



AGENDA

Regional Planning and Highways Committee Meeting

Committee Members

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

Orange County Transportation Authority
Headquarters
550 South Main Street,
Conf. Room 07
Orange, California
Monday, August 2, 2021 at 10:30 a.m.

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

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

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

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

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

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

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

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



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

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

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

In order to ensure that staff has the ability to provide comments to the Board Members in a timely manner, please submit your public comments **90 minutes prior to the start time of the Board and Committee meeting date.**

Call to Order

Roll Call

Pledge of Allegiance

Director Muller

1. Public Comments

Special Calendar

There are no Special Calendar matters.

Consent Calendar (Items 2 through 5)

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

2. Approval of Minutes

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



3. Measure M2 Comprehensive Transportation Funding Programs – 2022 Annual Calls for Projects

Joseph Alcock/Kia Mortazavi

Overview

The Measure M2 Comprehensive Transportation Funding Programs Guidelines provide the mechanism for administration of the annual competitive call for projects for Measure M2 funding programs. The 2022 Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P) call for projects are presented for review and approval.

Recommendations

- 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.

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

Joseph Alcock/Kia Mortazavi

Overview

The Orange County Transportation Authority's Environmental Cleanup Program provides Measure M2 funding for water quality improvement projects to abate transportation-related pollution. The fiscal year 2021-22 Tier 1 Grant Program call for projects was issued on February 8, 2021. The evaluations are complete, and a list of projects recommended for funding is presented for review and approval.

Recommendation

Approve ten projects in the amount of \$2,697,424 for the 2021 Environmental Cleanup Program Tier 1 call for projects.



5. Cooperative Agreements for Regional Traffic Signal Synchronization Program Projects

Alicia Yang/Kia Mortazavi

Overview

On May 10, 2021, the Orange County Transportation Authority Board of Directors approved the programming of Measure M2 Regional Traffic Signal Synchronization Program funds to three projects as part of the 2021 call for projects. As part of the application process, the Orange County Transportation Authority was requested to be the lead agency for all three projects: Alton Parkway, First Street/Bolsa Avenue, Portola Parkway/Santa Margarita Parkway projects. Cooperative agreements are necessary for each of these projects to specify the roles and required amount of the local agency match as specified in the application.

Recommendations

- 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.
- 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 funds totaling \$774,378.
- 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

6. 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.

Recommendation

Receive and file as an information item.

7. Interstate 405 Improvement Project Update

Jeff Mills/James G. Beil

Overview

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

Recommendation

Receive and file as an information item.

Discussion Items

8. Chief Executive Officer's Report

9. Committee Members' Reports

10. Closed Session

There are no Closed Session items scheduled.



AGENDA

Regional Planning and Highways Committee Meeting

11. Adjournment

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Thursday, September 2, 2021**, at the Orange County Transportation Authority Headquarters, Conference Room 07, 550 South Main Street, Orange, California.



MINUTES

Regional Planning and Highways Committee Meeting

Committee Members Present via Teleconference

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

Staff Present

Jennifer L. Bergener, Deputy Chief Executive Officer
Sahara Meisenheimer, Clerk of the Board Specialist
Gina Ramirez, Clerk of the Board Specialist, Senior

Via Teleconference:

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

Committee Members Absent

None

Call to Order

The July 1, 2021 regular meeting of the Regional Planning and Highways Committee was called to order by Vice Chairman Murphy at 10:31 a.m.

Roll Call

The Clerk of the Board Specialist, Senior conducted an attendance roll call and announced a quorum of the Committee.

Pledge of Allegiance

Director Hernandez led in the Pledge of Allegiance.

1. Public Comments

There were no Public Comments received.

Special Calendar

There were no Special Calendar matters.

Consent Calendar (Items 2 through 5)

2. Approval of Minutes

A motion was made by Director Hernandez, seconded by Director Sarmiento, and following a roll call vote, declared passed 8-0, to approve the minutes of the Regional Planning and Highways Committee meeting of June 7, 2021.



3. Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605

Director Harper pulled this item to inquire about the improvements and the scope of work.

Darrell E. Johnson, Chief Executive Officer (CEO), requested James G. Beil, Executive Director of Capital Programs, provide a brief overview.

Mr. Beil referenced the Supplemental Information map shown on the screen.

A discussion ensued among the Committee and staff regarding the following:

- The supplemental information map was discussed, focusing on the green highlighted mapped areas and the sidewalk improvements added to the changes.
- The contracts were designed and constructed across the State Route 22 (SR-22) ramp and filling in gaps to put in a new crosswalk in Garden Grove Boulevard.
- The necessity to do this, and if there is no adequate pedestrian access, is the contingency fund being used for this.
- The funding needed is \$470,000. Currently, no sidewalks are existing between the SR-22 ramp and the nearby dealership. It is a necessary improvement.
- The contingency funds are paying for the \$470,000 for the design and construction.
- The Orange County Transportation Authority (OCTA) produced the general scope, and the City of Garden Grove requested the additional changes.
- There is \$48 million remaining in the contingency fund.

Vice Chair Delgleize stated that she favored the need for a crosswalk in the discussed area and thanked staff for finding a location.

Mr. Johnson, CEO, stated that the project is an excellent solution to improving local access for pedestrians.

3. (Continued)

A motion was made by Director Harper, seconded by Committee Vice Chair Delgleize, and following a roll call vote, declared passed 8-0, to authorize the Chief Executive Officer to negotiate and execute Contract Change Order No. 99 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$470,000, to design and construct intersection and sidewalk improvements at the intersection of Garden Grove Boulevard and the Interstate 405 northbound off-ramp.

4. Orange County Transportation Authority State and Federal Grant Programs - Update and Recommendations

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

- A. Approve schedule delay requests from the cities of Irvine, La Habra, Santa Ana, and the County of Orange.
- B. Approve amendment requests from the City of Brea contingent upon partial funding award through Cycle 5 of the Active Transportation Program or any subsequent program augmentations.
- C. Authorize staff to make all necessary amendments to the Federal Transportation Improvement Program and execute any required agreements or amendments to facilitate the recommendations above.

5. Amendments to the Master Plan of Arterial Highways

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

- A. Conditionally approve the following amendments to the Master Plan of Arterial Highways:

City of Brea and County of Orange

- 1. Delete Tonner Canyon Road between Brea Canyon Road and the future extension of Valencia Avenue; and
- 2. Delete Valencia Avenue between Carbon Canyon Road and the future extension of Tonner Canyon Road.

5. (Continued)

Cities of Yorba Linda and Anaheim

3. Reclassify Yorba Linda Boulevard between La Palma Avenue and the State Route 91 westbound off-ramp from a primary (four-lane, divided) arterial to an asymmetric major (seven-lane, divided) arterial;
4. Reclassify Yorba Linda Boulevard/Weir Canyon Road between the State Route 91 westbound off-ramp and the State Route 91 eastbound on-ramp from a primary (four-lane, divided) arterial to a major (six-lane, divided) arterial;
5. Add Savi Ranch Parkway between Pullman Street and Old Canal Road as a primary (four-lane, divided) arterial; and
6. Add Old Canal Road/Pullman Street as a divided collector (two-lane, divided).

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

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

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

- B. Approve the amendment to the Master Plan of Arterial Highways to reclassify Santa Ana Canyon Road between Roosevelt Avenue and Weir Canyon Road from a major (six-lane, divided) arterial to an asymmetric primary (five-lane, divided) arterial.
- C. Direct staff to file a Notice of Exemption from the California Environmental Quality Act in support of the Master Plan of Arterial Highways amendment.



Regular Calendar

6. Consultant Selection for the Preparation of Plans, Specifications, and Estimates for the State Route 57 Northbound Improvement Project Between Orangewood Avenue and Katella Avenue

Niall Barrett, Program Manager, reported on the following:

- Overview of the project, the purpose, and how the project would be funded;
- Discussed the procurement process and the selection of Parsons Transportation Group, Inc. as the firm to perform the work, and;
- Reviewed the work plan layout along with a summary of recommendations.

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

- A. Approve the selection of Parsons Transportation Group Inc., as the firm to prepare the plans, specifications, and estimates for the State Route 57 Northbound Improvement Project between Orangewood Avenue and Katella Avenue.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-1-3298 between the Orange County Transportation Authority and Parsons Transportation Group Inc., for the preparation of plans, specifications, and estimates for the State Route 57 Northbound Improvement Project between Orangewood Avenue and Katella Avenue.

Discussion Items

7. Chief Executive Officer's Report

Mr. Johnson, CEO, reported the following:

Hazard Mitigation Plan

- Staff is developing a Hazard Mitigation Plan to support emergency and crisis management plans and strengthen preparedness for natural hazards such as flooding, earthquakes, and wildfires.
- On June 30, a virtual Open House was hosted for public input on the draft plan.



7. (Continued)

- The 30-day public comment period remains open through July 21.
- Any feedback received will assist in developing a plan that ensures the running of transportation services, even in the event of a natural disaster.
- To submit a comment or to get more information, the public is encouraged to visit octa.net/HMP.

Independence Day

- The OCTA Administrative Offices will be closed on July 5, in observance of Independence Day.
- Mr. Johnson, CEO, wished everyone a happy and safe holiday weekend in celebration of freedom, with gratitude to the brave heroes who have helped make America such a great nation.

8. Committee Members' Reports

Director Muller reminded everyone to come out to the City of Dana Point for the fireworks display.

Director Hernandez reminded everyone that the City of Yorba Linda has fireworks for display as well.

Committee Chairman Murphy announced a firework show on the evening of July 3, at Grijalva Park in the City of Orange. He also wished everyone a Happy July 4 and to remember those who gave the ultimate sacrifice.

9. Closed Session

There were no Closed Session items scheduled.



10. Adjournment

The meeting adjourned at 10:58 a.m.

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Monday, August 2, 2021**, at the Orange County Transportation Authority Headquarters, Conference Room 07, 550 South Main Street, Orange, California.

ATTEST

Mark A. Murphy
Committee Chairman

Sahara Meisenheimer
Clerk of the Board Specialist



August 2, 2021

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Measure M2 Comprehensive Transportation Funding Programs - 2022 Annual Call for Projects

For

Overview

The Measure M2 Comprehensive Transportation Funding Programs Guidelines provide the mechanism for administration of the annual competitive call for projects for Measure M2 funding programs. The 2022 Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P) call for projects are presented for review and approval.

Recommendations

- 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.

Background

The Regional Capacity Program (RCP) provides Measure M2 (M2) Project O funding for improvements to the Orange County Master Plan of Arterial Highways (MPAH). The RCP also provides for intersection improvements and other projects to help improve street operations and reduce congestion.

The Regional Traffic Signal Synchronization Program (RTSSP) provides M2 Project P funding for multi-agency, corridor-based signal synchronization throughout Orange County to support efficient operation of existing arterials.

These programs allocate funds through a competitive process and to projects that improve mobility by considering factors, such as degree of congestion relief, cost-effectiveness, and project readiness.

The Comprehensive Transportation Funding Programs (CTFP) serves as the mechanism with which the Orange County Transportation Authority (OCTA) administers the RCP and RTSSP, as well as other competitive transit projects (S, T, and V), and the environmental cleanup programs (Project X).

The CTFP Guidelines (Guidelines) identify procedures and requirements that local agencies must satisfy in order to apply for M2 funding and how project applications are evaluated. The Guidelines also define how local agencies can seek reimbursement once funds are awarded. The Guidelines were first approved by the OCTA Board of Directors (Board) on March 22, 2010, and are updated annually as appropriate.

Discussion

Proposed updates to the Guidelines have been prepared in anticipation of the release of the upcoming 2022 annual call for projects (call) for the RCP and RTSSP. Staff is proposing changes based on lessons learned from previous calls. Staff also worked closely with both the Technical Steering Committee (TSC) and Technical Advisory Committee (TAC) to determine areas of the Guidelines that needed to be adjusted and/or updated. The Guidelines were also reviewed and updated, as appropriate, to provide for both better consistency and streamlining throughout the document.

The proposed 2022 Guidelines have been updated to reflect appropriate deadline and call cycle dates for the 2022 call. This call cycle includes approximately \$40 million of funding capacity for both programs consistent with the April 2021 Board-approved M2 Next10 Delivery Plan. The split between the programs is approximately \$32 million for RCP projects and \$8 million for RTSSP projects. It should be noted that the final funding recommendations may not adhere precisely to this funding split but will be based on the relative benefits of the individual projects that are submitted under each category.

In this cycle, staff is recommending several notable changes to the CTFP Guidelines, which are described below.

RCP - Project O

There is only one significant change for the RCP in the 2022 Guidelines. The proposed 2022 Guidelines specify that grading outside of the MPAH right-of-way, which is generally considered ineligible, may be considered eligible depending on individual factors for each project. OCTA will evaluate these

factors on a case-by-case basis. However, they must be tied to the MPAH improvement(s) and must also not supplant developer or any other project obligations.

RTSSP - Project P

There are several changes that are proposed for the RTSSP which were derived from lessons learned and requests by local agencies. These include:

- Dividing the Pacific Coast Highway signal corridor into multiple segments in order to allow this corridor to be coordinated in segments;
- Adding language to clarify that for applications, which designate OCTA as the lead agency, points for implementation within 12 months cannot be claimed for scoring purposes; and
- Updating the Project P “Current Project Status” scoring criteria to allow for a larger group of applications to claim signal retiming points.

The Guidelines revisions also include a minor change to Chapter 6, the Community-Based Transit/Circulators (Project V) chapter, to reflect changes to that program, which were approved by the Board earlier this year. These proposed changes have no bearing on the proposed 2022 Project O and Project P call and are included with this item because this is the first opportunity to publish an overview of the changes.

Attachment A provides a table summary of all proposed changes and Attachment B provides a marked-up version of the Guidelines in track changes format. It should be noted that proposed changes that were deemed to be non-substantive (i.e., wording/grammatical, streamlining, and clarifications) are generally not described in this report but are shown in the attachments.

The Guidelines changes were presented to the TSC and TAC in June 2021 and both committees, after providing input, unanimously approved the proposed changes. Accordingly, these proposed changes are now being submitted to the Board for final consideration and approval. Authorization is also being requested to initiate the 2022 call, which would make up to \$40 million available for the M2 RCP and RTSSP to support local streets and roads improvement projects through Orange County.

Next Steps

If the Board approves the recommendations noted above, staff will notify the local jurisdictions of the call’s initiation and any other pertinent information.

Grant applications will be due to OCTA by October 21, 2021, and based upon selection criteria specified in the 2022 Guidelines, projects will be prioritized for TSC, TAC, and Board consideration in spring 2022. Selected projects can be eligible to receive funding as early as July 1, 2022, through fiscal year 2024-25 depending on each project's schedule. A summary of the call's proposed timeline is identified below.

- Board authorization to issue call: August 9, 2021
- Application submittal deadline: October 21, 2021
- TSC/TAC review: February/March 2022
- Regional Planning and Highways Committee/Board approval: May 2022

Summary

M2 provides funding for roadway improvements through the RCP and signal synchronization improvements through the RTSSP. The Guidelines serve as the mechanism that OCTA uses to administer these competitive funding sources. Proposed changes to these Guidelines were presented and approved by both the TSC and TAC in June 2021, and staff is now seeking Board approval of proposed modifications to the 2022 Guidelines and authorization to initiate the 2022 RCP and RTSSP annual call.

Attachments

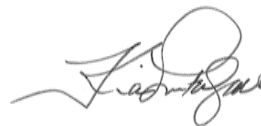
- A. 2022 CTFP Guidelines (Projects O and P) – Proposed Changes List
- B. Comprehensive Transportation Funding Programs Guidelines Excerpt, Proposed Revisions

Prepared by:



Joseph Alcock
Section Manager M2 Local Programs
(714) 560-5372

Approved by:



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

2022 CTFP Guidelines (Projects O and P) – Proposed Changes List				
No.	Chapter	Section	Page No.	Proposed Change
1	Ch. 6	2021 Program Revisions	6-1	<p>Added the following language: 2021 Program Revisions</p> <p>On January 25, 2021, the Board authorized the revision of certain Project V program requirements primarily required as a result of the coronavirus pandemic and the need to update several program requirements. These changes focused upon modifying the program's minimum performance requirements, allowing for annual subsidy escalation, and implementing recent Internal Audit recommendations. The changes will be fully incorporated into these guidelines during the next Project V call. However, until that time, for the latest program modifications and requirements, please refer to the January 25, 2021 staff report, which can be found at:</p> <p>https://octa.legistar.com/LegislationDetail.aspx?ID=4748502&GUID=1D11B36F-02B3-4A94-9C8E-C3EE9AB6D275&Options=&Search=</p>
2	Ch. 6	Project Requirements – Operations and Maintenance	6-7	<p>Added the following language, “For the for latest OCTA Board-approved Project V minimum performance standards (approved on January 25, 2021), please see the following link:”</p> <p>https://octa.legistar.com/LegislationDetail.aspx?ID=4748502&GUID=1D11B36F-02B3-4A94-9C8E-C3EE9AB6D275&Options=&Search=</p>
3	Ch. 7	2022 Call	7-3	<p>Updated the following:</p> <ul style="list-style-type: none"> the year for the call to 2022; the call's funding target language to reflect \$32 million, but also noted that Project O recommendations may be higher or lower depending on the projects submitted; and the three-year programming period (FY 2022-23 – FY 2024-25).
4	Ch. 7	Applications	7-4	Noted that local jurisdictions are required to submit both online and hardcopy applications for the 2022 call by 5:00 p.m. on Thursday, October 21, 2021.
5	Ch. 7	Applications	7-4	Added language to clarify that hardcopy attachments of supporting plans and/or drawings must be in a minimum size of 11 x 17 inches.
6	Ch. 7	Additional Information	7-10	Added language to clarify that hardcopy attachments of preliminary plans, if available, should be included in hard copy attachments at a minimum size of 11 x 17 inches.

2022 CTFP Guidelines (Projects O and P) – Proposed Changes List				
No.	Chapter	Section	Page No.	Proposed Change
7	Ch. 7	Application Review Process	7-13	Updated proposed call schedule to the following: <ul style="list-style-type: none"> • Board authorization to issue call: August 9, 2021; • Application submittal deadline: October 21, 2021; • TSC/TAC Review: February/March 2022; and • Committee/Board approval: May 2022.
8	Ch.7	Potentially Eligible Items	7-16	Clarified that: Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
9	Ch.7	Ineligible Expenditures	7-17	Clarified that: Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally considered ineligible but can be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
10	Ch.7	Selection Criteria, New Facilities, and Level of Service Improvement	7-21 7-25 7-35 7-46	Updated deadline date for “new” facilities/modeling and alternative analysis methodology requests to September 9, 2021.
11	Ch. 7	Ineligible Items	7-31	Clarified that: Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally assumed to be ineligible but can be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
12	Ch. 7	Ineligible Items	7-32	Clarified that: Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

2022 CTFP Guidelines (Projects O and P) – Proposed Changes List				
No.	Chapter	Section	Page No.	Proposed Change
13	Ch. 7	Potentially Eligible Items	7-43	Clarified that: Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
14	Ch. 7	Ineligible Projects	7-44	Clarified that: Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally assumed to be ineligible but can be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
15	Ch. 8	Overview	8-1	Updated the year for call year to 2022.
16	Ch. 8	2022 Call	8-2	Updated the following: <ul style="list-style-type: none"> the year for the call to 2022; and the call's funding target language to reflect \$8 million, but also noted that Project P recommendations may be higher or lower depending on the projects submitted.
17	Ch. 8	Applications	8-3	Noted that applications for the 2022 call are due by 5:00 p.m. on Thursday, October 21, 2021.
18	Ch. 8	Other Application Materials	8-5	Updated the year to 2022 for the supplemental application requirement.
19	Ch. 8	Application Review and Program Adoption	8-8	Updated proposed call schedule to the following: <ul style="list-style-type: none"> Board authorization to issue call: August 9, 2021; Application submittal deadline: October 21, 2021; TSC/TAC Review: February/March 2022; and Committee/Board approval: May 2022.

2022 CTFP Guidelines (Projects O and P) - Proposed Changes List				
No.	Chapter	Section	Page No.	Proposed Change
20	Ch. 8	Selection Criteria- Project Scale – Note	8-14 - 8-15	<p>Added the following note: Note: Due to the length of PCH and the fact that broad portions of it are a Caltrans-owned facility, for project scoring purposes only, the “Percent of Main Corridor Being Retimed” scoring criteria (identified in Table 8-1) can be divided into the four following segments.</p> <ol style="list-style-type: none"> 1. San Gabriel River (Los Angeles County Line) to North of Goldenwest Street. 2. Goldenwest Street to School State Park. 3. South of School State Park to Doheny Park Road. 4. South of Doheny Park Road to San Diego County Line. <p>If an application is proposed to span two or more segments of PCH the “Percent of Main Corridor Being Retimed” calculation will be based upon the number of signals in the project application divided by total number of signals in the applicable segments.</p>
21	Ch. 8	Selection Criteria – Current Project Status - Note	8-15	<p>Added the following note: “Note: Applications that designate OCTA as the lead agency are not eligible to claim implementation within 12 months.”</p>
22	Ch. 8	Table 8-1 Point Breakdown	8-16	<p>Under current project status category revised language to state: “Re-timing 75% of prior RTSSP project or Measure M Signal Improvement Program funded project”.</p>

Acronyms

Board – Board of Directors

Call – call for projects

Caltrans – California Department of Transportation

CTFP – Comprehensive Transportation Funding Program

FY – Fiscal Year

MPAH – Master Plan of Arterial Highway

OCTA – Orange County Transportation Authority

PCH – Pacific Coast Highway

ROW – Right-of-Way

RTSSP – Regional Traffic Signal Synchronization Program

TAC – Transportation Advisory Committee

TCE – Temporary Construction Easement

TSC – Technical Steering Committee

Comprehensive Transportation Funding Programs Guidelines Excerpt

Proposed Revisions

TABLE OF CONTENTS

I. Overview.....	vi
Background.....	vi
Guidelines Overview	vi
II. Funding Sources	viii
Renewed Measure M.....	viii
State/Federal Programs	ix
Call for Projects	ix
III. Definitions	x
IV. Acronyms	xiii
V. Precepts.....	xvii
Chapter 1 - Eligibility	1-1
Overview.....	1-1
MPAH Consistency Review and Amendment Process.....	1-1
Additional Information Regarding MPAH.....	1-2
Chapter 2 – Project Programming	2-3
Program Consolidation	2-3
Sequential Programming Process – RCP.....	2-3
Tiered Funding	2-4
Funding Projections – Call for Projects.....	2-4
Project Cost Escalation	2-4
Programming Adjustments.....	2-4
Project Readiness	2-5
Programming Policies	2-5
Schedule change requests	2-6
Timely use of funds.....	2-7

Project Advancements	2-7
Semi-Annual Review.....	2-7
Environmental Cleanup Program Operations and Maintenance Reporting	2-8
Chapter 3 – Safe Transit Stops (Project W)	3-10
Purpose.....	3-10
Eligible Applicants.....	3-10
Application.....	3-10
Evaluation Criteria	3-11
Available Funding	3-11
Eligible Costs	3-11
Chapter 4 – Transit Extensions to Metrolink (Project S).....	4-1
Fixed Guideways.....	4-1
Bus and Station Vans	4-6
Chapter 5 – Metrolink Gateways (Project T).....	5-1
Chapter 6 – Community-Based Transit/Circulators (Project V)	6-1
Overview.....	6-1
2020 Call for Projects	6-2
Project Participation Categories	6-3
Ineligible Categories.....	6-5
Project Requirements	6-6
Agency Match Requirements	6-8
Eligibility Requirements.....	6-8
Application Process.....	6-9
Application Guidelines	6-10
Scoring Criteria	6-11 6-116-10
Reimbursements.....	6-12
Calculation of Payment.....	6-12

Operating Cost	6-12
Fare Revenue (deduct)	6-12
Net Operating Cost	6-12
Agency Match (10%).....	6-12
Agency Reimbursement (90%)	6-12
Operating Cost.....	6-136-12
Fare Revenue (deduct)	6-136-12
Net Operating Cost	6-136-12
\$9 x Boardings (\$9 x 1,500)	6-136-12
Agency Match	6-136-12
Agency Reimbursement.....	6-136-12
(\$9 per boarding/user).....	6-136-12
Project Cancellation.....	6-13
Audits.....	6-13
Chapter 7 – Regional Capacity Program (Project O).....	7-1
Overview.....	7-1
2021 Call for Projects	7-3
Applications	7-3
Attachments	7-8
Additional Information	7-9
Application Review Process	7-12
Funding.....	7-13
Arterial Capacity Enhancements (ACE).....	7-14
Intersection Capacity Enhancements (ICE)	7-30
Freeway Arterial/Streets Transitions (FAST).....	7-41
Regional Grade Separation Program (RGSP)	7-52
Chapter 8 – Regional Traffic Signal Synchronization Program (Project P)	8-1
Overview.....	8-1

2021 Call for Projects	8-2
Applications	8-3
Application Review and Program Adoption.....	8-6
Chapter 9 – Reimbursements and Reporting	9-1
Procedures for Receiving Funds.....	9-1
Availability of Funds	9-2
Cancellation of Project.....	9-2
Project O - Regional Capacity Program Initial Payment	9-3
Project O - Regional Capacity Program Final Report and Payment Process	9-6
Project P - Regional Traffic Signal Synchronization Program Reimbursements and Reporting Requirements.....	9-12
Project X - Environmental Cleanup Program Reimbursements & Reporting Requirements	9-16
Chapter 10 – Audits	10-1
Chapter 11 – Environmental Cleanup Program (Project X).....	11-1
Tier 1 Grant Program.....	11-3
Tier 2 Grant Program	11-14
Exhibits	
Exhibit IV-1 Coastal Zone Boundary	xxii
Exhibit 6-1 Point Breakdown & Application Checklist for Project V.....	6-14
Exhibit 6-2 Project V Sample Resolution	6-15
Exhibit 7-1 ACE CTFP Application Checklist Guide	7-5
Exhibit 7-2 ICE CTFP Application Checklist Guide.....	7-6
Exhibit 7-3 FAST CTFP Application Checklist Guide	7-7
Exhibit 7-4 Sample Resolution for CTFP Projects	7-11
Exhibit 7-5 Standard MPAH Cross Sections.....	7-18
Exhibit 8-1 RTSSP Project P Application Checklist.....	8-22
Exhibit 8-2 RTSSP Sample Resolution.....	8-23

Exhibit 11-1 ECP Tier 1 Scoring Criteria.....	11-7
Exhibit 11-2 ECP Tier 1 Sample Resolution.....	11-11
Exhibit 11-3 ECP Tier 2 Grant Application Form	11-23

Tables

Table 4-1 Point Breakdown for Project S (Fixed Guideway).....	4-13
Table 4-2 Point Breakdown for Project S (Bus and Station Van)	4-14
Table 5-1 Point Breakdown for Project T	5-7
Table 7-1 Street Widening Selection Criteria	7-28
Table 7-2 Street Widening Point Breakdown	7-29
Table 7-3 Intersection Widening Selection Criteria	7-39
Table 7-4 Intersection Widening Point Breakdown	7-40
Table 7-5 Interchange Improvement Selection Criteria	7-50
Table 7-6 Interchange Improvement Point Breakdown	7-51
Table 8-1 RTSSP Point Breakdown	8-16

Chapter 6 – Community-Based Transit/Circulators (Project V)

2021 Program Revisions

On January 25, 2021, the OCTA Board authorized the revision of certain Project V program requirements primarily required as a result of the coronavirus pandemic and the need to update several program requirements. These changes focused upon modifying the program's minimum performance requirements, allowing for annual subsidy escalation, and implementing recent internal audit recommendations. These changes will be fully incorporated into these Guidelines during the next Project V call for projects. However, until that time, for the latest program modifications and requirements, please refer to the January 25, 2021 staff report, which can be found at:

<https://octa.legistar.com/LegislationDetail.aspx?ID=4748502&GUID=1D11B36F-02B3-4A94-9C8E-C3EE9AB6D275&Options=&Search=>

Overview

The M2 Project V - Community-Based Transit/Circulators Program establishes a competitive process to enable local jurisdictions to develop community-based local transit services that complement regional transit services and meet needs in areas not adequately serviced by regional transit. Projects must meet specific criteria in order to compete for funding through this program. In addition, local jurisdictions will be required to demonstrate the ability to provide funding match for capital and ongoing local share of O&M using non-OCTA resources. Public-private partnerships are encouraged but not required. However, such efforts need to be applied for by a CTFP eligible local agency. Local jurisdictions are also encouraged to partner with each other.

Regional Transit: Regional Transit services are provided by OCTA, specifically through routes 1 through 99 (and excluding those route sections that perform less than 10 boardings per RVH). Additional information on OCTA routes and schedules can be accessed from OCTA website at www.octa.net.

General Policy Objectives

- To provide community transit service that is safe, clean and convenient.
- To encourage new, well-coordinated, flexible transportation systems customized to each community's needs.
- To develop local bus transit services such as community-based circulators, shuttles, and bus trolleys that complement regional bus and rail service.
- To meet transportation needs in areas not served by regional transit.

Operations and Maintenance (O&M)

OCTA has established an operating reserve as part of this program that may be used to support the costs of O&M for fixed-route, community shuttles, and seasonal services. The operating reserve is subject to the following requirements:

- Service performance will be evaluated on a quarterly basis. [For the latest OCTA Board approved Project V minimum performance standards \(approved on January 25, 2021\), please see the following link:](#)

<https://octa.legistar.com/LegislationDetail.aspx?ID=4748502&GUID=1D11B36F-02B3-4A94-9C8E-C3EE9AB6D275&Options=&Search=>

The minimum performance standards for fixed-route, community shuttles, and seasonal services are calculated by dividing boardings (B) by the Revenue Vehicle Hour (B/RVH) as detailed in the following table:

Minimum Performance Standards: Fixed-Route, Community Shuttles, and Seasonal Services		
Year 1	Year 2	Year 3+
Meet or exceed 6 B/RVH by end of Year 1 ²	Maintain 6 B/RVH each reporting period and; Meet or exceed 10 B/RVH by end of Year 2	Maintain 10 B/RVH each reporting period

- Performance standards for shared ride-hailing services will be determined specifically for each service and may be based on a cost per user, cost per mile, or other applicable performance measure.
- After Year 1, services that perform below the minimum performance standard for two or more reporting periods will be evaluated for cancellation.
- As part of the Project V service, local agencies must develop strategies to measure ridership satisfaction and on-time performance and must achieve an 85% on-time performance on an ongoing basis, and rider satisfaction must be 90% satisfied based on customer surveys.
- Awarded agencies must submit O&M costs and ridership and fare performance data to OCTA on a quarterly basis. The OCTA Transit Committee will be provided with summarized information from these reports on a semi-annual basis.
- The OCTA subsidy allows awarded agencies to be reimbursed on a pro-rata basis, but not to exceed \$9 per boarding/user or 90 percent (90%) of net operating and maintenance costs³ (after deducting fares and non-OCTA subsidies), whichever is

² One year from the first day of operating the Project V funded service

³ Net Operating Costs include Regular and ongoing marketing, but no longer include Initial Marketing Costs to Establish Service.

Chapter 7 – Regional Capacity Program (Project O)

Overview

The RCP (Project O) is a competitive program that will provide more than \$1 billion over a thirty-year period. The RCP replaces the Measure M local and regional streets and roads competitive programs (1991-2011).

Although each improvement category described in this chapter has specific eligible activities, the use of RCP funding is restricted to and must be consistent with the provisions outlined in Article XIX and the California State Controller’s [Guidelines Relating to Gas Tax Expenditures](#) (March 2019). These Guidelines are available at the following link: https://sco.ca.gov/Files-AUD/gas_tax_guidelines31219.pdf.

The MPAH serves as the backbone of Orange County’s arterial street network. Improvements to the network are required to meet existing needs and address future demand. The RCP is made up of three (3) individual program categories which provide improvements to the network:

- The ACE improvement category complements freeway improvement initiatives underway and supplements development mitigation opportunities on arterials throughout the MPAH.
- The ICE improvement category provides funding for operational and capacity improvements at intersecting MPAH roadways.
- The FAST focuses upon street to freeway interchanges and includes added emphasis upon arterial transitions to interchanges.

Projects in the arterial, intersection, and interchange improvement categories are selected on a competitive basis. All projects must meet specific criteria in order to compete for funding through this program.

Also included under the RCP is the Regional Grade Separation Program (RGSP), which is meant to address vehicle delays and safety issues related to at-grade rail crossings. Seven rail crossing projects along the MPAH network were identified by the California Transportation Commission (CTC) to receive TCIF. TCIF allocations required an additional local funding commitment. The RGSP captures these prior funding commitments. Future calls for projects for grade separations are not anticipated.

Funding Estimates

Funding will be provided on a pay-as-you go basis. The RCP will make an estimated \$1.1 billion (in 2005 dollars) available during the 30-year M2 program. Programming estimates are developed in conjunction with periodic calls for projects. Funding is shared with intersection, interchange and grade separation improvement categories. No predetermined funding has been set aside or established for street widening.

Programming Approach

Programming decisions are based upon project prioritization ranking, feasibility and readiness. Each round of funding has resulted in a diverse range of activities, cost and competitive score. Funding applications may seek financial assistance for planning, engineering, ROW, construction or a combination of these activities. Effective grant programs include a combination of project development as well as implementation projects. In order to ensure continued distribution of funding opportunities between small and large-scale projects, a tiered funding approach will be used.

Typically, OCTA has made approximately \$32 million available for each RCP (Project O) programming cycle. Category 1 projects are limited to those projects requesting \$5 million or less. Category 2 projects are defined as those requesting more than \$5 million in Measure M2 funds.

Tiered Funding Approach: The two-tiered funding (Tier 1 and Tier 2) approach will only be applicable to the RCP. This approach is proposed to prioritize high scoring projects while providing a balanced program with funding availability for small and large projects. The first tier is for projects scoring 50 points or higher, and the second tier is for all projects after first satisfying the Tier I ranking. Within Tier 1, two categories would be established with 60 percent (60%) (Category 1) of the M2 funds available for smaller projects (requesting \$5 million or less), and 40 percent (40%) (Category 2) of the M2 funds available for larger projects (requesting \$5 million or more). This approach is intended to broaden the distribution of M2 funds to higher scoring/lower cost projects and retain the ability to fund larger projects without placing formal funding caps on allocations. Any M2 funds not programmed in Tier I will be designated for Tier 2 allocation. A funding split between small and large projects is not recommended for Tier 2.

Applications may be for any project phase provided it represents a meaningful, logical terminus and is consistent with scoping from a previously funded project if applicable (i.e., if engineering was previously funded, the ROW and/or construction request must be for the same project scope).

	Category 1 (60%)	Category 2 (40%)
Tier I >=50	<ul style="list-style-type: none"> • \$0 - \$5 million • Score at least 50 points • Logical, standalone project • Unallocated balance shifts to Tier II for programming 	<ul style="list-style-type: none"> • \$5+ million request • Score at least 50 points • Logical, standalone project • Unallocated balance shifts to Tier II for programming
Tier II	<ul style="list-style-type: none"> • Balance of unallocated funds from Tier I prioritization • Request can be of any dollar value to compete in Tier II • Multiple segments of the same project cannot be submitted under both categories. 	

2022 Call for Projects

Contingent on OCTA Board approval, the 2022 Call for Projects (call) for the RCP (Project O) and Regional Traffic Signal Synchronization Program (Project P), will make approximately \$40 million in M2 funds available to support street and roads and signal synchronization improvements across Orange County. The target for this program is \$32 million, but recommendations for Project O may be higher or lower depending on the projects submitted.

Funding will be provided for the three RCP funding programs: ACE, ICE, and FAST. Chapter 7 details the specific program's intent, eligible project expenditures, ineligible project expenditures, and additional information that may be needed when applying for funds. Each section should be read thoroughly before applying for funding. Application should be prepared for the program that best fits the proposed project.

For this call, OCTA shall program projects for a three-year period (FY 22/23 – 24/25), based upon the current estimate of available funds. For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of these guidelines.

Applications

In order for OCTA to consider a project for funding, applications will be prepared by the lead agency. A separate application package must be completed for each individual project. Multiple variations of the same project (i.e. with different local match rates) will not be considered. If funding is requested under multiple program components for a

single project (i.e. arterials and intersections) a separate application must be prepared for each request. OCTA shall require agencies to submit both online and hardcopy applications for the 202² call for projects by **5:00 p.m. on Thursday, October 21, 2021**. **Late and/or incomplete submittals will not be accepted.**

Since each funding program has slightly different application requirements, an "Internal Application Checklist Guide" has been provided for the three programs under the RCP (Exhibits 7-1, 7-2, and 7-3). The checklist guide identifies the basic forms and documentation required for each of the program components. In addition, items required at the time of project submittal are differentiated from supplemental items due later. The appropriate **checklist must be provided as a cover sheet for each application submitted**. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application. In addition to this checklist guide, please review the **Attachments/Additional Information** section of each program component for a description of supplementary documentation which may be required to support your agency's project application in specific cases.

Additionally, **three (3) unbound hardcopies** of the application and any supporting documentation must be submitted to OCTA by the application deadline. Please note, hardcopies of the supporting plans and/or drawings are to be in a minimum size of 11 x 17 inches.

Hardcopy applications should be mailed to:

OCTA
Attention: Alfonso Hernandez
600 S. Main Street
P.O. Box 14184 Orange, CA 92863-1584

Hardcopy applications can be hand delivered to:

600 S. Main Street
Orange, CA 92868

Exhibit 7-1

Arterial Capacity Enhancement (ACE)

CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- ADT Counts and LOS Calculations
- Aerial Photo w/ Proposed Improvements Shown

Right-of-Way

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
 - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses)*
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
 - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*
- ADT and LOS Calculations

Construction

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report *
- Approved Project Construction Plans*
- ADT and LOS Calculations

NOTE: To qualify for the 10 percent (10%) local match discount for measurable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.

****Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***

Exhibit 7-2

Intersection Capacity Enhancement (ICE)

CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- Aerial Photo w/ Proposed Improvements Shown

Right-of-Way

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
 - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses) *
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS/ICU Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
 - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*

Construction

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report *
- Approved Project Construction Plans*

NOTE: To qualify for the 10 percent (10%) local match discount for measurable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.

****Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***

Exhibit 7-3

Freeway Arterial/Streets Transition (FAST)

CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, ADT for arterial and ramp exit volumes
- Caltrans Letter of Support
- Aerial Photo w/ Proposed Improvements Shown

Right-of-Way

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
 - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses) *
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
 - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*

Construction

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report*
- Approved Project Construction Plans*
- Appropriate agreements between Caltrans and the project lead agency need to be in draft form and/or in place.

NOTE: To qualify for the 10 percent (10%) local match discount for measurable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.

****Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***

Attachments

OCFundtracker Application

Agencies must submit a copy of the OCFundtracker application and scoring information with all application submittals. This document is created within the OCFundtracker web-based application.

"Project Cost Estimate" Form

Include a separate attachment listing all expenditures and costs for the project. Accurate unit prices and a detailed description of work, including design, will be critical when the candidate project is reviewed. For example, design applications should include major tasks that will be performed. ROW cost estimate should include parcel information (including project area needed), improvements taken, severance damages, ROW engineering, appraisal and legal costs. Construction should include a listing of all bid items including a maximum 10 percent (10%) allowance for contingencies and a maximum 15 percent (15%) allowance for construction engineering/project management. The anticipated disbursement of costs (e.g., Agency, Other, Non-Eligible) must also be completed. Agencies should reference the program from which funding is expected to be allocated when completing this portion of the form. Each of the funding programs described in these guidelines may have differing matching fund requirements.

If more than one project phase is requested to be funded, a separate project cost estimate form is to be completed for each phase, or each phase must be clearly indicated, and a subtotal prepared on this form. Separate forms should also be prepared if funding for project phases is being requested over multiple fiscal years.

"Sample Resolution" Form

A resolution or minute action must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. A sample resolution is included as Exhibit 7-4. Local agencies, at a minimum, must include items a-h. The mechanism selected shall serve as a formal request for CTFP funds and states that matching funds will be provided by the agency, if necessary. All project requests must be included in this action. **If a draft copy of the resolution is provided, the local jurisdiction must also provide the date the resolution will be finalized by the local jurisdiction's governing body.**

ROW Acquisition/Disposal Plan

For all projects requesting ROW phase funding, a detailed plan for acquisition/disposal of excess right-of-way, along with any reasonable labor costs expected, must be included. The ROW acquisition/disposal plan and labor cost estimate must be submitted using the

"ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.

Project Summary Information

For each application that is recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for TAC review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

Pavement Management Supporting Documentation

The M2 Ordinance provides for a 10 percent (10%) reduction in the required local match if the agency can either:

- a. Show measurable improvement of paved road conditions during the previous reporting period defined as an overall weighted (by area) average system improvement of one Pavement Condition Index (PCI) point with no reduction in the overall weighted (by area) average PCI in the MPAH or local street categories;
- or
- b. Road pavement conditions during the previous reporting period within the highest 20% of the scale for road pavement conditions in conformance with OCTA Ordinance No. 3, defined as a PCI of 75 or higher, otherwise defined as in "good condition".

If an agency is electing to take the 10 percent (10%) local match reduction, **supporting documentation indicating either the PCI improvement or PCI scale must be provided.**

Additional Information

The following documentation should be included with your completed project application:

If a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from the other agency.

1. Letters of support for the candidate project (optional).
2. Geotechnical\materials reports for all applicable candidate projects (e.g., widening, intersection improvement, new roadway). The reports should contain sufficient detail for an accurate assessment of improvements needed and costs, since funding will be jeopardized if a project is unable to meet proposed schedule and costs.

3. Preliminary plans, if available for the project. The plans (1"=40' preferred) should be included in hard copy attachments at a minimum size of 11 x 17 inches and include:
 - a. Existing and proposed ROW (include plat maps and legal descriptions for proposed acquisitions).
 - b. Agency boundaries, dimensions and station numbers.
 - c. Existing and proposed project features such as: pavement width and edge of pavement, curb, gutter and sidewalk, raised median, driveway reconstruction, signal pole locations, etc.
 - d. Typical cross sections.
 - e. Proposed striping.
 - f. Structural sections per the materials report.
 - g. Proposed traffic signals, storm drains, bridges, railroad crossing improvements, safety lighting, etc.
 - h. If requesting funds for traffic signals, include a traffic signal warrant(s) prepared by the City Traffic Engineer or City Engineer.
 - i. If the project includes construction, relocation, alteration or widening of any railroad crossing or facility, include a copy of the letter of intent sent to the railroad, a copy of which must be sent to the Public Utilities Commission (PUC). Any project including work of interest to a railroad will not be considered for eligibility until the railroad and PUC have been notified.
 - j. If the project is proposed as a staged project and additional funds will be necessary in subsequent calls for projects, the preliminary project statement should be accompanied with a complete preliminary estimate and schedule for the completion of the entire project.
 - k. If the project is proposed as a safety improvement, provide justifying accident data for the past three years and show the expected decrease in intersection or mid-block accident rate.
4. Current 24-hour traffic counts (taken for a typical mid-week period within the preceding 12-month period) for the proposed segment. Projects submitted without "current counts" will be considered incomplete and non-responsive.

Exhibit 7-4

Sample Resolution for Candidate Orange County Comprehensive Transportation Programs Projects

A resolution of the _____ City Council approving the submittal of _____ improvement project(s) to the Orange County Transportation Authority for funding under the Comprehensive Transportation Program

THE CITY COUNCIL OF THE CITY OF _____ HEREBY RESOLVES, DETERMINES, AND ORDERS AS FOLLOWS THAT:

- (a) WHEREAS, the City of _____ desires to implement the transportation improvements listed below; and
- (b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive M2 "Fair Share" funds; and
- (c) WHEREAS, the City's Circulation Element is consistent with the County of Orange Master Plan of Arterial Highways; and
- (d) WHEREAS, the City of _____ will not use M2 funds to supplant Developer Fees or other commitments;
- (e) WHEREAS, the City/County must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Measure M2 Ordinance eligibility requirement.
- (f) WHEREAS, the City of _____ will provide a minimum in __% in matching funds for the _____ project as required by the Orange County Comprehensive Transportation Funding Programs Guidelines; and
- (g) WHEREAS, the Orange County Transportation Authority intends to allocate funds for transportation improvement projects, if approved, within the incorporated cities and the County; and
- (h) WHEREAS, the City/County authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors, if necessary.

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of _____ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Comprehensive Transportation Funding Programs. Said funds, if approved, shall be matched by funds from said City as required and shall be used as supplemental funding to aid the City in the improvement of the following street(s):

ADOPTED BY THE CITY COUNCIL on _____, 20____.

SIGNED AND APPROVED on _____, 20____.

City Clerk

Mayor

*Required language a-h

Application Review Process

OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, request supplemental information (i.e., plans, aerial/strip maps, CEQA forms) for projects that appear to rank well during initial staff evaluations, and prepare a recommended program for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications such as, but not limited to, project scope, cost estimates, ADT and LOS. These applications will be selected through a random process.

The following guidelines will be used in reviewing project applications. Any application that does not meet these minimum guidelines must include an explanation of why the guidelines were not met:

1. The travel lane width should be no less than 11 feet (12 feet if adjacent to a raised median or other obstruction) for all arterial highways.
2. For divided roadways, the minimum median width should be no less than 10 feet to allow for turning movements. Divided roadways are defined as those with either a painted or raised median.
3. Arterial highways that are designated for uses in addition to automobile travel (e.g., bicycle, pedestrian, parking) shall provide additional ROW consistent with local jurisdiction standards to facilitate such uses.
4. An eight-lane roadway should provide for a continuous median, protected dual or single left-turn pockets as warranted at signalized intersections, single left-turn pockets at non-signalized intersections, and a right-turn lane at signalized intersections where determined necessary by traffic volumes. ROW for a free right-turn lane should be provided at locations warranted by traffic demand.
5. A six-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets as warranted by existing traffic at all signalized intersections, and single left-turn pockets at non-signalized intersections. A right-turn option lane should also be provided as warranted by traffic demand.
6. A four-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets at all signalized intersections, and a left-turn pocket at all non-signalized intersections. A right-turn lane should also be provided as warranted by traffic demand.
7. A four-lane undivided roadway shall provide for a single left-turn pocket at all intersections as warranted by traffic demand.

Applications will be reviewed by OCTA for consistency, accuracy and concurrence. Applications determined complete in accordance with the program requirements will be

scored, ranked and submitted to the TSC, TAC and Board for consideration and funding approval.

Local agencies awarded funding will be notified as to which projects have been funded and from what sources after the Board takes action. A tentative call schedule is detailed below:

Board authorization to issue call: August 202¹

Application submittal deadline: October 2¹, 202¹

TSC/TAC Review: February/March 202²

Committee/Board approval: May 202²

Funding

M2 RCP (Project O) funding will be used for this call.

The CTFP Guidelines include a provision that allows applicants to request ROW and/or construction funding prior to completion of the planning phase (including final design) provided that the phase is underway, substantially complete and the agency will complete the activities within six months of the start of the new phase programmed year. **A thorough review of eligible activities is not always possible during the call for projects evaluation period. As a result, it is possible that cost elements contained within an application and included in a funding recommendation may ultimately be deemed ineligible for program participation. The applicant is responsible for ensuring projects are implemented according to eligible activities contained within the program guidelines.**

Arterial Capacity Enhancements (ACE)

Overview

The MPAH serves as the backbone of Orange County's arterial street network. Improvements to the network are required to meet existing needs and address future traffic demand. The ACE improvement category complements freeway improvement initiatives underway, supplements development mitigation activities and enables improvements based upon existing deficiencies.

Projects in the ACE improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

Objectives

- Complete MPAH network through gap closures and construction of missing segments
- Relieve congestion by providing additional roadway capacity where needed
- Provide timely investment of M2 Revenues
- Leverage funding from other sources

Project Participation Categories

The ACE category provides capital improvement funding (including planning, design, ROW acquisition and construction) for capacity enhancements on the MPAH for the following:

- Gap closures – the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- Roadway widening where additional capacity is needed
- New roads / extension of existing MPAH facility

Eligible Activities

- Planning, environmental clearance
- Design
- ROW acquisition
- Construction (including curb-to-curb, lighting, drainage, etc.)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

Application review and approval does not guarantee the eligibility of all items.

- Direct environmental mitigation for projects funded by ACE (subject to limitations identified in precepts)
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices
- Sound walls (in conjunction with roadway improvement mitigation measures)
- Aesthetic improvements including landscaping within the project ROW (eligible improvements up to 10 percent (10%) of construction costs, provided costs are reasonable for the transportation benefit)
- ITS infrastructure (advance placement in anticipation of future project)
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a ROW settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the ROW (inclusive of any TCE and/or ROW agreement related improvements) should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading will be considered on a case by case basis. Agencies shall provide supporting documentation (e.g. soils reports, ROW agreements) to justify the additional grading.
- Additional ROW to accommodate significant pedestrian volumes or bikeways shown on a Master Plan of Bikeways or in conjunction with the "Complete Streets" effort. These will be considered for eligibility on a case by case basis during the application process.
- Installation of a pedestrian activated traffic signal where necessitated by pedestrian traffic warrants or other engineering criteria.

Environmental mitigation will be allowed only as required for the proposed roadway improvement, and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 25 percent (25%) of the total eligible construction costs.

Longitudinal storm drains are eligible for program participation when the storm drain is an incidental part (cost is less than 25 percent (25%) of the total eligible construction cost) of an eligible improvement. Program participation shall not exceed 10 percent (10%) of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in ACE Program funding. Storm drains outside standard MPAH ROW widths are not eligible, excluding catch basins within reasonable distance and in general proximity to a project intersection (e.g. within ten feet of the curb return). Catch basins and drainage systems extending into adjacent areas (including public streets) shall not be eligible past the first catch basin designated by aforementioned criteria.

The relocation of detention basins/bioswales are potentially eligible dependent on prior rights and will be given consideration on a case by case basis (see utility relocations below).

Soundwalls are eligible only if they are required as part of the environmental mitigation for the proposed project and the Measure M contribution to the cost of soundwalls shall not exceed 25 percent (25%) of the total eligible construction costs. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in this section above.

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

Utility Relocations

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when all conditions listed below have been met:

- The relocation is made necessary due to conflict with proposed improvements.
- The facility to be relocated is within the project right-of-way.
- It has been determined that the local agency is legally liable for either a portion of or all of the relocation costs.

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 9). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are not eligible in the construction phase subject to the limitations previously described. New or relocated fire hydrants are ineligible.

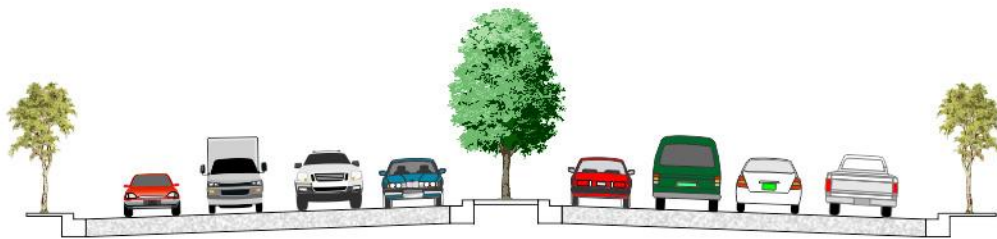
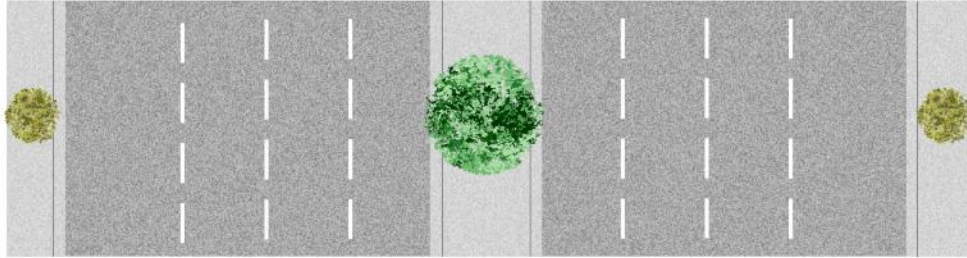
In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

Ineligible Expenditures

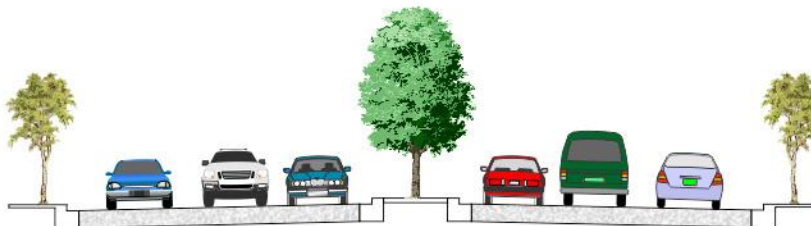
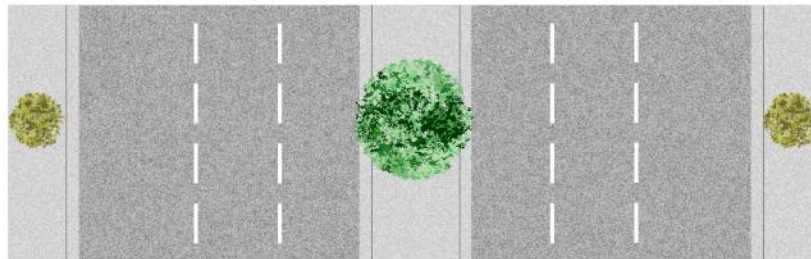
Items that are not eligible under the ACE Program are:

- Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally considered ineligible but can be evaluated by OCTA on a case by case basis, but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
- Rehabilitation (unless performed as component of capacity enhancement project)
- Reconstruction (unless performed as component of capacity enhancement project)
- Grade Separation Projects
- Enhanced landscaping, aesthetics and gateway treatments (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape)
- ROW acquisition and construction costs for improvements greater than the typical ROW width for the applicable MPAH Roadway Classification. (See standard MPAH cross sections in Exhibit 7-5) Where full parcel acquisitions are necessary to meet typical ROW requirements for the MPAH classification, any excess parcels shall be disposed of in accordance with the provisions of these guidelines, State statutes as outlined in Article XIX and the California State Controllers Guidelines Relating to Gas Tax Expenditures.
- Utility Betterments
- Construction of new utilities

Exhibit 7-5 Standard MPAH Cross Sections

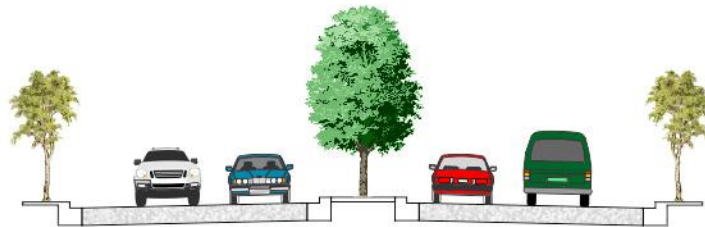
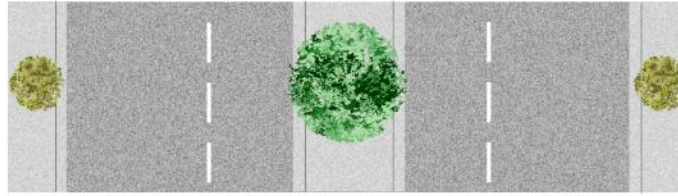


PRINCIPAL
144 FT
(8 LANES, DIVIDED)

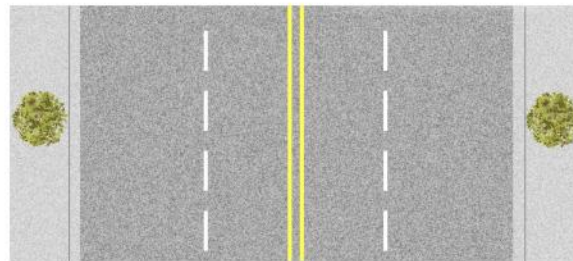


MAJOR
120FT
(6 LANES, DIVIDED)

Exhibit 7-5 *continued*
Standard MPAH Cross Sections

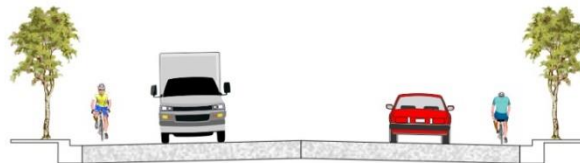
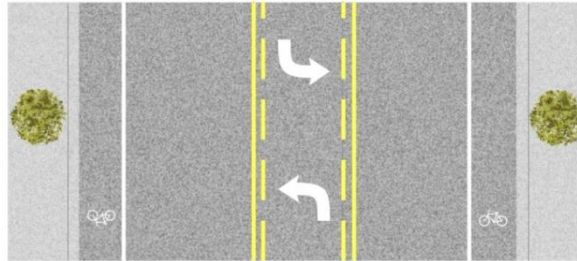


PRIMARY
100 FT
(4 LANES, DIVIDED)

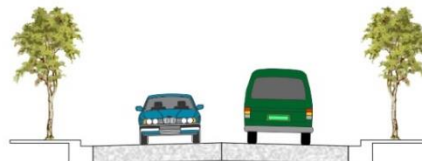
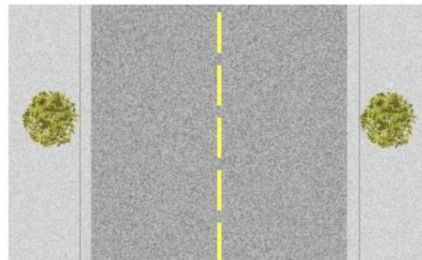


SECONDARY
80 FT
(4 LANES, UNDIVIDED)

Exhibit 7-5 *continued*
Standard MPAH Cross Sections



DIVIDED COLLECTOR
80 FT
(2 LANES, DIVIDED)



COLLECTOR
56 FT
(2 LANES, UNDIVIDED)

Master Plan of Arterial Highway Capacities

Below are the approximate roadway capacities that will be used in the determination of LOS:

<u>Type of Arterial</u>	<u>Level of Service (LOS)</u>				
	A	B	C	D	E
	.51 - .60 v/c	.61 - .70 v/c	.71 - .80 v/c	.81 - .90 v/c	.91 - 1.00 v/c
8 Lanes Divided	45,000	52,500	60,000	67,500	75,000
6 Lanes Divided	33,900	39,400	45,000	50,600	56,300
4 Lanes Divided	22,500	26,300	30,000	33,800	37,500
4 Lanes (Undivided)	15,000	17,500	20,000	22,500	25,000
2 Lanes Divided	9,000	12,000	15,000	20,000	22,000
2 Lanes (Undivided)	7,500	8,800	10,000	11,300	12,500

Note: Values are maximum Average Daily Traffic

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, proposed Vehicle Miles Traveled (VMT), level of services benefits, local match rate funding and overall facility importance. Technical categories and point values are shown on Tables 7-1 and 7-2. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project's projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Projects submitted without "current counts" will be considered incomplete and non-responsive. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the 36 months preceding the release date of the current call. **Note:** New facilities must be modeled through OCTAM and requests should be submitted to OCTA a minimum of six (6) weeks prior to application submittal deadline. **This deadline is September 9,**

2021 for the 2022 Call for Projects. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application will not be considered. For agencies where event, weekend, or seasonal traffic presents a significant issue, Average Annual Daily Traffic (AADT) counts can be used, provided the agency gives sufficient justification for the use of AADT.

VMT: Centerline length of segment proposed for improvement multiplied by the existing ADT for the proposed segment length. Measurement must be taken proximate to capacity increase. VMT for improvements covering multiple discrete count segments are calculated on a weighted average basis.

Current Project Readiness: This category is additive. Points are earned for the highest qualifying designation at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction's City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.
- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

Cost Benefit: Total project cost (including unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction's minimum local match rate requirement. M2 requires a 50 percent (50%) local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction's minimum match target is 30 percent and a local match of 45 percent (45%) is pledged, points are earned for the 15 percent (15%) over-match differential. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Transportation Significance: Roadway classification as shown in the current MPAH.

Operational Attributes (within the roadway): This category is additive. Each category, except Active Transit Routes, must be a new feature added as a part of the proposed project.

- Pedestrian Facilities: Placement of a new sidewalk where **none currently exists** along an entire segment of proposed project.
- Meets MPAH configuration: Improvement of roadway to full MPAH standard for the segment classification.
- Active Transit Route(s): Segments served by fixed route public transit service.
- Bus Turnouts: Construction of bus turnouts.
- Bike Lanes: Installation of new bike lanes
- Median (Raised): Installation of a mid-block raised median where none exists today. Can be provided in conjunction with meeting MPAH standards.
- Remove On-street Parking: Elimination of on-street parking in conjunction with roadway widening project. Can be provided in conjunction with meeting MPAH standards and installation of new bike lanes.
- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation elements that reduce water consumption, compared to current usage within project limits; such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of; median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.
- Other (Golf cart paths in conformance with California Vehicle Code and which are demonstrated to remove vehicle trips from roadway).

Improvement Characteristics: Select one characteristic which best describes the project:

- Gap Closures: the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- New Facility/Extensions: Construction of new roadways.

- Bridge crossing: Widening of bridge crossing within the project limits to full MPAH width. Widening beyond MPAH shall not qualify for Project O funding.
- Adds capacity: Addition of through traffic lanes.
- Improves traffic flow: Installation of a median, restricting cross street traffic, adding midblock turn lanes, or elimination of driveways.

LOS Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement “with project”. **Projects must meet a minimum existing or projected LOS of “D” (.81 v/c) “without project” condition to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts for the proposed segment. However, for projects where traffic volumes follow unconventional patterns, unidirectional volumes may be proposed as an acceptable alternate methodology for determining LOS. If unidirectional volumes are used for LOS calculations, ADT for the proposed direction of improvement shall serve as the basis for ADT, cost benefit and vehicle miles travelled (VMT) scoring categories. Projects that do not meet the minimum LOS “D” can be submitted but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS “D” have been funded, a consideration of projects with a minimum LOS “C” (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with a LOS better than “C” (.70 v/c) will not be considered.

Application Process

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in this chapter.

Complete application

- Funding needs by phase and fiscal year
- Local committed match funding source, confirmed through city council resolution or minute order
- Supporting technical information (including current traffic counts)
- Project development and implementation schedule
- ROW status and detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the “ROW acquisition/disposal plan” form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
- Any additional information deemed relevant by the applicant.

- Grants subject to Master Funding Agreement

Calls are expected to be issued on an annual basis, or as determined by the Board. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program.

All project roadways must be identified on the MPAH network. Local streets not shown on the MPAH are not eligible for funding through this program.

New Facilities

New facilities must be modeled through OCTAM. A local agency planning on submitting a request for funding for a new facility must submit a modeling request a minimum of six (6) weeks prior to the application submittal deadline. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application associated with the related project will not be considered. Any request for modeling **must be submitted to OCTA no later than September 9, 2021** for the 2022 Call for Projects.

Facility Modeling: For consistency purposes, all proposed new facilities will be modeled by OCTA using the most current version of OCTAM. Applicants may supplement their application with a locally-derived model with OCTAM used for validation purposes. The facility will be modeled with the lane capacity reflected in the application.

Average Daily Trips Determination: OCTAM will provide an "existing" ADT using a "with project" model run under current conditions. The ADT for the proposed segment will serve as the ADT value to be considered in the application.

LOS Improvement: LOS on existing facilities may be positively or negatively affected by a proposed new roadway segment through trip redistribution. A current condition model run is generated "with" and "without" the proposed project. The intent is to test the efficacy of the proposed segment. A comparison of these before and after project runs (using current traffic volumes) yields potential discernable changes in LOS. The greatest benefit is generally on a parallel facility directly adjacent to the proposed project. Trip distribution changes generally dissipate farther from the project. For evaluation purposes, the segment LOS (determined through a simple volume / capacity calculation) for the "with" and "without project" will be used for the existing LOS and LOS improvement calculations.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, the minimum local match requirement is 50 percent (50%) with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of local match funding must be provided with the project application. **If a *draft* copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board of Directors.

Project Documentation: If proposed project has completed initial planning activities (such as PSR or equivalent, EIR, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion or planning phases. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information if necessary, to adequately evaluate the project application.

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report, and consistency with Master Funding Agreement or cooperative agreement if federal funds are awarded. The reimbursement process is more fully described in Chapter 9 of this manual.

Project Cancellation

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. All ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. All construction funding received prior to cancellation shall be repaid upon cancellation.

Cancelled projects will be eligible to reapply upon resolution of issues that led to original project termination. Agencies can resubmit an application for funding consideration once either the cancellation of the existing funding grant has been approved by the OCTA Board or is in the process of approval through the semi-annual review. In the event the OCTA Board does not approve the cancellation, the lead agency will be required to withdraw the application.

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation, which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and the Master Funding Agreement.

Table 7-1
Regional Capacity Program
Street Widening Selection Criteria

Category	Points Possible	Percentage
Facility Usage		30%
Existing ADT	10	10%
Existing VMT	10	10%
Current Project Readiness	10	10%
Economic Effectiveness		15%
Cost Benefit	10	10%
Funding Over-Match	5	5%
Facility Importance		20%
Transportation Significance	10	10%
Operational Efficiency	10	10%
Benefit		35%
Improvement Characteristics	10	10%
Level of Improvement and Service	25	25%
Total	100	100%

Table 7-2 Street Widening Point Breakdown

ACE SCORING CRITERIA Point Breakdown for Arterial Capacity Enhancement Projects Maximum Points = 100

Facility Usage Points: 30			Facility Importance Points: 20		
<u>Existing ADT Range</u>			<u>Transportation Significance Range</u>		
45+	thousand	10	Principal or CMP Route		10
40 – 44	thousand	8	Major		8
35 – 39	thousand	6	Primary		6
30 – 34	thousand	5	Secondary		4
25 – 29	thousand	4	Collector		2
20 – 24	thousand	3			
15 – 19	thousand	2	Operational Attributes		
10 – 14	thousand	1	(within the roadway)	Max Points: 10	
<10	thousand	0	Pedestrian Facilities (New)		3
			Meets MPAH Configs.		3
<u>VMT Range</u>			Bike Lanes (New)		3
31+	thousand	10	Active Transit Route(s)		2
26 – 30	thousand	8	Bus Turnouts		2
22 – 25	thousand	6	Median (Raised)		2
18 – 21	thousand	5	Remove On-Street Parking		2
14 – 17	thousand	4			
11 – 13	thousand	3	Safety Improvements		2
08 – 10	thousand	2	Sustainability Elements		2
04 – 07	thousand	1	Other		2
<4	thousand	0			
<u>Current Project Readiness</u>			Benefit Points: 35		
Max Points: 10			<u>Improve Characteristics</u>		
ROW (All Easement and Titles)		5	Gap Closure		10
Final Design (PS&E)		4	New Facility/Extension		8
Environmental Approvals		2	Bridge Crossing		8
Preliminary Design (35%)		2	Adds Capacity		6
ROW (All Offers Issued)		2	Improves Traffic Flow		2
Points are additive. Design and ROW limited to highest qualifying designation.					
Economic Effectiveness Points: 15			LOS Improvement		
Cost Benefit (Total \$/ADT)			Max Points: 25		
<u>Range*</u>			<u>Existing LOS Starting Point Range</u>		
			(LOS Imp x LOS Starting Pt)		
< 49		10	1.01+		5
50 – 74		9	.96 – 1.00		4
75 – 99		7	.91 – .95		3
100 – 149		5	.86 – .90		2
150 – 199		4	.81 – .85		1
200 – 249		3	<.81		0
250 – 299		2			
300 – 349		1	LOS Improvements with Project (exist. Volume)		
350+		0			
Funding Over-Match (local match/project cost) minus minimum local match requirement.			<u>Existing LOS Starting Point Range</u>		
<u>Range*</u>					
25+%		5	.20+		5
20 – 24%		4	.16 – .20		4
15 – 19%		3	.10 – .15		3
10 – 14%		2	.05 – .09		2
05 – 09%		1	.01 – .05		1
00 – 04%		0	<.01		0
*Range refers to % points above agency minimum requirement.					

Intersection Capacity Enhancements (ICE)

Overview

The MPAH serves as the backbone of Orange County's arterial street network. Intersections at each intersecting MPAH arterial throughout the County will continue to require improvements to mitigate current and future needs. The ICE improvement category complements roadway improvement initiatives underway and supplements development mitigation opportunities.

Projects in the ICE improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

For the purposes of the ICE improvement category, the limits of an intersection shall be defined as the area that includes all necessary (or planned) through lanes, turn pockets, and associated transitions required for the intersection. Project limits of up to a maximum of 600 feet for each intersection leg are allowable. Projects that, due to special circumstances, must exceed the 600-foot limit, shall include in their application the request for a technical variance. The project shall be presented to the TSC by the local agency to request approval of the variance.

Objectives

- Improve MPAH network capacity and throughput along MPAH facilities
- Relieve congestion at MPAH intersections by providing additional turn and through lane capacity
- Improve connectivity between neighboring jurisdictions by improving operations
- Provide timely investment of M2 revenues

Project Participation Categories

The ICE category provides capital improvement funding (including planning, design, ROW acquisition and construction) for intersection improvements on the MPAH network for the following:

- Intersection widening – constructing additional through lanes and turn lanes, extending turn lanes where appropriate, and signal equipment
- Street to street grade separation projects

Eligible Activities

- Planning, environmental clearance
- Design (plans, specifications, and estimates)
- ROW acquisition

- Construction (including bus turnouts, curb ramps, median, and striping)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

Application review and approval does not guarantee the eligibility of all items.

- Required environmental mitigation for projects funded by ICE
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices
- Sound walls (in conjunction with roadway improvement mitigation measures)
- Aesthetic improvements including landscaping within the project ROW (eligible improvements up to 10 percent (10%) of construction costs, provided costs are reasonable for the transportation benefit)
- Signal equipment (as incidental component of program), including the installation or upgrade of pedestrian countdown heads
- Bicycle detection systems
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a ROW settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document and are located within the roadway right-of-way.
- Roadway grading within the ROW (inclusive of any TCEs and/or ROW agreement related improvements) should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading will be considered on a case by case basis. Agencies shall provide supporting documentation (e.g. soils reports, ROW agreements) to justify the additional grading.

Ineligible Items

- Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally assumed to be ineligible but can be evaluated by OCTA on a case by case basis, but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
- ROW acquisition greater than the typical ROW width for the applicable MPAH Roadway Classification. Additional turn lanes not exceeding 12 feet in width needed to maintain an intersection LOS D requiring ROW in excess of the typical ROW width for the applicable MPAH classification shall be fully eligible. Where full

parcel acquisitions are necessary to meet typical ROW requirements for the MPAH classification any excess parcels shall be disposed of in accordance with State statutes and the acquisition/disposal plan submitted in accordance with these guidelines.

- Enhanced landscaping and aesthetic improvements (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

Environmental mitigation will be allowed only as required for the proposed roadway improvement and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 25 percent (25%) of the total eligible project costs.

Longitudinal storm drains are eligible for program participation when the storm drain is an incidental part (cost is less than 25 percent (25%) of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 10 percent (10%) of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in ICE improvement category funding. Storm drains outside standard MPAH ROW widths are not eligible, excluding catch basins within reasonable distance and in general proximity to a project intersection (e.g. within ten feet of the curb return). Catch basins and drainage systems extending into adjacent areas (including public streets) shall not be eligible past the first catch basin.

Soundwalls are eligible only if they are required as part of the environmental clearance for the proposed project and shall not exceed 25 percent (25%) of the total eligible project costs. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in the "Potentially Eligible Item" section above.

The relocation of detention basins/bioswales/other pollutant discharge mitigation devices are potentially eligible dependent on who has prior rights and will be given consideration on a case by case basis (see utility relocations below).

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

Utility Relocations

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when all conditions listed below have been met:

- The relocation is made necessary due to conflict with proposed improvements.
- The facility to be relocated is within the project right-of-way.
- It has been determined that the local agency is legally liable for either a portion of or all of the relocation costs.

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 9). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase.

In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, LOS benefits, local match funding, and overall facility importance. Technical categories and point values are shown on Tables 7-3 and 7-4. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project's projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ADT for the east and west legs of the intersection will be added to the average ADT for the north and south legs.

For agencies where event or seasonal traffic presents a significant issue, AADT counts can be used, provided the agency gives sufficient justification for the use of AADT.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction's City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.
- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

Cost Benefit: Total project cost (included unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction's minimum match rate requirement. M2 requires a 50 percent (50%) local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction's minimum match target is 30 percent (30%) and a local match of 45 percent (45%) is pledged, points are earned for the 15 percent (15%) over-match. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Coordination with Contiguous project: Projects that complement a proposed arterial improvement project with a similar implementation schedule earn points in this category. This category is intended to recognize large projects that segregate intersection components from arterial components for funding purposes.

Transportation Significance: Roadway classification as shown in the current MPAH.

Operational Attributes (within the roadway): This category is additive. Each category must be a new feature added as a part of the proposed project.

- Bike Lanes: Extension of bike lanes through intersection
- Bus Turnouts: Construction of a bus turnout as a new feature.
- Lowers density: Addition of through travel lanes.

- Channels traffic: Addition and/or extension of turn pockets (other than free right turn).
- Free right turn: installation of new free right or conversion of an existing right turn to free right
- Protected/permissive left turn: Convert from protected to protected/permissive
- Pedestrian Facilities: Placement of a new sidewalk if none currently exists.
- Grade separations: Street to street grade separations and do not apply to rail grade separation projects which are covered by the grade separation program category.
- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation elements that reduce water consumption, compared to current usage within project limits; such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only.
- Safety Improvements: Project features that increase the safety of pedestrians. These elements can include the new installation of: median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.

LOS Improvement: This category is a product of the existing or projected LOS based upon v/c and LOS improvement "with project" using ICU calculation with 1,700 vehicles per lane per hour and a .05 clearance interval. Calculations will be based upon "current" arterial link and turning movement counts projected to opening year. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using peak hour traffic counts/turning movements AM/PM peak periods for the proposed segment utilizing ICU methodology and using 1,700 vehicles per lane/per hour and a .05 clearance interval.

For projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) HCM 2010 may be proposed as an alternate methodology for determining LOS. HCM calculations must use SYNCHRO and be supported with complete calculation documentation using standard industry approaches and current signal timing plans. If an alternative methodology is proposed, all analysis **must be submitted to OCTA for review no later than September 9, 2021** for the 2022 Call for Projects. OCTA will contract with an independent third-party

firm to review the technical analysis. The cost for the review will be charged to the applicant.

Projects that do not meet the minimum LOS "D" can be submitted but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with a LOS better than "C" (.70 v/c) will not be considered.

Application Process

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in this chapter.

- Complete application
 - Funding needs by phase and fiscal year
 - Local match funding source, confirmed through city council resolution or minute order
 - Supporting technical information (including current arterial link and turning movement counts)
 - Project development and implementation schedule
 - ROW status and a detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the "ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
 - Any additional information deemed relevant by the applicant
- Grants subject to master funding agreement

Calls for projects are expected to be issued on an annual basis, or as determined by the Board. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program.

All project roadways must be identified on the MPAH network. Local streets not shown on the MPAH are not eligible for funding through this program.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, the minimum local match requirement is 50 percent (50%) with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of local match funding must be provided with the project application. **If a *draft* copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board of Directors.

Project Documentation: If proposed project has completed initial planning activities (such as PSR or equivalent, EIR, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion or planning phases. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information only if necessary, to adequately evaluate the project application.

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review

and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement or cooperative agreement. The reimbursement process is more fully described in Chapter 9 of this manual.

Project Cancellation

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

Cancelled projects will be eligible for re-application upon resolution of issues that led to original project termination.

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and the Master Funding Agreement.

Table 7-3
Regional Capacity Program
Intersection Improvement Selection Criteria

Category	Points Possible	Percentage
Facility Usage		25%
Existing ADT	15	15%
Current Project Readiness	10	10%
Economic Effectiveness		20%
Cost Benefit	10	10%
Funding Over-Match	5	5%
Coordination with Contiguous Project	5	5%
Facility Importance		30%
Transportation Significance	10	10%
Operational Efficiency	20	20%
Benefit		25%
LOS Improvement	25	25%
Total	100	100%

Table 7-4 Intersection Widening Point Breakdown

ICE SCORING CRITERIA

Point Breakdown for Intersection Capacity Enhancement Projects

Maximum Points = 100

Facility Usage Points: 25			Facility Importance Points: 30		
ADT Range*		Points	Transportation Significance Range		Points
60+	thousand	15	Principal or CMP Route		10
55 – 59	thousand	13	Major		8
50 – 54	thousand	11	Primary		6
45 – 49	thousand	9	Secondary		4
40 – 44	thousand	7	Collector		2
35 – 39	thousand	5			
30 – 34	thousand	3	Operational Attributes (within the roadway)	Max Points: 20	
25 – 29	thousand	1	Grade Separations		10
*AVG ADT for east and west legs plus AVG ADT for north and south legs of intersection.			Bus Turnouts		4
			Bike Lanes		4
			Ped. Facilities (New)		4
			Free Right		4
			Lowers Density		3
			Channels Traffic		3
			Protected/Permissive Left Turn		2
			Safety Improvements		2
			Sustainability Elements		2
Current Project Readiness Max Points: 10			Benefit Points: 25		
ROW (All Easement and Titles)		5	LOS Improvement Max Points: 25		
Final Design (PS&E)		4	Calculation: LOS Imp x LOS Starting Point		
Environmental Approvals		2			
Preliminary Design (35%)		2			
ROW (All Offers Issued)		2			
Points are additive. Design and ROW limited to highest qualifying designation.					
Economic Effectiveness Points: 20					
Cost Benefit (Total \$/ADT) Range*		Points			
< 20		10			
21 – 30		9			
31 – 50		7			
51 – 75		5			
76 – 100		3			
>100		1			
*= Total Cost/Average ADT					
Funding Over-Match (local match/project cost) minus minimum local match requirement.					
Range*		Points			
25+%		5			
20 – 24%		4			
15 – 19%		3			
10 – 14%		2			
05 – 09%		1			
00 – 04%		0			
Coordination with Contiguous Project Range		Points			
Yes		5			
No		0			
Coordination with ACE Project with similar implementation schedule.					

Freeway Arterial/Streets Transitions (FAST)

Overview

The MPAH serves as the backbone of Orange County's arterial street network. Current and future needs at existing interchanges along MPAH highways and freeways will need to be addressed in order to improve connectivity between freeways and MPAH arterials. The interchange improvement program complements roadway improvement initiatives underway as well, and supplements development mitigation opportunities.

Projects in the FAST improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

Objectives

- Improve transition to and from Orange County freeways with emphasis on MPAH performance
- Provide timely investment of M2 revenues

Project Participation Categories

The FAST category provides capital improvement funding (including planning, design, ROW acquisition and construction) for interchange improvements on the MPAH network for the following:

- MPAH facility interchange connections to Orange County freeways (including on-ramp, off-ramp and arterial improvements)

Eligible Activities

- Planning, environmental clearance
- Design
- ROW acquisition
- Construction (including ramps, intersection and structural improvements/reconstruction incidental to project)
- Signal equipment (as incidental component of the program)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

Application review and approval does not guarantee the eligibility of all items.

- Direct environmental mitigation for projects funded by FAST (details below)
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices (details below)
- Aesthetic improvements including landscaping within the project ROW (eligible improvements up to 10 percent (10%) of construction costs, provided costs are reasonable for the transportation benefit)
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a ROW settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the ROW shall not exceed a depth for normal roadway excavation (e.g. structural section) or as required by TCEs, and/or ROW agreement related improvements. Additional grading will be considered on a case by case basis. Agencies shall provide supporting documentation (e.g. soils reports, ROW agreements) to justify the additional grading.
- Auxiliary lanes if necessitated by interchange improvements
- Soundwalls (in conjunction with roadway improvement mitigation measures)

Environmental mitigation will be allowed only as required for the proposed roadway improvement, and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 25 percent (25%) of the total eligible project costs.

Longitudinal storm drains are eligible for program participation when the storm drain is an incidental part (cost is less than 25 percent (25%) of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 10 percent (10%) of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in FAST improvement category funding. Storm drains outside standard MPAH ROW widths are not eligible, excluding catch basins within reasonable distance and in general proximity to a project intersection (e.g. within ten feet of the curb return). Catch basins and drainage systems extending into adjacent areas (including public streets) shall not be eligible past the first catch basin.

Soundwalls are eligible only if they are required as part of the environmental mitigation for the proposed project and shall not exceed 25 percent (25%) of the total eligible project cost. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are eligible at up to 10 percent (10%) of the total eligible construction costs, provided costs are reasonable for the transportation benefit.

The relocation of detention basins/bioswales are potentially eligible dependent on prior rights and will be giving consideration on a case by case basis (see utility relocations below).

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough grading can be considered eligible, so long as it supports MPAH improvement(s) within the ROW and does not supplant developer (or any other project obligations). Any proposed rough grading outside of the MPAH ROW, will be evaluated by OCTA on a case-by-case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).

Utility Relocations

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when:

- The relocation is made necessary due to conflict with proposed improvements.
- The facility to be relocated is within the project right-of-way.
- It has been determined that the local agency is legally liable for either a portion of or all of the relocation costs.

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 9). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase.

In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must be reduced by any salvage credits received.

Ineligible Projects

- Seismic retrofit projects (unless combined with eligible capacity enhancements)

- Grading outside of the roadway ROW not related to a TCE or ROW agreement is generally assumed to be ineligible but can be evaluated by OCTA on a case by case basis but must be tied to the MPAH improvement(s) and not supplant developer (or any other project obligations).
- Enhanced landscaping, aesthetics and gateway treatments (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, level of services benefits, local match funding and overall facility importance. Technical categories and point values are shown on Tables 7-5 and 7-6. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts and ramp volumes projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project's projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ramp intersection volume for each interchange ramp will be used for the current counts. New facilities will rely on projected ramp volume based upon Caltrans approved projection.

For agencies where event or seasonal traffic presents a significant issue, AADT counts can be used, provided the agency gives sufficient justification for the use of AADT.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction's City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate

possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.

- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

Cost Benefit: Total project cost (including unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction's minimum local match requirement. M2 requires a 50 percent (50%) local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction's minimum match target is 30 percent (30%) and a local match of 45 percent (45%) is pledged, points are earned for the 15 percent (15%) over-match. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Coordination with Freeway Project: Interchanges planned to coincide with or accommodate programmed freeway improvements receive points in this category.

Transportation Significance: Roadway classification as shown in the current MPAH.

Operational Attributes (within the roadway): This category is additive. Each category, except Active Transit Routes, must be a new feature added as a part of the proposed project.

- Eliminate left turn conflicts: Ramp intersection reconfiguration which does not permit left turns onto ramps.
- Coordinated signal: Ramp intersections within a coordinated corridor where coordination did not previously exist.
- Add turn lanes: Increase in number of turn lanes on arterial.
- Add traffic control: Signalization of ramp intersection.
- Enhanced ramp storage: Extension or widening of existing ramp to improve off-street storage capacity.
- Pedestrian facilities: Add crosswalk and/or sidewalk to ramp or bridge crossing within context of interchange improvements.
- Active Transit Route: facility contains a currently active OCTA transit route
- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation elements that reduce water consumption, compared to current usage within project limits; such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist. Other elements of

sustainability may be considered on a case by case basis. Points are awarded at construction phase only.

- **Safety Improvements:** Project features that increase the safety of pedestrians. These elements can include the new installation of: intersection median barriers, curb extensions, pedestrian crossing islands, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.

LOS Improvement: This category is a product of the existing or projected LOS based upon v/c and LOS improvement "with project" for arterial based improvements and ICU for intersection-based improvements. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts for arterials and peak hour turning movements at intersections for the proposed segment. However, for projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) alternate methodologies for determining LOS can be proposed. If HCM 2010 is proposed for intersections as an alternative methodology, all analysis **must be submitted to OCTA no later than September 9, 2022** and the cost for independent review shall be reimbursed by the applicant. Projects that do not meet the minimum LOS "D" can be submitted but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with a LOS better than "C" (.70 v/c) will not be considered.

Improvement Characteristics: Select the attribute that best fits your project definition.

- **New facility:** New interchange where none exists.
- **Partial facility:** New interchange which does not provide full access.
- **Interchange reconstruction:** improvement of existing interchange to provide additional arterial capacity (widening of overcrossing or undercrossing).
- **Ramp reconfiguration:** Widening of ramp or arterial to improve turning movements or other operational efficiencies.
- **Ramp metering:** Installation of metering on ramp.

Application Process

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below.

- Complete application

- Funding needs by phase and fiscal year
- Local match funding source
- Supporting technical information
- Project development and implementation schedule
- ROW status and a detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the "ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
- Any additional information deemed relevant by the applicant
- Grants subject to a Master Funding Agreement or cooperative agreement if federal funds are awarded

Calls for projects are expected to be issued on an annual basis, or as determined by the OCTA Board of Directors. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program. Worst peak hour period is used for this evaluation and eligibility purposes.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, a 50 percent (50%) minimum local match is required. A lower local match may be permitted if certain eligibility criteria are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement. The reimbursement process is described in Chapter 9.

Caltrans Coordination

Caltrans is not eligible to submit applications or receive payment under this program. Only cities or the County of Orange may submit applications and receive funds. This program was designed to benefit local agencies.

Coordination with Caltrans will be essential for most, if not all, of the projects submitted for this program. Local agencies should therefore establish contacts with the Caltrans District 12 Office (Project Development Branch) to ensure that candidate projects have been reviewed and approved by Caltrans. All other affected agencies should be consulted as well.

Agencies submitting projects for this program must have confirmation from Caltrans that the proposed improvement is consistent with other freeway improvements as evidenced by an agreement or other formal document.

Applications should be submitted so that interchange projects are done in conjunction with construction of other freeway improvements whenever possible. However, if the interchange project can be done in advance of the freeway project, verification and/or supporting documentation must be submitted showing the interchange improvement has merit for advanced construction and that it will be compatible with the freeway design and operation. Additionally, the interchange improvements should take into account the ultimate freeway improvements if the interchange is to be improved in advance.

Project Cancellation

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty. ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

Cancelled projects will be eligible for re-application upon resolution of issues that led to original project termination.

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through

the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and Master Funding Agreement.

Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

Council Approval: A Council Resolution or minute order authorizing request for funding consideration with a commitment of local match funding must be provided with the project application. **If a draft copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board of Directors.

Project Documentation: If proposed project has completed initial planning activities (such as PSR or equivalent, EIR, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion of planning phases. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information only if necessary, to adequately evaluate the project application.

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

Table 7-5
Freeway/Arterial Street Transitions
Interchange Improvement Selection Criteria

Category	Points Possible	Percentage
Facility Usage		20%
Existing ADT	10	10%
Current Project Readiness	10	10%
Economic Effectiveness		25%
Cost Benefit	10	10%
Matching Funds	10	10%
Coordination with Freeway Project	5	5%
Facility Importance		25%
Transportation Significance	10	10%
Operational Efficiencies	15	15%
Benefit		30%
Existing LOS	10	10%
LOS Reduction w/ Project	10	10%
Improvement Characteristics	10	10%
Total	100	100%

FAST SCORING CRITERIA
Point Breakdown for Freeway/Arterial Street Transitions Projects
Maximum Points = 100

As of 8/09/2021

Regional Grade Separation Program (RGSP)

Background

Seven rail crossing projects along the MPAH network were identified by the CTC to receive Trade Corridors Improvement Funds (TCIF). These TCIF allocations required an additional local funding commitment. To meet this need, the Board approved the commitment of \$160 million in RCP (Project O) funds to be allocated from M2. The RGSP captures these prior funding commitments.

Future calls for projects for grade separations are not anticipated.

Chapter 8 – Regional Traffic Signal Synchronization Program (Project P)

Overview

The RTSSP (Project P) includes competitive funding for the coordination of traffic signals across jurisdictional boundaries including project based operational and maintenance funding. OCTA will provide funding priority to programs and projects, which are multi-jurisdictional in nature.

The RTSSP is based on the Traffic Signal Synchronization Master Plan (Master Plan). The Board adopted the Master Plan as an element of the MPAH on July 26, 2010. The Master Plan defines the foundation of the RTSSP. The Master Plan consists of the following components:

- Regional signal synchronization network
- Priority corridors for accelerated signal synchronization
- Definition of Traffic Forums
- Model agreements presenting roles and responsibilities for Project P
- Signal synchronization regional assessment every three years
 - NOTE: For Call for Projects 2022, Priority Corridors are an eligible inclusion, but no additional points will be awarded. A Priority Corridor is on the Signal Synchronization Network.

The Master Plan will be reviewed and updated by OCTA. Local agencies are required to adopt and maintain a Local Traffic Signal Synchronization Plan (Local Plan) that is consistent with the Master Plan and shall issue a report on the status and performance of its traffic signal synchronization activities. Details on both the Master Plan and requirements for Local Plan development are available in the "Guidelines for the Preparation of Local Signal Synchronization Plans". A hard copy of these guidelines can be requested from OCTA.

The remainder of this chapter details the key components of the RTSSP:

- Funding guidelines for the competitive call for projects
- 2022 Call for Projects

Projects compete for funding as part of the RTSSP. Projects submitted by local agencies as part of the call must meet specific criteria. Projects are rated based on scoring criteria and are selected based on their competitive ratings.

Objectives

- Synchronize traffic signals across jurisdictions
 - Monitor and regularly improve the synchronization.
 - Synchronize signals on a corridor, intersecting crossing arterial and/or route basis reflecting existing traffic patterns in contiguous zones or road segments that have common operations.

2022 Call for Projects

Contingent on OCTA Board approval, the 2022 Call for Projects (call) for the RCP (Project O) and Regional Traffic Signal Synchronization Program (Project P), will make approximately \$40 million in M2 funds available to support street and roads and signal synchronization improvements across Orange County. The target for this program is \$8 million, but recommendations for Project P may be higher or lower depending on the projects submitted.

The following information provides an overview of the 2022 RTSSP (Project P) Call for Projects:

1. Projects must result in new, optimized, and field-implemented coordination timing.
2. Project shall be a single contiguous corridor or set of contiguous corridors related to each other. Multiple corridors and related systems of corridors that form a “grid” may be submitted as a single optimized timing project. However, the total number of corridors per project will be limited to three (3) and the total number of intersections between these corridors are limited to fifty (50).
3. Projects selected will be programmed after July 1 of the programmed year (July 1 – June 30).
4. Project delays resulting in a time extension request will fall within the process outlined in the CTFP Guidelines.
5. Projects are funded for a grant period of three (3) years and are divided into two phases:
 - a. Primary Implementation (PI) – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. A report is required at the conclusion of this phase to document work completed during the PI phase. This PI Report shall be submitted with the final report.
 - b. Ongoing Operations and Maintenance (O&M) – includes the required monitoring and improving optimized signal timing in addition to any optional communications and/or detection support. O&M will begin after the optimized signal timing is implemented and be required for the remainder of the project (typically 2 Years). A O&M Report is required at the conclusion of this phase to document work completed during the O&M phase and shall be submitted with the final report.

6. Projects shall include a Before and After Study. This study shall collect morning, mid-day, and evening peak periods using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor synchronization performance index (CSPI) metric. This information shall be collected both before and after signal timing changes have been implemented and approved by all agencies. The study shall compare the information collected both before and after the timing changes. Comparisons should identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.). The Before and After study shall also include field inventory, count data, modeling data, and Greenhouse Gas calculations. The Before and After Study shall be submitted as part of the PI Report.
7. Any corridor or portion of a corridor funded through this call cannot re-apply for funding until the three-year grant period or commitment to operate signal synchronization beyond the three-year grant period is completed, whichever ends later and a final report has been submitted to OCTA.
8. This chapter identifies the selection criteria for projects, eligible activities, minimum project requirements, data compatibility required as part of any funded project, and other key information.

Additional details of the specific program's intent, eligible project expenditures, ineligible project expenditures, and additional information that may be needed when applying for funds are included in this chapter. Each section should be read thoroughly before applying for funding. Applications should be prepared for the program that best fits the proposed project.

For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of these guidelines.

Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project application. OCTA shall require agencies to submit applications for the call for projects by **5:00 p.m. on Thursday, October 21, 2021**. Late and/or incomplete submittals will not be reviewed or considered. The local agency responsible for the project application must submit the application and any supporting documentation via OCFundtracker as outlined below.

A separate application package must be completed for each individual project and uploaded to OCFundtracker. **Three (3) unbound printed copies and one electronic copy on a USB, thumb drive, memory stick, or via electronic file upload and/or email** of each complete application shall also be mailed or delivered to:

Orange County Transportation Authority
550 South Main Street
P.O. Box 14184
Orange, California 92863-1584
Attn: Alfonso Hernandez
Email: AHernandez@octa.net

Application Process

Project grants are determined through a competitive application process administered by OCTA. Agencies seeking funding must complete an online application, a supplemental application in the OCTA's latest format, and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Key information to be provided as part of the application process includes:

- Funding needs by phase and fiscal year
- Percent match rate including funds type, source, and description (minimum 20 percent (20%))
- Lead agency (default – local agency)
- Lead and supporting agencies' contact information
- Supporting technical information
- Project development and implementation schedule
- Environmental clearances and other permits
- Any additional information deemed relevant by the applicant
- Complete photographic field review (including cabinet interiors and communication facilities) for all projects that exceed one million dollars in capital improvements. Original photos shall be uploaded to OCFundtracker or included with electronic copy of application.

A call for projects for the funding cycle will be issued as determined by the Board. Complete project applications must be submitted by the established due dates to be considered eligible for consideration.

An application should be submitted for a single corridor or route corridor project. Multiple corridors that form a "grid" may be submitted as separate or single project(s). However, the total number of corridors per route or grid corridor projects will be limited to three (3) and the total number of intersections between these corridors are limited to fifty (50). A single corridor project not proposed as a connected route or grid project may be submitted and is not subject to the 50-intersection limit. The following instructions should be used in developing project applications.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the Program requirements, the

projects will be scored, ranked, and submitted to the TSC, TAC, and the Board for consideration and funding approval. OCTA reserves the right to evaluate submitted project costs for reasonableness as part of the review and selection process and suggest potential revisions to make the cost more appropriate. Grants will be subject to funding agreements with OCTA.

Other Application Materials

Supporting documentation is required to fully consider each project application. A Supplemental Application (available on the OCTA website and OCFundtracker) is required to be completed for each project application and included in the electronic submittal. **Any Supplemental Application not submitted in the 2022 format will NOT be considered.** The template is distributed with other application materials at the issuance of the Call for Projects. In addition to the funding plan described above, local agencies will be required to submit additional materials.

Lead Agency: Eligible jurisdictions consistent with Measure M2 ordinance definitions and requirements.

Participating Agencies: All participating agencies must be identified and adopted City Council resolutions or Minute Order actions authorizing the participating agency's support of the project under the lead agency must be included. If the application claims Caltrans as a participant, then it shall contain a letter of support from Caltrans for the specific project and letters of support from all applicable agencies pledging to sign a cooperative agreement with Caltrans at the start of the project. The lead agency shall also pledge this commitment in the cover letter of the application. The required Caltrans fee will be a line item in the improvements list. The applicable agencies will be required to cover the required 20% match for the Caltrans line items. All agencies that have a Caltrans intersection/ramp in their jurisdiction are required to sign a cooperative agreement with Caltrans in order for the entire project to claim Caltrans as a participant.

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of project local match funding must be provided with the project application from all participating agencies. **If a draft copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board of Directors.

Lead Agency

This Program is administered through a single lead agency: See Lead Agency definition above.

Local Agency Lead: Only the lead agency will receive payments in accordance with the CTFP Guidelines regarding payment for costs related to project for optimized signal timing development, capital improvements, planning, and related design. Payments will be disbursed consistent with Chapter 9. The lead agency is responsible for reimbursing other agencies as part of the effort. Additionally, the lead agency is also responsible for ensuring that all agencies participating in the project provide the local match proposed in the project application.

OCTA Lead: OCTA may, at the request of the involved local agencies, act as the lead agency for RTSSP projects. If the involved local agencies would like OCTA to implement a project on the signal synchronization network, the local agency shall work cooperatively with OCTA to develop the scope of work and cost elements of the project. For example, accounting for OCTA's administrative and project management efforts by incorporating an additional 10 percent of the total project cost when calculating the Cost Benefit of the project. The lead local agency shall contact OCTA with **a written request at least four weeks prior to deadline for submittal of the project grant application**. Applications must be prepared by a designated local agency acting in a lead capacity during grant preparation. Applications must include a complete photographic field review (as outlined above) when submitted. The application will be scored using the criteria outlined in the following sections. Based on local agency interest and OCTA resource availability, a limited number of projects can be developed and implemented by OCTA.

If any projects that are designated as OCTA led are awarded funding, OCTA will then be responsible for implementation of the project, including optimized signal timing development, capital improvements, planning, and related design. OCTA will implement the project based on the cost estimates developed in the application. Project elements may be modified based on final costs with the agreement of all participating agencies. OCTA will be responsible for ensuring that all agencies participating in the project provide the local match as identified in the project application (minimum 20 percent (20%)).

OCFundtracker Application Components

Final applications **MUST** be submitted via OCFundtracker and in hard copy format. Selection criteria must be inputted as part of the OCFundtracker online application and includes the following categories of information:

Transportation Significance, Cost Benefit, Project Characteristics, Maintenance of Effort, Project Scale, Project Scale, Number of Local Agencies, Current Project Status, and Funding Match Rate.

Application Review and Program Adoption

OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, may request supplemental information for projects during initial staff

evaluations, and prepare a recommended program of projects for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications including, but not limited to, project scope, cost estimates, vehicle miles traveled, and average daily traffic.

Final programming recommendations will be provided to the TSC and TAC for approval. Recommendations will be presented to the Board, who will approve projects for funding under the CTFP.

Local agencies awarded funding will be notified as to which projects have been funded and from what sources after the Board takes action. A tentative call schedule is detailed below:

Board authorization to issue call: August 202¹

Application submittal deadline: October 2¹, 202¹

TSC/TAC Review: February/March 202²

Committee/Board approval: May 202²

Checklist Guide

The "Project P Regional Traffic Signal Synchronization Program Application Checklist" has been provided for the RTSSP (Exhibit 8-1). The checklist identifies the basic documentation required for the program. In addition to items required at the time of project submittal, additional items that are not specified may be requested later. The checklist should be provided as a table of contents for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application.

Sample Resolution Form

A resolution or minute action must be approved by the local agency's governing body. A sample resolution is included as Exhibit 8-2. Local agencies, at a minimum, must include items a-h from the sample resolution. The mechanism selected shall serve as a formal request for RTSSP funds and will state that matching funds will be provided by the agency, if necessary. All project requests (i.e., multiple corridors proposed for RTSSP funds) must be included in this action.

Project Definition

Local agencies are required to submit complete projects that, at minimum, result in field-implemented coordinated timing. Project tasks that are eligible for funding can consist of design, engineering, construction, and construction management. Partial projects that include design improvements, but do not field implement the improvements are ineligible.

Projects must consist of a corridor along the priority corridor network, signal synchronization network, or the MPAH. Projects previously awarded RTSSP funding must be complete with a Final Report submitted to OCTA. Projects can be the full length of the corridor or a segment that complies with the project requirements identified later in the chapter.

Applicant agency and owning agency must demonstrate through simulation, or actual vehicle counts showing Origin – Destination that proposed linked corridors do form a route. A “grid” project shall consist of one main corridor that is specifically identified in the application with a maximum of two crossing corridors to make a grid. Grid projects shall also be multijurisdictional with a minimum of two local agencies, excluding Caltrans. For a grid project, applicant agency and owning agency must demonstrate through simulation or actual vehicle counts the following:

- Show that timing changes on the main corridor will greatly impact the crossing corridor(s)
- Crossing corridors shall have closely spaced signals in close proximity to the main corridor with timing changes along these crossings impacting the operation of the main corridor

All corridors in the grid shall individually meet the Minimum Eligibility Requirements and, as part of the project, travel time studies shall also be collected along all corridors making the grid.

Multimodal consideration of bicyclists and pedestrians along or crossing the intersection or roadway may enhance overall circulation. Therefore, active transportation elements may be included as part of the project as outlined in the following section.

Eligible Activities

The primary purpose of the Program is to provide funding for projects that develop and maintain corridor-based, multi-jurisdictional signal synchronization along corridors throughout Orange County. All projects funded by this Program must be corridor-based and have a signal coordination component that includes the following:

- Developing and implementing new signal synchronization timing parameters based on current travel patterns, and federal and state traffic signal timing mandates and guidance, including but not limited to the Manual on Uniform Traffic Control Devices (MUTCD)
- Monitor, maintain (minimum quarterly/maximum monthly) and/or regularly improve the newly implemented signal synchronization timing and parameters for the remainder of the project

- “Before” and “after” studies for the project comparing travel times, average speeds, ratio of green lights passed to red lights stopped (greens per red), average stops per mile, and emissions of greenhouse gases

In addition to developing optimized signal timing, a project may include other improvements, as long as they contribute to the goal of multi-agency signal synchronization of corridors throughout Orange County. These improvements are restricted to the signal synchronization project limits but may include synchronization with traffic signalized intersections within 2,700 feet from either direction of the project corridor. These offset signals; however, will not be counted towards the total number of signals on the project (for implementation of timing plans only). All improvements must be designed to enhance the specific project. Expenditures related to the design of systems, permitting, and environmental clearance are eligible for funding.

Caltrans encroachment permits and agency to Caltrans Cooperative Agreement fees are eligible activities. This includes Caltrans labor, such as expenses for reviewing signal timing plans, providing signal timing parameters, and providing existing timing sheets, etc. Applicant must specify how to handle Caltrans intersections on projects.

Ineligible Expenditures

- Isolated traffic signal improvements
- Traffic hardware (pole, mast arms, lights, electrical, signs, etc.)
- Regular signal operation and maintenance (such as replacement of light bulbs)
- Field display equipment (Traffic signal heads other than pedestrian countdown, or special bicycle, or Transit Vehicle signal heads)
- Feasibility studies
- Relocation of utilities except for electrical service requirements
- Right-of-way
- Rewiring of complete intersection because of age or isolated mitigation

Funding Estimates

The streets and roads component of M2 is to receive 32 percent (32%) of net revenues, 4 percent (4%) of which are allocated for the RTSSP. The RTSSP will make an estimated \$270 million (2009 dollars) available over the course of the 30-year M2 Program. Programming estimates are developed in conjunction with a call for projects cycle corresponding to concurrent funding agreements with all local agencies.

The RTSSP targets over 2,000 intersections across Orange County for coordinated operations. Because of the limited amount of funds available for the RTSSP, project cap of \$75,000 per signal or \$250,000 per project corridor mile included as part of each

project (whichever is higher) has been established for this call for projects. Note that any offset signals will not be counted towards the total number of signals on the project.

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on furthering the overall goal of multi-jurisdictional, corridor-based signal synchronization.

Transportation Significance: Points are awarded for projects that include offset signals along the project corridor, route, or grid. These offset signals do not count towards the project cap; however, are in relatively close proximity to affect the operation of the corridor(s). The applicant shall identify the number of offset signals on the corridor and the percentage of those offset signals that will be included in the project.

Vehicle miles traveled (VMT) is calculated as the centerline length of segment(s) on the corridor, route, or grid proposed for synchronization multiplied by the existing average daily traffic (ADT) for the proposed segment(s) length. For instance, for a three-mile segment with one-mile interval ADT data at of 200 vehicles, 300 vehicles, and 400 vehicles, the VMT would be calculated as:

$$200 \text{ vehicles} * 1 \text{ mile} + 300 \text{ vehicles} * 1 \text{ mile} + 400 \text{ vehicles} * 1 \text{ mile} = 900 \text{ vehicle miles.}$$

VMT should be calculated by the smallest segmentation on which the city typically collects ADT data. ADT must be based upon actual count information taken within 36 months preceding the application date and include 24-hour, midweek, bi-directional counts for each segment. All supporting data shall be organized in order in which they appear for the calculation of the VMT. Data from the OCTA Traffic Flow Map may not be used. Furthermore, outdated and/or non-compliant counts may result in project ineligibility. (maximum: 30 points)

Cost Benefit: Total project cost divided by Existing VMT. If the applicant is electing OCTA to be the lead agency, the total project cost in this calculation must also include an additional 10% of the total project for OCTA administrative and project management efforts. This additional 10% is used to determine the project effectiveness only and is not counted towards the overall project budget cap. (maximum: 10 points)

Project Characteristics: Points are awarded based on the type and relevance of the proposed project. For instance, maximum points are awarded to projects that are timing only without any capital improvements or points accumulate if a signal synchronization project is combined with improvements as defined below per the "Eligible Activities" section above.

- Real-time traffic actuated operations and demonstration projects can be claimed for any one of the following (4 points):

- Traffic Responsive only if all signals, in at least one agency on the project, are included in the system.
- Peer-to-Peer program on traffic control devices.
- Adaptive traffic signal systems only if all signals, in at least one agency on the project, are included in the system.
- Bluetooth and/or connected vehicle roadside units for at least three (3) signals on the project. If implemented, these items will require a data sharing agreement with OCTA.
- Automated Traffic Signal Performance Measures (ATSPM) system can only be claimed (4 points) if all signals, in at least one agency on the project, are included in the system, which will also be used during the O&M phase of the project. If implemented, these items will require a data sharing agreement with OCTA.
- Intelligent cameras that include analytics, such as automated continuous counts and other metrics can only be claimed (3 points) if a minimum of three (3) implementations are included on the project. Furthermore, confirmation that an analytics module or camera with built-in analytics will be purchased for this category to receive points. If implemented, these cameras will require a data sharing agreement with OCTA.
- Detection system that will increase the number of inputs into the signal controller for the purpose of signal performance measures (e.g. ATSPM) and traffic counts can only be claimed (3 points) if a minimum of three (3) implementations are included on the project.
- Installation of new and/or improved traffic control devices to improve the accessibility, mobility, and safety of the facility for pedestrians and bicyclists can be claimed (3 points) if a minimum of three (3) implementations are included on the project. This can include:
 - Inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of detection systems that can distinguish bicycles. This includes implementing a separate bicycle minimum and/or clearance parameter in the traffic signal controller.
 - ADA compliant Pedestrian Signals including, but not limited to, tactile and audible buttons in countdown signal heads.
- New or upgraded communication systems (2 points)
 - New contemporary communication system improvements (e.g. Ethernet) including all conduits, pull boxes, fiber optic and/or copper cabling (not to exceed 120 strands), network switches and distribution systems. These systems should be sufficiently sized for the needs/capacity of the Intelligent Transportation System (ITS) network. Excess capacity is deemed non-participating and also, cannot be used as part of the required project match.

- Replacement fiber optic or copper cabling for network communication. Fiber optic is the preferred medium and includes pull boxes, network switches, and distribution systems.
- Software and hardware for system traffic control
- Control and monitoring interconnect conduit (including upgrades or replacement of existing systems).
- Communication closure systems of conduit, cable, and associated equipment that are outside of project limits but complete a designated communications link to an existing network for the Advanced Transportation Management System (ATMS) for an agency or agencies. Only communication links that are installed from a central location and/or communications hub to the project corridor that does not currently have a fiber connection to a central location are eligible.
- Intersection/field system modernization and replacement (2 points)
 - Traffic signal controller replacement of antiquated units with Advanced Transportation controller (ATC) units. ATC shall comply with latest industry standards.
 - Controller cabinet (assemblies) replacements that can be shown to enhance signal synchronization.
 - Closed Circuit Television (CCTV).
 - Uninterruptible Power Supply (UPS) for ATMS and intersection field equipment. For ATMS, UPS shall solely provide electrical power for ATMS Server(s), one dedicated workstation (console terminal) and related communications devices. UPS for ATMS is not intended to provide power to entire TMC and approval of request for UPS is at the sole discretion of OCTA.
 - Active Transportation/Pedestrian Safety related elements
 - High-Intensity Activated crosswalk signaling systems (HAWK) Pedestrian detection modules Bicycle detection modules.
 - Rectangular Rapid Flashing Beacon Systems (RRFB) including striping, legends, and signage.
- Minor signal operational improvements (2 points)
 - Emergency Vehicle Preempt (EVP) intersection control equipment only
 - Transit Signal Priority (TSP) intersection control equipment only
 - Channelization (signing, striping, raised pavement markers, in lane flashing guidance or warning marking systems, and legends) improvements required for traffic signal phasing.
 - Traffic signal phasing improvements that will improve traffic flow and system performance including protected permissive left turn phasing and shared

- pedestrian phasing, excluding display equipment and other ineligible activities as mentioned in these guidelines.
- Traffic Management Center (TMC)/Traffic Operations Centers (TOC) and motorist information (1 point)
 - New TMCs or TOCs (any project funded under this category should plan for center-to-center communication (C2C) with nearby agencies and/or OCTA).
 - Upgrades to existing TMCs or TOCs (any project funded under this category should plan for C2C with nearby agencies and/or OCTA).
 - Motorist information systems (up to 10 percent (10%) of total project costs for PI phase only).
 - Video display equipment, including wall monitors, screens, mounting cabinets, and optical engines (up to 10 percent (10%) of total construction costs for PI phase only).
 - New or upgraded vehicle, pedestrian, and bicycle detection that does not already meet the above categories can be claimed (1 point) if there are a minimum of three (3) implementations along the signal synchronization corridors to ensure necessary conditions for signal synchronization: inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of detection systems.

Note: that only one feature can be selected for any qualifying improvement; for example, an implementation of a new video detection system that can distinguish bicycles can be selected for points under the "Separate Bicycle/ADA Pedestrian Detection" or "New/Upgraded Detection", but not both. (maximum: 10 points)

Maintenance of Effort: Points are earned for a commitment to operate the project signal synchronization timing for a defined period of time beyond the three-year grant period. Note that the project will not be eligible for funding until after the completion of all maintenance commitments. (maximum: 5 points)

Project Scale: Points are earned for including more intersections along signal synchronization network. For a grid, the number of signals and percent of signals being retimed will only be calculated for the corridor that is designated as the Main Corridor (maximum: 20 points).

Note: Due to the length of Pacific Coast Highway (PCH) and the fact that broad portions of it are a Caltrans' owned facility, for CTFP project scoring purposes only, the "Percent of Main Corridor Being Retimed" scoring criteria (identified in Table 8-1) can be divided into the four following segments.

1. San Gabriel River (Los Angeles County Line) to North of Goldenwest Street
2. Goldenwest Street to School/State Park
3. South of School State Park to Doheny Park Road

4. South of Doheny Park Road to County Line

If an application is proposed to span two or more segments of PCH the "Percent of Main Corridor Being Retimed" calculation will be based upon the number of signals in the project application divided by total number of signals in the applicable segments.

Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: 10 points)

Current Project Status: Points are earned based on the current status of the project development. Points for re-timing of a corridor can be claimed only if at least 75% of the previous project is part of the new application. Points can also be claimed for applicants who provide evidence that they can complete primary implementation within twelve months. Agencies that receive points for this category **cannot request delays or time extensions throughout the life of the project.** Note: Applications that designate OCTA as the lead agency are not eligible to claim implementation within 12 months (maximum for category: 10 points)

Funding Rate: The percentages shown in Table 8-1 apply to overall match rates. M2 requires a 20 percent (20%) local match for RTSSP projects. Project match rates above 20 percent (20%) are limited to dollar match only. (maximum: 5 points)

Table 8-1 Point Breakdown

RTSSP SCORING CRITERIA

Point Breakdown for Regional Traffic Signal Synchronization Program Projects

Maximum Points = 100

Transportation Significance Points: 30 <table> <tr> <th>Inclusion of offset signals within 2700'</th> <th>Points</th> </tr> <tr> <td>90% or above</td> <td>10</td> </tr> <tr> <td>50 - 89%</td> <td>5</td> </tr> <tr> <td>< 50%</td> <td>0</td> </tr> </table> <p style="text-align: center;">AND</p> <table> <tr> <th>Vehicle Miles Traveled (VMT)</th> <th>Points</th> </tr> <tr> <th>Range</th> <th></th> </tr> <tr> <td>250+ thousand</td> <td>20</td> </tr> <tr> <td>200 - 249 thousand</td> <td>15</td> </tr> <tr> <td>150 - 199 thousand</td> <td>10</td> </tr> <tr> <td>100 - 149 thousand</td> <td>6</td> </tr> <tr> <td>50 - 99 thousand</td> <td>3</td> </tr> <tr> <td>0 - 49 thousand</td> <td>1</td> </tr> </table> <p><u>Calculation:</u> ADT x segment length (Applies only to coordinated segments of project)</p>	Inclusion of offset signals within 2700'	Points	90% or above	10	50 - 89%	5	< 50%	0	Vehicle Miles Traveled (VMT)	Points	Range		250+ thousand	20	200 - 249 thousand	15	150 - 199 thousand	10	100 - 149 thousand	6	50 - 99 thousand	3	0 - 49 thousand	1	Project Scale Points: 20 <table> <tr> <th>Number of Signals on Main Corridor Coordinated by Project</th> <th>Points</th> </tr> <tr> <th>Range</th> <th></th> </tr> <tr> <td>50+</td> <td>10</td> </tr> <tr> <td>40 - 49</td> <td>8</td> </tr> <tr> <td>30 - 39</td> <td>6</td> </tr> <tr> <td>20 - 29</td> <td>4</td> </tr> <tr> <td>10 - 19</td> <td>2</td> </tr> <tr> <td>< 10</td> <td>0</td> </tr> </table> <p style="text-align: center;">AND</p> <table> <tr> <th>Percent of Main Corridor Signals Being Retimed</th> <th>Points</th> </tr> <tr> <th>Range</th> <th></th> </tr> <tr> <td>90% or above</td> <td>10</td> </tr> <tr> <td>80 - 89%</td> <td>8</td> </tr> <tr> <td>70 - 79%</td> <td>6</td> </tr> <tr> <td>60 - 69%</td> <td>4</td> </tr> <tr> <td>50 - 59%</td> <td>2</td> </tr> <tr> <td>< 50%</td> <td>0</td> </tr> </table> <p><u>Calculation:</u> Number of signals in project divided by total signals in full corridor length.</p>	Number of Signals on Main Corridor Coordinated by Project	Points	Range		50+	10	40 - 49	8	30 - 39	6	20 - 29	4	10 - 19	2	< 10	0	Percent of Main Corridor Signals Being Retimed	Points	Range		90% or above	10	80 - 89%	8	70 - 79%	6	60 - 69%	4	50 - 59%	2	< 50%	0
Inclusion of offset signals within 2700'	Points																																																								
90% or above	10																																																								
50 - 89%	5																																																								
< 50%	0																																																								
Vehicle Miles Traveled (VMT)	Points																																																								
Range																																																									
250+ thousand	20																																																								
200 - 249 thousand	15																																																								
150 - 199 thousand	10																																																								
100 - 149 thousand	6																																																								
50 - 99 thousand	3																																																								
0 - 49 thousand	1																																																								
Number of Signals on Main Corridor Coordinated by Project	Points																																																								
Range																																																									
50+	10																																																								
40 - 49	8																																																								
30 - 39	6																																																								
20 - 29	4																																																								
10 - 19	2																																																								
< 10	0																																																								
Percent of Main Corridor Signals Being Retimed	Points																																																								
Range																																																									
90% or above	10																																																								
80 - 89%	8																																																								
70 - 79%	6																																																								
60 - 69%	4																																																								
50 - 59%	2																																																								
< 50%	0																																																								
Economic Effectiveness Points: 10 <table> <tr> <th>Cost Benefit (Total \$/MT)</th> <th>Points</th> </tr> <tr> <th>Range</th> <th></th> </tr> <tr> <td>< 3</td> <td>10</td> </tr> <tr> <td>3 - 5</td> <td>9</td> </tr> <tr> <td>6 - 8</td> <td>8</td> </tr> <tr> <td>9 - 11</td> <td>7</td> </tr> <tr> <td>12 - 14</td> <td>6</td> </tr> <tr> <td>15 - 17</td> <td>5</td> </tr> <tr> <td>18 - 20</td> <td>4</td> </tr> <tr> <td>21 - 23</td> <td>3</td> </tr> <tr> <td>24 - 26</td> <td>2</td> </tr> <tr> <td>27+</td> <td>1</td> </tr> </table>	Cost Benefit (Total \$/MT)	Points	Range		< 3	10	3 - 5	9	6 - 8	8	9 - 11	7	12 - 14	6	15 - 17	5	18 - 20	4	21 - 23	3	24 - 26	2	27+	1	Number of Jurisdictions Points: 10 <table> <tr> <th>Total Number of Involved Jurisdictions</th> <th>Points</th> </tr> <tr> <th>Range</th> <th></th> </tr> <tr> <td>5 or more</td> <td>10</td> </tr> <tr> <td>4</td> <td>8</td> </tr> <tr> <td>3</td> <td>6</td> </tr> <tr> <td>2</td> <td>4</td> </tr> <tr> <td>1</td> <td>0</td> </tr> </table>	Total Number of Involved Jurisdictions	Points	Range		5 or more	10	4	8	3	6	2	4	1	0																		
Cost Benefit (Total \$/MT)	Points																																																								
Range																																																									
< 3	10																																																								
3 - 5	9																																																								
6 - 8	8																																																								
9 - 11	7																																																								
12 - 14	6																																																								
15 - 17	5																																																								
18 - 20	4																																																								
21 - 23	3																																																								
24 - 26	2																																																								
27+	1																																																								
Total Number of Involved Jurisdictions	Points																																																								
Range																																																									
5 or more	10																																																								
4	8																																																								
3	6																																																								
2	4																																																								
1	0																																																								
Project Characteristics Max Points: 10 <table> <tr> <th>Project Feature</th> <th>Point</th> </tr> <tr> <td>Timing Only, No Capital</td> <td>10</td> </tr> <tr> <td>Adaptive Traffic & Demonstration Projects</td> <td>4</td> </tr> <tr> <td>Automated Traffic Signal Perf. Measures</td> <td>4</td> </tr> <tr> <td>Intelligent Cameras</td> <td>3</td> </tr> <tr> <td>Detection for ATSPM and counts</td> <td>3</td> </tr> <tr> <td>Separate Bicycle/ADA Pedestrian Detection</td> <td>3</td> </tr> <tr> <td>New/Upgraded Communications Systems</td> <td>2</td> </tr> <tr> <td>Intersection/Field System Modernization</td> <td>2</td> </tr> <tr> <td>Minor Signal Operational Improvements</td> <td>2</td> </tr> <tr> <td>TMC/TOC and Motorist Information</td> <td>1</td> </tr> <tr> <td>New/Upgraded Detection</td> <td>1</td> </tr> </table>	Project Feature	Point	Timing Only, No Capital	10	Adaptive Traffic & Demonstration Projects	4	Automated Traffic Signal Perf. Measures	4	Intelligent Cameras	3	Detection for ATSPM and counts	3	Separate Bicycle/ADA Pedestrian Detection	3	New/Upgraded Communications Systems	2	Intersection/Field System Modernization	2	Minor Signal Operational Improvements	2	TMC/TOC and Motorist Information	1	New/Upgraded Detection	1	Current Project Status Points: 10 <table> <tr> <th>Project Status</th> <th>Point</th> </tr> <tr> <td>Re-timing 75% of prior RTSSP project <u>or</u> Measure M Signal Improvement Program funded project</td> <td>5</td> </tr> <tr> <td>Implementation within 12 months</td> <td>5</td> </tr> </table>	Project Status	Point	Re-timing 75% of prior RTSSP project <u>or</u> Measure M Signal Improvement Program funded project	5	Implementation within 12 months	5																										
Project Feature	Point																																																								
Timing Only, No Capital	10																																																								
Adaptive Traffic & Demonstration Projects	4																																																								
Automated Traffic Signal Perf. Measures	4																																																								
Intelligent Cameras	3																																																								
Detection for ATSPM and counts	3																																																								
Separate Bicycle/ADA Pedestrian Detection	3																																																								
New/Upgraded Communications Systems	2																																																								
Intersection/Field System Modernization	2																																																								
Minor Signal Operational Improvements	2																																																								
TMC/TOC and Motorist Information	1																																																								
New/Upgraded Detection	1																																																								
Project Status	Point																																																								
Re-timing 75% of prior RTSSP project <u>or</u> Measure M Signal Improvement Program funded project	5																																																								
Implementation within 12 months	5																																																								
Maintenance of Effort Points: 5 <table> <tr> <th>MOE After Grant Period</th> <th>Points</th> </tr> <tr> <td>3 years</td> <td>5</td> </tr> <tr> <td>2 years</td> <td>3</td> </tr> <tr> <td>1 year</td> <td>1</td> </tr> <tr> <td>None</td> <td>0</td> </tr> </table>	MOE After Grant Period	Points	3 years	5	2 years	3	1 year	1	None	0	Funding Match Points: 5 <table> <tr> <th>Overall Match %</th> <th>Point</th> </tr> <tr> <td>50+%</td> <td>5</td> </tr> <tr> <td>40 - 49%</td> <td>4</td> </tr> <tr> <td>35 - 39%</td> <td>3</td> </tr> <tr> <td>30 - 34%</td> <td>2</td> </tr> <tr> <td>25 - 29%</td> <td>1</td> </tr> <tr> <td>< 25%</td> <td>0</td> </tr> </table>	Overall Match %	Point	50+%	5	40 - 49%	4	35 - 39%	3	30 - 34%	2	25 - 29%	1	< 25%	0																																
MOE After Grant Period	Points																																																								
3 years	5																																																								
2 years	3																																																								
1 year	1																																																								
None	0																																																								
Overall Match %	Point																																																								
50+%	5																																																								
40 - 49%	4																																																								
35 - 39%	3																																																								
30 - 34%	2																																																								
25 - 29%	1																																																								
< 25%	0																																																								

Minimum Eligibility Requirements

All local agencies may participate in the RTSSP. Caltrans facilities are eligible for the RTSSP, but Caltrans cannot act as the lead agency. Local agencies will be required to provide a minimum of 20 percent (20%) matching funds for eligible projects (see definition of matching funds below).

The goal of the RTSSP is to provide regional signal synchronization that crosses jurisdictional, geographical, or physical boundaries. To be eligible for funding through this Program, a project must meet the following requirements:

1. Be on a street segment that is part of the signal synchronization network, or the MPAH. The project must be consistent with Local Signal Synchronization Plans and support the Regional Traffic Signal Synchronization Master Plan goals.

2. Be multi-jurisdictional, have documented support from all participating local agencies (cities, County, or Caltrans) and a minimum of 20 signals

or

Be multi-jurisdictional, have documented support from all participating local agencies (cities, County, or Caltrans) and a minimum distance of five miles

or

Include at minimum three local agencies, have documented support from all participating local agencies (cities, County, or Caltrans), and have a minimum intersection density of four intersections per mile with a minimum of eight signals

or

Include the full length of the signal synchronization network corridor, or MPAH corridor

Matching Funds

Local agencies along the corridor are required to provide a minimum local match funding of 20 percent (20%) for each project. As prescribed by the M2 Ordinance, this includes local sources, M2 Fair Share, and other public or private sources (herein referred to as a "cash match"). Projects can designate local matching funds as cash match, in-kind match provided by local agency staff and equipment, or a combination of both.

"In-kind match" is defined as those actions that local agencies will do in support of the project including staffing commitment and/or new signal system investment related to improved signal synchronization. Examples of staffing commitment include, but are not limited to, implementation of intersection or system timing parameters, review of timing documentation, meeting participation, conducting or assisting in before/after studies, and other similar efforts that directly enhance the signal synchronization project. Project

match beyond 20 percent (20%) is limited to cash match only. Please note, overmatch is subject to the same audit and requirements as in-kind match.

Administrative staff time for documentation of in-kind services is ineligible. Staff time charged to a project is limited to the caps as described in these guidelines. Allowable signal system investment would be improvements that are “eligible activities” per the funding guidelines, which can be shown to improve signal synchronization and would not include any prior investments made by the agency. For OCTA-led projects, match for equipment shall be in cash except when an agency elects to purchase equipment per the application.

In-kind match must be defined for each local agency as part of the supplemental application. In-kind match must be identified as staffing commitment and/or new signal system investment. The supplemental application template will include a section to input in-kind match type as well as additional data related to the match:

- Staffing commitment
 - Staff position
 - Number of hours
 - Hourly (fully burdened) rate
 - Total cost
- New signal system investment (limited to eligible activities)
 - Cost of any signal system investment
 - Benefit to project

O&M activities will be permitted in-kind match only for local agency oversight functions. Contract activities will require cash match. Local agency contributions identified as cash match in the application cannot be converted into in-kind match.

OCTA staff will review in detail the presented cash and in-kind match by local agency for reasonableness.

Additionally, for projects designating OCTA as lead agency, a consultant traffic engineering firm may be contracted to provide staff and services to implement the project. Therefore, in-kind match designated as staffing commitment under an OCTA lead agency option shall be limited. The following will be used as a guide for staffing commitment, when the local agency develops the application:

- Primary Implementation (PI) (12 months)
 - Project Administration - Each local agency traffic engineer or equivalent participates in approximately 10-15 hours per month of project administration (meetings, review of reports, minutes, and other administration).

- Signal Synchronization Timing - Each local agency traffic engineer or equivalent reviews consultant developed draft and final timing plans for intersections within the local agency, approximately 2-4 hours per local agency intersection.
- Before and After Study - Each local agency traffic engineer or equivalent reviews consultant developed draft and final project Before and After Study, approximately 2-5 hours per local agency.
- Engineering design/review - Each local agency traffic engineer or equivalent reviews consultant developed engineer design within the local agency, approximately 2-4 hours per affected local agency intersection.
- System integration - Each local agency traffic engineer or equivalent provides support for this function (hours vary depending on improvements).
- Construction management - Each local agency traffic engineer or equivalent provides construction management support including inspection (hour vary depending on improvements).
- Ongoing O&M (24 months) - Each local agency's traffic engineer or equivalent participates in continued project level meetings of 2-5 hours per local agency per month to review consultant traffic engineering progress. In addition, each local agency's traffic engineer or equivalent reviews consultant developed draft and O&M Report.

For projects designating a local agency as lead, the above may be used as a guide with additional local match related to implementation, development, design, monitoring and other costs that the local agency may choose to include as local match. For instance, O&M may be performed by in-house staff and be calculated using a different formula (e.g., 2-5 hours per local agency signal for 24 months).

Participating agencies pledging in-kind services shall be responsible for keeping track of said hours and/or improvements. For OCTA-led projects, an in-kind services match report will be requested throughout the project to ensure agencies meet their promised in-kind match. All submissions shall include backup documentations, such as accounting/payroll detailed summaries, third-party invoices (consultant, contractor, and equipment) and are subject to Audit.

Project Cancellation

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty.

Cancelled projects will be eligible for re-application upon resolution of issues that led to original project termination.

If a lead agency decides to cancel a project before completion of the entire project, for whatever reason, the agency shall notify OCTA as soon as possible. It is the responsibility of the project lead agency to repay OCTA for any funds received.

Project Extensions

Local agencies are provided 36 months to expend the funds from the date of encumbrance. Agencies can request timely use of funds extensions through the SAR in accordance with the CTFP guidelines. Local agencies should issue a separate NTP when combining contracts for both the PI and O&M phases. NTP requirement should be identified in the initial contract/agreement to avoid obligation of both phases at the same time. If this procedure is followed by the local agency the NTP date will be considered the date of encumbrance for the O&M phase.

Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board.

Data Compatibility

All count data, including average daily traffic (ADT) and intersection turning movement (ITM), collected as part of any funded project shall be provided to OCTA Microsoft Excel format. Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored and maintained by OCTA. OCTA will provide a listing of intersections and corresponding unique node ID numbers upon request. Each count data filename shall describe the year the counts were collected, agency, type of count file, intersection name, and OCTA node ID number. As an example, a turning movement count file recently collected for the intersection of Harbor Boulevard and Wilson Street in the City of Costa Mesa would be given the filename 2020_CostaMesa_ITM_Harbor-Wilson_4534.xls.

All traffic signal synchronization data collected and compiled as part of any funded project for both existing (before) and final optimized (after) conditions shall be provided to OCTA in Synchro version 10 format. This data shall include validated network layout, node, link, lane, volume, timing, and phase data for all coordinated times. The nodes for these files shall also correspond to the OCTA node ID numbers.

Project Summary Information

For each application that is recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for TAC review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

Exhibit 8-1

Project P – Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist		Page
RTSSP Online Application – submitted through OCFundTracker <ul style="list-style-type: none"> a. Transportation Significance b. Benefit Cost Ratio c. Project Characteristics d. Maintenance of Effort e. Project Scale f. Number of Jurisdictions g. Current Project Status h. Funding Over-Match 		Online
Section 1: Key Technical Information <ul style="list-style-type: none"> a. Name of Project Corridor/Grid/Route b. Project Limits c. Project Length d. Number of Signalized Intersections Along Corridor e. Participating Agencies/Traffic Forum Members f. Lead Agency g. Designation of the corridor to synchronize h. Project start and end date i. Previous funding j. Contact Information k. Signalized intersections that are part of the project l. Project Map Depicting the Project Limits 		
Section 2: Regional Significance		
Section 3: Acknowledgement of Required Tasks		
Section 4: Funding Needs/Costs for Proposed Project by Task <ul style="list-style-type: none"> a. Summary of Project Cost b. Summary of Cost by Agency c. Table I: Agency Improvement Preferences d. Table II: Description of Work by Intersection 		
Section 5: Detailed Local Match Commitment		
Section 6: Project Schedule for the 3 Year Grant Period by Task <ul style="list-style-type: none"> a. Project State and End Dates b. Project Schedule by Task c. Agency Commitment of Extended Monitoring and Maintenance 		
Appendices <ul style="list-style-type: none"> a. Agency Resolutions b. Vehicle Miles Traveled (VMT) c. Calculations and Estimated Points d. Additional Information (Optional) 		

Exhibit 8-2

Sample Resolution for Orange County Regional Traffic Signal Synchronization Program Projects

A resolution of the _____ City Council approving the submittal of _____ improvement project(s) to the Orange County Transportation Authority for funding under the competitive Measure M2 Regional Traffic Signal Synchronization Program.

THE CITY COUNCIL OF THE CITY OF _____ HEREBY RESOLVES, DETERMINES, AND ORDERS AS FOLLOWS THAT:

- a) WHEREAS, the Measure M2 Regional Traffic Signal Synchronization Program targets over 2,000 signalized intersections across Orange County to maintain traffic signal synchronization, improve traffic flow, and reduce congestion across jurisdictions; and
- b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive revenues as part of Measure M2;
- c) WHEREAS, the CITY must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Renewed Measure M Ordinance eligibility requirement.
- d) WHEREAS, the CITY authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors, if necessary.
- e) WHEREAS, the City of _____ has currently adopted a Local Signal Synchronization Plan consistent with the Regional Traffic Signal Synchronization Master Plan as a key component of local agencies' efforts to synchronizing traffic signals across local agencies' boundaries; and
- f) WHEREAS, the City of _____ will provide matching funds for each project as required by the Comprehensive Transportation Funding Programs Procedures Manual; and
- g) WHEREAS, the City of _____ will not use Renewed Measure M funds to supplant Developer Fees or other commitments; and
- h) WHEREAS, the City of _____ desires to implement multi-jurisdictional signal synchronization listed below; and

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of _____ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Regional Traffic Signal Synchronization Program. Said funds, if approved, shall be matched by funds from said City as required and shall be used as supplemental funding to aid the City in signal synchronization along the following street(s):

*Required language a-h



August 2, 2021

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Comprehensive Transportation Funding Programs – Project X
Tier 1 Fiscal Year 2021-22 Call for Projects Programming
Recommendations

Overview

The Orange County Transportation Authority's Environmental Cleanup Program provides Measure M2 funding for water quality improvement projects to abate transportation-related pollution. The fiscal year 2021-22 Tier 1 Grant Program call for projects was issued on February 8, 2021. The evaluations are complete, and a list of projects recommended for funding is presented for review and approval.

Recommendation

Approve ten projects in the amount of \$2,697,424 for the 2021 Environmental Cleanup Program Tier 1 call for projects.

Background

In May 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a two-tiered approach to fund the Measure M2 (M2) Project X Environmental Cleanup Program (ECP). The Tier 1 Grant Program is designed to mitigate the more visible forms of pollutants, such as litter and debris, which collect on roadways and in catch basins (i.e., storm drains) prior to being deposited in waterways and the ocean. The Tier 2 Grant Program provides funding for larger (i.e., treating catchment areas of 50 acres or greater) potentially multijurisdictional, capital-intensive structural treatment best management practice (BMP) types of projects.

Tier 1 funds are made available through a competitive call for projects (call) to Orange County local jurisdictions to purchase equipment and provide upgrades to existing catch basins and other related BMPs that supplement current requirements. Examples include screens, filters, and inserts for catch basins, as well as other devices designed to remove the above-mentioned pollutants.

Proposed projects must demonstrate a direct nexus to the reduction of transportation-related pollution, as developed and defined by the OCTA Environmental Cleanup Allocation Committee (ECAC).

To date, the Board has approved funding for 189 Tier 1 projects, totaling approximately \$27.4 million. It is estimated that nearly 33 million gallons of trash have been captured since the inception of the ECP in 2011. On February 8, 2021, the Board approved the issuance of the current fiscal year 2021-22 ECP Tier 1 call, making available up to \$2.8 million to support an 11th call. OCTA publicized the call on numerous occasions with the OCTA Technical Advisory Committee. Staff also presented a guidelines update and call overview to the Orange County Stormwater National Pollution Discharge Elimination System General Permittees committee meeting in March.

Discussion

The 2021 ECP Tier 1 call deadline to submit applications was May 6, 2021. Eleven applications were submitted from ten local jurisdictions. All applications were reviewed and evaluated by an application review committee consisting of OCTA staff, the ECAC Chairman, and an additional member of the ECAC. Project applications were evaluated based on the following Board-approved selection criteria:

- Project need and proposed benefit to water quality;
- Cost/benefit analyses;
- Pollution-reducing benefits;
- Effectiveness of the proposed BMP;
- Evaluation of other BMP types;
- Efficiency/effectiveness of the proposed BMP;
- Project readiness;
- Secondary attributes;
- Proposed methodology for measuring pollution-reduction benefits after installation; and
- Adequacy of proposed operations and maintenance plans.

On July 8, 2021, the ECAC met and endorsed the scoring committee's conclusions and recommended that the ten projects identified in Attachment A be submitted for Board consideration and approval. If this recommendation is approved by the Board, it would result in a total of \$2,697,424 in M2 Project X Tier I funding.

The recommended projects met overall program objectives and scored well in terms of satisfying the evaluation criteria requirements listed above. The one eligible project that is not currently recommended for funding also met these requirements. However, it was the lowest-scoring project and there was not sufficient remaining programming capacity to fully fund this project. Accordingly, this applicant is encouraged to work with OCTA to update its application and reapply in a future call.

Attachment A includes project-specific information, final scores, and recommended award amounts. A brief overview of the project types that are recommended for funding is provided below. Attachment B provides visual samples of recommended project unit types.

- Catch basin debris screen devices: These devices prevent debris from entering the storm drain system through catch basins and primarily consist of connector pipe screen, automatic retractable screen, full trash capture, and grated inlet trash screen types of devices.
- A debris separating baffle box is an advanced stormwater treatment system utilizing a non-clogging screen technology and hydrodynamic separation to capture pollutants. The non-clogging screening system stores trash and debris in a dry state, suspended above sedimentation chambers, thereby allowing for easier maintenance.
- An in-line trash trap unit is a precast concrete structure designed to treat pollutants present in stormwater and urban runoff through the capturing of trash, solids, and floatable debris in disposable mesh nets from incoming flows. The design of the in-line trash trap unit effectively uses the energy of water flow to drive pollutants into nets in order to capture and separate trash, debris, and sediment, including all particles larger than one millimeter. Oil-absorbing material can also be placed inside or outside the nets in order to absorb oil sheen and grease.
- Bioretention basins are landscaped depressions or shallow basins used to slow and treat stormwater runoff. Stormwater is directed to the basin and then percolates through the system where it is treated by several physical, chemical, and biological processes. The cleaned water is then able to infiltrate native soils or can be directed to nearby stormwater drains or receiving waters.

Also, as part of this program, local agencies must agree to contribute a minimum match of 20 percent of total project costs. All the recommended projects met this requirement and are recommended for programming approval.

Next Steps

If these programming recommendations are approved by the Board, each agency that is awarded funding will be required to execute a letter amendment to their Comprehensive Transportation Funding Programs (CTFP) master agreement prior to project implementation. OCTA will then monitor project status and implementation through the CTFP semi-annual review process.

Summary

OCTA, in conjunction with local agencies, implements projects that support water quality improvements related to transportation infrastructure. Staff is seeking Board approval to program \$2,697,424 in ECP funds to ten local agency projects. The improvement includes 1,350 connector pipe screens units, 670 automatic retractable screens devices, seven full trash capture units, one grated inlet trash screen unit, one debris separating baffle box, one in-line trash trap unit, and one bioretention basin.

Attachments

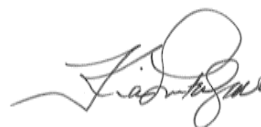
- A. Project X 2021 Tier 1 Call for Projects, Programming Recommendations
- B. Visual Samples of Recommended Best Management Practice Project Types*

Prepared by:



Joseph Alcock
Section Manager M2 Local Programs
(714) 560-5372

Approved by:



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

**Project X 2021 Tier 1 Call for Projects
Programming Recommendations**

Projects Recommended for Funding					
Agency	Project	Project Description	Score	Funding	Cumulative
Laguna Hills	CPS-Mod™ and ARS-CL™ Screen Project, Phase X	Install 46 CPS units and 252 ARS devices	87.00	\$ 200,000	\$ 200,000
San Clemente	San Clemente Pier and Pico Corridor Runoff Treatment Project	Install 99 CPS units, 246 ARS devices and one GITS device	84.50	\$ 240,000	\$ 440,000
Stanton	Stanton Catch Basin Full Trash Capture System Installations – 2021	Install 109 CPS units	83.83	\$ 101,778	\$ 541,778
Mission Viejo	Mission Viejo Trash and Runoff Abatement Project: CPS and ARS Installations in the North-Central City Area	Install 66 CPS units and 155 ARS devices	79.83	\$ 160,000	\$ 701,778
Anaheim	The Catch Basin Screen Installation Project - 2021	Install 695 CPS units	76.60	\$ 500,000	\$ 1,201,778
Irvine	Irvine Citywide Catch Basin Connector Pipe Screen Installation Phase 2 Project	Install 204 CPS units	76.25	\$ 104,122	\$ 1,305,900
Mission Viejo	Mission Viejo Trash and Runoff Abatement Project: Lower Curtis Park Bioretention Basin With Trash Capture	Install five CPS units, 17 ARS devices, and one bioretention basin	75.17	\$ 340,000	\$ 1,645,900
Orange	CPS and FTC BMP Installation	Install eight CPS units, one DSBB, and seven FTC units	73.33	\$ 500,000	\$ 2,145,900
Los Alamitos	Catch Basin CPS Project (Citywide)	Install 118 CPS units	72.82	\$ 51,524	\$ 2,197,424
Huntington Beach	Huntington Beach Trash Removal Project - Phase 1	Install one in-line trash trap unit	70.00	\$ 500,000	\$ 2,697,424

Projects Not Recommended for Funding				
Agency	Project	Project Description	Score	Funding Request
Orange County	Orange County Debris Boom Project 2021	Install six floating debris boom units	64.33	\$480,000

Acronyms

ARS - Automatic Retractable Screen
BMP - Best Management Practice
CPS - Connector Pipe Screen

DSBB - Debris Separating Baffle Box
FTC - Full Trash Capture
GITS - Grated Inlet Trash Screen

**Visual Samples of Recommended Best Management Practices
Project Types***

Connector Pipe Screen



Automatic Retractable Screen



Visual Samples of Recommended Best Management Practices Project Types*

Grate Inlet Trash Screen Unit



Bio Retention Basin



Debris Separating Baffle Box



Visual Samples of Recommended Best Management Practices Project Types*

Full-Trash Capture Unit



In-Line Trash Trap Device




*Photographs are for visualization purposes. Actual final devices installed may be different depending on final procurement, site characteristics, final specs, etc.



August 2, 2021

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer  For

Subject: Cooperative Agreements for Regional Traffic Signal Synchronization Program Projects

Overview

On May 10, 2021, the Orange County Transportation Authority Board of Directors approved the programming of Measure M2 Regional Traffic Signal Synchronization Program funds to three projects as part of the 2021 call for projects. As part of the application process, the Orange County Transportation Authority was requested to be the lead agency for all three projects: Alton Parkway, First Street/Bolsa Avenue, and Portola Parkway/Santa Margarita Parkway projects. Cooperative agreements are necessary for each of these projects to specify the roles and required amount of the local agency match as specified in the application.

Recommendations

- 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.
- 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 funds totaling \$774,378.
- 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.

Discussion

The Orange County Transportation Authority (OCTA) will serve as the lead agency for three Regional Traffic Signal Synchronization Program (RTSSP) projects: Alton Parkway, First Street/Bolsa Avenue, and Portola Parkway/Santa Margarita Parkway. As the project lead, OCTA will manage and administer the implementation of the project's scope of work, which facilitates consensus amongst the multiple participating agencies and alleviates any local agency staffing resource limitations. OCTA has served as lead agency for prior RTSSP projects. As authorized by the Board of Directors on May 10, 2021, these three projects are planned to begin in fiscal year (FY) 2021-22 with completion in 2025. The projects are divided into two separate phases of primary implementation, lasting approximately one year, followed by an ongoing operations and maintenance phase of 24 months.

Cooperative agreements are required for each of these projects to outline the roles and designated responsibilities of OCTA, the partnering agencies regarding the implementation of the projects, and to specify the amount and type of each local agency's match as identified in the application. A minimum of 20 percent local match is required per the requirements of the RTSSP as specified in the 2021 Comprehensive Transportation Funding Guidelines (Chapter 8, Page 4), as well as the Measure M2 (M2) Ordinance. The following is a summary of each project's limits, number of signalized intersections (signals), traffic data, number of agencies included in the project, and estimated cost:

- Alton Parkway (Red Hill Avenue to Portola Parkway): The corridor is approximately 12.8 miles and includes 50 traffic signals. The corridor passes through the cities of Irvine and Lake Forest. The project cost is estimated at \$3,797,787, with local agency in-kind services and cash match totaling \$759,558.
- First Street/Bolsa Avenue (Bolsa Chica Street to Newport Avenue): The corridor is approximately 13.1 miles and includes 55 traffic signals. The corridor passes through cities of Huntington Beach, Santa Ana, Tustin, Westminster, and the County of Orange. The project cost is estimated at \$3,871,890, with local agency in-kind services and cash match totaling \$774,378.
- Portola Parkway/Santa Margarita Parkway (Paloma to Plano Trabuco Road): The corridor is approximately 7.6 miles and includes 31 traffic signals. The corridor passes through the cities of Lake Forest,

Mission Viejo, and Rancho Santa Margarita. The project cost is estimated at \$2,877,748, with local agency in-kind services and cash match totaling \$575,550.

Fiscal Impact

The total cost of implementing the three RTSSP projects is \$10,547,425. The funding for these three projects will come from M2 Project P, included in the OCTA FY 2021-22 Budget, Account No. 0017-7519-SP001-P57, with matching funds provided by the local agencies through in-kind services and cash for a total amount of \$2,109,486.

Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute three cooperative agreements between the Orange County Transportation Authority and the respective cities for the required local matching funds in the amounts of \$759,558 for Alton Parkway, \$774,378 for First Street/Bolsa Avenue, and \$575,550 for Portola Parkway/Santa Margarita Parkway, and to define roles, duties, governance, and fiscal responsibilities for the Regional Traffic Signal Synchronization Program projects.

Attachment

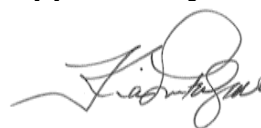
None.

Approved by:

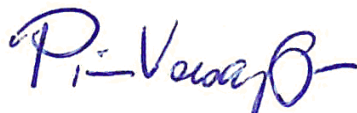


Alicia Yang
Project Manager III
(714) 560-5362

Approved by:




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



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



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.

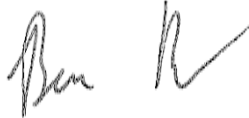
Summary

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,
Formula Funding Programs
(714) 560-5473

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	Use AHSC for fixed-guideway and transit corridor projects that serve disadvantaged communities and reduce greenhouse gas (GHG) emissions. *Note – In the guidelines, a transit project must be paired with an affordable housing project for Transit-Oriented Development Program funds.
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**

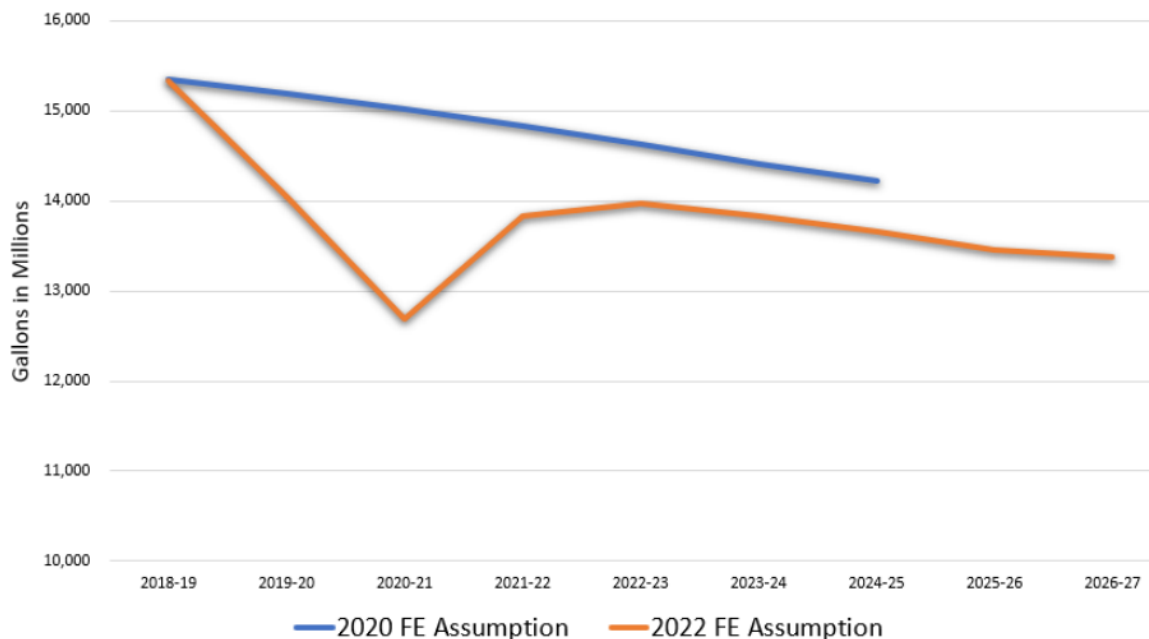
 - STIP - State Transportation Improvement Program
 - CTC - California Transportation Commission
 - STBG - Surface Transportation Block Grant Program
 - CMAQ - Congestion Mitigation and Air Quality
 - M2 - Measure M2
 - SR-55 - State Route 55
 - I-405 - Interstate 405
 - I-5 - Interstate 5
 - SR-73 - 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



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.

Prepared by:

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

Approved by:

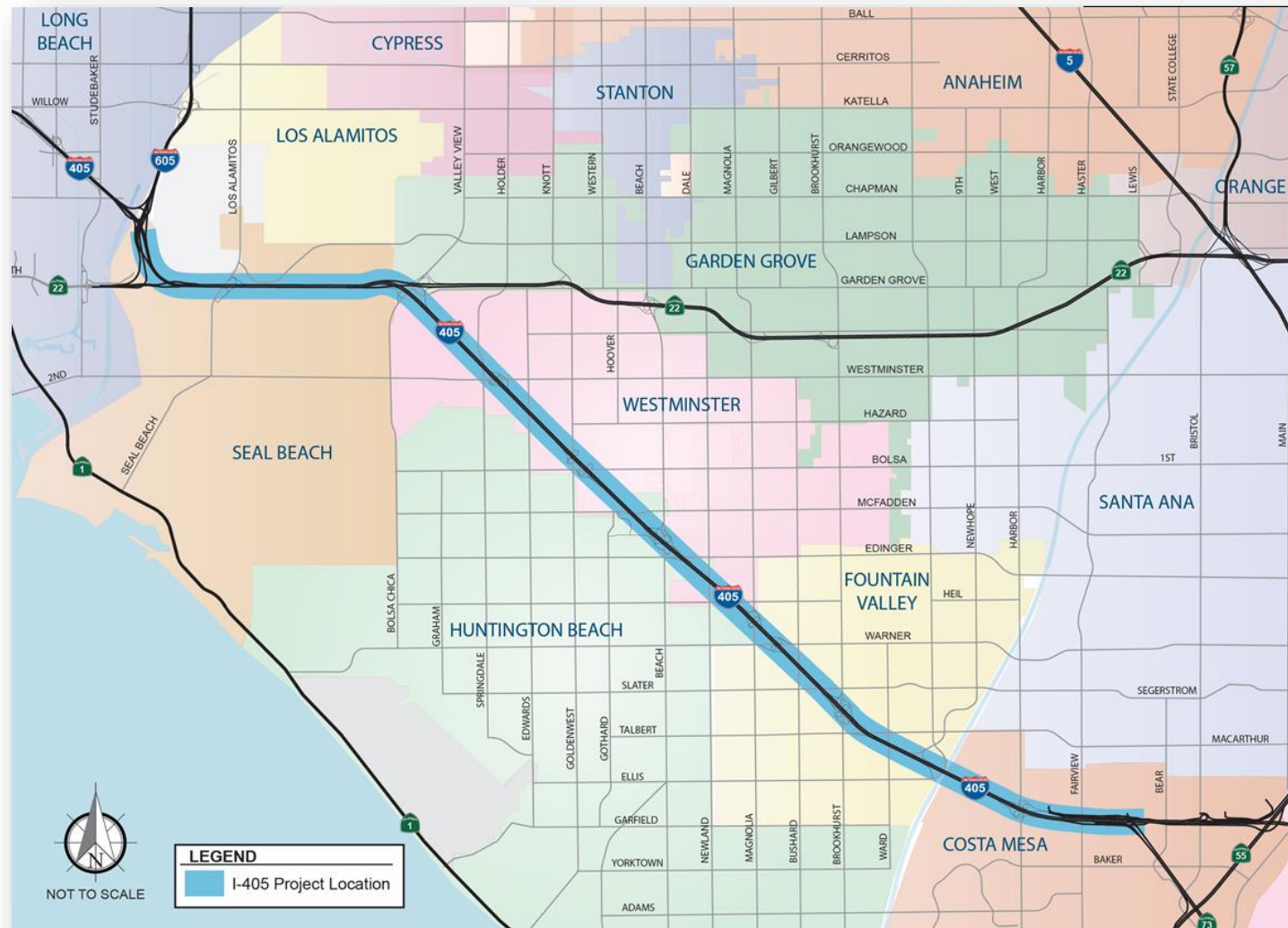
Rose Casey, P.E.
Director, Highway Programs
(714) 560-5729



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

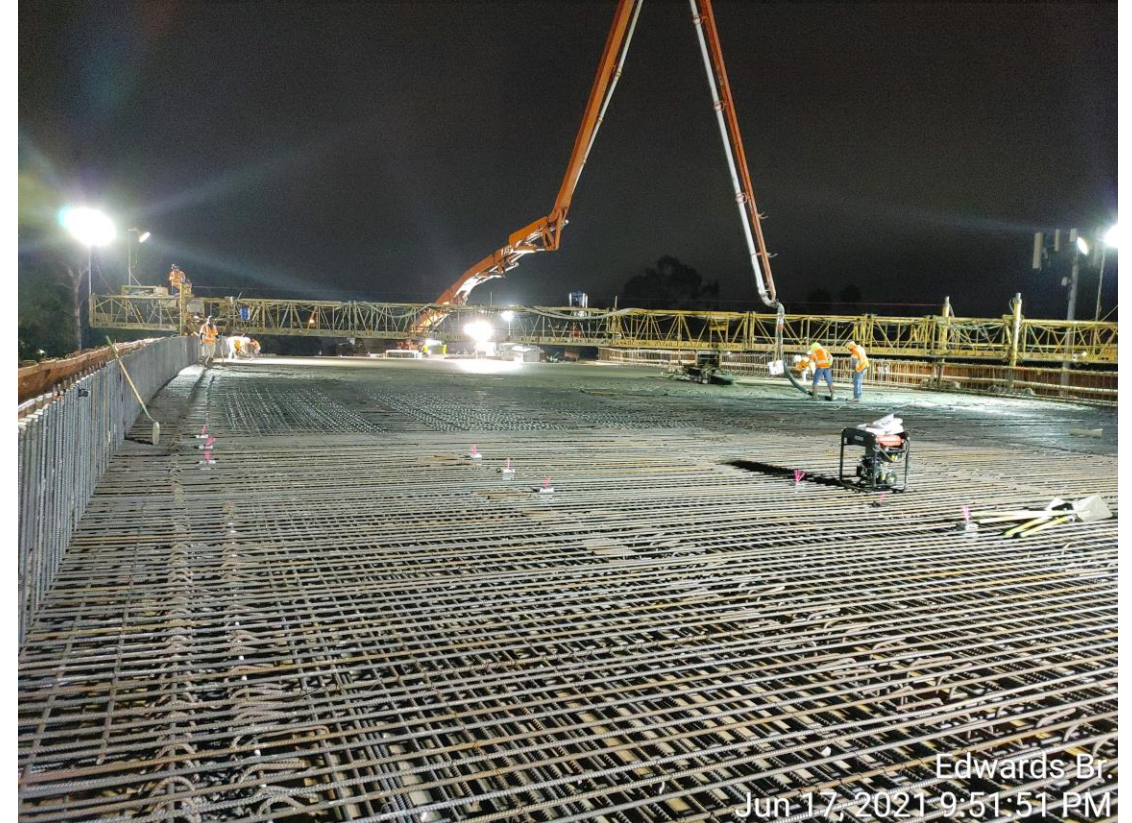


Edinger Avenue bridge construction

Construction Update



Goldenwest Street bridge construction



Edwards Street bridge construction

Construction Update



Bolsa Chica Road bridge construction

Bridge Construction Map



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 find each other!). Below it, a green box says 'Cùng hỗ trợ cơ sở thương mại địa phương' (Let's support local businesses). The text explains that the program helps businesses by providing a platform to buy and sell 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' (Local Business Support) is shown. A paragraph describes the program as a pilot project of the 405 Forward initiative, aimed at supporting local businesses. A QR code is provided for more information. At the bottom, there is a section for 'Có thông tin bằng tiếng Việt' (Information available in Vietnamese) and 'Información disponible en español' (Information available in Spanish), along with contact details for the 405 Project team.



A flyer titled 'CONSTRUCTION ALERT'. It provides information about the project, including a contact number (888-400-8994) and a website (405project@octa.net). It also includes a map showing the project location and a link to view construction activities on an interactive map. A 'REMINDER!' section mentions the Fairview Road Bridge Partial Demolition. At the bottom, there is a Waze app icon and a map showing the project location.