible environmental clean-up and based on the timing for the request for project nominations.
SB 1 - State of Good Repair (SGR)/Caltrans	Use funds for bus transit capital projects and for maintenance, rehabilitation, and replacement of existing OCTA transit assets
SB 1 - Trade Corridors Enhancement Program (TCEP)/CTC	Use TCEP first for eligible M2 Program projects that meet the requirements and goals of the program, then fund other eligible Orange County projects
STIP/CTC	Use of STIP funds for M2 freeway, commuter rail, fixed-guideway projects, planning/programming and complementary activities, which seek an equitable balance between freeways and transit capital and are consistent with state goals.

Funding Plan for 2020 STIP - CTC Approved Projects											
STIP Funding								Other Funding			Total Project Cost
2020 STIP (In Thousands)	Prior	2020-21	2021-22	2022-23	2023-24	2024-25	Total STIP	STBG/ CMAQ	M2	Other ¹	
SR-55 Improvement Project from I-405 to I-5		80,000					80,000	103,805	48,607	116,800	349,212
I-5 Improvements from SR-73 to El Toro Road (replacement planting/landscaping)						6,000	6,000		6,365		12,365
Planning, Programming, and Monitoring		1,000	848	1,848	515	1,056	5,267				5,267
I-5 Improvements from I-405 to Yale Avenue - Segment 1 (Con)						95,338	95,338	55,884	27,417	44,791	223,430
SR-74 Ortega Highway Improvements - Calle Entradero to City/County Line (PS&E)						8,540	8,540		1,950	6,163	16,653
I-5 Managed Lane from Avenida Pico to San Diego County Line (ENV)			-		5,500		5,500	6,071			11,571
I-605/Katella Avenue Interchange (PS&E)			-			-	-		4,824		4,824
2020 STIP subtotal	-	81,000	848	1,848	6,015	110,934	200,645	165,760	89,163	167,754	623,322

1. Other funds include \$44,791 million in pending SB 1 (Chapter 5, Statutes 2017) LPP formula, \$47.05 million in State Highway Operations and Protection Program, \$70 million in unfunded need, \$0.4 million in developer fees, \$5.513 million in interregional STIP, and \$9.388 million in approved LPP funds.

- Acronyms**

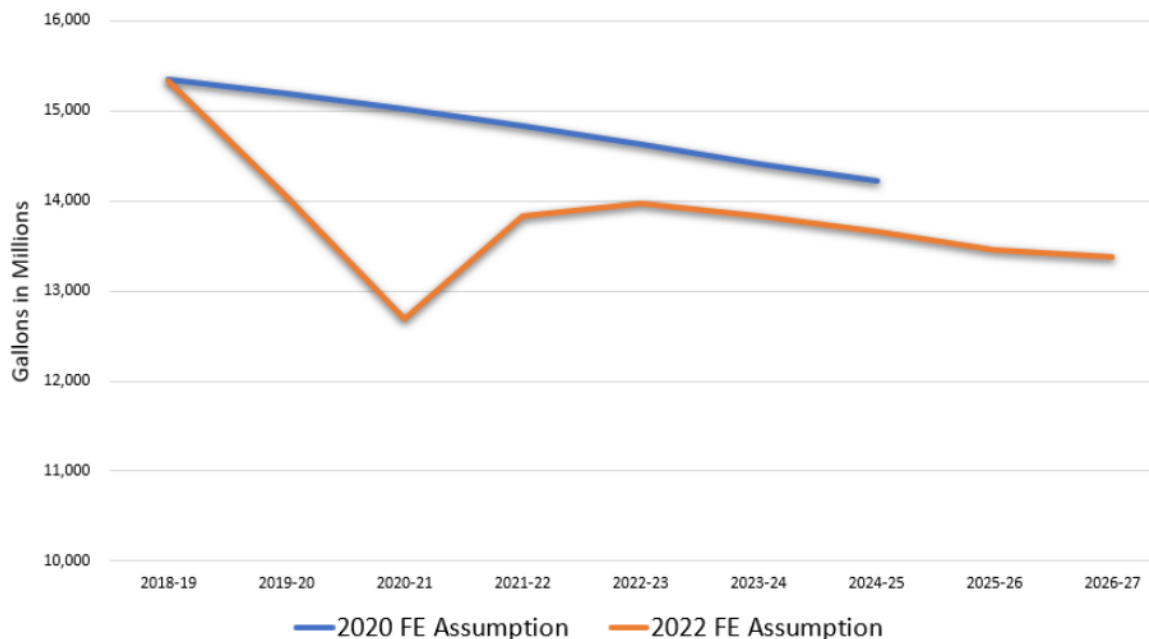
 - STIP - State Transportation Improvement Program
 - CTC - California Transportation Commission
 - STBG - Surface Transportation Block Grant Program
 - CMAQ - Congestion Mitigation and Air Quality
 - M2 - Measure M2
 - SR-55 - State Route 55
 - I-405 - Interstate 405
 - I-5 - Interstate 5
 - SR-73 -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

Fund Estimate (FE) Overview and Factors Impacting Capacity and Gasoline Consumption

The 2022 draft FE, which was noticed by the California Transportation Commission (CTC) on June 23, 2021, indicates that the six-year total State Transportation Improvement Program (STIP) funding capacity is \$2.7 billion. This is an overall reduction of 19 percent from the 2020 STIP capacity of \$3.2 billion. The FE assumes gasoline consumption for the 2022 STIP decreased significantly in fiscal year (FY) 2019-20 and FY 2020-21 due to the impacts of the coronavirus. Then consumption increases through FY 2022-23. However, gasoline consumption does not return to the same level of consumption that was forecasted in the prior 2020 FE. This comparison is shown in the chart below. Finally, the State is forecasting a slow but gradual decline in gasoline demand over time. This gradual decline in gasoline demand will have an impact on future STIP programs assuming the STIP continues to be limited to the gasoline excise tax.

The 2022 STIP cycle is expected to provide funding of \$150 million to the Orange County Transportation Authority (OCTA), including 2020 STIP projects already programmed, new 2022 STIP capacity, and the mid-cycle STIP funding. This amount is slightly higher than the typical 6.45 percent OCTA share of the \$2 billion in Regional Improvement Program due to the addition of the mid-cycle STIP and the timing of when projects from the previous STIP cycle are delivered.

Factors Impacting Capacity – Gasoline Consumption



From the California Department of Transportation Draft 2022 STIP Fund Estimate Presentation to CTC – June 23, 2021

2022 State Transportation Improvement Program Development Schedule

- August 18-19, 2021 – California Transportation Commission (CTC) adopts the State Transportation Improvement Program (STIP) fund estimate.
- September 2, 2021 – Present to the Orange County Transportation Authority (OCTA) Regional Planning and Highways Committee the STIP/Regional Improvement Program (RIP).
- September 13, 2021 – Present to the OCTA Board of Directors item for approval the STIP/RIP.
- September 30, 2021 – OCTA STIP/RIP projects submitted to the Southern California Association of Governments for regional modeling analysis.
- October 4, 2021 – The California Department of Transportation (Caltrans) submits the final draft Interregional Improvement Program (IIP).
- October 14, 2021 – CTC Interregional Transportation Improvement Program (ITIP) hearing – South.
- October 21, 2021 – CTC ITIP hearing – North.
- By December 15, 2021 – STIP/RIP and Caltrans IIP submittal due to CTC.
- January 27, 2022 – CTC STIP hearing – North.
- February 3, 2022 – CTC STIP hearing – South.
- February 28, 2022 – CTC publishes staff recommendations.
- March 23-24, 2022 – CTC adopts STIP.

2022 State Transportation Improvement Program Overview

2022 STIP Overview

- Biennial five-year capital improvement program to improve regional highways and transit systems
 - Funded primarily with portions of gasoline excise tax
 - Administered by the California Transportation Commission (CTC)
-
- The 2022 STIP will cover FY 2022-23 through FY 2026-27
 - Majority of new funding capacity will be in FY 2025-26 and 2026-27

2022 STIP Components

- Regional Improvement Program (RIP):
 - 75% to the counties based on population and highway centerline miles
 - Orange County share is 6.45% of RIP
 - OCTA submits project nominations for Orange County
- Interregional Improvement Program (IIP):
 - 25% to the State for interregional highway and intercity rail projects
 - Caltrans submits project nominations

2021 Mid-Cycle STIP

- Funds made available through the Coronavirus Response and Relief Supplemental Appropriations Act of 2021
- Funds administered by CTC and made available to counties through the STIP formula
- OCTA share \$11.8 million:
 - In June OCTA Board programmed \$800K to advance Ortega Highway and \$600K for planning activities
 - \$10.4 million remaining

STIP Development Timetable

June 2021	CTC released draft 2022 STIP fund estimate and guidelines
August 2021	CTC approves final STIP fund estimate and guidelines
September 2021	OCTA approves project list and sends to SCAG for analysis
December 2021	OCTA submits projects to CTC for consideration
January/February 2022	CTC holds STIP hearings
February 2022	Possible adjustments to OCTA requests based on CTC feedback
March 2022	CTC approves the 2022 STIP

2022 STIP Capacity

Description	OCTA - RIP (in millions)
New Revenues	\$ 139.3
Program Commitments	(\$ 118.8*)
2022 STIP New Funding Capacity	\$ 20.5
Remaining Mid-Cycle STIP	\$ 10.4
Total RIP New Funding Capacity	\$ 30.9

* Existing programming for I-5 Improvement project from I-405 to Yale Avenue, I-5 Improvements from SR-73 to El Toro Road (replacement planting/landscaping), SR-74 Ortega Highway Improvements, and I-5 from County Line to Pico

Overview of STIP Program Guidelines

- Guidelines outline the policy, standards, criteria, and procedures for the development, adoption, and management of the STIP
- Developed in cooperation with the Caltrans, regional transportation planning agencies, county transportation commissions, and local agencies
- Eligible uses include capital state highway improvements, intercity rail, regional highway or transit projects to improve regional transportation

2022 STIP – Revisions to Guidelines

- RIP submittal must include discussion of:
 - The most significant interregional highway and intercity rail needs within the region
 - The most significant multimodal corridor deficiencies within the region
 - Any state routes within the region that might be potential candidates for a Highway to Boulevard Conversion Pilot Program
- IIP submittals must consider the Climate Action Plan for Transportation Infrastructure (CAPTI) criteria in prioritizing projects

2022 STIP – Revisions to Guidelines (Cont.)

- CAPTI elements that must be prioritized for IIP include:
 - Reduce vehicles miles traveled and support infill development
 - Reduce congestion by shifting to other modes of travel
 - Fund infrastructure that encourages transit use, walking, and bicycling
 - Mitigate increased transportation costs for lower-income Californian residents
- Additional changes include:
 - Identify projects funded in preconstruction but still need IIP for construction
 - Assess functional gaps in priority interregional facilities
 - Identify deficiencies within interregional multimodal corridors
 - Discuss possible highways to boulevards conversion

OCTA's Policy for STIP

- Use STIP funds for Measure M2 freeway, commuter rail, fixed-guideway projects, planning/programming, and complementary activities, which seek an equitable balance between freeways and transit capital and are consistent with state goals

Previously Approved STIP Projects

Examples of approved projects:

- I-5 from I-405 to Yale Avenue Construction (\$95.4 million)
- SR-55 from I-405 to I-5 Construction (\$80 million)
- SR-74 Ortega Highway Design (\$8.5 million)
- I-5 from Pico to San Diego County Line Environmental (\$5.5 million)

Next Steps

- September 2021 – Funding recommendations presented to the Board
- September 2021 – Project list submitted to SCAG for analysis
- December 2021 – Project list submittal to CTC
- January 2022 – CTC holds Northern California STIP Hearing
- February 2022 – Southern California STIP Hearing and CTC staff recommendations
- March 2022 – CTC approves the 2022 STIP



COMMITTEE TRANSMITTAL

August 23, 2021

To: Members of the Board of Directors

From: Andrea West, Interim Clerk of the Board

Subject: Interstate 405 Improvement Project Update

Regional Planning and Highways Committee Meeting of August 2, 2021

Present: Directors Bartlett, Chaffee, Delgleize, Harper, Hernandez, Murphy, and Sarmiento

Absent: Director Muller

Committee Vote

Following the discussion, no action was taken on this item.

Staff Recommendation

Receive and file as an information item.



August 2, 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 the 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 by this fall.

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 the Board is anticipated to approve the selection of the preferred vendor in August 2021. Also in the next few months, OCTA staff will be presenting to the Board with 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 87 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, OC405 recently identified a new conflict along a different section of the same existing SCG gas line near Bolsa Chica Road that requires relocation. OCTA has taken an active role in coordinating this relocation with both OC405 and SCG, including developing a construction schedule to ensure that SCG's construction activities are completed in a timely manner in order to mitigate any potential risks to the Project schedule.

Roadway and Wall Construction

OC405 began construction in March 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. Improvements have been initiated on all Orange County flood control facilities which require improvements associated with the Project, including Bixby, East Garden Grove Wintersburg, Fountain Valley, Gisler, Greenville Banning, Milan, Montecito, Newland, Ocean View, and Santa Ana River channels. Work on these flood control facilities is at various stages of construction and is anticipated to be substantially complete by the end of 2022. 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.

Bridge Construction

Bridges that are being replaced as part of the Project are being reconstructed in either one or two stages. Bridges being built in one stage are closed to traffic on both sides of I-405 during demolition and reconstruction of that bridge, and traffic is detoured to other adjacent bridges crossing the freeway. The first one-stage bridge completed was the Slater Avenue bridge, which opened to traffic in fall 2019. Opening the Slater Avenue bridge allowed for demolition and

construction activities to commence on Bushard Street and Talbert Avenue. The Bushard Street bridge was completed and opened to traffic in October 2020, and the Talbert Avenue bridge construction was recently completed and opened to traffic in April 2021. After the recent opening of the Talbert Avenue bridge, demolition and construction activities were able to commence on Ward Street. Further north within the Project limits, the McFadden Avenue bridge was opened to traffic in October 2020. The Edinger Avenue and Edwards Street bridges are also under construction and anticipated to be opened to traffic late this year.

Bushard Street, Edinger Avenue, Edwards Street, McFadden Avenue, Slater Avenue, Talbert Avenue, and Ward Street are all one-stage bridges. The remaining one-stage bridge replacements at Newland Street and Springdale Street are anticipated to begin construction late this year.

Bridges being built in two stages maintain traffic on a portion of the bridge while the new bridge is being constructed. Significant bridge construction progressed at the two-stage bridges at the Bolsa Avenue, Bolsa Chica Road, Brookhurst Street, Fairview Road, Goldenwest Street, Magnolia Street, Warner Avenue, and Westminster Boulevard bridges. The first half of the new Magnolia Street bridge opened last year, and the full Magnolia Street bridge was the first two-stage bridge to be opened to traffic in May. Opening the Magnolia Street bridge allowed for the demolition and construction activities to recently commence on Warner Avenue. The first halves of the new Bolsa Chica Road and Goldenwest Street bridges opened last summer, and the full bridges are anticipated to be opened late this year and the spring of next year, respectively. The first halves of the new Fairview Road and Westminster Boulevard bridges opened earlier this year, and the full bridges are anticipated to be opened in the spring of next year. The first half of the Bolsa Avenue bridge recently opened in June 2021, and the full bridge is anticipated to be opened late next year. The last two-stage bridge to start construction was at Brookhurst Street, which began construction late last year.

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 late this year.

On the following page is a tabular summary of the anticipated openings of the Project's 18 bridges that cross over the freeway and require replacement:

Overcrossing Bridge	Number of Stages	Anticipated Opening Date			
		Open	2021	2022	2023
Bolsa Chica Road	Two		X		
Springdale Street	One				X
Westminster Boulevard	Two			X	
Edwards Street	One		X		
Goldenwest Street	Two			X	
Bolsa Avenue	Two			X	
McFadden Avenue	One	X			
Edinger Avenue	One		X		
Newland Street	One				X
Heil Avenue (Pedestrian)	One		X		
Magnolia Street	Two	X			
Warner Avenue	One				X
Bushard Street	One	X			
Slater Avenue	One	X			
Brookhurst Street	Two				X
Talbert Avenue	One	X			
Ward Street	One			X	
Fairview Road	Two			X	

In addition to the bridge replacements noted above, the widening of four existing freeway bridges and construction of three new on-ramp bridges continued over Beach Boulevard, Bolsa overhead railroad crossing, Harbor Boulevard, Santa Ana River, and an old United States Navy railroad crossing. Lastly, the construction of the new connector between the medians of I-405 and SR-73 that will connect the 405 Express Lanes to SR-73 is anticipated to commence this summer.

Looking ahead, the remainder of 2021 and 2022 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 at that location 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 at certain times in the past year 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. Contaminated soils have been found during certain excavation operations and are a risk that will remain until excavations for Project improvements are complete. 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, concurrent with the completion of construction by OC405, 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 remain on schedule and are planned for late 2023.

Public Outreach

Since April, the Outreach team has conducted five virtual meetings with community members along the Project corridor and presented Project updates to OCTA's Taxpayer Oversight Committee, Citizen's Advisory Committee, and the Diverse Community Leaders Group. Virtual neighborhood meetings continue to draw strong participation. An average of 45 people attended each virtual meeting live, while an average of 180 people viewed the recording. The team will continue to hold virtual meetings to maximize outreach efforts and look for opportunities for in-person or hybrid discussions as appropriate.

The team received more than 270 inquiries from the public this quarter. Comments and questions continue to focus on construction, closures and detours, nighttime activities, schedule updates, and bridge, wall, and interchange design. The number of inquiries remains steady despite more bridges moving into construction, a reflection of more frequent community meetings, increased social media engagement, and more use of the Project's interactive map of closures and detours.

Nearly 6,700 motorists used the interactive map this quarter. That is a 12 percent increase over last quarter, the result of a rise in traffic volumes. In addition, 215,000 flyers were canvassed this quarter, covering 25 major activities such as pile driving, bridge demolition, and extended ramp closures. Meanwhile, the Project's reach on social media remains steady and the use of location-based advertising has been ramped up, in an efficient, cost-effective way to deliver short messages about construction to mobile devices in specified geographic areas. These tools also encourage new subscribers to join the Project email database.

In the coming months, the Outreach team has approximately five neighborhood meetings planned to discuss the status of Beach Boulevard and Edwards Street, construction of the new I-405/SR-73 Express Lanes Connector, as well as the closure and construction of the Newland Street and Springdale Street bridges. In addition, the team will hold several focused discussions with smaller groups of residents and business owners regarding activities occurring adjacent to their properties.

The team also has expanded efforts to reach diverse and disadvantaged communities throughout the Project corridor. The team is continually working to make in-language collateral more accessible on the Project website, promoting access to Vietnamese and Spanish in-person translators, engaging with partners at community and faith-based organizations, and promoting local Vietnamese and Latinx businesses through the 405 Forward program.

The 405 Forward pilot program was launched in May in conjunction with the recent opening of the Magnolia Street bridge. The program supports and promotes businesses near the Project, encouraging communities to eat at local restaurants, shop at local retailers, and use local services. Nearly 90 businesses near the Magnolia Street and Warner Avenue interchanges have signed up for the free program to date and almost half are Vietnamese-owned. With the success of the pilot program, the Outreach team anticipates expanding the 405 Forward program in the coming months.

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.

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Approved by:

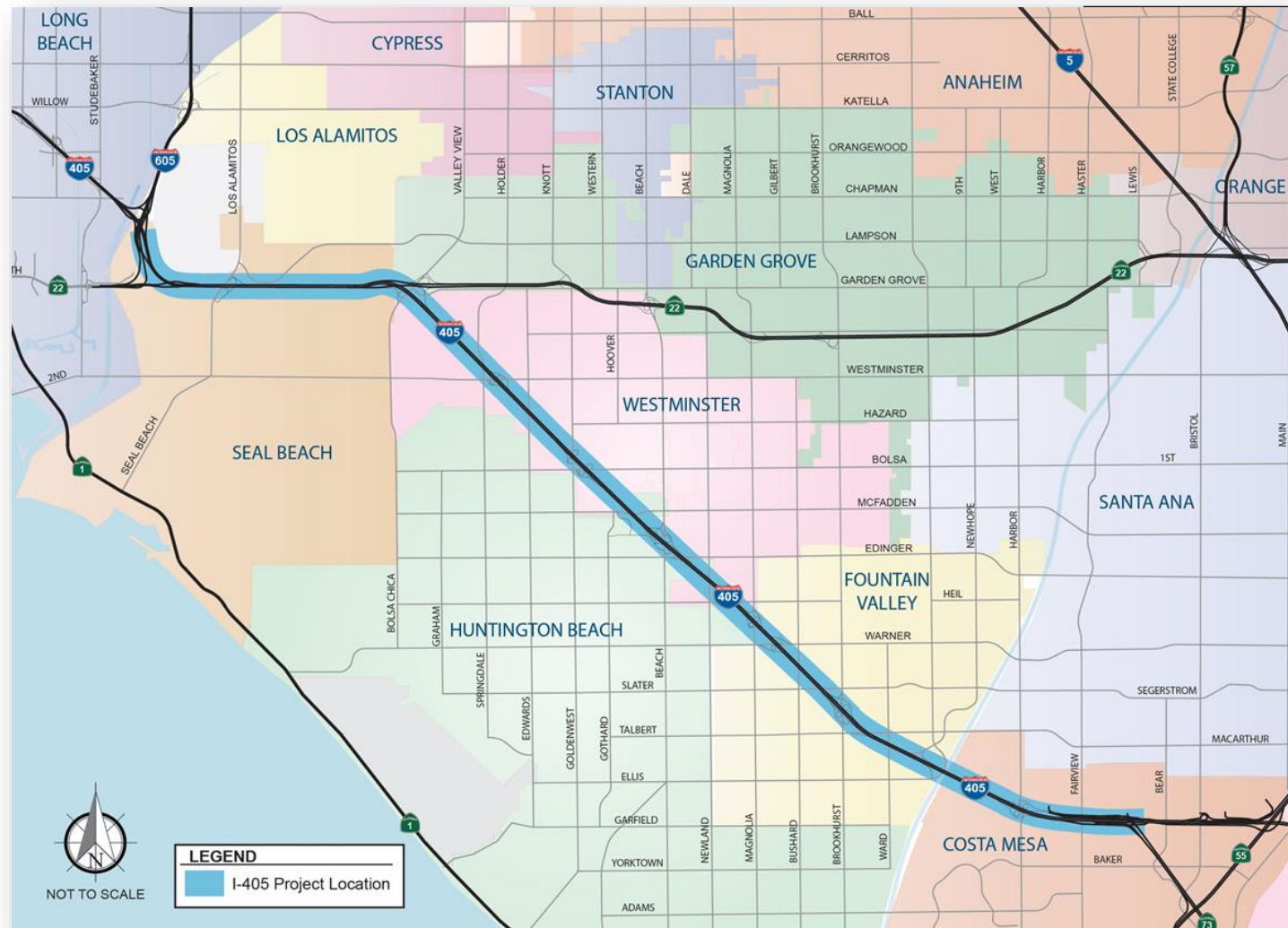
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Interstate 405 Improvement Project Update



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 60 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

- Five 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



Talbert Avenue



Slater Avenue



Bushard Street



Magnolia Street



McFadden Avenue

Five bridge replacements complete and open to traffic

Construction Update



Fairview Road bridge and ramp construction

Construction Update



Brookhurst Street bridge construction



Warner Avenue bridge demolition

Construction Update



Heil Avenue pedestrian overcrossing construction

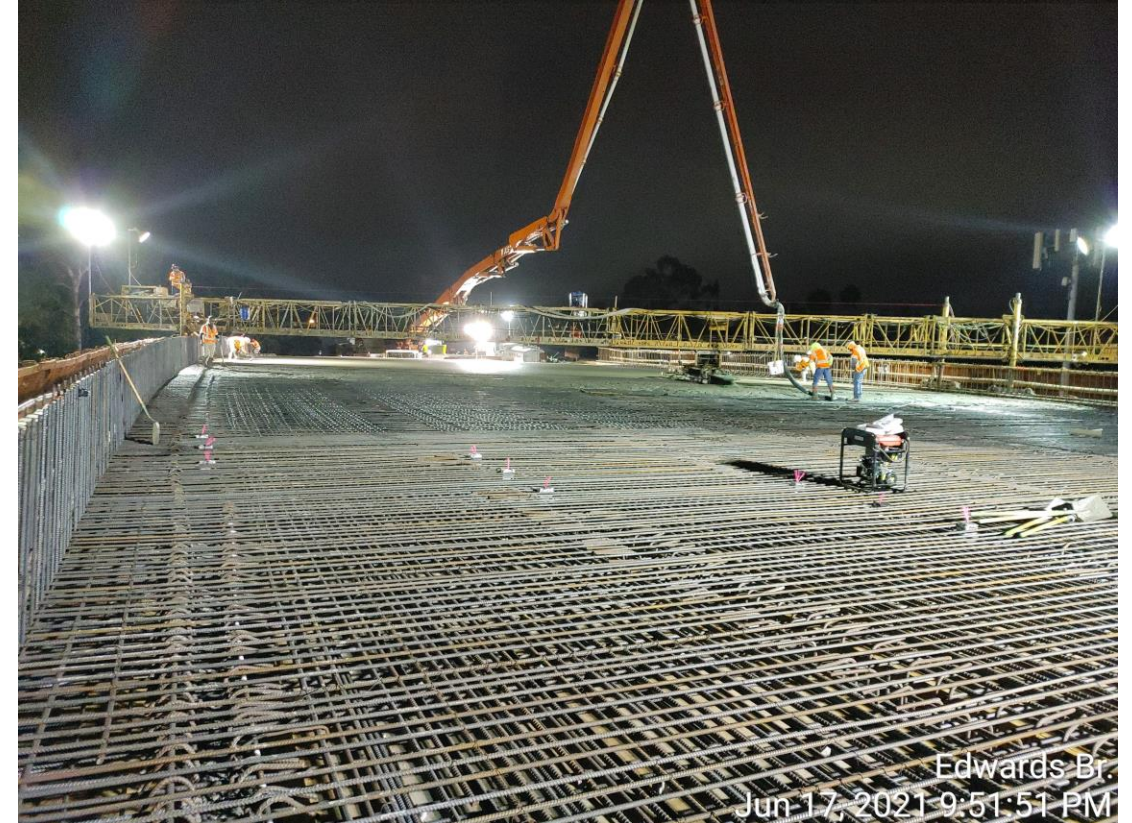


Edinger Avenue bridge construction

Construction Update



Goldenwest Street bridge construction



Edwards Street bridge construction

Construction Update



Bolsa Chica Road bridge construction



Status of 18 Bridge Replacements



Overcrossing Bridge	Number of Stages	Anticipated Opening Date			
		Open	2021	2022	2023
Bolsa Chica Road	Two		X		
Springdale Street	One				X
Westminster Boulevard	Two			X	
Edwards Street	One		X		
Goldenwest Street	Two			X	
Bolsa Avenue	Two			X	
McFadden Avenue	One	X			
Edinger Avenue	One		X		
Newland Street	One				X
Heil Avenue (Pedestrian)	One		X		
Magnolia Street	Two	X			
Warner Avenue	One				X
Bushard Street	One	X			
Slater Avenue	One	X			
Brookhurst Street	Two				X
Talbert Avenue	One	X			
Ward Street	One			X	
Fairview Road	Two			X	

Major Risks Remaining



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

Outreach Metrics



Category	Q1 2021	Q2 2021
Public Comments, Questions	297	277
Social Media Reach	679,767	482,740
Construction Alerts	154 (31% open rate)	161 (30% open rate)
Interactive Map Users	5,968	6,696
Location-Based Advertising	345,875 impressions	630,593 impressions
Flyers	114,800	215,000

Upcoming Outreach



- Virtual Neighborhood Meetings
 - Beach Boulevard
 - Edwards Street
 - Springdale Street
 - Newland Street
 - I-405/SR-73 Express Lanes Connector
- Key Stakeholder Briefings
 - Indian Village Community, Los Alisos Estates, Westminster
 - Orange Coast Memorial Hospital
 - School Districts
 - OC Fair and Event Center
- Additional Outreach
 - 405 Forward Pilot Program

A flyer for the 405 Forward Pilot Program. It features the OCTA and 405 Project logos at the top left. The main headline in Vietnamese is 'Đã đến lúc tìm đến với nhau!' (It's time to connect!). Below it, a green box says 'Cùng hỗ trợ cơ sở thương mại địa phương' (Help local businesses). The text explains that the program provides a platform for businesses to share information about local products and services. A photo of a person in an apron is shown. The 405FORWARD logo is prominently displayed. Below it, the text 'Hỗ Trợ Doanh Nghiệp Địa Phương' (Support Local Businesses) is shown. A section titled 'Chương trình thí điểm 405 Forward miễn phí của Giới Chức Giao Thông Quận Cam' (405 Forward pilot program free for OC Transportation Officials) describes the program. A QR code is provided for more information. At the bottom, there is a section for 'Ghé thăm website để tìm hiểu những lợi cơ sở của quý vị và học cách ghi tên tham gia' (Visit the website to learn about the benefits of the program and how to sign up). A smartphone screen shows the 405 Forward app interface with a list of businesses and their details.



A flyer titled 'CONSTRUCTION ALERT'. It provides information about the project and encourages users to view construction activities on an interactive map. The text includes: 'For more information about this project, please contact the 405 Community Outreach Team at 405project@octa.net or 888-400-8994, or visit octa.net/405improvement.' and 'Si prefieren recibir información en español, por favor llame este numero 888-400-8994.' There is a section for 'CLICK HERE TO VIEW CONSTRUCTION ACTIVITIES ON THE INTERACTIVE MAP' with a link. Below that, a 'REMINDER! Fairview Road Bridge Partial Demolition' section is shown. At the bottom, there is a map of the project area and a Waze app icon.



COMMITTEE TRANSMITTAL

August 23, 2021

To: Members of the Board of Directors

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

Subject: Contract Change Orders for Construction of the OC Streetcar Project

Transit Committee Meeting of August 12, 2021

Present: Directors Chaffee, Do, Jones, Nguyen, Sarmiento, Shaw, and Sidhu

Absent: None

Committee Vote

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

Committee Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 3.2 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$1,100,000, for additional removal and disposal of contaminated materials within the Orange County Transit District-owned Pacific Electric Right-of Way and other project areas.
- B. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 18.1 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$300,000, to increase the allowance for removal of buried man-made objects.



August 12, 2021

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Contract Change Orders for Construction of the OC Streetcar Project

Overview

On September 24, 2018, the Orange County Transportation Authority Board of Directors authorized Agreement No. C-7-1904 with Walsh Construction Company II, LLC, for construction of the OC Streetcar project. Contract change orders are required for additional removal and disposal of contaminated materials within the Orange County Transit District-owned Pacific Electric Right-of-Way and other project areas, as well as removal of buried man-made objects.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 3.2 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$1,100,000, for additional removal and disposal of contaminated materials within the Orange County Transit District-owned Pacific Electric Right-of-Way and other project areas.
- B. Authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 18.1 to Agreement No. C-7-1904 with Walsh Construction Company II, LLC, in the amount of \$300,000, to increase the allowance for removal of buried man-made objects.

Discussion

On September 24, 2018, the Orange County Transportation Authority (OCTA) Board of Directors (Board) awarded a contract to Walsh Construction Company II, LLC, (Walsh) to construct the OC Streetcar project (Project). The Notice to Proceed with construction was issued to Walsh on March 4, 2019. Since then, the Project has progressed with several construction activities

continuing to advance. A summary of recent construction milestones includes the substantial completion of the Santa Ana River and Westminster bridges, completion of the Fariview Street crossing and installation of embedded track on Santa Ana Boulevard from Raitt Street to Bristol Street, from Parton Street to Ross Street, at the Broadway and Main Street intersections, and on Mortimer Street from 4th Street to 6th Street. Construction and installation of the maintenance and storage facility (MSF) includes building floor slabs, perimeter block wall, and streetcar wash station. Other ongoing construction activities include installation of platform station foundations, Fifth Street crossing, and the overhead contact system poles.

Additional Removal and Disposal of Contaminated Materials

The Project utilizes approximately two miles of Orange County Transit District-owned Pacific Electric Right-of-Way (PEROW) running northwest between Raitt Street and Harbor Boulevard, which is designated as Segment 1, as shown in Attachment A. During the excavation for retaining walls, bridge abutments, storm drains and ditches, utility duct banks, overhead catenary foundations, and the track bed, contaminated materials were encountered, removed, and transported to approved in-state and out-of-state facilities. This work was compensated through Contract Change Order (CCO) No. 3, in the amount of \$1,600,000, which was approved by the Board on August 12, 2019.

During excavations in Segments 2 through 5 (Attachment A), within city streets for the relocation of storm drains, sewer lines, and water lines, and in Segments 2A and 3 for track beds and platform stations, contaminated materials were encountered in areas where the old Pacific Electric Railway used to run within city streets that required additional removal and disposal at approved landfills. Large amounts of soils had contamination levels that exceeded local landfill waste acceptance criteria and had to be transported to approved distant facilities that would accept the material, which resulted in higher transportation and disposal costs. In addition, a significant number of buried railroad ties were encountered under the existing street pavement during the excavation for track beds. The ties were part of the Pacific Electric Railway that operated until 1950. State regulations classify the ties as treated wood waste, which requires them to be taken to designated disposal facilities. The cost for the removal of additional contaminated material and treated wood waste, as well as the related expenses for hauling and transportation, were higher than anticipated and required additional funding. On January 13, 2020, the Board approved CCO No. 3.1, in the amount of \$7,278,795, to accommodate these additional costs.

Currently, all the excavation for storm drains, sewer lines, and water lines within Segments 2 through 5, and most of the in-street track bed excavation in Segments 2A and 3, are completed. The remaining unspent amount for CCO No. 3.1 is approximately \$500,000. Excavation for project improvements will continue into Segments 2B, 4, and 5, and it is anticipated that additional contaminated material, including treated railroad ties, will be encountered in some locations. The amount for removals and disposal has been greater than anticipated during the development of CCO No. 3.1, and the remaining budget will be expended. This CCO No. 3.2, in the amount of \$1,100,000, is required to continue removal and disposal of contaminated material and treated wood waste. An independent cost estimate (ICE) was prepared by the construction management (CM) team and the remaining effort was determined to cost \$1,100,000.

Removal of Buried Man-Made Objects

The construction contract originally included a \$100,000 allowance for work to remove buried man-made objects that are encountered, which were either unknown or could not be quantified during the Project's design. Examples of buried man-made objects encountered include non-contaminated Pacific Electric Railroad material including rail, wood debris, concrete masses, rubble, and buried pavement. As construction progressed, a higher number of buried man-made objects were encountered, including an unknown underground storage tank and abandoned water well at the MSF site, resulting in the execution of CCO No. 18 approved by the Board on October 12, 2020. Excavation for project improvements will continue into Segments 2B, 4, and 5, and it is anticipated that more buried man-made objects will be encountered. The existing allowance will be depleted and this CCO No. 18.1, in the amount of \$300,000, is required to continue removal of buried man-made objects. An ICE was prepared by the CM team and the remaining effort was determined to cost \$300,000.

Both CCOs will be paid on a time-and-expense basis to the contractor after labor and equipment quantities are confirmed through daily extra work reports prepared by Walsh and approved by the CM team. There is risk that the CCOs may need to be supplemented again if a significant amount of contaminated material or buried man-made objects are discovered as construction progresses; any such additional need will be presented to the Board. The cost of the work associated with CCO Nos. 3.2 and 18.1 will be funded from the project supplemental contingency as previously approved by the Board on March 22, 2021.

The CM team is currently completing deductive CCO No. 55, in the amount of \$659,667, related to earthwork not required because of contaminated material removal. This amount will supplement project contingency, offsetting some of the prior utilization.

Procurement Approach

The initial procurement was handled in accordance with OCTA's Board-approved procedures for public works projects. These procedures, which conform to both federal and state requirements, require that contracts are awarded to the lowest responsive, responsible bidder after a sealed bidding process. On September 24, 2018, the Board authorized Agreement No. C-7-1904 with Walsh, in the amount of \$220,538,649, for construction of the Project.

Proposed CCO Nos. 3.2 and 18.1, in the amounts of \$1,100,000 and \$300,000, respectively, will increase the cumulative value of the contract by \$1,400,000, to \$245,009,384, as shown in Attachment B. Board approval is required for CCO Nos. 3.2 and 18.1, pursuant to the State of California Public Contracting Code Section 20142.

Fiscal Impact

The additional work for this Project is included in OCTA's Fiscal Year 2021-22 Budget, Capital Programs Division, account nos. 0051-9017-TS010-Z43 and 0051-9017-TS010-Z41 and is funded with Federal Transit Administration Section 5309 New Starts and local Measure M2 funds.

Summary

Staff recommends the Board of Directors authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 3.2 in the amount of \$1,100,000, for removal and disposal of contaminated material, and Contract Change Order No. 18.1, in the amount of \$300,000, for removal of buried man-made objects, to Agreement No. C-7-1904 between the Orange County Transportation Authority and Walsh Construction Company II, LLC, for the construction of the OC Streetcar project.

Attachments

- A. Project Map
- B. Walsh Construction Company II, LLC, Agreement No. C-7-1904, Contract Change Order (CCO) Log

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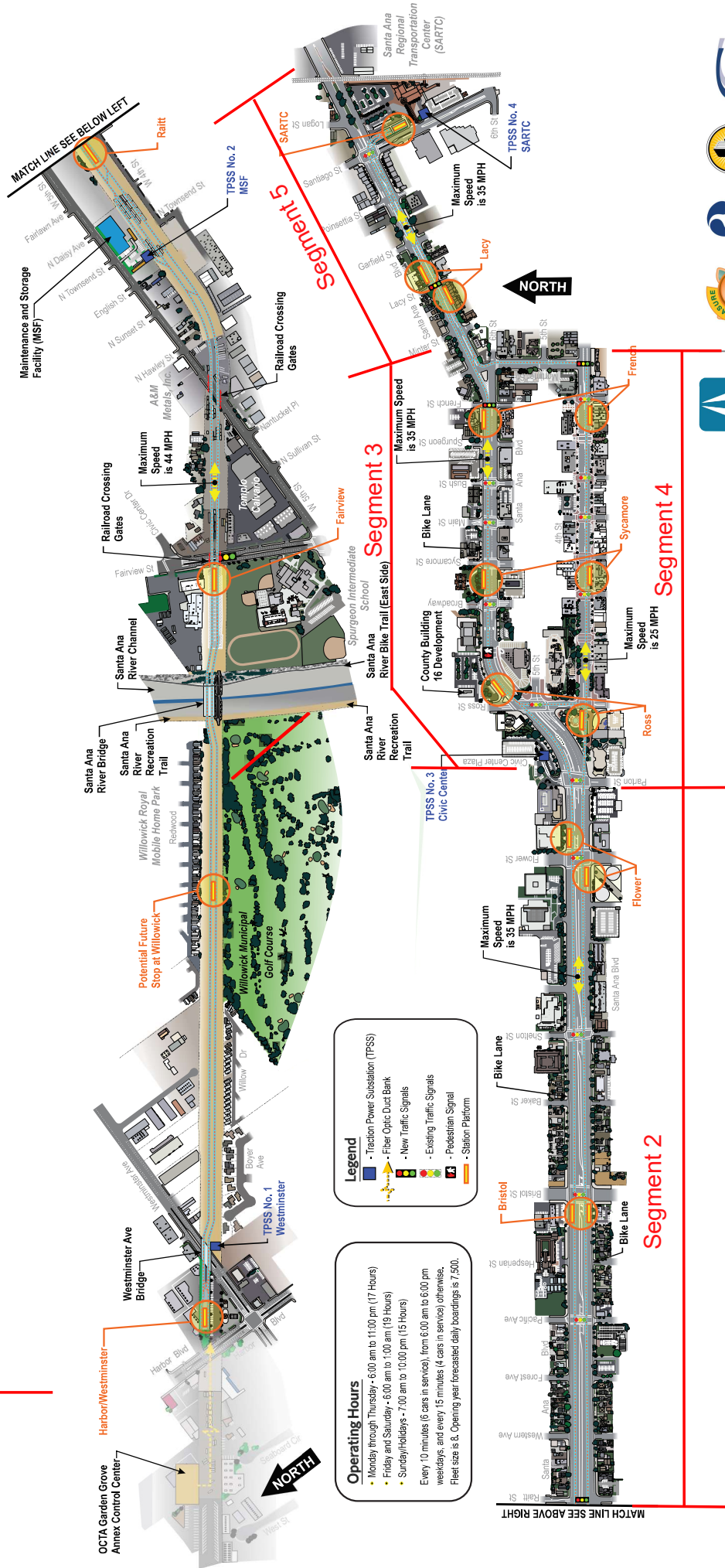
Approved by:



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Project Map

Segment 1



Walsh Construction Company II, LLC
Agreement No. C-7-1904
Contract Change Order (CCO) Log

CCO No.	Title	Status	Date Executed	Cost
1	Demolition, Removals, and Disposal at the Maintenance and Storage Facility (MSF) Property	Approved	6/20/2019	\$199,749.00
1.1	Demolition, Removals, and Disposal at the MSF Property Additional Funding	Approved	6/25/2019	\$113,884.77
1.2	Time Impact Evaluation (TIE) I - Schedule Impacts Associated with Change Directive (CD)-001 and CD-003	Approved	6/17/2020	\$0.00
2	Removal and Disposal of Contaminated Materials at the MSF Property	Approved	6/25/2019	\$200,000.00
2.1	Removal and Disposal of Contaminated Materials at the MSF Property Additional Funding	Approved	8/15/2019	\$160,000.00
2.3	MSF Removal of Additional Hazardous Materials	Pending		\$0.00
3	Removal and Disposal of Contaminated Materials within the Orange County Transit District-Owned Pacific Electric Right-of-Way (PEROW)	Approved	9/12/2019	\$1,600,000.00
3.1	Removal and Disposal of Contaminated Materials Within the Orange County Transit District-Owned PEROW and Other Project Areas	Approved	2/25/2020	\$7,278,795.00
3.2	Removal and Disposal of Contaminated Materials Within the Orange County Transit District-Owned PEROW and Other Project Areas	Pending		\$1,100,000.00
4	Required Work to Address Utility Conflicts	Approved	8/27/2019	\$200,000.00
4.1	Required Work to Address Utility Conflicts Additional Funding	Approved	2/25/2020	\$833,300.00
4.2	Required Work to Address Utility Conflicts Additional Funding	Approved	6/9/2020	\$2,426,000.00
4.3	Required Work to Address Utility Conflicts Additional Funding	Approved	6/21/2021	\$2,000,000.00
5	Tree Removal and Trimming	Approved	6/9/2020	\$129,215.52
7	Orange County Sanitation District Specifications Revisions	Approved	6/9/2020	\$82,445.00
8	Maintenance Path Profile	Approved	6/9/2020	\$6,055.00
9	Vapor Barrier Installation	Approved	12/22/2020	\$395,717.00
10	Ultrasonic Testing	Approved	6/9/2020	\$0
11	Opticom Vehicles	Approved	6/9/2020	\$40,120.00
12	Santa Ana River Bridge Precast Girders	Approved	8/27/2020	\$88,877.00
13	Retaining Wall 544 Reinforcing Steel	Approved	9/3/2020	\$2,321.30
14	MSF Retaining Wall 508	Approved	12/14/2020	\$125,341.00
15	Overhead Contact System (OCS) and Traffic Signal Utility Conflicts	Approved	6/17/2020	\$195,723.00
16	Hand digging and Survey for OCS and Traffic Signal Pole Foundation	Approved	6/23/2020	\$198,808.00
16.1	Hand digging and Survey for OCS, Traffic Signal, and Streetlight Pole Foundations	Approved	6/26/2020	\$1,400,000.00
16.2	Hand digging and Survey for OCS, Traffic Signal, and Streetlight Pole Foundations	Approved	4/15/2021	\$1,400,000.00
17	Westminster Bridge OCS Diaphragm	Approved	10/30/2020	\$1,682.00

18	Removal of Man-Made Objects	Approved	11/23/2020	\$300,000.00
18.1	Removal of Man-Made Objects	Pending		\$300,000.00
19	Removal of Boulders	Approved	11/17/2020	\$160,000.00
20	Removal of Chain Link Fence	Approved	3/9/2021	\$7,316.90
21	Changes to Turnout Geometry	Approved	10/5/2020	\$0
22	Railroad Crossing Gate Bells	Approved	10/5/2020	\$0
23	Santa Ana River Bridge, OCS Pole, and OCS Down Guy Diaphragms	Approved	1/19/2021	\$7,419.00
24	OCS Sectionalization – Siemens portion	Approved	10/5/2020	\$158,941.01
24.1	OCS Sectionalization	Approved	4/27/2021	\$722,253.92
26	Revisions to Station Color Schedule, Glass and Pylon	Approved	4/19/2021	\$176,419.84
27	Street Lighting	Approved	11/19/2020	\$12,347.91
28	Extension of Time- TIE 004 and 007	Approved	12/8/2020	\$0.00
29	Santa Ana River Bridge (SARB) OCS Pole and OCS Down Guy Diaphragms	Approved	11/19/2020	\$34,216.80
30	Electrical Continuity Testing	Approved	2/1/2021	\$23,928.10
30.1	Electrical Continuity Testing	Approved	3/16/2021	\$320,164.40
32	Asbestos Survey	Approved	2/1/2021	\$25,000.00
35	No Sunshade for Variable Message Sign	Approved	12/22/2020	\$0.00
37	Station Platform Power	Approved	5/18/2021	\$58,414.15
38	Modify OCS Foundation Schedule	Approved	6/15/2021	\$32,733.04
39	OCS Revisions Based on Field Walks	Approved	6/17/2021	\$28,088.32
40	MSF Remote Yard Gates	Pending		\$32,307.66
43	End of Life Equipment	Approved	5/3/2021	\$372,136.38
44	Design of Temporary Traffic Signals Segment 2A 1 and 2	Approved	4/26/2021	\$41,967.00
45	Thickened Asphalt Concrete (AC) Pavement	Approved	1/19/2021	\$60,000.00
46	MSF Video Servers from Garden Grove	Pending		\$40,267.30
47	Archaeological Security and Data Recovery at MSF	Approved	1/19/2021	\$110,000.00
48	Thickened AC Pavement	Approved	4/27/2021	\$1,177,362.00
49	Retaining Wall 501 Encroachment	Approved	6/17/2021	\$181,802.77
52	Over Excavation of Unsuitable Soils	Approved	6/21/2021	\$209,500.00
52.1	Over Excavation of Unsuitable Soils	Approved	6/21/2021	\$540,000.00
53	SARB Bridge Decking	Approved	6/17/2021	\$9,002.94
55	Bid Item 24 Earthwork Credit	Pending		(\$659,667.00)
56	Exploratory Potholing Allowance	Approved	4/26/2001	\$200,000.00
56.1	Exploratory Potholing Allowance	Pending		\$1,100,000.00
59	Direct Fixation Fasteners	Approved	6/7/2021	\$0.00
60	Base Contract Utility Credits Binder	Approved	5/25/2021	(\$1,842,680.00)
63	Graffiti Removal	Approved	5/18/2021	\$100,000.00
64	Southern California Edison Meter Switchgear Engineering and Submittal Costs	Approved	5/18/2021	\$17,618.00
65	Additional Environmental Soil Investigation on W. Santa Ana Boulevard/Bristol Street Station Stop (Stage 1)	Approved	5/18/2021	\$9,840.60

66	Ground Penetrating Radar Investigation	Pending		\$208,000.00
68	Ross Intersection Traffic Signal Conduit Installation	Approved	6/7/2021	\$18,000.00

Subtotal Executed CCOS	\$22,349,826.67
Subtotal Pending CCOS	\$2,120,907.96
TOTAL CCOS	\$24,470,734.63
ORIGINAL VALUE	\$220,538,649.00
PROPOSED REVISED VALUE	\$245,009,383.63