



BOARD AGENDA

Orange County Transportation Authority Board Meeting
Orange County Transportation Authority Headquarters
Board Room - Conference Room 07-08
550 South Main Street
Orange, California
Monday, August 10, 2020 at 9:00 a.m.

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

Agenda Descriptions

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

Public Availability of Agenda Materials

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

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

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



BOARD AGENDA

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

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

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

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

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

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

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



BOARD AGENDA

Call to Order

Roll Call

Invocation

Director Hernandez

Pledge of Allegiance

Chairman Jones

Special Calendar

There are no Special Calendar Matters.

Consent Calendar (Items 1 through 12)

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

Orange County Transportation Authority Consent Calendar Matters

1. Approval of Minutes

Approval of the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of July 27, 2020.

2. Coronavirus Update

Darrell E. Johnson

Overview

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

Recommendation

Receive and file as an information item.



BOARD AGENDA

3. **Approval to Release Request for Proposals for Roadway Operations and Maintenance Services for 91 Express Lanes in Orange County**
Kirk Avila/Darrell E. Johnson

Overview

Staff has developed a draft request for proposals and is requesting Board of Directors' approval to initiate a competitive procurement process to retain contractor services to provide roadway operations and maintenance services for the 91 Express Lanes in Orange County.

Recommendations

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2433 for selection of a firm to provide the roadway operations and maintenance services for 91 Express Lanes in Orange County.
- B. Approve the release of Request for Proposals 0-2433 to select a firm to provide roadway operations and maintenance services for 91 Express Lanes in Orange County for a four-year initial term with two, three-year option terms.

4. **Update on South Orange County Transportation Projects**
Kurt Brotcke/Kia Mortazavi

Overview

In April 2020, the Board of Directors directed staff to work with agencies to advance project development efforts for a non-tolled extension of Los Patrones Parkway, widening of Ortega Highway, and Interstate 5 high-occupancy vehicle lane improvements in the San Clemente area. A status report is provided on these three key projects that will address short-term south Orange County traffic needs.

Recommendation

Receive and file as an information item.



BOARD AGENDA**5. Grant Acceptance for the Orange County Bike Connectors Gap Closure Feasibility Study**

Roslyn Lau/Kia Mortazavi

Overview

The Orange County Transportation Authority was recently awarded \$160,000 for the Orange County Bike Connectors Gap Closure Feasibility Study through the statewide Sustainable Transportation Planning Grant Program. In order to utilize these grant funds, staff is seeking Board of Directors' approval to accept the award and enter into agreements with the granting agencies.

Recommendations

- A. Adopt Orange County Transportation Authority Resolution No. 2020-064 and authorize the Chief Executive Officer to accept the Sustainable Transportation Planning Grant award and execute grant-related agreements and documents with the California Department of Transportation and the Southern California Association of Governments.
- B. Authorize the Chief Executive Officer to amend the Federal Transportation Improvement Program and process all necessary amendments to facilitate the recommendation above.

Orange County Transit District Consent Calendar Matters**6. Award of Agreement for the Purchase of Operator Relief Vehicles**

Cliff Thorne/Jennifer L. Bergener

Overview

The Orange County Transportation Authority uses a variety of light-duty vehicles to support bus operations. Operator relief vehicles are light-duty vehicles used primarily to relieve bus operators on duty in the field. Fifty-five vehicles used in this capacity have reached their useful life and are scheduled for replacement in accordance with the Orange County Transportation Authority's non-revenue vehicle fleet policy. Staff is seeking to expedite this planned procurement in order to take advantage of factory incentives of approximately \$1,000 per vehicle that are expiring on August 20, 2020, and requests Board of Directors' approval to purchase these vehicles from a statewide contract through the California Department of General Services.



BOARD AGENDA**6. (Continued)****Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Purchase Order No. C-0-2515 between the Orange County Transportation Authority and Winner Chevrolet, a state-contracted qualified dealer, in the amount of \$1,781,379, for the purchase of up to 55 2020 Chevy Bolt battery electric vehicles.

Orange County Local Transportation Authority Consent Calendar Matters**7. Capital Programs Division - Fourth Quarter Fiscal Year 2019-20 and Planned Fiscal Year 2020-21 Capital Action Plan Performance Metrics**

James G. Beil

Overview

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

Recommendation

Receive and file as an information item.

8. Supplemental Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 - Utility Work at Goldenwest Street Overcrossing

Jeff Mills/James G. Beil

Overview

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. A supplemental contract change order is needed to provide assistance to Chevron and Crimson utility companies during utility relocation work at Goldenwest Street overcrossing in the City of Westminster.



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

Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 34.4 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$300,000, to provide assistance to Chevron and Crimson utility companies during utility relocation work at Goldenwest Street overcrossing for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.

9. Consultant Selection for the Preparation of Plans, Specifications, and Estimates for the Interstate 605/Katella Avenue Interchange Improvement Project

Josue Vaglienty/James G. Beil

Overview

On April 13, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for the preparation of plans, specifications, and estimates for the Interstate 605/Katella Avenue Interchange improvement project. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of Michael Baker International, Inc., as the firm to prepare the plans, specifications, and estimates for the Interstate 605/Katella Avenue Interchange improvement project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2186 between the Orange County Transportation Authority and Michael Baker International, Inc., for the preparation of plans, specifications, and estimates for the Interstate 605/Katella Avenue Interchange improvement project.



BOARD AGENDA**10. Comprehensive Transportation Funding Programs Semi-Annual Review - March 2020**

Charvalen Alacar/Kia Mortazavi

Overview

The Orange County Transportation Authority recently completed the March 2020 semi-annual review of projects funded through the Comprehensive Transportation Funding Programs. This process reviews the status of Measure M2 grant-funded projects and provides an opportunity for local agencies to update project information and request project modifications. This semi-annual review cycle was unique since it was heavily influenced by project and personnel impacts of the coronavirus and the Governor's stay-at-home order. Project adjustments and proposed guidelines exemptions are presented for review and approval.

Recommendations

- A. Approve requested adjustments to the Comprehensive Transportation Funding Programs projects and Local Fair Share Program funds.
- B. Due to the unique circumstances created by the coronavirus, exempt certain Comprehensive Transportation Funding Programs and Measure M2 Eligibility Guidelines (documented in this staff report and attachments) in order to incorporate requested project adjustments.

11. Measure M2 Comprehensive Transportation Funding Programs – 2021 Annual Call for Projects

Alfonso Hernandez/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 programs, including the countywide Regional Capacity Program (Project O) and the Regional Traffic Signal Synchronization Program (Project P). The 2021 Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects is presented for review and approval.



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

- A. Approve proposed revisions to the Comprehensive Transportation Funding Programs Guidelines.
- B. Authorize staff to issue the 2021 annual call for projects for the Regional Capacity Program.
- C. Authorize staff to issue the 2021 annual call for projects for the Regional Traffic Signal Synchronization Program.

12. Consultant Selection for Traffic and Intelligent Transportation Systems Engineering Services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project

Amy Tran/Kia Mortazavi

Overview

On January 27, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for a consultant to provide traffic and intelligent transportation systems engineering services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project. Board of Directors' approval is requested for the selection of the firm to perform the required work.

Recommendations

- A. Approve the selection of Albert Grover and Associates, Inc., as the firm to provide traffic and intelligent transportation systems engineering services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2019 between the Orange County Transportation Authority and Albert Grover and Associates, Inc., to provide traffic and intelligent transportation systems engineering services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project.



BOARD AGENDA**Regular Calendar****Orange County Transportation Authority Regular Calendar Matters****13. Coronavirus Health and Safety Measures**

Joel Zlotnik/Jennifer L. Bergener

Overview

Since March 4, 2020, when Governor Gavin Newsom declared a State of Emergency to help California prepare for the spread of the coronavirus, the Orange County Transportation Authority has proactively responded and implemented an evolving series of measures to ensure ongoing delivery of essential transportation services and projects while helping to protect the health and safety of the public and employees. These efforts have followed guidance and best practices from the State of California, Federal Transit Administration, California Transit Association, American Public Transportation Association, and others. An update on these health and safety measures is provided for Board of Directors' review and recommendations are presented to guide the agency's efforts moving forward.

Recommendations

- A. Adopt Orange County Transportation Authority Resolution No. 2020-070 supporting the delivery of a safe, reliable transportation system that prioritizes the health of passengers and employees and recognizes the critical role that transit plays for essential employees in keeping Orange County moving safely.
- B. Direct staff to follow requirements, guidelines, and best practices that promote the safe and healthy operation of transit service for the public and employees.
- C. Direct staff to seek necessary funding for the ongoing implementation of health and safety practices for the public and employees, including the replenishment of face covering inventory to ensure transit accessibility for all passengers.



BOARD AGENDA

- 14. South Orange County Multimodal Transportation Study Update**
Warren Whiteaker/Kia Mortazavi

Overview

The Orange County Transportation Authority is conducting a long-range multimodal transportation study for the south Orange County area. Objectives of the study are to document transportation issues and opportunities, engage with key stakeholders, partner agencies, and the public to identify potential multimodal solutions. A status report on the study is provided for information purposes.

Recommendation

Receive and file as an information item.

Discussion Items

- 15. Update on Interstate 5 Widening Project Between State Route 73 and El Toro Road**
Niall Barrett/James G. Beil

Staff will provide a project update.

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

There are no Closed Sessions scheduled.

- 20. Adjournment**

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, August 24, 2020**, at the Orange County Transportation Authority Headquarters, Board Room - Conference Room 07-08, 550 South Main Street, Orange, California.

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

Call to Order

The July 27, 2020 regular meeting of the Orange County Transportation Authority (OCTA) and affiliated agencies was called to order by Chairman Jones at 9:01 a.m. at the OCTA Headquarters, 550 South Main Street, Board Room – Conference Room 07-08, Orange, California.

Roll Call

The Clerk of the Board (COB) conducted an attendance Roll Call and announced there was quorum of the Board of Directors (Board) as follows:

Directors Present: Steve Jones, Chairman

Via teleconference:

Andrew Do, Vice Chairman
Lisa A. Bartlett
Doug Chaffee
Laurie Davies
Barbara Delgleize
Michael Hennessey
Gene Hernandez
Joseph Muller
Mark A. Murphy
Richard Murphy
Miguel Pulido
Tim Shaw
Harry S. Sidhu
Michelle Steel
Donald P. Wagner
Ryan Chamberlain, District Director
California Department of Transportation District 12

Director Absent: None

Also Present: Darrell E. Johnson, Chief Executive Officer (CEO)
Jennifer L. Bergener, Deputy CEO/Chief Operating Officer
Laurena Weinert, COB
Martha Ochoa, Assistant COB
James Donich, General Counsel (Teleconference)

Invocation

Director Hennessey gave the invocation.

Pledge of Allegiance

Chairman Jones led in the Pledge of Allegiance.

Special Calendar

Orange County Transportation Authority Special Calendar Matters

1. Coronavirus (COVID-19) Update

Darrell E. Johnson, CEO, provided an update on OCTA's efforts to proactively respond to the COVID-19 pandemic and referenced the handout that was emailed to the Board in-advance of today's Board meeting.

Mr. Johnson highlighted OCTA's focus, over the past two weeks, on developing and implementing plans to ensure bus passengers have access to a face covering. He also stated that OCTA is continuing communication and reinforcing with bus passengers and OCTA employees the requirements for face coverings, etcetera.

Vice Chairman Do thanked Mr. Johnson and OCTA staff for the continuing measures to prioritize the bus passengers and OCTA employees health and safety, as well as provide other comments.

Vice Chairman Do asked an update be brought forth to the Executive Committee and Board on the policy that requires bus passengers to wear a face covering, defines the rules of engagement to protect the coach operators, and ensures the community that OCTA is here to protect the bus passengers and OCTA employees.

No action was taken on this information item.

Consent Calendar (Items 2 through 9)

Orange County Transportation Authority Consent Calendar Matters

2. Approval of Minutes

A motion was made by Director Davies, seconded by Director Hennessey, and following a roll call vote, declared passed 16-0, to approve the Orange County Transportation Authority and affiliated agencies' regular meeting minutes of July 13, 2020.

3. Fiscal Year 2019-20 Internal Audit Plan, Fourth Quarter Update

A motion was made by Director Davies, seconded by Director Hennessey, and following a roll call vote, declared passed 16-0, to receive and file the fourth quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2019-20 Internal Audit Plan as an information item.

4. Orange County Transportation Authority Internal Audit Department Fiscal Year 2020-21 Internal Audit Plan

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

- A. Approve the Orange County Transportation Authority Internal Audit Department Fiscal Year 2020-21 Internal Audit Plan.
- B. Direct the Executive Director of the Internal Audit Department to provide quarterly updates on the Orange County Transportation Authority Internal Audit Department Fiscal Year 2020-21 Internal Audit Plan.

5. Annual Credit Update - June 2020

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

6. State Legislative Status Report

A motion was made by Director Davies, seconded by Director Hennessey, and following a roll call vote, declared passed 16-0, to adopt a SUPPORT position on SB 1291 (Senate Committee on Transportation), which would provide flexibility in the schedule for submittal of the Federal Transportation Improvement Program in 2020.

7. Federal Legislative Status Report

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

Orange County Transit District Consent Calendar Matters

8. Agreement for OC Bus Public Awareness and Communication Program Services

A motion was made by Director Davies, seconded by Director Hennessey, and following a roll call vote, declared passed 15-0, to:

- A. Approve the selection of Celtis Ventures, Inc. as the firm to provide consulting services for the OC Bus Public Awareness and Communication Program.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2249 between the Orange County Transportation Authority and Celtis Ventures, Inc., in the amount of \$300,000, for a two-year initial term, with two, two-year option terms, to provide consulting services for the OC Bus Public Awareness and Communication Program.

Due to the Levine Act, Director Pulido did not participate or vote on this item.

9. Amendment to Agreement for Bus Advertising Revenue Program

A motion was made by Director Davies, seconded by Director Hennessey, and following a roll call vote, declared passed 16-0, to authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-5-3076 between the Orange County Transportation Authority and Outfront Media Group, LLC, to exercise the second option term of the agreement with a 70 percent revenue-sharing agreement through August 31, 2022, reverting to a minimum guarantee reinstatement upon one quarter of positive gross domestic product growth.

Regular Calendar

There were no Regular Calendar matters.

Discussion Items

10. Public Comments

The COB noted for the record that two public comments were received by the COB Department on July 27, 2020 at 1:27 a.m. and 1:58 a.m. from Craig Durfey, and both comments were forward to the Board on July 27, 2020 at 7:51 a.m.

The COB stated that both public comments will be retained as part of the record for today's Board meeting.

11. Chief Executive Officer's Report

Darrell E. Johnson, CEO, reported the following:

- General Counsel will note that today's Closed Session item will be continued, as OCTA anticipated a lengthy discussion and additional work is needed for the Closed Session item.

July Employees of the Month -

- Juvenal Ruiz is the Coach Operator Employee of the Month.
 - Juvy is a Coach Operator at the Santa Ana Base who started with OCTA in October 2002, and his driving career began with Montebello Transit 36 years ago.
- Harmond Waxham is the Maintenance Employee of the Month.
 - Harmond joined OCTA in February 2001 and is currently a Journeyman Mechanic on the graveyard shift at the Santa Ana Base.
- Barry Reynolds is the Administrative Employee of the Month.
 - Barry is a Department Manager with the Information Systems team who joined OCTA in 1988.
- Congratulations to OCTA's July Employees of the Month.

OCTA Scholarship Awards -

- Recently, this year's annual OCTA Scholarship Award ceremony was held virtually.
- Awarded were 24 scholarships totaling \$20,200 to children and grandchildren of OCTA employees, and current OCTA interns.
- OCTA's Scholarship Fund is an entirely employee-funded program that has awarded 712 scholarships totaling nearly \$400,000 since its inception in 1998.

12. Directors' Reports

There were no Directors' reports.

13. Closed Session

James Donich, OCTA's General Counsel, noted for the record that the Closed Session item has been continued to a future Board meeting.

14. Adjournment

The meeting adjourned at 9:17 a.m.

The next regularly scheduled meeting of this Board will be held at **9:00 a.m. on Monday, August 10, 2020**, at the OCTA Headquarters, 550 South Main Street, Board Room – Conference Room 07-08, Orange, California.

ATTEST:

Laurena Weinert
Clerk of the Board

Steve Jones
Chairman



August 10, 2020

To: Members of the Board of Directors

From: Darrell E. Johnson, Chief Executive Officer

Subject: Approval to Release Request for Proposals for Roadway Operations and Maintenance Services for 91 Express Lanes in Orange County

Overview

Staff has developed a draft request for proposals and is requesting Board of Directors' approval to initiate a competitive procurement process to retain contractor services to provide roadway operations and maintenance services for the 91 Express Lanes in Orange County.

Recommendations

- A. Approve the proposed evaluation criteria and weightings for Request for Proposals 0-2433 for selection of a firm to provide the roadway operations and maintenance services for 91 Express Lanes in Orange County.
- B. Approve the release of Request for Proposals 0-2433 to select a firm to provide roadway operations and maintenance services for 91 Express Lanes in Orange County for a four-year initial term with two, three-year option terms.

Discussion

Cofiroute USA, LLC (CUSA) is the current contract operator of the 91 Express Lanes. As operator, CUSA is responsible for the day-to-day operations of the 91 Express Lanes, including back-office systems and customer service center operations, as well as roadway operations and maintenance services. The existing contract expires on June 30, 2021, and a new contract is required to ensure continuity of services.

On September 26, 2016, staff presented to the Orange County Transportation Authority (OCTA) Board of Directors (Board) the toll systems and operations services procurement approach, which describes a multiple procurement approach that provides the most favorable options for encouraging

state-of-the-art technology and competition, high levels of customer service, and potential to achieve the best value for OCTA. The approach consists of the procurement of three categories of systems and services: toll lane system integration, back-office system and customer service center operations services, as well as roadway operations and maintenance services. The toll lane system integration and back-office system, as well as customer service center operations services, have been procured and the contracts were executed in June 2018 and January 2020, respectively.

As part of this roadway operations and maintenance services procurement, the contractor will be responsible for providing safety service patrol, which will assist stranded motorists, support incident clearance, and remove debris that presents a safety issue. In addition, the contractor will coordinate, oversee, and provide routine maintenance and repair activities that are to be performed on the facility, such as landscaping, road lighting inspection and repairs, and the replacement of channelizers. The contractor will also coordinate with the California Department of Transportation for any routine and emergency maintenance to be performed on the 91 Express Lanes and/or any construction activities on the general-purpose lanes that impacts the toll lanes.

Since the 91 Express Lanes is continuously operating with maintenance activities occurring on weekends, the contractor is expected to be on-site 16 hours during the weekdays and 12 hours during the weekends. Additionally, staff will need to be on call should an emergency arise. The selected contractor for this procurement will be required to closely coordinate with the toll lane system integration, as well as back-office system and customer service center operations contractors.

Procurement Approach

OCTA’s Board-approved procurement policies and procedures require that the Board approve all request for proposals (RFP) over \$1,000,000, as well as approve the evaluation criteria and weightings. Staff is submitting for Board approval the draft RFP and evaluation criteria and weightings, which will be used to evaluate proposals received in response to the RFP.

The proposed evaluation criteria and weightings are as follows:

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

Approval to Release Request for Proposals for Roadway Operations and Maintenance Services for 91 Express Lanes in Orange County **Page 3**

Several factors were considered in developing the criteria weightings. Qualifications of the firm is weighted at 25 percent to emphasize the importance of the proposing firms having relevant experience in roadway operations and maintenance services, as well as adequate resources to comply with the project requirements as specified in the scope of work. Staffing and project organization is weighted at 20 percent to ensure firms proposed a knowledgeable management team and staff that are experienced in providing all aspects of requested services. Work plan is weighted highest at 30 percent for firms to demonstrate their understanding and approach in operating a safety service patrol, coordinating with the existing OCTA 91 Express Lanes contractors in providing the defined services, as well as overseeing and performing routine maintenance services. Cost and price is weighted at 25 percent for the proposing firms to show their competitiveness in pricing to accomplish the services while successfully fulfilling the requirements set forth for the scope of work.

The contract resulting from this procurement will be for an initial four-year term with two, three-year option terms. The total budget for the initial term is anticipated to be approximately \$6,350,000.

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

Fiscal Impact

Funding is included in OCTA's Fiscal Year 2020-21 Budget, 91 Express Lanes Account 0036-7350-B0001-CJF and will be included in the 91 Express Lanes budget for the subsequent years.

Summary

Board approval is requested to release RFP 0-2433 to initiate the competitive procurement process to select a contractor to provide roadway operations and maintenance services for 91 Express Lanes in Orange County, as well as approval of the proposed evaluation criteria and weightings.

Attachment

- A. Draft Request for Proposals (RFP) 0-2433, Roadway Operations and Maintenance Services for 91 Express Lanes.

Prepared by:



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



Virginia Abadessa
Director, Contracts Administration and
Materials Management
(714) 560-5623

DRAFT
REQUEST FOR PROPOSALS (RFP) 0-2433

ROADWAY OPERATIONS AND MAINTENANCE SERVICES FOR 91 EXPRESS LANES



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

Key RFP Dates

Issue Date:	August 11, 2020
Pre-Proposal Conference Date:	August 19, 2020
Question Submittal Date:	August 26, 2020
Proposal Submittal Date:	September 16, 2020
Interview Date:	October 7, 2020

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August 11, 2020

NOTICE OF REQUEST FOR PROPOSALS

(RFP): 0-2433: "ROADWAY OPERATIONS AND MAINTENANCE FOR 91 EXPRESS LANES"

TO: ALL OFFERORS

FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY

The Orange County Transportation Authority (Authority) invites proposals from qualified contractor to provide Roadway Operations and Maintenance for 91 Express Lanes. The budget for this project is \$6,350,000 for a four-year initial term.

Proposals must be received in the Authority's office at or before 2:00 p.m. on September 16, 2020.

Proposals delivered in person or by a means other than the U.S. Postal Service shall be submitted to the following:

**Orange County Transportation Authority
Contracts Administration and Materials Management
600 South Main Street, (Lobby Receptionist)
Orange, California 92868
Attention: Sue Ding, Sr. Contract Administrator**

Proposals delivered using the U.S. Postal Service shall be addressed as follows:

**Orange County Transportation Authority
Contracts Administration and Materials Management
P.O. Box 14184
Orange, California 92863-1584
Attention: Sue Ding, Sr. Contract Administrator**

Note: The Authority utilizes a third-party delivery service; therefore, anticipate a 48-hour delay in delivery of proposals mailed to the

P.O. Box listed above. Proposals are considered received once time stamped at the Authority's physical address.

Proposals and amendments to proposals received after the date and time specified above will be returned to the Offerors unopened.

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

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

To receive all further information regarding this RFP 0-2433, firms and subcontractor must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

<u>Category:</u>	<u>Commodity:</u>
Maintenance Services - Facility Buses; Maintenance and Services	Janitorial Services Towing Services - Bus
Automotive; Maintenance and Services	Towing Services - Automotive

A pre-proposal conference will be held on August 19, 2020, at 10:00 a.m. **via a Skype Teleconference Meeting**. All prospective Offerors are encouraged to join the pre-proposal conference by calling either of the following numbers:

Join by phone

(714) 558-5200, 820238# (1)	English (United States)
(714) 560-5666, 820238# (1)	English (United States)

Conference ID: 820238

Callers are requested to dial in and mute the call.

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

The Authority has established October 7, 2020, as the date to conduct interviews. All prospective Offerors will be asked to keep this date available.

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

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

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

SECTION I: INSTRUCTIONS TO OFFERORS

SECTION I. INSTRUCTIONS TO OFFERORS

A. PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on August 19, 2020, at 10:00 a.m. **via a Skype Teleconference Meeting.** All prospective Offerors are encouraged to join the pre-proposal conference by calling either of the following numbers:

Join by phone

(714) 558-5200, 820238# (1)	English (United States)
(714) 560-5666, 820238# (1)	English (United States)

Conference ID: 820238

Callers are requested to dial in and mute the call.

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

B. EXAMINATION OF PROPOSAL DOCUMENTS

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

C. ADDENDA

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

D. AUTHORITY CONTACT

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

Sue Ding
Contracts Administration and Materials Management Department
600 South Main Street
P.O. Box 14184
Orange, CA 92863-1584
Phone: 714.560.5631, Fax: 714.560.5792
Email: sding@octa.net

Commencing on the date of the issuance of this RFP and continuing until award of the contract or cancellation of this RFP, no proposer, subcontractor, lobbyist or agent hired by the proposer shall have any contact or communications regarding this RFP with any Authority's staff; member of the evaluation committee for this RFP; or any contractor or consultant involved with the procurement, other than the Contract Administrator named above or unless expressly permitted by this RFP. Contact includes face-to-face, telephone, electronic mail (e-mail) or formal written communication. Any proposer, subcontractor, lobbyist or agent hired by the proposer that engages in such prohibited communications may result in disqualification of the proposer at the sole discretion of the Authority. sding@octa.net

E. CLARIFICATIONS

1. Examination of Documents

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

2. Submitting Requests

- a. All questions, including questions that could not be specifically answered at the pre-proposal conference must be put in writing and must be received by the Authority no later than 5:00 p.m., on August 26, 2020.
- b. Requests for clarifications, questions and comments must be clearly labeled, "Written Questions". The Authority is not responsible for failure to respond to a request that has not been labeled as such.
- c. Any of the following methods of delivering written questions are

acceptable as long as the questions are received no later than the date and time specified above:

- (1) U.S. Mail: Orange County Transportation Authority, 550 South Main Street, P.O. Box 14184, Orange, California 92863-1584.
- (2) Personal Delivery: Contracts Administration and Materials Management Department, 600 South Main Street, Lobby Receptionist, Orange, California 92868.
- (3) Facsimile: (714) 560-5792.
- (4) Email: sding@octa.net

3. Authority Responses

Responses from the Authority will be posted on CAMM NET, no later than September 2, 2020. Offerors may download responses from CAMM NET at <https://cammnet.octa.net>, or request responses be sent via U.S. Mail by emailing or faxing the request to Sue Ding .

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

<u>Category:</u>	<u>Commodity:</u>
Maintenance Services - Facility Buses; Maintenance and Services	Janitorial Services
Automotive; Maintenance and Services	Towing Services - Bus
	Towing Services - Automotive

Inquiries received after 5:00 p.m. on August 26, 2020 will not be responded to.

F. SUBMISSION OF PROPOSALS

Offeror is responsible for ensuring third-party deliveries arrive at the time and place as indicated in this RFP.

1. Date and Time

Proposals must be received in the Authority’s office at or before 2:00 p.m. on September 16, 2020.

Proposals received after the above-specified date and time will be returned to Offerors unopened.

2. Address

Proposals delivered in person or by a means other than the U.S. Postal Service shall be submitted to the following:

**Orange County Transportation Authority
Contracts Administration and Materials Management (CAMM)
600 South Main Street, (Lobby Receptionist)
Orange, California 92868
Attention: Sue Ding, Sr. Contract Administrator**

Or proposals delivered using the U.S. Postal Services shall be addressed as follows:

**Orange County Transportation Authority
Contracts Administration and Materials Management (CAMM)
P.O. Box 14184
Orange, California 92863-1584
Attention: Sue Ding, Sr. Contract Administrator**

Note: The Authority utilizes a third-party delivery service; therefore, anticipate a 48-hour delay in delivery of proposals mailed to the P.O. Box listed above. Proposals are considered received once time stamped at the Authority's physical address.

3. Identification of Proposals

Offeror shall submit an **original and 5 copies** of its proposal in a sealed package, addressed as shown above in F.2. The outer envelope must show the Offeror's name and address and clearly marked with RFP number. In addition to the above, Proposers shall also include one (1) electronic copy of their entire RFP submittal package in "PDF" format, on a CD, DVD, or flash drive.

4. Acceptance of Proposals

- a. The Authority reserves the right to accept or reject any and all proposals, or any item or part thereof, or to waive any informalities or irregularities in proposals.
- b. The Authority reserves the right to withdraw or cancel this RFP at any time without prior notice and the Authority makes no representations that any contract will be awarded to any Offeror responding to this RFP.
- c. The Authority reserves the right to issue a new RFP for the project.

- d. The Authority reserves the right to postpone proposal openings for its own convenience.
- e. Each proposal will be received with the understanding that acceptance by the Authority of the proposal to provide the services described herein shall constitute a contract between the Offeror and Authority which shall bind the Offeror on its part to furnish and deliver at the prices given and in accordance with conditions of said accepted proposal and specifications.
- f. The Authority reserves the right to investigate the qualifications of any Offeror, and/or require additional evidence of qualifications to perform the work.
- g. Submitted proposals are not to be copyrighted.

G. PRE-CONTRACTUAL EXPENSES

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

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

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

H. JOINT OFFERS

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

I. TAXES

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

J. PROTEST PROCEDURES

The Authority has on file a set of written protest procedures applicable to this solicitation that may be obtained by contacting the Contract Administrator

responsible for this procurement. Any protests filed by an Offeror in connection with this RFP must be submitted in accordance with the Authority's written procedures.

K. CONTRACT TYPE

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be a time-and-expense price contract specifying firm-fixed rates for the work specified in the Scope of Work, included in this RFP as Exhibit A. The Agreement will have a four-year initial term and two, three-year option terms.

L. CONFLICT OF INTEREST

All Offerors responding to this RFP must avoid organizational conflicts of interest which would restrict full and open competition in this procurement. An organizational conflict of interest means that due to other activities, relationships or contracts, an Offeror is unable, or potentially unable to render impartial assistance or advice to the Authority; an Offeror's objectivity in performing the work identified in the Scope of Work is or might be otherwise impaired; or an Offeror has an unfair competitive advantage. Conflict of Interest issues must be fully disclosed in the Offeror's proposal.

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

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

M. CODE OF CONDUCT

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

SECTION II: PROPOSAL CONTENT

SECTION II. PROPOSAL CONTENT

A. PROPOSAL FORMAT AND CONTENT

1. Format

Proposals should be typed with a standard 12-point font, double-spaced and submitted on 8 1/2" x 11" size paper, using a single method of fastening. Charts and schedules may be included in 11"x17" format. Proposals should not include any unnecessarily elaborate or promotional materials. Proposals should not exceed fifty (50) pages in length, excluding any appendices, cover letters, resumes, or forms.

2. Letter of Transmittal

The Letter of Transmittal shall be addressed to Sue Ding, Sr. Contract Administrator and must, at a minimum, contain the following:

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

3. Technical Proposal

a. Qualifications, Related Experience and References of Offeror

This section of the proposal should establish the ability of Offeror to satisfactorily perform the required work by reasons of: experience in performing work of a similar nature; demonstrated competence in the

services to be provided; strength and stability of the firm; staffing capability; work load; record of meeting schedules on similar projects; and supportive client references.

Offeror to:

- (1) Provide a brief profile of the firm, including the types of services offered; the year founded; form of the organization (corporation, partnership, sole proprietorship); number, size and location of offices; and number of employees.
- (2) Provide a general description of the firm's financial condition and identify any conditions (e.g., bankruptcy, pending litigation, planned office closures, impending merger) that may impede Offeror's ability to complete the project.
- (3) Describe the firm's experience in performing work of a similar nature to that solicited in this RFP, and highlight the participation in such work by the key personnel proposed for assignment to this project. Describe experience in working with the various government agencies identified in this RFP.
- (4) Describe the firm's drug and alcohol policy.
- (5) Identify subcontractors by company name, address, contact person, telephone number, email, and project function. Describe Offeror's experience working with each subcontractor.
- (6) Identify all firms hired or retained to provide lobbying or advocating services on behalf of the Offeror by company name, address, contact person, telephone number and email address. This information is required to be provided by the Offeror immediately during the evaluation process, if a lobbyist or advocate is hired or retained.
- (7) Provide as a minimum three (3) references for the projects cited as related experience, and furnish the name, title, address, telephone number, and email address of the person(s) at the client organization who is most knowledgeable about the work performed. Offeror may also supply references from other work not cited in this section as related experience.
- (8) Provide a statement regarding whether or not the firm has ever been suspended and/or terminated from a safety service patrol program or California Highway Patrol rotation tow. Include dates of suspension and/or termination, if applicable.

b. Proposed Staffing and Project Organization

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

Offeror to:

- (1) Identify key personnel proposed to perform the work in the specified scope of work and include major areas of subcontract work. Include the person's name, current location, proposed position for this project, current assignment, level of commitment to that assignment, availability for this assignment and how long each person has been with the firm.
- (2) Furnish brief resumes (not more than two [2] pages each) for the proposed Project Manager and other key personnel that includes education, experience, and applicable professional credentials.
- (3) Describe how your firm will select employees to provide the service for the project, ensure truck drivers are in compliance with requirements, ensure employees are properly paid, and any training your firm provides for the truck drivers.
- (4) Explain how and when your firm checks motor vehicle driving records for each driver.
- (5) Indicate adequacy of labor resources utilizing a table projecting the labor-hour allocation to the project by requested work.
- (6) Include a project organization chart, which clearly delineates communication/reporting relationships among the project staff.
- (7) Include a statement that key personnel will be available to the extent proposed for the duration of the project acknowledging that no person designated as "key" to the project shall be removed or replaced without the prior written concurrence of the Authority.

c. Work Plan

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

Offeror to:

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

d. Exceptions/Deviations

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

submitted after the proposal submittal date will not be reviewed by Authority.

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

e. Public Records Act Indemnification

Proposals received by Authority are subject to the California Public Records Act, Government Code section 6250 et seq. (the “Act”), except as otherwise provided in the Act. Proposers should familiarize themselves and exceptions thereto. In no event shall the Authority or any of its agents, representatives, contractor, directors, officers, or employees be liable to a Proposer for the disclosure of any materials or information submitted in response to the RFP. Proposers must complete and sign the Exhibit G, Public Records Act Indemnification – Proposal Documents, and submit it with the proposal. Failure to complete Exhibit G may cause the proposal to be deemed non-responsive to this RFP and may no longer continue in the evaluation process.

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

Authority will review the request, determine if the disclosure of the records is required by law, and notify Proposer of such determination. If Authority determines that the disclosure of records

is required by law, Authority will notify Proposer of such determination and provide Proposer the opportunity to seek a protective order or other appropriate legal relief to protect the records.

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

4. Cost and Price Proposal

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

The Offeror shall complete the "Price Summary Sheet" form included with this RFP (Exhibit B), and furnish any narrative required to explain the prices quoted in the schedules. It is anticipated that the Authority will issue a time and expense contract specifying firm-fixed-rates for the work.

5. Appendices

Information considered by Offeror to be pertinent to this project and which has not been specifically solicited in any of the aforementioned sections may be placed in a separate appendix section. Offerors are cautioned, however, that this does not constitute an invitation to submit large amounts of extraneous materials. Appendices should be relevant and brief.

B. FORMS

1. Campaign Contribution Disclosure Form

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

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

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

Offeror is required to submit only **one** copy of the completed form(s) as part of its proposal and it must be included in only the **original** proposal.

2. Status of Past and Present Contracts Form

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

A separate form must be completed for each identified contract. Each form must be signed by the Offeror confirming that the information provided is true and accurate. Offeror is required to submit one copy of the completed form(s) as part of its proposals and it should be included in only the original proposal.

3. Proposal Exceptions and/or Deviations Form

Offerors shall complete the form entitled “Proposal Exceptions and/or Deviations” provided in this RFP and submit it as part of the original proposal. For each exception and/or deviation, a new form should be used, identifying the exception and/or deviation and the rationale for requesting the change. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed nor considered by the Authority.

4. Public Records Act Indemnification Form

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

SECTION III: EVALUATION AND AWARD

SECTION III. EVALUATION AND AWARD

A. EVALUATION CRITERIA

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

- 1. Qualifications of the Firm 25%**

Technical experience in performing work of a closely similar nature; strength and stability of the firm; strength, stability, experience and technical competence of subcontractors; assessment by client references.
- 2. Staffing and Project Organization 20%**

Qualifications of project staff, particularly key personnel and especially the Project Manager; key personnel's level of involvement in performing related work cited in "Qualifications of the Firm" section; logic of project organization; adequacy of labor commitment; concurrence in the restrictions on changes in key personnel.
- 3. Work Plan 30%**

Depth of Offeror's understanding of Authority's requirements and overall quality of work plan; logic, clarity and specificity of work plan; appropriateness of resource allocation among the work; reasonableness of proposed schedule; utility of suggested technical or procedural innovations.
- 4. Cost and Price 25%**

Reasonableness of the total price as well as the work; competitiveness with other offers received; adequacy of data in support of figures quoted. The pricing required under Safety Service Patrol section will be weighted at 70 percent and Asset Maintenance Services will be weighted at 30 percent of Cost and Price criterion.

B. EVALUATION PROCEDURE

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

During the evaluation period, the Authority may interview some or all of the proposing firms. The Authority has established October 7, 2020, as the date to

conduct interviews. All prospective Offerors are asked to keep this date available. No other interview dates will be provided, therefore, if an Offeror is unable to attend the interview on this date, its proposal may be eliminated from further discussion. The interview may consist of a short presentation by the Offeror after which the evaluation committee will ask questions related to the firm's proposal and qualifications.

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

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

C. AWARD

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

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

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

D. NOTIFICATION OF AWARD AND DEBRIEFING

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

Offerors who were not awarded the contract may obtain a debriefing concerning the strengths and weaknesses of their proposal. Unsuccessful Offerors, who wish to be debriefed, must request the debriefing in writing or electronic mail and the Authority must receive it within three (3) business days of notification of the contract award.

EXHIBIT A: SCOPE OF WORK

**Scope of Work
Roadway Operations and Maintenance
for
91 Express Lanes**

Definitions and Acronyms

ATMS	Advanced Traffic Management System
ANSI	American National Standards Institute, an organization which develops voluntary standards across a wide variety of products, services, etc.
AVL	Automatic Vehicle Location
BOS	Back-Office System (current OCTA Contractor – Cofiroute)
CAD	Computer Aided Dispatch
CCA	Cold Cranking Amp
CCTV	Closed Circuit Television
CHP	California Highway Patrol
CSC	Customer Service Center (current OCTA Contractor – Cofiroute)
Caltrans	California Department of Transportation
Channelizers	Delineators semi-permanently attached to the roadway surface using a bituminous mixture
DMS	Dynamic Message Signs
DMV	California Department of Motor Vehicles
EMS	Emergency Medical Services
ETC	Electronic Toll Collection
Express Lanes	Limited access toll lanes operated by OCTA which are separated from the General Purpose lanes on the SR 91 by channelizers
FCC	Federal Communications Commission
FHWA	Federal Highway Administration
FasTrak	Commercial name for the transponder unit used by OCTA for ETC
GPS	Global Positioning System
HAZMAT	Hazardous Materials
HOT	High Occupancy Toll
HOV	High Occupancy Vehicle

HVAC	Heating, Ventilation, Air Conditioning
ISEA	International Safety Equipment Association, a trade association of PPE manufacturers
ITS	Intelligent Transportation System
KPI	Key Performance Indicator
MHz	Megahertz, a measure of transmission speed (one million cycles per second)
MOT	Maintenance of Traffic
MUTCD	Manual of Uniform Traffic Control Devices
NCHRP	National Cooperative Highway Research Program
NIMS	National Incident Management System
NTP	Notice to Proceed
O&M	Operations and Maintenance
OCTA	Orange County Transportation Authority
PII	Personally Identifiable Information, also known as personal data
PM	Project Manager
PPE	Personal Protective Equipment
RCTC	Riverside County Transportation Commission
ROI	Return on Investment
SHRP2	The second Strategic Highway Research Program which defined a standard FHWA 4-hour TIM course taught across the nation
SLA	Service Level Agreement
SOP	Standard Operating Procedure
SOV	Single Occupancy Vehicle
SR 55	State Route 55 – also known as the Costa Mesa Freeway, owned and maintained by The California Department of Transportation (Caltrans)
SR 91	State Route 91 – also known as the Riverside Freeway, owned and maintained by Caltrans. Express Lanes on this roadway are operated by OCTA and RCTC within their respective counties.

SSP	Safety Service Patrol
TCA	Transportation Corridor Agencies
TIM	Traffic Incident Management
TLSI	Toll Lane System Integrator (current OCTA Contractor - Kapsch)
TOC	Toll Operations Center
TRDMS	Traffic Regulation Data Management System
TUB	Toll Utility Building (located in the median of SR 91)
V	Volt
VMS	Variable Message Signs

1. Introduction

The Orange County Transportation Authority (“OCTA”) is developing an Express Lanes program which encompasses the existing OCTA 91 Express Lanes (“91 Express Lanes”) and the planned Interstate-405 Express Lanes (“I-405 Express Lanes”) opening in 2023. OCTA is procuring services for performing Roadway Operations and Maintenance (O&M) to replace the existing services for the 91 Express Lanes. This Scope of Work includes the Project’s technical requirements to be performed by the Roadway O&M Contractor (“Contractor”).

2. OCTA 91 Express Lanes Project

The 91 Express Lanes is a four-lane, 18-mile tolled facility built in the median of California's Riverside Freeway State Route 91 (SR) -91) between the Costa Mesa Freeway (SR-55) in the City of Anaheim and Interstate 15 (I-15) interchange in Riverside County to serve the booming population traveling between the Inland Empire and Orange County. The OCTA 91 Express Lanes segment opened in 1995 and the Riverside County Transportation Commission (“RCTC”) 91 Express Lanes segment opened in 2017. OCTA operates the 91 Express Lanes from State Route 55 (SR-55) to the Orange County/Riverside County line. RCTC operates the 91 Express Lanes that extend from the Orange County/Riverside County line to the Interstate 15 (I-15) interchange in the City of Corona. This contract does not pertain to the RCTC portion of the 91 Express Lanes.

The 91 Express Lanes include an all-electronic toll collection (ETC) system at freeway speeds which does not accept cash on the road and requires all drivers to have a FasTrak® transponder to pay for the toll. There is no entry/exit except at the endpoints, so there is only a single bi-directional toll station in the middle of the 91 Express Lanes of each segment. Each Toll Zone consists of two tolled lanes for vehicles carrying two or fewer persons and one lane for vehicles carrying three or more persons. Vehicles on the 91 Express Lanes with three or more persons are required to access a dedicated High Occupancy Vehicle (HOV) 3+ toll lane at the Toll Zones. Vehicles on the 91 Express Lanes with three or more persons can use the facility toll free (although they still are required to have a Transponder), except when traveling eastbound on Monday through Friday between the hours of 4:00 PM and 6:00 PM. During that peak time, 3+ drivers receive a fifty (50)-percent discount on the posted toll. The discount policy also applies to zero emission vehicles, motorcycles, vehicles with disabled plates and disabled veteran plates.

Access Points provide access to the OCTA 91 Express Lanes to Single Occupancy Vehicle (SOV) and HOV vehicles. The following three points are provided:

- SR-91 eastbound west of the SR-55 junction, by a direct connector;
- SR-55 northbound west of the SR-91 junction, by a direct connector; and
- SR-91 westbound at the Orange/Riverside County line area, by an at-grade access.

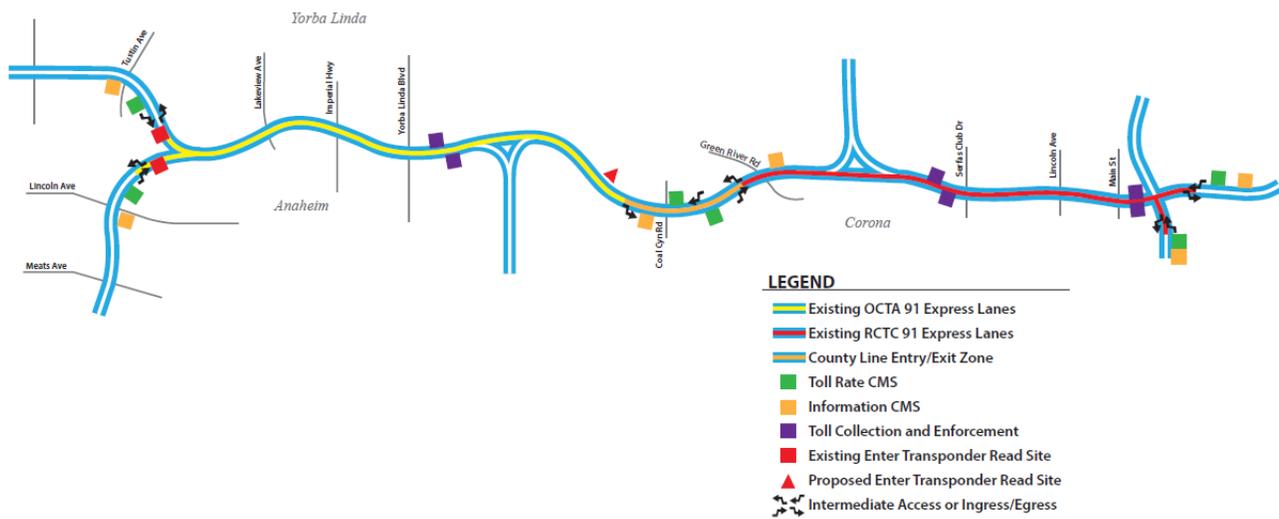
Transition Areas are access points where Express Lanes begin or end. The OCTA 91 Express Lanes will begin and end at three locations:

- On SR-91 at the Orange/Riverside County line area;
- On SR-55 at the SR-91 interchange; and
- On SR-91 at the SR-55 interchange.

Contractor shall be aware that the Transportation Corridor Agencies (TCA) is proposing to add a direct connector linking State Route 241 (SR-241) northbound to the eastbound 91 Express Lane and a direct connector linking the westbound 91 Express Lane to southbound SR-241. Both direct connectors would be configured to originate in the median of the 91 Express Lanes.

Figure 1-1: 91 Express Lanes Tolling Layout identifies the entry/exit and Toll Zone locations for the 91 Express Lanes and the RCTC Extension.

Figure 1-1. 91 Express Lanes Tolling Layout



The selected Contractor will need to coordinate with the existing OCTA 91 Express Lanes contractors in providing the defined services. These contractors are Cofiroute for the Back-Office System and Customer Service Center (“BOS/CSC”) and Kapsch for the Toll Lane System Integrator (“TLSI”).

The BOS/CSC will support both the OCTA 91 Express Lanes and RCTC 91 Express Lanes and are managed by the Cofiroute, making the entire SR-91 Express Lanes a seamless facility to the user. Contractor shall coordinate with Cofiroute, and at times RCTC, but it is not envisioned that Contractor will be providing services directly to RCTC.

Cofiroute provides the 91 Toll Operations Center (“TOC”) staffing that will provide support to the Contractor. The 91 TOC staff monitors the entire 91 Express Lanes supporting both OCTA and RCTC. The TOC staff will provide support in identifying incidents, debris, and other issues that require Contractor support. The Contractor will need to notify the 91 TOC staff of any identified issues with the pricing and information signs. The 91 TOC will also note in the Contractor provided incident monitoring and Automatic Vehicle Location

(AVL) software response times and other roadway operations KPIs. The Contractor will need to provide direct communications with the 91 TOC staff.

Kapsch provides maintenance to the toll equipment located on the OCTA 91 Express Lanes facilities. The TLSI maintenance staff will have access and work out of the Westbound Toll Utility Building (TUB). The TLSI also stores equipment in the OCTA 91 Express Lanes shed in the median. The TLSI will need to coordinate with the Contractor on lane closures, upkeep of the TUBs, and access to the shed.

OCTA Express Lanes Procurements

This procurement is following the TLSI and 91 Express Lanes BOS/CSC procurement. The selected Contractor for this procurement will be required to coordinate with the BOS/CSC and TLSI contractors. The BOS/CSC contractor for 91 Express Lanes will provide the TOC operators that the Contractor will interact with on a daily basis. The TLSI contractor will also be using the westbound TUB and 91 Express Lanes roadway facilities requiring coordination and support from the Contractor as needed. This coordination and support will be facilitated and directed by OCTA.

This Agreement is written to the 91 Express Lanes. Future connecting facilities may be added at the option of OCTA, subject to mutual agreement between the Parties. As an example, OCTA, RCTC and TCA are in discussions on a SR-241 to 91 Express Lanes connector that would be operated by OCTA and RCTC. This would require additional support from this Contractor for additional staff, vehicles and resources.

OCTA Express Lanes Roadway Operations and Maintenance (O&M)

Project Overview

The services under this Agreement include operating and maintenance activities designed to provide a high level of service to OCTA's customers. The successful Contractor will be expected to meet prescribed O&M performance standards for all activities using qualified staff and approved vehicles, equipment and materials. Operational activities generally include operating a Safety Service Patrol ("SSP") program to promote safety and rapid travel through the Express Lanes using Contractor-provided vehicles and staff. Maintenance activities will generally include overseeing and performing routine maintenance with the physical work responsibilities divided between the Contractor, (Caltrans), and other third-party vendors. The O&M activities and responsibilities, along with the performance standards, will be defined more fully herein.

Express Lanes Toll Policy

In 2003, OCTA adopted a Toll Policy for the 91 Express Lanes based on the concept of congestion management pricing. The policy is designed to optimize traffic flow at free-flow speeds. To implement the Toll Policy, OCTA monitors hourly traffic volumes. Tolls are adjusted when traffic volumes consistently reach a trigger point where traffic flow can become unstable. These are known as "super peak" hours. Given the capacity constraints during these hours, pricing is used to manage demand. Once an hourly toll is adjusted,

it is frozen for a period of time, currently six months. This approach balances traffic engineering with good public policy. Other (non-super peak) toll prices are adjusted annually by inflation.

The Toll Policy goals are to:

- Provide customers a safe, reliable, predictable commute;
- Optimize throughput at free-flow speeds;
- Increase average vehicle occupancy;
- Balance capacity and demand, thereby serving both full-pay customers and carpoolers with three or more people who are offered discounted tolls; and
- Generate sufficient revenue to sustain the financial viability of the 91 Express Lanes.

3. General Specifications

3.1 General

The General Specifications shall include performance and service delivery requirements of the Services under the Agreement reflecting the levels of service, safety and reliability that OCTA requires; and auditable requirements of Contractor performance by OCTA.

3.2 Services

3.2.1 Asset Maintenance Services - Services shall consist generally of the maintenance and repair of all of the infrastructure identified as Asset Maintenance Services in this Scope of Work and Requirements, which includes work activities that are unpredictable in nature, as implied by the response times, frequencies and other conditions specified herein or that are predictable in nature, where the quantity of work can be determined by the response frequency specified herein.

3.2.2 Safety Service Patrol - Services shall consist of providing specified vehicles/equipment/materials and qualified staff to support incident clearance and motorist/roadside services to promote safety and rapid travel through the Express Lanes. The Contractor shall provide uniformed Operators who will patrol the lanes for disabled vehicles, road hazards, incidents and any other interruptions which affect the safety and efficiency of the Express Lanes. Operators may tow vehicles, change tires, provide small quantities of gasoline, remove debris and help support the in-lane activities by the California Highway Patrol (CHP) and/or Caltrans when requested.

3.2.2.1 The 91 Express Lanes currently provides Safety Service Patrol services during the following hours:

Monday-Friday - 5:00AM to 9:00PM

Saturday – 8:00AM to 7:00PM

Sunday – 8:00AM to 9:00PM

3.3 Key Team Personnel

Contractor is responsible for maintaining and assigning a sufficient number of competent and qualified staff to meet the terms and conditions of the Agreement. Contractor shall ensure Key Team Personnel are readily accessible to OCTA during Contractor's performance of this Agreement. All Key Team Personnel for this Project are subject to the approval, replacement and removal Requirements of OCTA for Key Team Personnel as set forth in the Agreement. The Staffing Plan shall identify various staffing levels, including key managerial/supervisory personnel and operational capabilities. It shall clearly describe the functions and responsibilities of each staff member listed and tasks to be performed. The Key Personnel staff members are identified below.

3.3.1 Project Manager - The Project Manager is responsible for overall management responsibility for the Agreement and is the primary point of contact for OCTA. The Project Manager shall meet or exceed the preferred minimum experience:

- Full-time employee of the Proposer or its parent company for at least one year at the time of Proposal submission;
- Ten years' experience in Project Management, preferably in highway operations and/or highway maintenance;
- Five years of management responsibility, preferably for limited access highway maintenance and/or operations projects;
- No more than one moving violation on their driving record;
- Able to pass a standard background check and drug testing;
- The Project Manager shall be 100% dedicated to the project.

3.3.2 Supervisor/SSP Lead Operator - The Supervisor/SSP Lead Operator is responsible for oversight of the Project staff for the 91 Express Lanes and is responsible for Project Manager responsibilities in their absence or if delegated. The Supervisor/SSP Lead Operator shall meet or exceed the preferred minimum experience:

- 3 years' experience in highway operations and/or highway maintenance;
- 2 years of management responsibility for limited access highway maintenance and/or operations projects;
- 5 years of experience as SSP Operator, with 2 years as SSP Lead Operator;
- No more than one moving violation on their driving record;
- Able to pass a standard background check and drug testing;
- The Supervisor/SSP Lead Operator shall be 100% dedicated to the project.

3.4 Staffing - SSP Operators - All SSP Operators shall be sufficiently experienced in the tasks of tow truck operations and be proficient with all required SSP equipment to provide safe and proper service. The SSP Operators will be required to exercise good, sound judgment in carrying out their duties. SSP Operators shall meet or exceed the preferred minimum experience:

- 2 years prior SSP experience;
- Must be at least 20 years of age;

- Required to have safe driving record and possess a current California Class C driver's license.

4. Contract Specific Requirements

OCTA is seeking a qualified Contractor to provide experienced staff to deliver the scope of work and requirements for the 91 Express Lanes. Contractor services for the 91 Express Lanes will commence on July 1, 2021.

4.1 Safety Service Patrol (SSP) Service Requirements: The Contractor shall begin implementing requirements within fourteen (14) calendar days of the award of the contract or on the agreed upon date between OCTA and the Contractor.

4.1.1 Determine the time necessary to procure trucks and equipment, hire and train personnel, and commence Ride-Along Training on the roadways

4.1.2 Patrol Zones: The Contractor shall:

4.1.2.1 Ensure SSP Operators are patrolling as directed through designated patrol zones proactively to ascertain and detect any unreported debris or incidents. SSP Operators shall respond based on direct observation or via requests through the TOC to reported and unreported incidents.

4.1.2.2 SSP Operators are responsible for verifying the Variable Message Signs (VMS) are working while driving during rotation. In the event where the VMS camera(s) is not functioning, SSP Operators shall verify the posted toll rates on the VMS during peak hours or as directed by OCTA.

4.1.2.3 Support OCTA in developing reactive zone staging by defining staging area(s) in each patrol zone in which SSP Operators can park while awaiting immediate response to dispatch. Contractor and OCTA shall determine when staging is to be performed, but possible scenarios include: Peak travel times when proactive patrolling would keep SSP Operator away from areas with historically high rates of incidents.

4.1.2.4 Identify appropriate temporary safe areas and designated CHP drop location prior to initiating operations; OCTA will make final approval. If the designated safe area/designated CHP drop location is a business, the length of time that a vehicle is allowed to remain on-site before the business may have the vehicle removed at the owner's expense should be predetermined and clearly relayed to the vehicle owner. The Contractor shall not receive any payment or compensation of any kind from such businesses in connection with, or as a result of, the SSP services. Failure to comply will be grounds for termination of the contract.

4.1.3 SSP Operators shall:

4.1.3.1 Be available to assist motorists and perform other duties immediately upon arrival at the patrol zone.

4.1.3.2 Provide clear and accurate information regarding incidents and the response required using standard protocol to communicate with the TOC Operators, law enforcement, ambulance, fire department, or towing services using radio, telephone, CAD, and e-mail.

4.1.3.3 Clear light debris from roadway (e.g., tires, hubcaps, ladders, buckets, lumber, upholstered cushions, mattresses, bicycles, dead animals, loose channelizers, etc.) and move from the travel lane to a safe location off the paved surface in accordance with local ordinances and regulations. The Contractor is responsible for the final disposition or disposal of debris from the roadway or paved shoulder area.

4.1.3.4 Immediately record the location of the debris and inform a TOC Operator.

4.1.3.5 Request assistance from another SSP Operator if size or weight impedes removal of debris after initial attempt. If both SSP Operators are unable to clear the debris or obstruction, notify the TOC and request appropriate removal resources or equipment be dispatched to the scene.

4.1.3.6 Not handle but recognize hazardous materials and report spills of hazardous materials immediately to the TOC Operator to request CHP assistance.

4.1.3.7 Contact TOC Operator and request assistance should SSP Operator find a live animal loose or in a vehicle otherwise unoccupied.

4.1.3.8 Locate, assist, or remove disabled vehicles from travel lanes. The SSP Operators shall provide assistance (e.g., change a flat tire, supply gasoline) in an effort to make a vehicle operational or move disabled vehicles to the nearest safe area. SSP Operators will remove the vehicle from the Express Lanes to the nearest safe area before rendering assistance. All costs of service are to be borne by the Contractor. Services include, but are not limited to:

- Changing flat tires.
- Adding air to low tires.
- Adding gasoline at a volume sufficient to enable motorist to reach its closest fueling location.
- Providing SAE 30 grade motor oil (1 quart maximum).
- Adding water to radiators.
- Providing battery jump starts.
- Performing minor vehicles repairs where feasible if the repair can be completed within ten (10) minutes.
- Calling for towing service or emergency service.
- Transporting stranded motorists to a safe location off the roadway.
- Providing cell phone service.
- Providing drinking water to stranded motorists.

4.1.3.9 Clear lane blocking traffic incidents and assist other emergency and support response personnel as requested, concerning a crash or other emergency. Such assistance may include assisting CHP with traffic breaks, removing minor non-injury incidents or notifying and assisting local law enforcement in the event of a crash or both.

4.1.3.10 When notified of an incident by the TOC, the SSP Operator shall arrive on the scene and immediately initiate appropriate service. Response times will be set as a part of the contract SLAs. The Contractor shall document the circumstances for each incident for which response goals were not met. For evaluation purposes, respondents shall determine estimated response time based on a twenty (20)-minute goal.

4.1.3.11 At the scene of an incident, SSP Operators shall follow the instruction of, and obey the orders of on-scene emergency response personnel per Traffic Incident Management (TIM) Incident Command & Management guidelines. If the SSP Operator disagrees with the ranking official (e.g., fire, police), the SSP Operator may propose an alternative approach based on their unique knowledge and experience. If the ranking official chooses to pursue the original approach over the alternative, the SSP Operator shall not question the decision further on-scene but shall make note of the incident so it can be later evaluated by OCTA. If appropriate, OCTA will discuss with appropriate parties offline to improve policies for the future.

4.1.3.12 The SSP Operator shall render assistance to other emergency and support response personnel when requested.

4.1.3.13 Provide initial and updated on-site information to the TOC as conditions change according to FHWA TIM incident stage definitions or routinely (e.g., every 15 minutes) as appropriate depending on incident conditions. Immediately notify the TOC of:

- An incident requiring emergency services.
- Major incidents resulting in road or lane closures.
- Fires near or on the roadway.
- Large spilled loads or large debris.
- Roadway flooding.
- Road damage or other damage needing repair.
- Incident involving mass transit vehicles.

4.1.3.14 Respond to and initiate clearance procedures for minor, property- damage-only vehicle crashes that pose a safety hazard or result in traffic congestion when applicable.

4.1.3.15 Provide basic first aid services in accordance with standard and necessary practices until trained emergency responders arrive on the scene.

4.1.3.16 Extinguish minor vehicle fires and report larger fires to the TOC.

4.1.3.17 Oversee the mitigation of the impacts of motor vehicle fluid spills (e.g., lubricants, fuels) in quantities estimated to be less than twenty-five (25) gallons. Mitigation is the responsibility of Caltrans. Notify TOC and OCTA immediately and provide periodic updates if quantities exceed twenty-five (25) gallons. Such services may include:

- “Plugging” the leak at the source.
- Containing any spilled material through diking or soil berm.
- Providing quick clean-up using absorbent materials.
- Establishing traffic control and scene protection using signs, battery operated flares, cones, flagging, flashing lights, etc. during major incidents.
- Observing dynamic message signs (VMS) and traffic flow conditions and reporting major problems to proper authorities;
- Reporting road damage to OCTA and TOC.

4.1.3.18 Participate in meetings (one SSP Operator designate minimum), and as-needed incident debriefs or after-action reviews (each SSP Operator involved in the subject incident).

4.1.3.19 Contractor shall coordinate with BOS/CSC Operator with general risk management activities including but not limited to: gathering information for subrogation claims, supplying information for accident investigations and responding to insurance claims, to assist with insurance recoveries from property damage or loss of business income from incidents on the Express Lanes or adjacent general-purpose lanes, which result in lane closures of the Express Lanes.

4.1.4 Severe Weather Events: The Contractor shall:

4.1.4.1 Make resources available for providing services during an earthquake or other emergency level event, as directed by OCTA. Responsibilities shall include keeping the evacuation routes clear of debris or disabled vehicles and keeping all lanes of traffic open.

4.1.4.2 Ensure SSP Operators remain in operation and continue to patrol their designated Patrol Zones during severe weather events (e.g. fire evacuations, earthquakes) until OCTA or California Highway Patrol determines it to be unsafe for vehicles to remain on the roadways.

4.1.4.3 If asked to expand the designated service area (using the same number of vehicles), provide disabled vehicle assistance until such time as normal traffic operations have resumed.

4.1.5 Authorized Leave from SSP Zone shall involve the SSP Operator notifying and receiving clearance from the Contractor or OCTA before leaving assigned patrol zone. Authorized leave shall include, but not be limited to:

- Times other than peak periods.
- Mechanical failure of the SSP vehicle. In this case, the Contractor shall provide a backup vehicle within one hour. If the Contractor cannot provide a backup vehicle within the 30-minute timeframe, notify OCTA immediately.
- Change SSP Operators at the end of a shift (not during peak hours).
- Circumvent a queue to reach an incident or a lane blockage.

- Assist another SSP Operator in an adjacent zone within the OCTA Express Lanes project limits.
- Respond to a request from law enforcement or another emergency response agency.
- Provide assistance in support of a special event, natural disaster, or emergency evacuation.
- Re-fuel SSP vehicles (facility not to exceed two miles from the highway exit ramp).
- Rest and meal periods

4.1.6 Incident Tracking, Documentation and Performance Monitoring: The SSP Operators shall:

4.1.6.1 Track or report incident status changes through, at a minimum, but not limited to, the following methods:

- TOC operator via radio.
- TOC via phone.
- Dashboard cameras in each vehicle.
- ITS software via in-vehicle computer system.

4.1.6.2 Maintain an electronic activity log completed daily during and after each incident and make the log available to OCTA upon request. The Contractor shall provide a mount and power connection for a wirelessly connected computer or mobile device. Handwritten logs shall only be used as a backup in the event the laptop or tablet is not functioning. The Contractor shall convert any handwritten log data into a standard electronic format approved by OCTA.

4.1.6.2.1 The daily activity log shall, at a minimum, detail the following:

- In-service information including the log entry day, time, SSP Operator's name, SSP vehicle number and odometer reading at the beginning and end of each shift.
- Method of SSP incident notification (i.e., observed through routine patrol or dispatched).
- Incident response, roadway, and incident clearance times based on when they arrive at the scene.
- Response time: Time when SSP Operator was notified of an incident and time when they arrived at the scene.
- Roadway clearance time: Amount of time taken to clear all blockages from roadway and travel lanes were again available for traffic.
- Incident clearance time: Time when SSP Operator and/or last emergency or support responder left the scene of the incident.
- Regional location of each incident including the travel direction and milepost or reference marker or both.
- Roadway location of each incident including lane designation, access or exit ramps, etc.

- Whether the incident is isolated or occurred as a result of a prior incident (i.e., secondary incident).
- Nature of each incident including whether it involved an abandoned vehicle, debris, a non-injury crash single-vehicle or multi-vehicle crash, an injury crash single-vehicle or multi-vehicle crash, a fatality crash single-vehicle or multi-vehicle crash, fire, non-hazardous material spill, hazardous material spill, etc.
- Nature of SSP services provided including clearing debris, providing minor mechanical assistance (e.g., changing a flat tire, providing fuel), relocating vehicles from the travel lanes, provide temporary traffic control and scene protection for other responders, etc.
- Extent and duration of any lane or roadway closures.
- On-site participation by other emergency and support responders (i.e., specific law enforcement, fire and rescue, emergency medical services, towing and recovery, transportation, coroner, environmental quality, or media agencies).

Additional information recorded in the daily activity log may include: assisted motorist's name, vehicle's make, model, body type, and license plate number, any damage evident before or after pulling or pushing the vehicle, weather conditions and any other pertinent information or comments.

4.1.7 Engage the Motorists – The SSP Operator shall:

4.1.7.1 Prior to providing services, advise the motorist of the following:

- Move, fuel, service the vehicle or call a tow service is being provided free of charge by SSP Operator through funds made available by the OCTA.
- The SSP Operator will attempt minor repairs not to exceed approximately 10 minutes once the vehicle is cleared from the travel lanes.
- Should repairs not prove feasible or solve the problem, the motorist will be allowed up to three telephone calls using the SSP Operator's cellular telephone to make arrangements for further service, towing, or transportation.
- All costs for further service, towing, or transportation must be paid by the motorist.

4.1.7.2 Not charge any fees, accept any gratuities, recommend or comment on the quality of any specific towing or repair service. Violation of this requirement shall constitute grounds for immediate removal of the Operator or termination of the contract or both.

4.1.7.3 Provide the motorist with a copy of the California Vehicle Code Division 11, Chapter 10, Article 1 printed on a card which details the driver's responsibilities to move the vehicle and authorizes a peace officer to remove the vehicle without driver consent if a vehicle must be relocated to a safe location (i.e., because it is blocking a travel lane or otherwise deemed a traffic hazard).

- If the motorist consents, The SSP Operator shall then use an appropriate method of moving the disabled vehicle from the traffic lanes. SSP Operator shall be trained and able to move the vehicle from travel lanes to a location through providing minor mechanical repairs or supplies enabling the vehicle to be removed under its own power, or utilizing the push bumper to push the vehicle or utilizing tow straps to pull or drag the vehicle with one single-operator SSP vehicle.
- If the motorist refuses to move or have the vehicle moved, contact the TOC who will, in turn, contact CHP or other authorized law enforcement agency for assistance, and remain on the scene until law enforcement personnel arrive. Under these circumstances, the SSP Operator shall not attempt to move the disabled vehicle until directed to do so by the CHP or other authorized law enforcement agency. The SSP Operator shall not attempt to move disabled vehicles where injuries or fatalities are involved until directed to do so by law enforcement personnel. CHP will call for a private tow and wait with the vehicle.

4.1.7.4 Once the vehicle is relocated, advise each motorist that they have the option to request a towing service or make their own arrangements for removal of their vehicle from the safe area, off-ramp, etc. If a motorist does not request a specific towing service or repair facility, the SSP Operator shall contact the TOC operator, CHP or other authorized law enforcement agency as directed by OCTA and request that a towing service be provided through the local jurisdiction towing service contractor. In no event shall the SSP Operator provide or recommend any towing, repair service or facility to the motorist. The motorist must move their vehicle from the right-of-way within the timeframe of local and/or state law or the vehicle may be impounded at the owner's expense.

4.1.7.5 Never leave a motorist stranded with a disabled vehicle in a potentially unsafe or dangerous location on the roadway. The SSP Operator shall remain with a motorist in dangerous environments until help arrives or the motorist can be relocated to a safe area. The SSP Operator shall also remain with a motorist who expresses concern over their safety if the SSP Operator leaves. The SSP Operator shall, at the request of the motorist, transport the motorist and passengers to the nearest safe area within the Patrol Zone. Immediately prior to transporting any motorist, the SSP Operator shall communicate the location and the beginning mileage to the TOC. Immediately upon arrival at the drop-off point, the Operator shall again communicate the mileage and the fact that the transport is complete. The SSP Operator shall not transport a motorist or passengers to a private residence.

4.1.7.6 Motorist Comments - The SSP Operator, at its expense, shall utilize an electronic system to solicit, record and report Motorist Comments to OCTA. The Contractor shall propose a suitable system within its RFP response, and it will be subject to OCTA's review and approval for use.

The Contractor shall adhere and ensure that any collected PII is protected in accordance with Section 31490 of the California Streets and Highways Code and any other applicable federal and California statutes.

4.1.8 Staffing, Training and Safety:

4.1.8.1 Staffing: Contractor shall provide optimal staffing requirements for personnel and vehicles to provide coverage. Additional coverage may be required when requested and approved by OCTA. Recommended staffing includes but is not to be limited to:

- SSP Operators
- Supervisor/SSP Lead Operator
- Project Manager
- Training Personnel

4.1.8.2 Shift Schedule: Contractor shall provide a detailed schedule for personnel to fulfill all service requirements to provide coverage as defined.

4.1.8.3 Training Requirements: Contractor shall hire and train SSP Operators to meet the timeline for roadway coverage. Training shall include but not be limited to:

- Seven stages of Traffic Incident Management (TIM) according to FHWA standards
- Safe Practices for Traffic Incident Responders.
- First Responder basics of Incident Command System (ICS).
- Training and certification in CPR and Basic First Aid.
- Certified Defensive Driving Course within the last year.
- Training and certification in Basic Maintenance of Traffic (MOT): SSP Operators are required to have training on Chapter 6 of the CA MUTCD involving setting up MOT. This training shall be obtained from a firm or individual certified to teach a MOT Training Course. If a new employee is not able to immediately attend MOT training, then the Contractor shall show them a training video in conjunction with hands-on training so the new employees understand the basic safety principals of MOT. This process shall only be used to temporarily satisfy this requirement for new employees until the Operator can attend the required training. SSP Operators are required to attend a refresher MOT course annually. Personnel also required to have the following additional training:
 - PM: SHRP2 Responder Training; NIMS courses IS-100, IS-200, IS-300, IS-400, IS-700, and IS- 800.
 - SSP Trainer: SHRP2 Responder Training; NIMS courses IS-100, IS-200, IS-300, IS-400, IS- 700, and IS-800
 - Shift Supervisor: SHRP2 Responder Training; NIMS courses IS-100, IS-200, IS-700, and IS-800
 - SSP Operator: SHRP2 Responder Training; NIMS courses IS-100, IS-700

4.1.8.3.4 On-road iterations – SSP trainees shall conduct at least 10 iterations of common tasks prior to completing training:

- Pushing vehicle.
- Pulling or dragging vehicle. Pacing traffic.
- Hand stopping traffic. Extended traffic control. Fuel transfer.

4.1.8.3.5 SSP Operators hired after contract award shall be required to obtain the above training and certifications within 60 calendar days of hire. The cost for training and certifying operators is the responsibility of the Contractor. If the Contractor chooses to conduct their own training, the Contractor shall be fully certified and licensed (if required) to conduct the training. All Operators shall be trained as noted prior to working independently within the Express Lanes.

4.1.8.3.6 Each SSP Operator shall use radio, telephone, and e-mail to communicate with OCTA personnel, including maintenance and construction personnel, ITS software technicians, and OCTA management as appropriate, regarding incidents, traffic, road, maintenance and construction activity, and related weather conditions. They shall:

- Ensure all radio communications are in compliance with FCC rules and regulations (adhering to radio protocol and procedures and using proper 10-codes as may be directed). Contact appropriate supervisory personnel to advise of inappropriate communications.
- Use ITS software in SSP vehicles to accurately record incident status in accordance with TO-T7 federal TIM states.
- Review and adhere to supplemental communications procedures provided by OCTA or designee. These procedures detail the appropriate use of radios, cellular telephones, GPS, and public address systems for exchanges between SSP Operators and TOC, other SSP operators, emergency and support responders, and motorists.

4.1.9 Safety Rules and Regulations: The SSP Operators shall follow the all safety rules, regulations and standard operating guidelines. The SSP Operator shall wear reflective shirts and pants that meet and are labeled as meeting ANSI/ISEA 207-2006 Standard, or newer, at all times while assisting motorists or conducting any business on any roadway or shoulder (reflective clothes shall be replaced immediately if damaged or visually faded or discolored or both). The SSP Operator shall wear appropriate reflective rain gear that meets and is labeled as meeting Class Two ANSI/ISEA 107-2004 Standard, or newer; and has the word, "SSP" (or other approved acronym) in large block letters, in a contrasting color, on the back of the rain coat or jacket and as approved by OCTA. Uniforms shall be approved by OCTA and shall bear the appropriate logos for the 91 Express Lanes.

4.1.10 Vehicle and Fleet Requirements: Contractor is responsible for procuring and maintaining the service vehicles during the term of the Agreement. Diesel and gasoline fuel shall be provided by the Contractor.

4.1.10.1 Vehicles: All vehicles, equipment and materials provided by the Contractor in the performance of the services shall remain the property of the Contractor upon completion of the

contract. The Contractor shall inspect assigned SSP vehicles at the beginning of each shift and take action as necessary to ensure the vehicles are in compliance with all specifications and requirements and are fully stocked.

4.1.10.2 Vehicles in Service: All vehicles shall meet the specific vehicle requirements listed in this specification. "Hot-seating" is allowable for patrol vehicles (using the same vehicle for multiple shifts in a single day). The Contractor shall have the following number of vehicles:

- Two (2) Ford -550 or equivalent (flatbed tows)
- Three (3) Ford-250 Extended Crew Cab or equivalent

4.1.10.3 Vehicle Specifications: Since the 91 Express Lanes are located on the median of the freeway, vehicles and equipment shall be, when feasible, designed for providing assistance to motorists on the median.

For the flatbed vehicles: At least a Ford 550, Ram 5500 or equivalent 6-ton SLT 4x2 with a JerrDan 20SRR6T Rollback carrier deck or equivalent.

- 6.7L Straight 6 Cylinder Cummins Diesel 4X2 19, 500lb.GVWR or equivalent
- Rear wheel drive
- Air conditioning
- Automatic transmission
- Tow truck car carrier, 20SRR6T-LPW XLP (LCG) JerrDan rollback 20ft X 102in wide steel diamond deck. with side recovery system (SRS).
 - Prefer load angle of 7.5 degrees capable for low profile vehicles.
 - Recommend removable side rail
 - SRS Specs
 - 10,000 lb. high speed planetary winch
 - Winch cable tensioner
 - Access winch remote free spool release (manual or air)
 - Independent hydraulic stabilizer legs
 - Fits varying frame heights from 32" to 42"
 - Quick switch pivoting recovery boom (no assembly required)
 - Allows recovery from either side of the vehicle with a simple pin release allows the boom to swing from one side to the other
 - Twelve tie-back locations
 - Snatch block and galvanized shackle
 - Independent hide-away flip down claw/spade with dual stabilizing feature
 - Wireless remote-control system for all functions (with manual overrides)
 - Fully Adjustable Light Pylon
 - Mechanical/hydraulic locking features on all functions
- 6 ton capacity
- Removable steel rails
- 3,500lb hydraulic wheel lift with L-arms

- Lift Capacity: 3,500 lb.
- Tow Capacity: 10,000 lb.
- Maximum Extended Reach: 68"
- Grounded Approach Angle: 3°
- Deck winch should have 120-132" of wire rope
 - 10,000 lb. with 7/16" x 56' wire rope
- 22 head LED light bar plus lighting to ensure visibility
- 2- 48" toolboxes
- Pushbumper
- Reflective conspicuity markings as stated in 4.1.10.10
- On-board hydraulic pressure gauges
- Single sheet decking
- Combination winch cable guide roller/tensioner plate
- Manual or air-controlled winch-free spool
- Dual manual free spool
- Corrosion-resistant lightened dual control stations (plus a wireless remote)
- Federal Motor Carrier Safety Administration DOT 393 compliant crash protection headboard

For the standard Patrol vehicles: The Patrol Vehicle is a pick-up body truck with an integrated cap. OCTA recommends that pickup body trucks be one of the following:

- Ford F-250 Extended Cab (or equivalent to provide for the transportation of up to four (4) passengers) with 8' box with factory installed
 - Power locks
 - Power windows
 - Power mirrors
 - Cruise control
 - Backup camera
 - HD alternator
 - Upfitter switches
 - Bed spray bed liner
 - Rear tinted glass.

The pickup body truck will be upfitted with boxes, lights, consoles and tools which vary based on the current fleet design.

The following table describes the following standard features and items. Manufacturers /Brands listed below can be of equivalent kind:

Patrol Vehicle Standard Features and Items	
Patrol truck frame	2 LED Whelen or Federal Signal Amber Light Heads attached to the push bumper and/or grille
Patrol truck frame paint	2 Fire extinguisher brackets
Reading Pickup Style Cap-Space Cap Model	Cone storage tray that can roll out
Z-lift underreach tow package	Back up alarm
18" Front push bumper - Frame Mounted	Inverter with 4 receptacles
Jack storage box, lockable	Split Phase LED Amber Whelen or Federal Signal Light Bar with Alley Lights and Front Facing Take Down Lights as stated in 4.1.10.4
Side steps (running boards – full length)	1 LED Amber Whelen or Federal Signal Traffic Advisor Light on the rear of the truck.
2 LED Whelen or Federal Signal Amber Light Heads attached to the rear bumper and/or rear bed	4 LED Whelen or Federal Signal Amber Light Heads attached to the side of the truck front and rear. Two lights on each side

4.1.10.3 Vehicle Coloring and Markings: Contractor shall recommend vehicle color and identification markings. OCTA will have editorial freedom and will approve the design and placement of all identification markings.

- No reference to the Contractor’s name or logo shall be placed on the SSP vehicle.
- All markings shall be maintained in a clean and readable condition.
- OCTA defined brand logos for the 91 Express Lanes and OCTA shall be installed on the front driver and passenger side doors as directed.

4.1.10.4 Vehicle Accessories: The Contractor shall equip all vehicles with the following accessories. Manufacturers/Brands listed below can be of equivalent kind:

- Equipment to safely move (tow or push) vehicles.
- Front and rear-mounted power outlets (“hot boxes” or equivalent) compatible to 12-V booster cables.
- Two heavy duty batteries located under the hood with 850 Cold Cranking AMP (CCA) minimum and dual battery switch.
- Roof mounted warning strobe light bar with front to rear directional flashing capability, equipped with removable lenses and an on/off switch in cab that complies with California Vehicle Code Division 12, Chapter 2, Article 7, Section 25253 “Flashing and Colored Lights”; meets or exceeds the recommendations provided in the National Cooperative Highway Research Program’s (NCHRP) Report 624: Selection and Application of Warning Lights on Roadway Operations Equipment and any additional specifications provided by OCTA.
- Whelen or Federal Signal Emergency light switch panel with integrated public address system with external speaker and “air horn” feature 100 watts minimum that is connected to the radio system in such a way that radio transmissions can be broadcast over the speaker.

- Radio Console w/Cup Holder to accept the VHF Mutual Aid 2-way Radio, CB Radio and Light/PA Switch Panel
- Uniden 980 SSB CB radio with K40 roof mounted Antenna
- Roof Mounted GOLIGHT Stryker HID w/wireless remote (white in color).
- Suitable cab lighting that allows operator to complete paperwork, etc.
- All equipment and supplies shall be securely stored and attached and, when appropriate, in reach of the driver without distraction to driving safely and in accordance with location laws and ordinances. Storage compartments shall feature roll-up doors or other mechanism to maximize accessibility.
- Gas can storage racks, lockable – 3
- Minimum of three 2-gal. unleaded gas containers (to fit in lockable racks)

4.1.10.5 Vehicle Availability: A backup vehicle shall be used when a regular, dedicated vehicle is taken out of service for any reason. The backup vehicle shall be of the same type of the vehicle being replaced and shall be equipped the same as and perform all the functions of a regular vehicle. The Contractor shall deploy the backup vehicle in service as a replacement within 30 minutes of a regular vehicle breakdown. If the replacement vehicle is not placed into service within 30 minutes, OCTA shall reduce the monthly invoice to reflect the time the service patrol was unavailable, as agreed to per Agreement SLAs. In the event of recurring unavailability of vehicles on patrol, OCTA has the right to terminate the Agreement for non-compliance with the conditions outlined in this solicitation.

4.1.10.6 All SSP vehicles are restricted for SSP official use only, are to be used to provide the services, and must display the proper carrier identification number in accordance California Vehicle Code Section 27907, and as per California Vehicle Code Article 3.5. Assuring vehicle availability during the entire service period is the responsibility of the Contractor. SSP vehicles are not to be used for personal or other non-OCTA business-related work of the Contractor. Covering OCTA identification logos or markings shall be prohibited. Should an SSP vehicle become permanently inoperable for any reason or should the Agreement be terminated for any reason, the SSP vehicles shall have all logos referencing this solicitation permanently removed before being junked, sold, or placed in private service.

4.1.10.7 SSP Vehicle Fleet Age and Condition. All the vehicles in the Contractor's fleet shall be new (less than 1000 miles) at the beginning of the Agreement. At no time shall any vehicle in service have greater than 200k miles (gasoline) or 250k miles (diesel). Replacement of vehicles prior to these odometer readings shall be the responsibility of the Contractor. All vehicles are the Contractor's responsibility during the term of the Agreement. The Contractor shall maintain verifiable maintenance records available for each vehicle that show the vehicle was consistently maintained according to manufacturer's service and interval recommendations.

4.1.10.8 Vehicle Maintenance: Contractor shall manage all aspects of servicing and repair its vehicles.

- The SSP vehicles shall be kept neat and clean and shall be maintained in conformance with requirements of the California Vehicle Code and applicable California statutes. The

Contractor shall perform all necessary SSP vehicle maintenance outside of the service periods specified herein.

- Vehicle exteriors and interiors shall be kept neat, clean and polished. All equipment that would provide safety, service, and comfort for the Operators (e.g., air conditioners/heaters, reading lights) shall be in working order. If a vehicle is found with non-working items, it shall not be assigned to patrol duty until the items are repaired or replaced.
- If a vehicle is in a crash or other incident, it shall not be placed back into service until fully repaired. In the interim, the “back- up” vehicle shall be placed in service, and a temporary “back- up” (fully equipped) vehicle will be assigned. All repairs shall be done at the expense of the Contractor.

4.1.10.9 Vehicle Inspections:

- Initial Inspection: The Contractor shall inspect each patrol vehicle and its associated equipment, accessories and parts to ensure the vehicles meet all specifications and requirements. The Contractor shall perform similar inspections throughout the term of the Agreement. Any deficiencies noted during these inspections shall be corrected immediately prior to deploying SSP Operators and vehicles to their Patrol Zones. The Contractor shall fully document all inspections and provide copies to OCTA on a monthly basis.
- Periodic inspections: All SSP vehicles and associated equipment, accessories and parts shall be subject to periodic inspection by OCTA. Unsafe, poorly maintained vehicles, or improperly equipped vehicles, as determined by OCTA shall be removed from service and replaced at no cost to OCTA. The Contractor shall replace vehicle(s) removed from service within thirty (30) minutes of receiving notification to do so from OCTA.

4.1.10.10 Other Required Markings: SSP vehicles shall also have the following prismatic vehicle conspicuity markings of a single 2-inch wide strip(s) of reflective tape applied so as to cause the limits of the truck from any angle to be visible at night when illuminated by oncoming traffic. The tape should be applied at a minimum height of 4 feet but may vary according to truck or body configuration. On the rear of the vehicle, the tailgate shall have reflective inverted V-shape chevron alternating fluorescent red and white colors. Gaps in the tape where members protrude or the configuration does not lend itself to tape application shall be considered normal. Final vehicle marking requirements will be agreed to by OCTA and the Contractor to meet OCTA and California requirements.

4.1.11 Vehicle Supplemental Equipment, Material and Supplies Requirements: Contractor shall provide the following equipment, materials, and supplies to be carried in each of the SSP vehicles. The Contractor is encouraged to install/provide any additional equipment, materials, and supplies that will aid and add to safe operation by the Operators. Such equipment, materials and supplies shall be consistently available in each of the vehicles. Unless otherwise specified, the Contractor is responsible for all cost associated with the procurement, production, operation (e.g., service fees), repair, or replacement of required equipment, materials and supplies throughout the term of the contract.

4.1.11.1 Automatic Vehicle Location (AVL):

- Real time GPS tracking system units to identify patrol vehicles locations are required in all SSP vehicles and will be monitored by the Contractor and others at the direction of OCTA.
- The Contractor shall be responsible for verifying compatibility and interoperability with each mobile GPS unit and for all costs associated with the GPS Tracking system throughout the term of the Agreement.

4.1.11.2 Communications: Contractor shall provide and install a communications system with the following features:

- Secure 800 MHz or similar type. Shall serve as the primary communication system.
- Contractor will ensure radio coverage is available during SSP operating hours throughout the coverage area.
- Radios in the SSP vehicles to communicate with the TOC. Two (2) units shall be available to the TOC throughout the term of this Agreement.
- Mobile telephone for on-the-job use by the SSP Operators (i.e., to communicate with other emergency and response personnel) and motorists requiring assistance.
- In vehicle laptop computer or mobile device with wireless or other internet connection to be used for computer aided dispatch, incident tracking, and other official business capable of supporting ITS software as directed by OCTA.

4.1.12 Personal Protective Equipment (PPE): Contractor's proposed PPE shall be approved by OCTA.

- ANSI/ISEA 207 reflectorized full uniforms.
- Leather gloves.
- Safety goggles.
- Hard hat.
- Steel-toed boots.

4.1.13 Tools: Contractor shall provide all tools, fluids, mechanical items, and miscellaneous items required to perform the service. Contractor shall provide the list of items Contractor plans to include on each truck as part of its proposal. Examples of these items are listed below:

- First Aid kit, fully and continuously stocked.
- Individually sealed, 16-ounce bottles of drinking water (minimum of 12).
- Eye wash kit.
- Two ten-pound dry chemical ABC fire extinguishers meeting all safety requirements. If seal is broken, unit shall be tested, resealed, and certified.
- Lockable toolbox or boxes for storage.
- Six (6) traffic cones, minimum size of 28"
- Minimum of two each, tow straps rated at 3,000 pounds.
- Minimum of four each, safety chains at least 5 feet in length.
- Radios to communicate with the TOC, 2 units shall be provided to TOC

- Documentation
 - Laptop computer or tablet.
 - Digital camera or company-issued cellular phone.
 - Comment card system.
 - Towing and Recovery Association of America (TRAA) vehicle identification card.
 - Cards printed with California Vehicle Code, Division 11, Chapter 10, Article 1 (which cites California Penal Code Part 2, Title 3, Chapter 4.5, Section 830 defining a Peace Officer) which details the driver's responsibilities to move the vehicle and authorizes a peace officer to remove the vehicle without driver consent to provide to customers.
 - Business cards identifying the service and contact number for comments and questions.
 - HAZMAT guide book.

4.2 Asset Maintenance Services

Many of the 91 Express Lanes assets are found at the lane level. The Contractor shall be responsible for the professional and efficient operation and maintenance of these assets to ensure the mission of the OCTA to offer a safe, reliable trip to its customers is optimally achieved.

4.2.1 Asset Maintenance

The Contractor shall oversee and/or provide full-service maintenance and administration for 91 Express Lane lane-level assets as listed in the table below (with the assistance of other specialized services/contractors provided by OCTA as defined in the Agreement). These activities shall include but not be limited to:

- Coordinating regularly scheduled and emergency roadway maintenance performed by Caltrans
- Monitoring of the variable message signs, HVAC units, lane-level equipment (not including the Electronic Toll and Traffic Management equipment) and coordinating maintenance/repairs with other third-party contractor
- Providing oversight and support for minor construction/repair projects on the lanes
- Inspecting, monitoring and managing facility components including landscape, drainage, road lighting and reflectivity, backflow system and channelizers, and coordinating emergency repairs with other third-party contractor
- Overseeing regular and ad hoc inspections of roadway and equipment, inspecting striping, vehicle lane usage, signage, concrete barriers, metal beam guard rails, crash cushions and drainage inlets.

The table on the following page outlines the demarcation of responsibilities for the various assets to be maintained on the 91 Express Lanes. It is the responsibility of the Contractor to verify assets and confirm quantities for producing its price proposal. Activity	Contractor Responsibility	Caltrans Responsibility	Frequency
Janitorial service for Toll Utility Buildings (TUB)	X		Daily/Weekly
Maintain TUB	X		As needed
Storage Shed maintenance and repair	X		As needed
Septic tank service	X		Twice monthly
Pest control	X		As needed
Weed abatement	X		Monthly
Maintain Toll Plaza HVAC Units	X		Quarterly
Portable generator for Pricing & Information Signs	X		One-time purchase
Other Roadway Lighting	X (identifies/inspects)	X (peforms work)	Work ID is upon discovery; inspection every 3 weeks
High mast lighting maintenance	X		Twice a year

Drainage	X (identifies/inspects)	X (peforms work)	Work ID is upon discovery; inspection every 3 weeks
Backflow testing	X		Annually
Crafco Bituminous Machine	X		Quarterly
PEXCO FG 336 Channelizers including base and adhesive strips	X (purchases materials, assembles the units, inspects, refurbish any reusable channelizers)	X (performs work)	Every 3 weeks
Striping/pavement markers	X (identifies/inspects)	X (purchases materials, performs work)	Work ID is upon discovery; inspection every 3 weeks
Crash cushions	X (identifies/inspects)	X (purchases materials, performs work)	Work ID is upon discovery; inspection every 3 weeks
Monitoring and performing maintenance on VMS	X (identifies/inspects, coordinates maintenance/repair with other third-party vendors)		Connecting generator is immediate upon discovery; arrange repair work as needed and inspect to ensure it has been performed properly

Concrete barriers	X (identifies/inspects)	X (purchases materials, performs work)	Work ID is upon discovery; inspection every 3 weeks
Metal beam guard rails	X (identifies/inspects)	X (purchases materials, performs work)	Work ID is upon discovery; inspection every 3 weeks
Pavement maintenance/pothole repairs	X (identifies/inspects)	X (purchases materials, performs work)	Work ID is upon discovery; inspection every 3 weeks
Glare guards	X (identifies/inspects)	X (purchases materials, performs work)	Work ID is upon discovery; inspection every 3 weeks

Assets that are not listed above are being maintained or repaired by OCTA.

4.2.2 Asset Maintenance Schedules, Documentation and Record Keeping

The Contractor shall develop and maintain documentation of general operation, scheduled maintenance and troubleshooting procedures for the assets. Scheduled maintenance shall be broken down by daily, weekly, monthly, quarterly and annual procedures. The Contractor shall utilize an asset management system to accurately inventory assets, including spare components and parts, and to assign and record maintenance activities against them. The Contractor shall record asset downtime and shall be capable of providing OCTA with reporting information as designated in section 4.3.11.

4.2.3 Spare Components and Parts

The Contractor shall be responsible for maintaining fully-assembled and tested spare components for immediate replacement as necessary. Storage space will be provided for spare parts. Defective components will be replaced with spare components with the least possible delay. The Contractor shall coordinate with other third-party contractor for the repairs of defective component, track if item is under warranty, and return the repaired component back into inventory.

4.2.4 Maintenance Equipment

The Contractor shall develop and acquire a comprehensive list of all items, tools and equipment necessary for the repair, testing and routine preventive maintenance of the lanes. The list will include the specific function of each device, the approximate cost and the approximate quantity required for the development of a comprehensive and effective maintenance program.

4.2.5 Coordination with CHP, Department of Motor Vehicles, Caltrans and Other State/Local Agencies

The Contractor shall cooperate and coordinate its activities with the appropriate State and local agencies in the course of Express Lanes operation and maintenance. The Contractor shall be responsible for setting up and facilitating monthly coordination meetings with CHP, Caltrans, other OCTA contractors and other agencies (as directed by OCTA) as it relates to Express Lane operations and maintenance. OCTA shall be immediately notified of any such interaction which is outside the normal operation as defined by the relevant SOPs. The meetings will be held at the 180 N. Riverview Drive, Suite 200, Anaheim, CA, or at another location as approved by OCTA.

Maintenance work to be performed by Caltrans is currently scheduled for every 3rd Sunday. Information regarding maintenance work identified by the Contractor shall be provided as soon as practicable to allow for materials to be obtained as needed. The Contractor shall be present during the closures and assist as needed while Caltrans is performing maintenance on or related to the Express Lanes. The Contractor shall ensure the Express Lanes are properly closed before any work commences and all workers and equipment have cleared prior to reopening of the Express Lanes. The Contractor shall verify and inspect pre-specified work is performed correctly.

For general purpose lanes projects which directly or indirectly impact the 91 Express Lanes, the Contractor shall advise OCTA of its recommendations in order to minimize the impact to the 91 Express Lanes operations. The Contractor shall coordinate with Caltrans and its contractors regarding construction/maintenance on the general purpose lanes as it could affect the Express Lanes. The Contractor shall attend project related working group meetings. The Contractor shall coordinate the agreed upon activities and Express Lane opening/closing schedule, including assisting with calling in to Caltrans TMC of notification of the closure(s), with the appropriate State and local agencies and notify the OCTA of any deviations.

4.2.6 Facilities Maintenance and Reporting

The Contractor shall report to OCTA all identified maintenance requirements for the Facilities for maintenance to be performed by the Contractor in accordance with the SOPs and the Agreement.

4.2.7 Unforeseen Items While the Express Lane O&M scope of services included within this RFP is comprehensive, there may be pieces of equipment, services or materials that are not specifically included within this scope. Should an unforeseen need arise, whether identified by OCTA or by the Contractor, for equipment, services or materials not specified herein and expected to cost less than \$50,000, OCTA and the Contractor shall discuss how it will be addressed. If directed by OCTA to do so, the Contractor shall be responsible to obtain 3 cost estimates for the item for OCTA's review and approval. Once authorized and approved by OCTA in writing, the Contractor shall issue a purchase order and purchase the material or equipment or have the service performed and shall pass the cost through to OCTA without markup as part of the applicable monthly invoice.

4.2.8 Tours

At the request of OCTA, the Contractor shall coordinate and facilitate tours of the Express Lanes, including but not limiting to transporting individuals to/from the toll facilities and leading vehicle to/from the toll facilities.

4.3 Deliverables

The selected Contractor shall submit the following plans for OCTA’s review and approval. Each plan deliverable is described in this section.

Deliverable	Delivery to OCTA
Project Plan	Within 30 days of Notice to Proceed (NTP)
Fleet Plan	Within 30 days of NTP
Staffing Plan	Within 60 days of NTP
Standard Operating Procedures	Within 90 days of NTP
Training Plan	Within 90 days of NTP
Audit Plan	Within 120 days of NTP
Corrective Action Plan	Within 120 days of NTP
Safety Plan	Within 120 days of NTP
Quality Assurance Plan	Within 120 days of NTP
Exit Plan	Within 1 year of NTP

4.3.1 PROJECT PLAN: A detailed project schedule and work plan for all project tasks within thirty (30) calendar days of award of the contract or on a date agreed to with OCTA. The PM shall monitor and update the project schedule and work plan, revising as appropriate, with approval from OCTA. The plan shall include, but not be limited to, the following:

- An Implementation Schedule.
- A logical sequence of tasks and deliverables included in each project period.
- A clear definition of each task and deliverable.
- Staff requirements for each task and deliverable.
- A specific target completion date for each task and deliverable.
- Task and deliverable relationships and dependencies.

4.3.2 FLEET PLAN: Contractor shall develop a fleet plan to include number of vehicles by type and any deviations from vehicle requirements described in this solicitation.

4.3.3 STAFFING PLAN: Contractor shall provide a Staffing Plan to include but not limited to:

- A staffing schedule.
- The Contractor's proposed hiring and staff retention processes
- A description of how Contractor plans to provide adequate SSP and maintenance coverage during peak hours, shift changes, breaks, unplanned staff absences, severe weather events and special events.

4.3.4 STANDARD OPERATING PROCEDURES (SOP): Create, with input and approval from OCTA, and deliver standard operating procedures covering all functions. SOPs shall be provided digitally to all Contractor and TOC personnel with hard copies available as requested. SOPs shall be updated as needed, but at least during quarterly operations reviews. SOPs shall include, but not limited to, the following functions:

- Training.
- Vehicle inspection and preparation.
- Maintenance of traffic (MOT).
- Clear debris.
- Incident response.
- Severe incident response.
- Perform maintenance.
- Communication, to include phone and radio procedures and use of in vehicle ITS software.

4.3.5 TRAINING PLAN: Contractor shall develop a comprehensive training plan for all personnel, to include tailored training for all roles. Plan shall be approved by OCTA and include the following:

- TIM training with SSP operators, TOC staff and incident management partners, both within and external to the TOC.
- Maintenance skills and inspection training
- Training calendar including recommended cadence of training
- List of curriculum topics for initial, refresher, and retraining.
- Field training topics including required iteration of key tasks
- Retraining plan for employees not meeting standards.

4.3.6 AUDIT PLAN: Contractor shall develop a methodology to audit individual SSP operator's performance and compliance with SOPs. Audit plan should utilize recorded data from ITS software and tie directly to proposed SLAs and other performance measures.

4.3.7 CORRECTIVE ACTION PLAN: Contractor shall develop a strategy to correct programmatic issues, failure to meet SLAs and other program standards, to better meet the needs of OCTA and the traveling public.

4.3.8 SAFETY PLAN: Contractor shall provide a safety plan which identifies its strategies to maximize the health and well-being of its staff and protect the traveling public while minimizing lost-time injuries.

4.3.9 QUALITY ASSURANCE PLAN: Contractor shall provide a comprehensive, continuous, and measurable quality assurance program. The plan shall include:

- Strategies and processes to promote quality.
- Procedures to periodically measure and report quality performance to OCTA throughout the term of the contract.
- How often the Contractor conducts internal audits and engages external audit firms to conduct audits of its operation.
- Controls to be used within the project to assure quality and consistency throughout the term of the contract.

4.3.10 EXIT PLAN: The Contractor shall meet the following during the termination period:

- Submit an Exit Plan to OCTA within 1 year of award of the contract for OCTA approval and annual approval thereafter. The Exit Period shall be 120 days, effective 120 days before termination of the Agreement whether it is the end of the term of service termination of the Agreement or for any other reason. The Exit Plan shall include, but not be limited to:
- A detailed schedule for transitioning and terminating the services within the Exit Period.
- A Service Termination Checklist for transfer of all services from Contractor to OCTA or other designee.
- Assignment of any subcontracts, contracts or manufacturers warranties.
- Transfer of all assets, property, hardware, permits, licenses and intellectual property rights.
- Providing OCTA or designee reasonable access to information regarding the services and Contractor personnel for six months following expiration or termination of the contract.

4.3.11 REPORTS: Reports as requested by OCTA. Reports and format standards will be approved by OCTA and shall be delivered to OCTA. Reports shall include, but not be limited to, the following:

- Monthly Report: To include, but not limited to:
- Actual staffing in comparison to staffing plan.
- Incidents SSP was involved in, tracked by type.
- Incident duration – median, average, 25-75 percentile range, and select outliers.
- Select post incident analysis of severe incidents for meetings. Conduct analysis and populate templates for at least one incident per team meeting in conjunction with TOC staff. Communicate with partner agencies to gather required data for post incident analysis.
- Quantity and type of SSP operator errors.
- Performance reports based on SLAs and KPIs. The reports shall include a summary of Motorist Comments in a format approved by OCTA.

- Maintenance services performed by the Contractor, or performed by Caltrans or others.
- Maintenance services inspected
- Reason(s), if any, that Contractor did not meet one or more SLA, including whether or not reason(s) was due to Contractor's actions, errors, or omissions.
- Training performance in the monthly reporting period.

4.3.12: Proposed or approved updates to the following, as needed:

- Project Plan
- Fleet Plan
- Staffing Plan
- SOPs
- Training Plan
- Audit Plan
- Corrective Action Plan
- Safety Plan
- Quality Assurance Plan
- Exit Plan

4.3.13 Quarterly Report (three per year, fourth Quarterly Report rolls up into Annual Report): To include, but not limited to all data included in the monthly report plus:

- Rollup of SSP staff training.
- Summary of performance to date including trend analysis.
- TIM training conducted internally and with external partners.

4.3.14 Annual Report: To include rollup of data in accordance with OCTA approved KPI list, to include, but not limited to:

- Total number of incidents involving SSP by type.
- Breakdown of incident detection methods (e.g., SSP discovered on patrol, CCTV, law enforcement, driver call).
- Number of miles driven by SSP fleet.
- SSP Return on Investment (ROI) including methodology, based on generally accepted values for safety and congestion societal value.
- All data included in the monthly and quarterly reports.
- Annual summary of data from the agreed SLAs and KPIs, including trends over the year.

4.4 Personnel Responsibilities

4.4.1 The Project Manager shall:

4.4.1.1 Be responsible for the day-to-day operation of the service in accordance with the Scope of Work and Requirements and the Agreement. Coordinate with Caltrans and other contractors as necessary, including coordination of emergency repairs.

4.4.1.2 Be a permanent staff employee and shall serve as a constant primary point of contact for OCTA.

4.4.1.3 Have overall responsibility for meeting SLAs and recording KPIs.

4.4.1.4 Serve as or assign the position of SSP Program Safety Officer.

4.4.1.5 Conduct kickoff meeting with OCTA and other applicable contractors. Participate in team meetings that occur to encourage coordination and cooperation with other area incident responders and to improve policies and performance.

4.4.1.6 Work primarily at the TUB (91 Express Lanes);

4.4.1.7 Develop and manage SSP shift schedules to ensure that:

- Personnel are actively monitoring the roadways.
- There are no gaps in service and no more than 12 consecutive hours worked by an individual.
- Minimal staffing levels are maintained to ensure coverage for absences due to vacations, sickness, etc.
- No assigned patrol area is left abandoned without OCTA approval.

4.4.1.8 Audit and evaluate Supervisor/SSP Lead Operator and SSP Operators as required.

4.4.1.9 Coordinate upgrades and enhancements to hardware and software as identified by OCTA.

4.4.1.10 Establish regular review of SOPs and implement as required and approved by OCTA.

4.4.1.11 Make periodic joint inspection checks with OCTA as requested by OCTA.

4.4.1.12 Providing correspondence, reports, policy, and procedure recommendations, forms, presentations, training material, personnel management and electronic communications.

4.4.2 The Supervisor/SSP Lead Operator shall perform all SSP Operator duties, in addition to duties that include but are not limited to:

4.4.2.1 Be responsible for assigning traffic incidents among SSP Operators.

4.4.2.2 Conduct SSP Operator incident audits developed by Contractor and approved by OCTA.

4.4.2.3 Lead response to severe incidents, to include coordination with partner agencies. A severe incident includes one or more of the following: duration of four hours or more; fatality; or spill/hazmat.

4.4.2.4 Assist in preparing KPI reports for inclusion in SSP report deliverables.

4.4.2.5 Perform vehicle-based work as circumstances require.

4.4.2.6 Assisting the Project Manager in supervising the SSP Operators in the performance of their patrol duties.

4.4.2.7 Monitoring pre- and post-shift vehicle inspections to ensure equipment and supplies are properly serviceable and stocked to ensure readiness of assigned shift personnel and equipment.

4.4.2.8 Assisting the Project Manager in the administration of operation audits.

4.4.2.9 Monitoring the daily field operations of the SSP activities and staff, confirming the daily shift schedules and managing the assignments.

4.4.2.10 Participating in SSP operations analysis, including measuring effectiveness, route designations, staff requirements, reporting criteria and methodology, and evaluating traffic needs, trends, and response.

4.4.2.11 Assessing and ensuring proficiency of SSP program personnel to established standards.

4.4.2.12 Training, evaluating and counseling assigned SSP shift personnel.

4.4.2.13 Acting in a supervisory capacity in the absence of the Project Manager.

- Preparing shift schedules.
- Reporting assigned equipment/vehicle maintenance/repair needs to PM.

4.4.3 The Contractor shall perform all duties with the highest level of customer service and undertake in-service training and pass semi-annual performance evaluation testing developed and administered with the approval and oversight of OCTA.

4.4.4 SSP Lead Operator, Operators and Operator Trainees shall exercise good sound judgement in carrying out their duties and conduct themselves in such a manner that will reflect favorably upon OCTA in general. SSP Operators shall:

4.4.4.1 Possess a temporary tow truck driver certificate in accordance with California Vehicle Code Division 2, Chapter 2, Article 3.3, Section 2430.5, with the capability to obtain a permanent tow truck driver certificate.

4.4.4.2 Act professionally and courteously at all times.

4.4.4.3 Display clearly visible nameplates over the left breast shirt pocket reflecting SSP Operator's first name.

4.4.4.4 Wear standard uniforms in clean and good repair.

4.4.4.5 Wear all additional safety PPE as defined above.

4.4.5 Training Personnel shall:

4.4.5.1 Be responsible for creating training materials as approved by OCTA and delivering the training to all SSP Supervisor and Operators.

4.4.5.2 Be responsible for training, testing and certification of all SSP Supervisor and Operators.

4.4.5.3 Be responsible for creating all training materials and conducting in-service coaching.

4.4.5.4 Provide road training and testing of Operator Trainees.

4.4.5.5 Develop a customer service training course aimed at common scenarios where SSP supervisors and Operators interact with the driving public.

4.4.5.6 Maintain and update the training materials and courses based on most current technology and procedures.

4.4.5.7 Maintain SSP Operator qualification records.

4.4.5.8 Conduct and carry out updates for certification testing.

4.4.5.9 Certify successful SSP Operator Trainees.

4.4.5.10 Assist the Project Manager in developing, maintaining, and updating SOPs

4.5 Facilities

OCTA shall provide office, vehicle parking and storage space for equipment and materials on the 91 Express Lanes. As OCTA will not reimburse toll charges for the Contractor’s employee vehicles to access the OCTA 91 Express Lanes facility, it is recommended that the Contractor’s employees park their personal vehicles at the 91 Express Lanes Administration Building, located at 180 N Riverview Dr #200, Anaheim, CA 92808. This building’s parking lot has sufficient space for the service patrol and Contractor employee vehicles. Contractor vehicles will be provided with sticker tags to use the OCTA 91 Express Lanes at no cost. From this location the contractor can easily access SR-91 both Westbound and Eastbound from East Santa Ana Road to Weir Canyon Road or Gypsum Canyon Road.

4.6 SERVICE LEVEL AGREEMENT (SLA) and KEY PERFORMANCE INDICATORS (KPIs): Contractor shall be held to the following SLAs and KPIs after award of the contract.

Service Level Agreement	Performance Requirement	Frequency of Evaluation	Evaluation Criteria	Disincentive Amount
Adherence to Scheduled Route Coverage	Percent on time and availability of SSP Operator/Vehicle and hours of coverage based on SSP Operators on-time and available and truck availability. Route start time is recorded by on or the following: 1. Call to TOC by SSP Operator; 2. Shift Report; 3. In-Cab SSP application	Monthly average of routes covered (actual coverage vs. total scheduled coverage measured by time)	98.0%	\$2,000

SSP Customer Service	Contractor shall monitor the Customer Comment responses	Monthly	95.0% verified positive response	\$2,000
Average cumulative time to respond to incident after dispatch	Contractor shall achieve the established average times to respond to incidents after detection	Monthly	20 min.	\$2,000
Routine maintenance timeliness and performance	Contractor shall track and record all routine maintenance needs, and ensure that each is resolved within the specified period of time	Quarterly	As per established maintenance response times	\$2,000
Median cumulative time to respond to incident after dispatch	Contractor shall achieve the established median time to respond to incidents after detection	Monthly	20 min.	\$1,000
Training	All Contractor SSP personnel will be trained or retrained annually	Annual (measured at contract anniversary)	90.0%	\$1,000
Time to notify TOC after removing debris from Express Lanes	Contractor shall notify TOC within the established average time after removing debris from the Express Lanes	Monthly	3 min.	\$1,000
Maximum time to replace inoperable vehicle in the field with a backup vehicle	Contractor shall replace inoperable vehicles in the field with a backup vehicle within the specified average time	Monthly	30 min.	\$1,000

Standard Operating Procedures	Adherence to approved contractor SOPs (minimum of two randomly selected audits conducted per month)	Annual (measured at contract anniversary)	90.0%	\$1,000
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Failure to achieve these SLAs/KPIs within the timeframes as defined above will result in a reduction against the applicable monthly payment by OCTA to the Contractor.

EXHIBIT B: COST AND PRICE FORMS

PRICE SUMMARY SHEET

**REQUEST FOR PROPOSALS (RFP) 0-2433
ROADWAY OPERATIONS AND MAINTENANCE FOR 91 EXPRESS LANES**

Pricing Instructions:

1) Safety Service Patrol (70%)

The Offeror shall provide a firm-fixed hourly rate, specifying a price per revenue vehicle hour (RVH) to perform all the work specified in Exhibit A, Scope of Work. RVH is calculated as the time within the scheduled service hours that the Safety Service Patrol (SSP) vehicle is actually in service performing SSP work. RVH does not include deadhead time to or from the towing area, meal period breaks, vehicle breakdowns, training time, or any other time that a vehicle is not actively patrolling.

RVH rates will be applied for each quarter based on the previous quarter's average cost of fuel, as reported by the United States Energy Information Administration (EIA), All Grades – Reformulated Areas, for the Los Angeles area. Additional information about EIA is available at https://www.eia.gov/dnav/pet/pet_pri_gnd_dcus_y05la_m.htm

2) Asset Maintenance Services (30%)

The Contractor shall oversee and/or provide full-service maintenance and administration for 91 Express Lane lane-level toll and lane asset maintenance activities, which shall include but not be limited to as listed in Exhibit A, Scope of Work.

Pricing forms must be completed and properly filled out in order to be deemed responsive. The proposed RVH rates and monthly routine asset maintenance rates should include all costs. All proposed rates should be inclusive of all Offeror's direct, indirect, capital and operating costs, profit, and any other costs related to SSP. These may include but not be limited to the following potential cost items, which the Offeror may consider in developing their firm-fixed revenue vehicle hourly rate.

The following example items are illustrative of costs that may be incurred during the normal course of providing SSP service. Offerors must determine appropriate pricing based on their own methods for recovering costs.

Vehicle Cost

- Cost of SSP tow trucks, support vehicles, or other vehicles (finance charges if applicable, fuel, maintenance, insurance, etc.) over contract term. Escalation in market fuel costs during the entire contract period of performance shall not be subject to any adjustments in the Offeror's hourly "base unit rate."
- SSP Equipment (requirements list), shop radio/communications, tablet data device

Labor Cost

- Operator/supervisor/manager/maintenance/dispatcher labor (normal wages, overtime, Pension/vacation/sick benefits, workers comp, social security)
- Travel/preparation costs (pre-op inspections, time to get to staging area, time to return to tow yard, etc.)

Facility / Business Cost

- Lot/Building (office equipment, insurance, computer, supplies, etc.)
- Permits, Licenses, Fees, Registrations,
- Workers' Comp/ Liability Insurance
- Profit/ Risk & Liability trend assumptions over life of contract

SSP Program Cost

- Administration (form submittal, documentation maintenance, etc.)
- SSP supplies (raingear, uniforms, safety boots, safety vests, etc.)
- Operator training fees (proficiency, background, initial operator) and attendance (refresher)
- Fuel to be used for stranded motorists, etc.

Please refer to Exhibit A, Scope of Work to ensure that all possible costs are covered in the proposed pricing. Proposed firm-fixed rates also includes profit margin as well as, capital and other costs associated with tow trucks.

PRICE SUMMARY SHEET

**REQUEST FOR PROPOSALS (RFP) 0-2433
ROADWAY OPERATIONS AND MAINTENANCE FOR 91 EXPRESS LANES**

TOTAL # OF TRUCKS:

**Two (2) Ford-550 or Equivalent (Flatbed Tows)
Three (3) Ford-250 Extended Crew Cab or Equivalent**

INSTRUCTIONS: On this form, please propose the firm-fixed rate that the Authority would be charged per revenue vehicle hour (RVH) for the services and monthly routine asset maintenance outlined in the Scope of Work presented in Exhibit A of this RFP. The RVH rate will be reviewed every quarter and invoices will be approved at the rates listed below. No other changes will be allowed to the RVH rate. Prices quoted shall be firm for the life of the contract. The RVH rates and routine asset maintenance rates quoted shall include all direct costs, indirect costs, and profit.

1) INITIAL TERM: JANUARY 1, 2021 THROUGH DECEMBER 31, 2024

(SERVICE STARTS ON JULY 1, 2021)

A. PRICE PER RVH TO PROVIDE SSP:

	<u>RVH Rate</u>
1. If fuel costs between \$1.00 - \$2.00/gallon	\$ _____/RVH
2. If fuel costs between \$2.01 - \$3.00/gallon	\$ _____/RVH
3. If fuel costs between \$3.01 - \$4.00/gallon	\$ _____/RVH
4. If fuel costs between \$4.01 - \$5.00/ gallon	\$ _____/RVH
5. If fuel costs between \$5.01 - \$5.00/ gallon	\$ _____/RVH
6. If fuel costs between \$6.01 - \$7.00/ gallon	\$ _____/RVH

NOTE: Offeror's should take into consideration all vehicles, equipment, operating cost, insurance, training classes, personnel, tool, supplies, expendable items, incidentals, deadhead, etc. Please refer to the Scope of Work to ensure that you have covered all possible costs in your proposal.

B. ASSET MAINTENANCE SERVICES

\$ _____/month

2) FIRST OPTION TERM: JANUARY 1, 2025 THROUGH DECEMBER 31, 2027

A. PRICE PER RVH TO PROVIDE SSP:

	<u>RVH Rate</u>
1. If fuel costs between \$1.00 - \$2.00/gallon	\$ _____/RVH
2. If fuel costs between \$2.01 - \$3.00/gallon	\$ _____/RVH
3. If fuel costs between \$3.01 - \$4.00/gallon	\$ _____/RVH
4. If fuel costs between \$4.01 - \$5.00/ gallon	\$ _____/RVH
5. If fuel costs between \$5.01 - \$5.00/ gallon	\$ _____/RVH
6. If fuel costs between \$6.01 - \$7.00/ gallon	\$ _____/RVH

NOTE: Offeror's should take into consideration all vehicles, equipment, operating cost, insurance, training classes, personnel, tool, supplies, expendable items, incidentals, deadhead, etc. Please refer to the Scope of Work to ensure that you have covered all possible costs in your proposal.

B. ASSET MAINTENANCE SERVICES

\$ _____/month

3) SECOND OPTION TERM: JANUARY 1, 2028 THROUGH DECEMBER 31, 2030

A. PRICE PER RVH TO PROVIDE SSP:

	<u>RVH Rate</u>
1. If fuel costs between \$1.00 - \$2.00/gallon	\$ _____/RVH
2. If fuel costs between \$2.01 - \$3.00/gallon	\$ _____/RVH
3. If fuel costs between \$3.01 - \$4.00/gallon	\$ _____/RVH
4. If fuel costs between \$4.01 - \$5.00/ gallon	\$ _____/RVH
5. If fuel costs between \$5.01 - \$5.00/ gallon	\$ _____/RVH
6. If fuel costs between \$6.01 - \$7.00/ gallon	\$ _____/RVH

NOTE: Offeror's should take into consideration all vehicles, equipment, operating cost, insurance, training classes, personnel, tool, supplies, expendable items, incidentals, deadhead, etc. Please refer to the Scope of Work to ensure that you have covered all possible costs in your proposal.

B. ASSET MAINTENANCE SERVICES

\$ _____/month

1. I acknowledge receipt of RFP 0-2433 and Addenda No. (s) _____.
2. This offer shall remain firm for _____ days from the date of proposal.
(Minimum 120)

COMPANY NAME _____

ADDRESS _____

TELEPHONE _____

EMAIL ADDRESS _____

SIGNATURE OF PERSON
AUTHORIZED TO BIND OFFEROR _____

SIGNATOR'S NAME AND TITLE _____

DATE SIGNED _____

BUSINESS LICENSE #: _____ LICENSE CLASSIFICATION _____

EXHIBIT C: PROPOSED AGREEMENT

PROPOSED AGREEMENT NO. C- 0-2433

BETWEEN

ORANGE COUNTY TRANSPORTATION AUTHORITY

AND

THIS AGREEMENT is effective this 1st day of January, 2021 ("Effective Date"), by and between the Orange County Transportation Authority, 550 South Main Street, P.O. Box 14184, Orange, California 92863-1584, a public corporation of the State of California (hereinafter referred to as "AUTHORITY"), and , , , (hereinafter referred to as "CONTRACTOR").

WITNESSETH:

WHEREAS, AUTHORITY requires assistance from CONTRACTOR to provide services for roadway operations and maintenance for 91 Express Lanes; and

WHEREAS, said work cannot be performed by the regular employees of AUTHORITY; and

WHEREAS, CONTRACTOR has represented that it has the requisite personnel and experience, and is capable of performing such services; and

WHEREAS, CONTRACTOR wishes to perform these services;

NOW, THEREFORE, it is mutually understood and agreed by AUTHORITY and CONTRACTOR as follows:

ARTICLE 1. COMPLETE AGREEMENT

A. This Agreement, including all exhibits and documents incorporated herein and made applicable by reference, constitutes the complete and exclusive statement of the terms and conditions of this Agreement between AUTHORITY and CONTRACTOR and it supersedes all prior representations, understandings and communications. The invalidity in whole or in part of any term or condition of this Agreement shall not affect the validity of other terms or conditions.

B. AUTHORITY's failure to insist in any one or more instances upon CONTRACTOR's performance of any terms or conditions of this Agreement shall not be construed as a waiver or

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

6 **ARTICLE 2. AUTHORITY DESIGNEE**

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

9 **ARTICLE 3. SCOPE OF WORK**

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

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

16 **Names** **Functions**

17
18
19
20
21 C. No person named in paragraph B of this Article, or his/her successor approved by
22 AUTHORITY, shall be removed or replaced by CONTRACTOR, nor shall his/her agreed-upon function
23 or level of commitment hereunder be changed, without the prior written consent of AUTHORITY. Should
24 the services of any key person become no longer available to CONTRACTOR, the resume and
25 qualifications of the proposed replacement shall be submitted to AUTHORITY for approval as soon as
26 possible, but in no event later than seven (7) calendar days prior to the departure of the incumbent key

1 person, unless CONTRACTOR is not provided with such notice by the departing employee. AUTHORITY
2 shall respond to CONTRACTOR within seven (7) calendar days following receipt of these qualifications
3 concerning acceptance of the candidate for replacement.

4 **ARTICLE 4. TERM OF AGREEMENT**

5 This Agreement shall commence on January 1, 2021 and shall continue in full force and effect
6 through December 31, 2024 , unless earlier terminated or extended as provided in this Agreement.

7 A. AUTHORITY, at its sole discretion, may elect to extend the term of this Agreement for up to
8 an additional thirty-six (36) months, commencing January 1, 2025 and continuing through
9 December 31, 2027 (“First Option Term”), and thereupon require CONTRACTOR to continue to provide
10 services, and otherwise perform, in addition with Exhibit A and at the rates set forth in Article 5, “Payment”.

11 B. AUTHORITY, at its sole discretion, may elect to extend the term of this Agreement for up to
12 an additional thirty-six (36) months, commencing January 1, 2028 and continuing through
13 December 31, 2030 (“Second Option Term”), and thereupon require CONTRACTOR to continue to
14 provide services, and otherwise perform, in addition with Exhibit A and at the rates set forth in Article 5,
15 “Payment”.

16 C. AUTHORITY’s election to extend this Agreement beyond the initial term shall not diminish its
17 right to terminate this Agreement. The “maximum term” of this Agreement shall be the period extending
18 from January 1, 2021 through December 31, 2030, which period encompasses the initial term and option
19 terms.

20 **ARTICLE 5. PAYMENT**

21 A. For CONTRACTOR’s full and complete performance of its obligations under this Agreement
22 and subject to the maximum cumulative payment obligation provisions set forth in Article 6, AUTHORITY
23 shall pay CONTRACTOR on a time and expense-price basis in accordance with the following provisions.

24 B. CONTRACTOR agrees to provide all personnel, facilities, effort, materials and equipment
25 required to complete, to the full satisfaction of AUTHORITY, all the work described in the Scope of Work.
26 The AUTHORITY’s Project Manager will review the fuel prices every quarter. Revenue vehicle hour

(RVH) rates will remain firm for three (3) months at a time; and AUTHORITY agrees to pay CONTRACTOR as per the following firm-fixed rates for the services;

INITIAL TERM: JANUARY 1, 2021 THROUGH DECEMBER 31, 2024

SAFTY SERVICE PATROL:

- 1. If fuel costs between \$2.00 - \$3.00/gallon \$ _____/RVH
- 2. If fuel costs between \$3.01 - \$4.00/gallon \$ _____/RVH
- 3. If fuel costs between \$4.01 - \$5.00/gallon \$ _____/RVH
- 4. If fuel costs between \$5.01 - \$6.00/gallon \$ _____/RVH
- 5. If fuel costs between \$6.01 - \$7.00/gallon \$ _____/RVH

MONTHLY ASSET MANAGEMENT SERVICES: \$ _____/MONTH

FIRST OPTION TERM: JANUARY 1, 2025 THROUGH DECEMBER 31, 2027

- 1. If fuel costs between \$2.00 - \$3.00/gallon \$ _____/RVH
- 2. If fuel costs between \$3.01 - \$4.00/gallon \$ _____/RVH
- 3. If fuel costs between \$4.01 - \$5.00/gallon \$ _____/RVH
- 4. If fuel costs between \$5.01 - \$6.00/gallon \$ _____/RVH
- 5. If fuel costs between \$6.01 - \$7.00/gallon \$ _____/RVH

MONTHLY ASSET MANAGEMENT SERVICES: \$ _____/MONTH

SECOND OPTION TERM: JANUARY 1, 2028 THROUGH DECEMBER 31, 2030

- 1. If fuel costs between \$2.00 - \$3.00/gallon \$ _____/RVH
- 2. If fuel costs between \$3.01 - \$4.00/gallon \$ _____/RVH
- 3. If fuel costs between \$4.01 - \$5.00/gallon \$ _____/RVH
- 4. If fuel costs between \$5.01 - \$6.00/gallon \$ _____/RVH
- 5. If fuel costs between \$6.01 - \$7.00/gallon \$ _____/RVH

MONTHLY ASSET MANAGEMENT SERVICES: \$ _____/MONTH

C. CONTRACTOR shall invoice AUTHORITY on a monthly basis for payments corresponding to the work actually completed by CONTRACTOR. Percentage of work completed shall be documented

1 in a monthly progress report prepared by CONTRACTOR, which shall accompany each invoice submitted
2 by CONTRACTOR. CONTRACTOR shall also furnish such other information as may be requested by
3 AUTHORITY to substantiate the validity of an invoice. At its sole discretion, AUTHORITY may decline to
4 make full payment for any work until such time as CONTRACTOR has documented to AUTHORITY's
5 satisfaction, that CONTRACTOR has fully completed all work required. AUTHORITY's payment in full
6 for any task completed shall constitute AUTHORITY's final acceptance of CONTRACTOR's work under
7 such task.

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

- 14 1. Agreement No. C- 0-2433;
- 15 2. Specify the work for which payment is being requested;
- 16 3. The time period covered by the invoice;
- 17 4. Total monthly invoice (including project-to-date cumulative invoice amount);
- 18 5. Monthly Progress Report;
- 19 6. Certification signed by the CONTRACTOR or his/her designated alternate that a)

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

- 26 7. Any other information as agreed or requested by AUTHORITY to substantiate the

1 validity of an invoice.

2 **ARTICLE 6. MAXIMUM OBLIGATION**

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

8 **ARTICLE 7. NOTICES**

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

13 To CONTRACTOR:

To AUTHORITY:

Orange County Transportation Authority

550 South Main Street

P.O. Box 14184

Orange, CA 92863-1584

14
15
16
17 ,
18 ATTENTION:

ATTENTION: Sue Ding

Sr. Contract Administrator

(714) 560 - 5631

sding@octa.net

19
20
21
22 **ARTICLE 8. INDEPENDENT CONTRACTOR**

23 A. CONTRACTOR's relationship to AUTHORITY in the performance of this Agreement is that of
24 an independent contractor. CONTRACTOR's personnel performing services under this Agreement shall
25 at all times be under CONTRACTOR's exclusive direction and control and shall be employees of
26 CONTRACTOR and not employees of AUTHORITY. CONTRACTOR shall pay all wages, salaries and

1 other amounts due its employees in connection with this Agreement and shall be responsible for all
2 reports and obligations respecting them, such as social security, income tax withholding, unemployment
3 compensation, workers' compensation and similar matters.

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

8 **ARTICLE 9. INSURANCE**

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

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

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

17 3. Excess Liability with a minimum limit of \$5,000,000.00;

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

20 5. Garage Liability - \$ 1,000,000.00 Coverage;

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

22 7. On-Hook Liability: Listed below are the insurance endorsements for the On-Hook
23 Liability coverage's which shall be required for tow truck services:

<u>Gross Vehicle Weight</u>	<u>Coverage Per Accident</u>
Less than 10,000 #	\$ 50,000
10 – 20,000 #	\$ 100,000

1 More than 20,000# \$ 250,000

2 B. Proof of such coverage, in the form of a certificate of insurance, with the AUTHORITY, its
3 officers, directors, employees and agents, designated as additional insureds as required by contract. In
4 addition, provide an insurance policy blanket additional insured endorsement. Both documents must be
5 received by AUTHORITY prior to commencement of any work. Proof of insurance coverage must be
6 received by AUTHORITY within ten (10) calendar days from the effective date of this Agreement. Such
7 insurance shall be primary and non-contributive to any insurance or self-insurance maintained by the
8 AUTHORITY. Furthermore, AUTHORITY reserves the right to request certified copies of all related
9 insurance policies.

10 C. CONTRACTOR shall include on the face of the certificate of insurance the Agreement
11 Number C- 0-2433; and, the Contract Administrator's Name, Sue Ding.

12 D. CONTRACTOR shall also include in each subcontract the stipulation that subcontractors shall
13 maintain insurance coverage in the amounts required from CONTRACTOR as provided in this
14 Agreement.

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

17 **ARTICLE 10. ORDER OF PRECEDENCE**

18 Conflicting provisions hereof, if any, shall prevail in the following descending order of precedence:
19 (1) the provisions of this Agreement, including all exhibits; (2) the provisions of RFP 0-2433;
20 (3) CONTRACTOR's proposal dated _____ ; (4) all other documents, if any, cited herein or
21 incorporated by reference.

22 **ARTICLE 11. CHANGES**

23 By written notice or order, AUTHORITY may, from time to time, order work suspension and/or
24 make changes in the general scope of this Agreement, including, but not limited to, the services furnished
25 to AUTHORITY by CONTRACTOR as described in the Scope of Work. If any such work suspension or
26 change causes an increase or decrease in the price of this Agreement, or in the time required for its

1 performance, CONTRACTOR shall promptly notify AUTHORITY thereof and assert its claim for
2 adjustment within ten (10) calendar days after the change or work suspension is ordered, and an
3 equitable adjustment shall be negotiated. However, nothing in this clause shall excuse CONTRACTOR
4 from proceeding immediately with the Agreement as changed.

5 **ARTICLE 12. DISPUTES**

6 A. Except as otherwise provided in this Agreement, when a dispute arises between
7 CONTRACTOR and AUTHORITY, the project managers shall meet to resolve the issue. If project
8 managers do not reach a resolution, the dispute will be decided by AUTHORITY's Director of Contracts
9 Administration and Materials Management (CAMM), who shall reduce the decision to writing and mail or
10 otherwise furnish a copy thereof to CONTRACTOR. The decision of the Director, CAMM, shall be the
11 final and conclusive administrative decision.

12 B. Pending final decision of a dispute hereunder, CONTRACTOR shall proceed diligently with
13 the performance of this Agreement and in accordance with the decision of AUTHORITY's Director,
14 CAMM. Nothing in this Agreement, however, shall be construed as making final the decision of any
15 AUTHORITY official or representative on a question of law, which questions shall be settled in
16 accordance with the laws of the State of California.

17 **ARTICLE 13. TERMINATION**

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

23 B. In the event either Party defaults in the performance of any of their obligations under this
24 Agreement or breaches any of the provisions of this Agreement, the non-defaulting Party shall have the
25 option to terminate this Agreement upon thirty (30) days' prior written notice to the other Party. Upon
26 receipt of such notice, CONTRACTOR shall immediately cease work, unless the notice from

1 AUTHORITY provides otherwise. Upon receipt of the notice from AUTHORITY, CONTRACTOR shall
2 submit an invoice for work and/or services performed prior to the date of termination. AUTHORITY shall
3 pay CONTRACTOR for work and/or services satisfactorily provided to the date of termination in
4 compliance with this Agreement. Thereafter, CONTRACTOR shall have no further claims against
5 AUTHORITY under this Agreement. AUTHORITY shall not be liable for any claim of lost profits or
6 damages for such termination.

7 **ARTICLE 14. INDEMNIFICATION**

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

16 **ARTICLE 15. ASSIGNMENTS AND SUBCONTRACTS**

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

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

1 employees or sureties for nonpayment by CONTRACTOR.

2 Subcontractor Name/Addresses

Subcontractor Function

3
4
5 **ARTICLE 16. AUDIT AND INSPECTION OF RECORDS**

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

15 **ARTICLE 17. CONFLICT OF INTEREST**

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

24 /

25 /

26 /

1 **ARTICLE 18. ALCOHOL AND DRUG POLICY**

2 A. CONTRACTOR agrees to establish and implement an alcohol and drug program that complies
3 with 41 U.S.C. sections 701-707, (the Drug Free Workplace Act of 1988). CONTRACTOR agrees to
4 produce any documentation necessary to establish its compliance with section 701-707.

5 B. Failure to comply with this Article may result in nonpayment or termination of this Agreement.

6 **ARTICLE 19. CODE OF CONDUCT**

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

10 **ARTICLE 20. PROHIBITION ON PROVIDING ADVOCACY SERVICES**

11 CONTRACTOR and all subcontractors performing work under this Agreement, shall be
12 prohibited from concurrently representing or lobbying for any other party competing for a contract with
13 AUTHORITY, either as a prime CONTRACTOR or subcontractor. Failure to refrain from such
14 representation may result in termination of this Agreement.

15 **ARTICLE 21. FEDERAL, STATE AND LOCAL LAWS**

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

19 **ARTICLE 22. EQUAL EMPLOYMENT OPPORTUNITY**

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

1 **ARTICLE 23. PROHIBITED INTERESTS**

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

5 **ARTICLE 24. OWNERSHIP OF REPORTS AND DOCUMENTS**

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

11 B. All ideas, memoranda, specifications, plans, manufacturing, procedures, drawings,
12 descriptions, and all other written information submitted to CONTRACTOR in connection with the
13 performance of this Agreement shall not, without prior written approval of AUTHORITY, be used for any
14 purposes other than the performance under this Agreement, nor be disclosed to an entity not connected
15 with the performance of the project. CONTRACTOR shall comply with AUTHORITY's policies regarding
16 such material. Nothing furnished to CONTRACTOR, which is otherwise known to CONTRACTOR or is
17 or becomes generally known to the related industry shall be deemed confidential. CONTRACTOR shall
18 not use AUTHORITY's name, photographs of the project, or any other publicity pertaining to the project
19 in any professional publication, magazine, trade paper, newspaper, seminar or other medium without the
20 express written consent of AUTHORITY.

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

26 /

1 **ARTICLE 25. PATENT AND COPYRIGHT INFRINGEMENT**

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

14 B. CONTRACTOR shall have sole control of the defense of any such claim or suit and all
15 negotiations for settlement thereof. CONTRACTOR shall not be obligated to indemnify AUTHORITY
16 under any settlement made without CONTRACTOR's consent or in the event AUTHORITY fails to
17 cooperate fully in the defense of any suit or claim, provided, however, that said defense shall be at
18 CONTRACTOR's expense. If the use or sale of said item is enjoined as a result of such suit or claim,
19 CONTRACTOR, at no expense to AUTHORITY, shall obtain for AUTHORITY the right to use and sell
20 said item, or shall substitute an equivalent item acceptable to AUTHORITY and extend this patent and
21 copyright indemnity thereto.

22 **ARTICLE 26. FINISHED AND PRELIMINARY DATA**

23 A. All of CONTRACTOR's finished technical data, including but not limited to illustrations,
24 photographs, tapes, software, software design documents, including without limitation source code,
25 binary code, all media, technical documentation and user documentation, photoprints and other graphic
26 information required to be furnished under this Agreement, shall be AUTHORITY's property upon

1 payment and shall be furnished with unlimited rights and, as such, shall be free from proprietary restriction
2 except as elsewhere authorized in this Agreement. CONTRACTOR further agrees that it shall have no
3 interest or claim to such finished, AUTHORITY-owned, technical data; furthermore, said data is subject
4 to the provisions of the Freedom of Information Act, 5 USC 552.

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

12 **ARTICLE 27. CONTRACTOR PURCHASED EQUIPMENT**

13 A. If during the course of this Agreement, additional equipment is required, which will be paid for
14 by the AUTHORITY, CONTRACTOR must request prior written authorization from the AUTHORITY's
15 project manager before making any purchase. As part of this purchase request, CONTRACTOR shall
16 provide a justification for the necessity of the equipment or supply and submit copies of three (3)
17 competitive quotations. If competitive quotations are not obtained, CONTRACTOR must provide the
18 justification for the sole source.

19 B. CONTRACTOR shall maintain an inventory record for each piece of equipment purchased
20 that will be paid for by the AUTHORITY. The inventory record shall include the date acquired, total cost,
21 serial number, model identification, and any other information or description necessary to identify said
22 equipment or supply. A copy of the inventory record shall be submitted to the AUTHORITY upon request.

23 C. At the expiration or termination of this Agreement, CONTRACTOR may keep the equipment
24 and credit AUTHORITY in an amount equal to its fair market value. Fair market value shall be determined,
25 at CONTRACTOR's expense, on the basis of an independent appraisal. CONTRACTOR may sell the
26 equipment at the best price obtainable and credit AUTHORITY in an amount equal to the sales price. If

1 the equipment is to be sold, then the terms and conditions of the sale must be approved in advance by
2 AUTHORITY's project manager.

3 D. Any subcontractors agreement entered into as a result of this Agreement shall contain all
4 provisions of this clause.

5 **ARTICLE 28. SETOFF**

6 If at any time, in the sole discretion of the AUTHORITY, it is reasonably believed that the
7 CONTRACTOR is liable to the AUTHORITY for any costs, penalties and/or sums, the AUTHORITY shall
8 be entitled to recover those costs, penalties and/or sums from any amounts that may be presently due
9 and payable to the CONTRACTOR or may become due and payable to the CONTRACTOR, including,
10 but not limited to payment for invoices submitted to the AUTHORITY for services provided under this
11 Agreement.

12 **ARTICLE 29. FORCE MAJEURE**

13 Either party shall be excused from performing its obligations under this Agreement during the time
14 and to the extent that it is prevented from performing by an unforeseeable cause beyond its control,
15 including but not limited to: any incidence of fire, flood; acts of God; commandeering of material, products,
16 plants or facilities by the federal, state or local government; national fuel shortage; or a material act or
17 omission by the other party; when satisfactory evidence of such cause is presented to the other party,
18 and provided further that such nonperformance is unforeseeable, beyond the control and is not due to
19 the fault or negligence of the party not performing.

20 **ARTICLE 30. HEALTH AND SAFETY REQUIREMENT**

21 CONTRACTOR shall comply with all the requirements set forth in Exhibit __, Level 3 Safety
22 Specifications.

23 /

24 /

25 /

26 /

EXHIBIT D: FORMS

STATUS OF PAST AND PRESENT CONTRACTS FORM

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

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

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

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

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

Name

Signature

Title

Date

CAMPAIGN CONTRIBUTION DISCLOSURE FORM

Information Sheet

ORANGE COUNTY TRANSPORTATION AUTHORITY

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

IMPORTANT NOTICE

Basic Provisions of Government Code Section 84308

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

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

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

ORANGE COUNTY TRANSPORTATION AUTHORITY
CAMPAIGN CONTRIBUTION DISCLOSURE FORM

RFP Number: _____ RFP Title: _____

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

If no, please sign and date below.

If yes, please provide the following information:

Prime Contractor Firm Name: _____

Contributor or Contributor Firm's Name: _____

Contributor or Contributor Firm's Address: _____

Is Contributor:

- The Prime Contractor Yes____ No ____
- Subconsultant Yes____ No ____
- Agent/Lobbyist hired by Prime to represent the Prime in this RFP Yes____ No ____

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

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

Name of Board Member: _____

Name of Contributor: _____

Date(s) of Contribution(s): _____

Amount(s): _____

Name of Board Member: _____

Name of Contributor: _____

Date(s) of Contribution(s): _____

Amount(s): _____

Date: _____

Signature of Contributor

Print Firm Name

Print Name of Contributor

**ORANGE COUNTY TRANSPORTATION AUTHORITY
AND AFFILIATED AGENCIES**

Board of Directors

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

EXHIBIT E: SAFETY SPECIFICATIONS

LEVEL 3 HEALTH, SAFETY AND ENVIRONMENTAL (HSE) SPECIFICATIONS

REQUIRED HSE SUBMITTAL SUMMARY

The contractor shall submit copies of the items listed below for contract scope work on OCTA projects and property. Copies shall be provided prior to contractor's mobilization onto OCTA projects and property. Contractor shall provide compliant written Health, Safety & Environmental (HSE) submittals within 30 days of the contract notice to proceed.

HSE submittals shall comply with the 1988 Drug Free Workplace Act, or the Department of Transportation (DOT), or the Federal Transportation Administration (FTA) requirements (according to OCTA procurement funding guidelines) and comply with the California Code of Regulations (CCR) Title 8 regulatory standards.

Contractor's established written programs/plans shall comply with CCR Title 8 regulatory standards. All HSE related programs/plans submitted to OCTA for acceptance shall be prepared and submitted by a qualified HSE professional who is recognized by an organization of industry standard (i.e., CSP, CIH, CHST, CHMM, etc.) and is experienced in developing compliant written HSE programs. The site safety HSE representative shall participate in the HSE submittal process.

1. Contractor shall provide a copy of Company's Injury Illness Prevention Program in accordance with CCR Title 8, Section 3203.
2. Contractor shall provide a copy of their Company HSE Policy/Procedure Manual, in compliance with CCR Title 8 Standards for awarded scope.
3. Contractor shall provide a copy of their Policy or Substance Abuse Prevention Program.
4. Contractor shall provide a copy of their Hazard Communication Program and MSDS Management Program in compliance with CCR Title 8, Section 5194, Hazard Communication Standard.
5. HSE Representative:
Facility Modification Projects, The Contractor shall submit a resume of the Company's HSE Representative that will oversee the scope task activities:
Certification from the Board of Certified Safety Professionals (BCSP)
 - Certified Safety Professional (CSP), or,
 - Associate Safety Professional (ASP), or
 - Construction Health and Safety Technician (CHST), or,
 - Safety Trained Supervisor (STS), or,
 - Safety Trained Supervisor Construction (STSC)

Experience:

The Contractor's HSE Representative(s) shall have a minimum of five (5) years of heavy construction or scope agreement experience in administering HSE programs on project sites, the last two years of which have been administering HSE compliance in a similar type of scope (Construction, Rail, Industrial, etc.) for which Contractor is contracting with the Authority. The

designated HSE Representative shall participate in all HSE related submittals through completion of the scope and administer the monthly safety report.

The Authority reserves the right to allow for an exception and to modify these minimum qualification requirements for unforeseen circumstances, at the sole discretion of the Authority Project Manager and OCTA the Health, Safety Environmental Compliance (HSEC) Department Manager.

On Capital Programs, The Contractor's on-site qualified HSE Representative shall be a Certified Safety Professional (CSP) with current standing from the Board of Certified Safety Professionals (BCSP) or a Construction Health and Safety Technician (CHST) with current standing from the (BCSP) or a Certified Industrial Hygienist (CIH) with current standing from the American Board of Industrial Hygiene (ABIH), or an equal professional HSE Certificate of standing from The National Examination Board in Occupational Safety and Health (NEBOSH), that is acceptable to the Authority. The Contractor's on-site HSE Representative(s) shall provide a resume and have a minimum of seven (7) years heavy construction experience in administering HSE programs on heavy construction project sites, the last two years of which have been administering HSE in the construction/scope discipline for which Contractor is contracting with the Authority.

6. A Detailed Site Specific HSE Work Implementation Plan:

This plan shall be prepared and submitted by a recognized HSE professional experienced in developing compliant written HSE programs. Indicate the methods and procedures and include the sequence of tasks as listed on the project schedule, include the hazards, tools and equipment, and the safe work practices to mitigate the hazards in a format acceptable OCTA. Specify safety measures in accordance with applicable Cal/OSHA standards, South Coast Air Quality Management District (SCAQMD) rules, National Fire Protection Association (NFPA), National Electric Code (NEC), American National Standards Institute (ANSI) codes and regulations, job hazard analysis, policies, procedures, HSE training requirements and known and potential hazards of Contractor's scope. Plans shall be prepared as specified above and may require as necessary a professional engineer licensed to practice in the state of California, when so required by the provisions of the California Board for Professional Engineer and Surveyors.

PART I – GENERAL

1.0 GENERAL HEALTH, SAFETY AND ENVIRONMENTAL REQUIREMENTS

- A. The Contractor, its subcontractors, suppliers, and employees have the obligation to comply with all Authority health, safety and environmental compliance department (HSEC) requirements of this safety specification, project site requirements, and bus yard safety rules, as well as all federal, state, and local regulations pertaining to scope of work or agreements with the Authority including California Department of Transportation safety requirements and special provisions. Additionally, manufacturer requirements are considered incorporated by reference, as applicable, to this scope of work.

- B. Observance of unsafe acts or conditions, serious violation of health and safety standards, non-conformance of Authority HSEC requirements, or disregard for the intent of these safety specifications to protect people and property, by Contractor may be reason for termination of scope or agreements with the Authority, at the sole discretion of the Authority.
- C. The Authority HSEC requirements, and references contained within this scope of work shall not be considered all-inclusive as to the hazards that might be encountered. Safe work practices shall be pre-planned and performed, and safe conditions shall be maintained during the course of this work scope.
- D. The Contractor shall specifically acknowledge that it has primary responsibility to prevent and correct all health, safety and environmental hazards for which it and its employees, or its subcontractors (and their employees) are responsible. The Contractor shall further acknowledge their expertise in recognition and prevention of hazards in the operations for which they are responsible, that the Authority may not have such expertise, and is relying upon the Contractor for such expertise. The Authority retains the right to notify the Contractor of potential hazards and request the Contractor to evaluate and, as necessary, to eliminate those hazards.
- E. The Contractor shall provide all necessary tools, equipment, and related safety protective devices to execute the scope of work in compliance with the Authority's HSEC requirements, CCR Title 8 Standards, and recognized safe work practices.
- F. The Contractor shall instruct all its employees, and all associated sub-contractors under contract with the Contractor who works on Authority projects in the following; recognition, identification, and avoidance of unsafe acts and/or conditions applicable to its work.

PART II – SPECIFIC REQUIREMENTS

2.0 While these safety specifications are intended to promote safe work practices, Contractors are reminded of their obligation to comply with all federal (Code of Federal Regulations (CFR) Sections 1926 & 1910 Standards), state (CCR Title 8 Standards), local and municipal safety regulations, and Authority health, safety and environmental requirements applicable to their project scope. Failure to comply with these standards may be cause for termination of scope or agreements with the Authority, at the sole discretion of the Authority.

2.1 REQUIRED DOCUMENTATION / REPORTING REQUIREMENTS

The Contractor at a minimum shall provide the following documents to the Authority's Project Manager. Items A through E below shall be submitted and accepted by the Authority's Project Manager prior to Contractor mobilization. Item F upon each occurrence, and for items G through K, contractor shall verify the following documentation is in place, prior to and during contract scope and make the same available to the Authority upon request within 72 hours.

Contractor's established written programs/plans shall comply with CCR Title 8 regulatory standards. All new programs/plans shall be prepared and submitted by a qualified HSE professional who is recognized by an organization of industry standard (i.e., CSP, CIH, CHST, STS, CHMM, etc.) and is experienced in developing compliant written HSE programs. The site safety HSE representative shall participate in the scope submittal process.

- A. A Comprehensive Project Specific Health, Safety, and Environmental (HSE) Work Plan.
 - a. The Contractor shall develop a site project plan that may include, but is not limited to: Permits, Evacuation, Emergency Plan, Roles and Responsibilities, Scope and Construction Activity Details, Constructability Review, Contractor Coordination Process, Safe Work Methods, Hazard Identification & Risk Control, First Aid and Injury Management, Emergency Procedures, Public Protection, Authority and Contractor Site Rules, Incident Reporting and Investigation, Specialized Work or Licensing, Training and Orientation Requirements, Chemical Management, and Subcontractor Management.
 - b. A Detailed Site Specific HSE Implementation Plan: This plan shall be prepared and submitted by a recognized HSE professional (current BCSP Certification in good standing, i.e., CSP, CHST, OHST) experienced in developing compliant written HSE programs, acceptable to OCTA. Indicate the methods and procedures, and include the sequence of tasks as listed on the project schedule, include the hazards, tools and equipment, and the safe work practices to mitigate the hazards in a format acceptable OCTA. Specify safety measures in accordance with applicable Cal/OSHA standards, SCAQMD rules, NFPA, NEC, ANSI codes and regulations, job hazard analysis, policies, procedures, HSE training requirements and known and potential hazards of Contractor's scope. Plans shall be prepared as specified above, and may require if necessary a professional engineer licensed to practice in the state of California, when so required by the provisions of the California Board for Professional Engineer and Surveyors.
- B. Contractor shall provide a copy of their Company HSE Policy/Procedure Manual, in compliance with CCR Title 8 Standards for awarded scope.
- C. Contractor shall provide a copy of Company's Injury Illness Prevention Program in accordance with CCR Title 8, Section 3203.
- D. Contractor shall provide a copy of their Policy or Substance Abuse Prevention Program that complies with the 1988 Drug Free Workplace Act.
- E. Contractor shall provide the resume and qualifications/certifications of assigned project designated Onsite HSE Representative for this scope as identified in section 2.3 of this specification.
- F. Accident/Incident investigation report within 24 hours of event (immediate verbal notification to Authority Project Manager, followed by Written Report).

The following required documentation shall be provided to the Authority's Project Manager, upon Authority request, within 72 hours.

- G. A copy of Contractor weekly site safety inspection report with status of corrections, upon request, within 72 hours.
- H. Contractor shall provide a copy of the Contractors and subcontractors competent person list (submit to Authority Project Manager, upon Authority request, within 72 hours).
- I. Contractors and subcontractors training records for qualified equipment operators, electrical worker certification (NFPA 70E), confined space training, HAZWOPER training, and similar personnel safety training certificates as applicable to the agreement scope and as requested by the OCTA Project Manager and/or HSEC department, upon Authority request, within 72 hours and prior to starting or during the scope activity (submit to Project Manager).
- J. A monthly report that includes number of workers on project, a list of subcontractors, work hours (month, year to date, & project cumulative) of each contractor, labor designation, OSHA Recordable injuries and illnesses segregated by medical treatment cases, restricted workday cases, number of restricted days, lost workday cases, and number of lost work days, and recordable incident rate. Contractor shall provide to the Authority, upon request, within 72 hours.
- K. TRAINING DOCUMENTATION

To ensure that each employee is qualified to perform their assigned work, when applicable to scope work, Contractor shall verify training documentation is in place, prior to and during contract scope, and make available to the Authority, upon request, within 72 hours. Training may be required by the Authority or CCR Title 8 Standards and required for activity on Authority's property and/or Authority projects. Contractor shall provide to Authority, upon request, within 72 hours.

2.2 HAZARD COMMUNICATION (CCR Title 8, Section 5194)

- A. Contractor shall comply with CCR Title 8, Section 5194 Hazard Communication Standard. Prior to chemical use on Authority property and/or project work areas the Contractor shall provide to the Authority Project Manager copies of Material Safety Data Sheet (MSDS) for all applicable products used, if any.
- B. All chemicals including paint, solvents, detergents and similar substances shall comply with SCAQMD Rules 103, 1113, and 1171.

2.3 DESIGNATED HEALTH, SAFETY, ENVIRONMENTAL (HSE) REPRESENTATIVE

- A. Before beginning on-site activities, the Contractor shall require their company HSE Representative to review the scope tasks to ensure compliance with Cal/OSHA Standards. This person shall be a Competent or Qualified Individual

as defined by the Occupational, Safety, and Health Administration (OSHA), familiar with applicable CCR Title 8 Standards, and has the authority to affect changes in work procedures that may have associated cost, schedule and budget impacts.

- B. The Contractor's qualified HSE Representative for all Authority projects is subject to acceptance by the Authority Project Manager and the HSEC Department Manager. All contact information of the HSE Representative (name, phone, and fax and pager/cell phone number) shall be provided to the Authority Project Manager.

QUALIFICATIONS – On Capital Programs, the Contractor shall submit a resume of the full time, on-site qualified HSE Representative(s) who reports directly to the Contractor's Project Manager or Superintendent, and who is responsible for HSE oversight for field operations on the project no later than ten (10) days after receipt of Notice to Proceed, and prior to mobilization. The Contractor's On-site HSE Representative(s) shall have a minimum of seven (7) years heavy construction experience in administering HSE programs on heavy construction project sites, the last two years of which have been administering HSE in the construction discipline for which Contractor is contracting with the Authority. The Contractor's On-site HSE Representative shall be a Certified Safety Professional (CSP) with current standing from the Board of Certified Safety Professionals (BCSP), or a Construction Health and Safety Technician (CHST) with current standing from the BCSP or a Certified Industrial Hygienist (CIH) with current standing from the American Board of Industrial Hygiene (ABIH), or an equal professional HSE Certificate of standing from The National Examination Board in Occupational Safety and Health (NEBOSH), that is acceptable to the Authority. The Contractor's On-site HSE Representatives(s) shall be on site during all operational hours. The On-site HSE Representative(s) shall set up, carry forward and aggressively and effectively maintain the project specific safety program and IIPP covering all phases of the work. If at any time the Contractor wishes to replace their On-site HSE Representative(s), the Contractor must provide written notice thirty (30) days prior to change of personnel to the Authority. The Contractor shall take all precautions and follow all procedures for the safety of, and shall provide all protection to prevent injury to, all persons involved in any way in the scope work and all other persons, including, without limitation, the employees, agents, guests, visitors, invitees and licensees of the Authority who may be involved. This requirement applies continuously and is not limited to normal working hours. The designated HSE Representative shall participate in all HSE related submittals. The Authority reserves the right to allow for an exception to modify these minimum qualification requirements for unforeseen circumstances, at the sole discretion of the Authority Project Manager and HSEC Department Manager.

Facility Modification Projects, The Contractor shall submit a resume of the designated HSE Representative and their Professional Certification:

Certification from the Board of Certified Safety Professionals (BCSP)

- Certified Safety Professional (CSP), or,
- Associate Safety Professional (ASP), or
- Construction Health and Safety Technician (CHST), or,

- Safety Trained Supervisor (STS), or,
- Safety Trained Supervisor Construction (STSC)

Experience:

The Contractor's HSE Representative(s) shall have a minimum of five (5) years of heavy construction or scope agreement experience in administering HSE programs on project sites, the last two years of which have been administering HSE compliance in a similar type of scope (Construction, Rail, Industrial, etc.) for which Contractor is contracting with the Authority. The designated HSE Representative shall participate in all HSE related submittals through completion of the scope and administer the monthly safety report.

The Authority reserves the right to allow for an exception and to modify these minimum qualification requirements for unforeseen circumstances, at the sole discretion of the Authority Project Manager and OCTA the Health, Safety Environmental Compliance (HSEC) Department Manager.

1. Capital Programs may include, but are not limited to, projects involving demolition and construction of; heavy construction, rail projects, highway projects, parking lots and structures, fuel stations, building construction, facility modifications, bus base construction, EPA/DTSC remediation, AQMD air or soil monitoring, fuel tank removal or modification, major bus base modifications, handling potential hazardous waste projects, and similar projects as deemed a Capital Program at the sole discretion by the Authority.
 2. Facility Modification Projects may include, but are not limited to, projects involving minor demolition and construction or improvement projects for transportation centers, bus base sites and/or building modifications, equipment and/or building upgrades, and similar projects as deemed a Facility Modification Project at the sole discretion by the Authority.
 3. Competent Individual means an individual who is capable of identifying existing and predictable hazards in the surroundings or working conditions which are unsanitary, hazardous, or dangerous to employees and/or property, and who has authorization to take prompt corrective measures to eliminate them.
 4. Qualified Individual means an individual who by possession of a recognized degree, certificate, certification or professional standing, or who by extensive knowledge, training, and experience, has successfully demonstrated his/her ability to solve or resolve problems relating to the subject matter, the work, or the project.
- C. The Contractor shall designate a Competent Individual for each task, as required by Cal-OSHA standards or laws. The task Competent Individual shall be responsible for the prevention of accidents. If the Authority or any public agency with jurisdiction notifies the Contractor of any claimed dangerous condition at the site that is within the Contractor's care, custody or control, the Contractor shall take immediate action to rectify the condition at no additional cost to the Authority. The Contractor shall be responsible for the payment of all fines levied

against the Authority for deficiencies relating to the Contractor's supervision or conduct and/or control of the scope agreement.

- D. On Facility Modification Projects, the Authority Project Manager reserves the right to require the Contractor to provide one additional full-time safety representative with qualifications as identified in section 2.3 (C), above whenever the number of individuals from the Contractor, its subcontractors, suppliers, and vendors meets or exceeds 15 workers, there are multiple scope work sites, or as warranted by the scope of work at the sole discretion by the Authority.
- E. On Capital Programs, the Authority's Project Manager reserves the right to require the Contractor to provide one additional full-time safety representative with qualifications as identified in item 2.3 (C) above whenever the number of individuals from the Contractor, its subcontractors, suppliers, and vendors meets or exceeds 50 workers, or is warranted by the scope of work.

2.4 SITE HSE ORIENTATION

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

2.5 INCIDENT NOTIFICATION AND INVESTIGATION

- A. The Authority shall be promptly notified of any of the following types of incidents:
 - 1. Damage to Authority property (or incidents involving third party property damage);
 - 2. Reportable and/or recordable injuries (as defined by the U. S. Occupational Safety and Health Administration);
 - 3. Incidents impacting the environment, i.e. spills or releases on Authority property.
- B. Notifications shall be made to Authority representatives, employees and/or agents. This includes incidents occurring to contractors, vendors, visitors, or members of the general public that arise from the performance of Authority contract work. An initial immediate verbal notification, followed by a written incident investigation report shall be submitted to Authority's Project Manager within 24 hours of the incident.

A final written incident investigative report shall be submitted within seven (7) calendar days, and include the following information. The current status of anyone injured, photos of the incident area, detailed description of what happened, the contributing factors that led to the incident occurrence, a copy of the company policy or procedure associated with the incident and evaluation of effectiveness, copy of the task planning documentation, and the corrective action initiated to prevent recurrence. This information shall be considered the minimum elements required for a comprehensive incident report acceptable to OCTA.

- C. A Serious Injury, Serious Incident, OSHA Recordable Injury / Illness, or Significant Near Miss shall require a formal incident review at the discretion of the Authority's Project Manager. The incident review shall be conducted within seven (7) calendar days of the incident. This review shall require a senior executive from the Contractors' organization to participate in the presentation. The serious incident presentation shall include action taken for the welfare of the injured, a status report of the injured, causation factors leading to the incident, a root cause analysis, and a detailed recovery plan that identifies corrective actions to prevent a similar incident, and actions to enhance safety awareness.
1. Serious Injury : includes an injury or illness to one or more employees, occurring in a place of employment or in connection with any employment, which requires inpatient hospitalization for a period in excess of twenty-four hours for other than medical observation, or in which an employee suffers the loss of any member of the body, or suffers any serious degree of physical disfigurement.
 2. Serious Incident : includes property damage of \$500.00 or more, an incident requiring emergency services (local fire, paramedics and ambulance response), news media or OCTA media relations response, and/or incidents involving other agencies (Cal/OSHA, EPA, AQMD, DTSC, etc.) notification or representation.
 3. OSHA Recordable Injury / Illness : includes and injury / illness resulting in medical treatment beyond First Aid, an injury / illness which requires restricted duty, or an injury / illness resulting in days away from work.
 4. Significant Near Miss Incident : includes incidents where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred.

2.6 REGULAR INSPECTIONS & THIRD PARTY INSPECTIONS

- A. Frequent and regular inspections of the project jobsite shall be made by the Contractor's HSE Representative, or another Competent Individual designated by the Contractor. Unsafe acts and/or conditions noted during inspections shall be corrected immediately.
- B. The Contractor is advised that representatives of regulatory agencies (i.e., CAL-OSHA, EPA, SCAQMD, etc.), upon proper identification, are entitled to access

onto Authority property and projects. The Authority Project Manager shall be notified of their arrival as soon as possible.

2.7 ENVIRONMENTAL REQUIREMENTS

- A. The Contractor shall comply with Federal, State, county, municipal, and other local laws and regulations pertaining to the environment, including noise, aesthetics, air quality, water quality, contaminated soils, hazardous waste, storm water, and resources of archaeological significance. Expense of compliance with these laws and regulations is considered included in the agreement. Contractor shall provide water used for dust control, or for pre-wetting areas to be paved, as required; no payment will be made by OCTA for this water.
- B. The Contractor shall prevent pollution of storm drains, rivers, streams, irrigation ditches, and reservoirs with sediment or other harmful materials. Fuels, oils, bitumen, calcium chloride, cement, or other contaminants that would contribute to water pollution shall not be dumped into or placed where they will leach into storm drains, rivers, streams, irrigation ditches, or reservoirs. If operating equipment in streambeds or in and around open waters, protect the quality of ground water, wetlands, and surface waters.
- C. The Contractor shall protect adjacent properties and water resources from erosion and sediment damage throughout the duration of the contract. Contractor shall comply with applicable NPDES permits and Storm Water Pollution Prevention Plan (SWPPP) requirements.
- D. Contractor shall comply with all applicable EPA, Cal EPA, Cal Recycle, DTSC, SCAQMD, local, state, county and city standards, rules and regulations for hazardous and special waste handling, recycling and/ disposal. At a minimum, Contractor shall ensure compliance where applicable with SCAQMD Rule 1166, CCR Title 8, Section 5192, 29 CFR Subpart 1910.120, 49 CFR Part 172, Subpart H, 40 CFR Subpart 265.16 and CCR Title 22 Section 6625.16. Contractor shall provide OCTA a schedule of all hazardous waste and special or industrial waste disposal dates in advance of transport date. Only authorized OCTA personnel shall sign manifests for OCTA generated wastes. Contractor shall ensure that only current registered transporters are used for disposal of hazardous waste and industrial wastes. The Contractor shall obtain approval from OCTA for the disposal site locations in advance of scheduled transport date.
- E. If the Contractor encounters on the site material reasonably believed to be asbestos, polychlorinated biphenyl (PCB) or other Hazardous Substance (as defined in California Health and Safety Code, and all regulations pursuant thereto) which has not been rendered harmless, the Contractor shall immediately stop work in that area affected and report the condition to the Authority in writing. The work in the affected area shall not thereafter be resumed except by written agreement of the Authority and Contractor if in fact the material is asbestos or polychlorinated biphenyl (PCB) or other hazardous substance and has not been rendered harmless. The work in the affected area shall be resumed in the absence of asbestos or polychlorinated biphenyl (PCB) or other hazardous substance, or when it has been rendered harmless, by

written agreement of the Authority and the Contractor, or in accordance with a final determination by an Environmental Consultant employed by the Authority.

- F. The Contractor shall not permit any hazardous substances to be brought onto or stored at the Project Site or used in the construction of the work, except for specified materials and commonly used construction materials for which there are no reasonable substitutes. All such materials shall be handled in accordance with all manufacturers' guidelines, warnings and recommendations and in full compliance with all applicable laws. All notices required to be given with respect to such materials shall be given by the Contractor. The Contractor shall not intentionally release or dispose of hazardous substances at the Project Site or into the soil, drains, surface or ground water, or air, nor shall the Contractor allow any Sub-Contractor, subcontractor or supplier or any other person for whose acts the Contractor or any subcontractor, vendor or supplier may be liable, to do so. For purposes of Contract Documents, "hazardous substance" means any substance or material which has been determined or during the time of performance of the work is determined to be capable of posing a risk of injury to health, safety, property or the environment by any federal, state or local governmental authority.

2.8 VEHICLE AND ROADWAY SAFETY REQUIREMENTS

- A. The Contractor shall ensure that all Contractor vehicles, including those of its subcontractors, suppliers, vendors and employees are parked in designated parking areas, are identified by company name and/or logo, and comply with traffic routes, and posted traffic signs in areas other than the employee parking lots.
- B. Personal vehicles belonging to Contractor employees shall not be parked on the traveled way or shoulders including any section closed to public traffic, or areas of the community that may cause interference or complaints
- C. The Contractor shall comply with California Department of Transportation safety requirements and special provisions when working on highway projects.
- D. The Contractor shall conform to American Traffic Safety Services Association (Quality Standard for Work Zone Control Devices 1992).

2.9 LANGUAGE REQUIREMENTS

For safety reasons, the Contractor shall ensure employees that do not read, or understand English, shall be within visual and hearing range of a bilingual supervisor or responsible designee at all times when on the Authority property or projects.

2.10 PERSONAL PROTECTIVE EQUIPMENT AND CLOTHING

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

- A. RESPIRATORS (CCR Title 8, Section 5144) - The required documentation for training and respirator use shall be provided to the Authority's Project Manager upon request within 72 hours. All compliance documentation as required by CCR Title 8, Section 5144, Respiratory Protective Equipment.
- B. EYE PROTECTION – The Authority requires eye protection on construction projects and work areas that meet ANSI Z-87.1 Standards.
- C. BUS BASE – Minimum PPE required includes but is not limited to; Eye protection, class 2 reflective vest, steel toe or construction type footwear that meets ANSI Z41 1991 are recommended.
- D. CONSTRUCTION PROJECTS - Minimum PPE required includes but is not limited to; hard hat, eye protection, hand protection, class 2 reflective vest, safety toe footwear that meets ANSI Z41 1991 are recommended.
- E. HARD HATS: Approved hard hat that meet ANSI Z89. 1 (latest revision). Hard hats should be affixed with the company/agency logo and/or name. The bill shall be worn forward. Metal hard hats and cowboy style are forbidden on Authority projects.
- F. FOOTWEAR: Enclosed leather that covers the ankles, such as a construction type boot. Employees shall not wear casual dress shoes, open toe, sneakers, sandals, canvas-type shoes, or other shoes that have thin soles or heels that are higher than normal in construction work areas. Safety toe footwear that meets ANSI Z41 1991 are recommended on construction sites and in operating facilities.
- G. CLOTHING/SHIRTS: minimum or waist length shirts with sleeves (4" minimum).
- H. CLOTHING/TROUSERS: Cover the entire leg. If flare-legged trousers are worn, the trouser bottoms must be tied to prevent catching. No sweat pants, or trousers with holes.

2.11 AERIAL DEVICES (CCR Title 8, Section 3648)

Aerial devices are defined in CCR Title 8 as any vehicle-mounted or self-propelled device, telescoping extensible or articulating, or both, which is primarily designed to position personnel. If aerial devices are to be used, the required documentation in CCR Title 8, Section 3648 shall be provided to the Authority's Project Manager, upon request, within 72 hours.

2.12 CONFINED SPACE ENTRY (CCR Title 8, Section 5157)

Before any employee will be allowed to enter a confined space, the required documentation as required by CCR Title 8, Section 5157 shall be provided to the Authority's Project Manager, upon request, within 72 hours.

- A. **RECOMMENDED:** a copy of the most recent calibration record for each air monitoring unit, 3-gas monitor or “sniffer” to be used by the Entry Supervisor prior to entering permit-required confined spaces.

2.13 CRANES

- A. Crane activity shall comply with 29 CFR 1926.550, CCR Title 8 Standards, manufacture’s recommendations and requirements, applicable American Society of Mechanical Engineers (ASME), and ANSI Standards. In addition, Contractor shall comply with the following requirements: Prior to using mobile cranes, the Contractor shall provide to the Authority Project Manager, items 1, 2 & 3 of the following documentation a minimum of seven (7) days prior to activity, and item 4 on each day of crane activity.
 - 1. Cranes require a submittal of the annual certification, and copy of the cranes most recent quarterly inspection.
 - 2. A copy of each crane operator’s qualification (NCCCO or equivalent) of company-authorized crane operators that have been properly trained in the equipment’s use and limitations. Operator certification as required by CCR Title 8, Section 5006.1.
 - 3. A rigging plan is required for all lifts. Critical lifts require an engineered plan designed by a registered professional engineer licensed in the State of California.
 - 4. Contractor shall provide the name and qualifications of each “Qualified Rigger” as defined by OSHA.
 - 5. Rigging scope activity shall comply with 29 CFR Subparts 1926.250, 1929.753 and CCR Title 8 Standards.
 - 6. All rigging equipment shall be free from defects, in good operating condition and maintained in a safe condition.
 - 7. Rigging equipment shall be inspected by a designated, competent employee prior to initial use on the project, prior to each use, and documented inspections performed regularly. Records shall be kept on jobsite of each of these inspections by contractor and be made available to the Authority upon request within 72 hours.
 - 8. Only one (1) sling eye should be in a hook, for multiple slings a shackle shall be used to prevent separation of slings, and prevent stress on weak points of the hook.
 - 9. Contractor shall prepare a documented daily crane inspection report.
- B. Pick and carry with rubber tired cranes is forbidden on Authority projects.

C. Engineered Critical Lifts

A critical lift is established where any one of the following conditions are created:

1. Where in the crane's current configuration at any point during the lift, a gross load weight exceeds 75% of the capacity of the crane.
2. A gross weight equal to, or greater than 10 tons.
3. Lifts over buildings, equipment, public roadways, structures, or power lines.
4. A single lift where two or more cranes are used, including tandem lifts and tailing cranes.
5. Lifts made in close proximity of power lines, as defined by CCR Title 8 voltage clearance specifications.
6. Lifts involving helicopters, and specialized or unique and complex rigging equipment.
7. Hoisting of suspended work platforms.
8. Static tower crane erection and dismantlement.
9. Making lifts below the ground level where the crane is positioned.
Note: Where the below the ground lift is minimal (evaluated by California registered professional engineer), a critical lift plan may not be required.

D. Critical Lift Plan

Where a critical lift will be performed, a written critical lift plan shall be submitted to the Authority Project Manager prior to commencing with the lift. The written plan shall include the following:

1. Crane manufacturer, capacity, and all specifications for the configuration to be used for the lift.
2. Load chart data for the crane to be used to make the lift. Total calculated weight of the load to be lifted including all rigging and other deductions consistent with the manufacturer's load chart.
3. Engineering data shall be provided on the hook assembly (manufacturer's certification or independent laboratory testing and load testing within the past 60 days), below-the hook rigging, and all specialized below-the-hook lifting devices.

4. Diagrams of the lift that provides geometrical conditions of the load, rigging, and all crane positions during the lift. The drawing shall provide the following:
 - A. Locations of all components to be lifted prior, during and after the lift is completed.
 - B. Radius points.
 - C. Swing patterns.
 - D. In the event that the lift must be aborted, positions where the load may be safely landed.
 - E. Areas where any personnel, public, and vehicles must be evacuated during the lift.
5. Potential ground loading for each point of contact by the crane in selected locations in which the crane will perform the critical lift.
6. Soil and subsurface data and information pertaining to the location on which the crane used for the critical lift will be positioned. This information shall be procured from an authoritative source such as a geotechnical engineer or a professional civil engineer registered in the state of California.

Note: *This information may be available from the Authority for selected locations on some projects.*
7. An engineer shall use the data provided in #5 and #6 above to verify and confirm the following:
 - A. That the soil and subsurface conditions are capable of supporting all loads imposed during the critical lift.
 - B. That the designs of cribbing and other supports used under the crane load points are appropriate to safely transfer such loads.
8. Signature and stamp on the plan by a California registered professional engineer, evidencing review of the plan as meeting the requirements that all loads and load information and calculations contained in the plan are approved, acceptable and safe to perform.
9. Operator qualifications.
10. Method by which communication will be provided to the crane operator. (Designated signal person, two-way radio, hard wire phone system, etc.).

11. A critical lift hazard analysis which identifies the particular hazards (including weather, wind, obstructions, etc.) associated with the lift and the means and methods to reduce, mitigate, or eliminate the hazards.

12. Emergency action plan.

13. Documentation of lift and pre-job meeting shall be conducted by Contractor's Project Manager.

The written plan shall be submitted 7 days prior to any critical lift for review by the Authority Project Manager and the Authority HSEC department. No critical lifts shall be conducted prior to such review.

E. OVERHEAD CRANES

Before using the Authority overhead cranes, each Contractor shall designate a limited number of employees to attend a training session on the use and limitations of overhead cranes with designated Authority personnel.

2.14 DEMOLITION OPERATIONS (CCR Title 8, Section 1734)

Before starting demolition activities the required documentation shall be provided to the Authority's Project Manager, upon request, within 72 hours. Contractor shall provide all compliance documentation as required by CCR Title 8 Article 31.

A. The Contractor shall be responsible for visiting and examining the project site to assess and personally determine the extent of demolition, associated work, debris removal, disposal and general work to be done under this section.

B. The Contractor shall take possession of all demolished materials, except as noted otherwise in the Contract Documents, and be responsible for disposing of them in accordance with applicable laws and regulations. On-site burning or burial of demolition materials will not be permitted.

C. Provide continuous noise and dust abatement as required, preventing disturbances and nuisances to the public, workers, and the occupants of adjacent premises and the surrounding areas. Dampen areas affected by demolition operation as necessary to prevent dust nuisance.

D. Site demolition plan: Indicate methods, procedures, equipment, and structures to be employed. Specify safety measures in accordance with applicable codes including signs, barriers, and temporary walkways. Plans shall be prepared by a qualified person (CSP, CIH, CHST, CHMM, etc.), or as necessary by a professional engineer licensed to practice in the State of California, when so required by the provisions of the California Board for Professional Engineer and Surveyors.

E. Equipment, haul routes, and disposal sites to be used in the demolition and disposal work. Copy of manifests showing delivery of disposed materials in

accordance with the plan and permit conditions. Certification that all demolished materials removed from the site have been disposed of in accordance with applicable laws and regulations.

2.15 EXCAVATION OPERATIONS (CCR Title 8, Section 1541)

Before starting excavation activities more than 5 feet deep into which people shall enter, the required documentation shall be provided to the Authority's Project Manager, upon request, within 72 hours. All compliance documentation shall comply with the following CCR Title 8, Section 1541 requirements:

- A. A copy of the Contractor's Excavation Permit.
- B. Attention is directed to the applicable sections of the Labor Code concerning trench excavation safety plans, "Trench Safety." Excavation for any trench 5 feet or more in depth shall not begin until the Contractor has received approval from the Engineer of the Contractor's detailed plan for worker protection from the hazards of caving ground during the excavation of that trench and any design calculations used in the preparation of the detailed plan. Excavations 20 feet or greater shall be engineered and plan stamped by a California registered professional engineer.
- C. The detailed plan shall show the details of the design of shoring, bracing, sloping or other provisions to be made for worker protection during the excavation. No plan shall allow the use of shoring, sloping or a protective system less effective than that required by the Construction Safety Orders of the Division of Occupational Safety and Health. If the plan complies with the shoring system standards established by the Construction Safety Orders, the plan shall be submitted at least five (5) days before the Contractor intends to begin excavation for the trench.
- D. Excavations and trenches shall be inspected by a "Competent Person" daily and after every rainfall to determine if they are safe. Daily inspections shall be recorded. Documentation is to be kept on site and available for review upon request.
- E. Excavations are considered class 'C' soil unless documented testing in accordance with 29 CFR Subpart P, Section 1926.650 and CCR Title 8 Standards supports a class 'B' soil classification and is confirmed and stamped by a California registered professional engineer. In no case will excavations be classified as class 'A' soil.

2.16 FALL PROTECTION (CCR Title 8, Sections 1669-1671)

The following standards are required when performing work on Authority property. The required documentation shall be provided to the Authority's Project Manager, upon request, within 72 hours.

- A. Fall protection is required for workers exposed to falls in excess of six (6) feet.

- B. When conventional fall protections methods are impractical or create a greater hazard, a written plan in conformance with CCR Title 8, Article 24, shall be submitted to the Authority a minimum of seven (7) days in advance of the scheduled activity.

2.17 FORKLIFTS, BACKHOES AND OTHER INDUSTRIAL TRACTORS (CCR Title 8, Section 3664)

CCR Title 8 defines backhoes as “industrial tractors”. All compliance documentation shall be provided as required by CCR Title 8, Section 3664. The following required documentation shall be provided to the Authority’s Project Manager, upon request, within 72 hours:

- A. A copy of each operator’s certificate or a list of company-authorized industrial tractor operators that have been properly trained in the equipment’s use and limitations. Please state which equipment, and model each operator has been authorized to operate (i.e. forklifts, backhoe, bulldozer, front-end loader, etc.).

2.18 ELECTRICAL OPERATIONS

HIGH VOLTAGE (CCR Title 8, Sections 2700-2974)

Any work on electrical equipment defined by OSHA as high-voltage, at or above 600 volts, requires specialized training certifications and personal protective equipment. Before any high-voltage work commences, the Authority Project Manger must be notified and must provide approval. The following required NFPA 70E certification and a certificate of training from a recognized organization of a two day high voltage safety training course shall be provided to the Authority’s Project Manager, upon request, within 72 hours:

- A. A list of the name(s) of the company-designated high voltage Qualified Electrical Worker(s)

LOW VOLTAGE (CCR Title 8, Sections 2299-2599)

Only qualified persons shall work on electrical equipment or systems.

- A. Electrical Certification of Training; Contractor employees working on or around electrical panels, wiring, motors, electrical energy sources or similar electrical devices shall have attended a NFPA 70E, Electrical Safety Course and provide to the OCTA Project Manager a copy of employees’ NFPA 70E qualification certificate of training for each employee assigned to electrical tasks on OCTA property or projects.

2.19 POWDER-ACTUATED TOOLS (CCR Title 8, Section 1685)

Before using tools such as “Hilti guns” or other powder-actuated tools, the following required documentation shall be provided to the Authority’s Project Manager, upon request, within 72 hours.

- A. A copy of each qualified person’s valid operator card.

2.20 SCAFFOLDS (CCR Title 8, Sections 1635.1-1677)

Scaffold erection shall be in compliance with CCR Title 8 Standards. All compliance documentation shall be provided as required by CCR Title 8, Sections 1635.1-1677. In addition, the Contractor shall comply with the following additional requirements.

- A. All scaffolds on Authority project shall be inspected by a competent person qualified for scaffolds in accordance with CCR Title 8 Standards.
- B. Contractor shall arrange for a third party inspection, at least quarterly, by a credentialed professional (insurance carrier, scaffold manufacturer representative, or similar) in addition to the contractors daily self inspections.
- C. A proper scaffold inspection and tagging system shall be maintained identifying compliance status (Example: Green/safe, Yellow/modified-fall protection required, Red/unsafe-do not use).
- D. Contractor shall have a fall protection plan that meets CCR Title 8 Standards for scaffold erectors, an erection/dismantling plan shall be submitted to Authority Project Manager for review prior to start of activity.
- E. Scaffold erection/dismantling shall install handrails beginning on the first level above ground erected, and erectors shall plan erection and dismantling in a manner to maximize handrail protection and minimize employees at unprotected areas.

2.21 WARNING SIGNS AND DEVICES

Signs, signals, and/or barricades shall be visible at all times when and where a hazard exists. Overhead tasks, roofing tasks, excavations, roadwork activity, demolition work, and other recognized hazards shall have guardrail protection, warning barricades, or similar protective measures acceptable to the Authority's Project Manager. Signs, signals, and/or barricades shall be removed when the hazard no longer exists.

2.22 STEEL ERECTION

Steel Erection scope activity shall comply with 29 CFR Subpart R, Section 1926.750, and CCR Title 8 Standards. In addition to OSHA Standards, Contractor shall comply with the following requirements.

- A. Erection planning should incorporate installation methods using aerial devices (man-lifts) and elevated work platforms (scissor lift) to minimize fall hazards of climbing steel where possible. A detailed written job safety analysis (JSA) shall identify installation methods, equipment, and control methods to minimize potential fall hazards.
- B. The Contractor shall not allow any employee to walk the steel unprotected from falls. Contractor employees must be tied-off and "coon" the beam until safety

cables are provided to which employees shall use 100% tie-off protection. Two lanyards are required to ensure 100% tie-off protection.

- C. A safe means of access to the level being worked shall be planned. Climbing and sliding down columns are not considered safe access and are forbidden on Authority projects.
- D. A qualified rigger shall inspect the rigging prior to each shift and each lift.
- E. Multiple lift rigging (Christmas Treeing) lifts are forbidden on Authority property and controlled projects.

2.23 AUDITS

- A. The Authority may make periodic patrols of the project site as a part of its normal security and safety program. The Contractor shall not be relieved of its aforesaid responsibilities and the Authority shall not assume same, nor shall it be deemed to have assumed, any responsibility otherwise imposed upon the Contractor, as a result of safety patrols by the Authority.
- B. The Authority may audit the Contractor's safety program for HSE compliance at various intervals of the project, at the sole discretion of the Authority. Elements may include, but are not limited to: OSHA injury & illness records and logs, Job Safety Analysis and safety plans, equipment operator licenses and training records, incident reports, meeting minutes, engineered plans, safety meeting records, crane and rigging plans, equipment inspection records, qualifications of and interviews with key Contractor management personnel, and other similar information. The Contractor shall support and cooperate with these audits at no additional compensation or schedule impacts with this contract.

2.24 RAILWAY SAFETY PRECAUTIONS

- A. Work on operating railways shall be in compliance with 49 CFR, Part 214, CCR Title 8 Standards, and the Southern California Regional Rail Authority (SCRRA).
- B. New construction rail projects require that all employers and contractors are responsible to assure employees are trained and understand on-track safety procedures, and follow roadway worker rules identified in 49 CFR, Part 214, CCR Title 8, SCRRA, the California Department of Transportation (CalTrans), and OCTA HSE Construction Management Requirements (i.e., item E references).
- C. Minimum PPE for workers include hard hat, safety glasses, orange (i.e., rail company approved color) class 2 reflective vest, safety toe footwear that meets ANSI Z41 1991 (lace-up type over the ankle) and hearing protection (on person and worn as necessary).

2.25 FINES

The Contractor shall be responsible for the payment of all fines levied against the Authority for HSE violations arising from or related to activities over which Contractor has responsibility per the contract..

2.26 COMPLIANCE COSTS

Compliance with Health, Safety and Environmental Compliance identified in these aforementioned Authority Safety Specifications shall be at the expense of the Contractor, and included in Bid Documents to the Authority for the Contractor's scope. The Authority shall incur no additional cost or schedule impacts by Contractor, for compliance with California Construction Safety Orders, CCR Title 8 Standards, Federal OSHA Standards, and the Authority Safety Specifications for the protection of persons and property.

2.27 REFERENCES

- A. CCR Title 8 Standards (Cal/OSHA)
- B. CFR Including 1910 and 1926 Standards
- C. NFPA, NEC, ANSI, NIOSH Standards
- D. USACE Construction Quality Management Manual (EM-385-1-1)
- E. Construction Industry Institute (CII)
- F. OCTA Construction Management Procedures Manual
- G. OCTA Yard Safety Rules

END OF DOCUMENT

EXHIBIT F: PROPOSAL EXCEPTIONS AND/OR DEVIATIONS

PROPOSAL EXCEPTIONS AND/OR DEVIATIONS

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

Offeror: _____

RFP No.: _____ RFP Title: _____

Deviation or Exception No. : _____

Check one:

- Scope of Work (Technical) _____
- Proposed Agreement (Contractual) _____

Reference Section/Exhibit: _____ Page/Article No. _____

Complete Description of Deviation or Exception:

Rationale for Requesting Deviation or Exception:

Area Below Reserved for Authority Use Only:

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

PUBLIC RECORDS ACT INDEMNIFICATION – PROPOSAL DOCUMENTS

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

Option #1: Public Records Act Indemnification Agreement

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

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

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

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

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

Contact Name: _____ (Print Name)

Title: _____

Signed by: _____

Date: _____

Option #2: Non-Applicability

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

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

Contact Name: _____ (Print Name)

Title: _____

Signed by: _____

Date: _____



COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Update on South Orange County Transportation Projects

Regional Planning and Highways Committee Meeting of August 3, 2020

Present: Directors Bartlett, Chaffee, Delgleize, Muller, M. Murphy,
R. Murphy, and Pulido

Absent: None

Committee Vote

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

Director Pulido was not present to vote on this item.

Committee Recommendation

Receive and file as an information item.



August 3, 2020

To: Regional Planning and Highways Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: Update on South Orange County Transportation Projects

Overview

In April 2020, the Board of Directors directed staff to work with agencies to advance project development efforts for a non-tolled extension of Los Patrones Parkway, widening of Ortega Highway, and Interstate 5 high-occupancy vehicle lane improvements in the San Clemente area. A status report is provided on these three key projects that will address short-term south Orange County traffic needs.

Recommendation

Receive and file as an information item.

Background

In March 2020, consensus was reached by the Orange County Transportation Authority (OCTA), the Transportation Corridor Agencies (TCA), and the California Department of Transportation (Caltrans) on near-term project development efforts for three key south Orange County transportation improvements. These improvements include: (1) a non-tolled Los Patrones Parkway extension from Cow Camp Road to Avenida La Pata; (2) Ortega Highway widening between Calle Entradero and Reata Road; and (3) an Interstate 5 (I-5) high-occupancy vehicle (HOV) lane extension from Avenida Pico to the Orange/San Diego County line area (Attachment A).

These key projects are focused on meeting travel demand over the next decade. Longer-term multimodal solutions will be defined through OCTA's South Orange County Multimodal Transportation Study (SOCMTS), which is now underway. This overall strategy emerged from the technical analysis, public input, and comments that TCA and Caltrans received through the now concluded South County Traffic Relief Effort (SCTRE). This report focuses on the status of the three projects mentioned above, and a separate report provides an update on the SOCMTS.

Discussion

Following the consensus reached in March 2020, the OCTA Board of Directors (Board) approved recommendations in April 2020 that emerged from the conclusion of the TCA/Caltrans SCTRE. These recommendations directed staff to:

- (1) Work with TCA, the County of Orange (County), and all stakeholders in the preparation of a project development plan for a non-tolled extension to Los Patrones Parkway;
- (2) Work with Caltrans and the City of San Juan Capistrano (City) to advance funding for the final design for the widening of Ortega Highway; and
- (3) Work with Caltrans and the San Diego Association of Governments (SANDAG) to advance funding for the environmental process for I-5 HOV improvements.

As part of the April 2020 action, the Board also directed staff to return with a status report on the SOCMTS. All these efforts are moving forward now, and project updates are provided below.

Los Patrones Parkway Non-Tolled Extension: Project Development Plan Underway

As a first step in the preparation of the project development plan, OCTA has been participating in working sessions with the County, cities, Rancho Mission Viejo Development Company, and other stakeholders. The goal of the initial working sessions has been to identify the schedule and process to add an approximately 3.5-mile, non-tolled Los Patrones Parkway extension to the County's general plan and OCTA's Master Plan of Arterial Highways (MPAH). These efforts will require a programmatic environmental process under the California Environmental Quality Act (CEQA) for changes to the County's general plan. The CEQA process is also required to ultimately add the extension to the MPAH. Roadways that are on the MPAH are eligible for competitive Measure M2 (M2) Comprehensive Transportation Funding Programs (CTFP). The current schedule calls for completion of the County's general plan update and MPAH amendment by early 2021. Following these actions, the County can apply for CTFP funds for preliminary engineering of the new facility or use County funds for this effort. At this point in time, specific alignments and cost estimates have not been finalized, and these details will be worked out in the preliminary engineering phase that could start as early as late 2021, contingent upon available funding.

Ortega Highway Widening: Final Design Starting

The two-lane section (one lane in each direction) of Ortega Highway between Calle Entradero in the City and Reata Road (near the boundary between the City and unincorporated County line) is a critical system bottleneck in south Orange County. This project will widen Ortega Highway from one lane in each direction to two lanes in each direction in this 1.1-mile section. The project is now environmentally cleared under CEQA and the National Environmental Protection Act (NEPA). NEPA clearance, approved in mid-2020, allows federal funds to be used on the project. Caltrans will lead final design of the widening effort using state/federal funds made available by OCTA and the California Transportation Commission through the State Transportation Improvement Program. Excluding prior work, the project cost is estimated at \$67.6 million for final design, right-of-way, and construction. OCTA is working with Caltrans, the City, and the County to secure full funding for the project. With full funding, the project could open to traffic as soon as late 2025, based on schedules provided by Caltrans.

I-5 Widening from San Diego County Line Area to Avenida Pico: Environmental Clearance Starting

This I-5 Improvement Project, from the San Diego County line area to Avenida Pico, proposes to add one HOV lane in each direction, re-establish existing auxiliary lanes, modify ramps at select locations, and widen bridge structures, where applicable. This 3.5-mile project will extend the HOV improvements that were completed as part of Project C in the M2 Freeway Program, and complete most of the remaining HOV lane network in Orange County. OCTA is currently underway with the procurement for professional services for a project report and environmental document. Staff expects to bring a consultant selection to the Board in November 2020 for consideration and approval. The environmental phase of the project is anticipated to begin in spring 2021 and be completed by 2024, so it is shelf-ready for potential advancement as additional funding becomes available. As outlined in the cooperative agreement approved by the Board on June 8, 2020, OCTA will be the implementing agency, and Caltrans will have final approval under NEPA and CEQA. OCTA will lead stakeholder involvement process with various agencies including local cities, SANDAG, and other stakeholders. Detailed cost estimates and schedules will be worked out in the preliminary engineering phase, which is part of the environmental process.

Summary

Three major projects to address short-term south county traffic needs are moving in the project development process, including a non-tolled extension of Los Patrones Parkway, widening of Ortega Highway, and extension of the I-5 HOV lane. The comprehensive SOCMTS will consider other future multimodal improvements. Future updates will be provided as project details are developed and available by lead agencies, including OCTA.

Attachment

- A. Key South Orange County Transportation Projects

Prepared by:



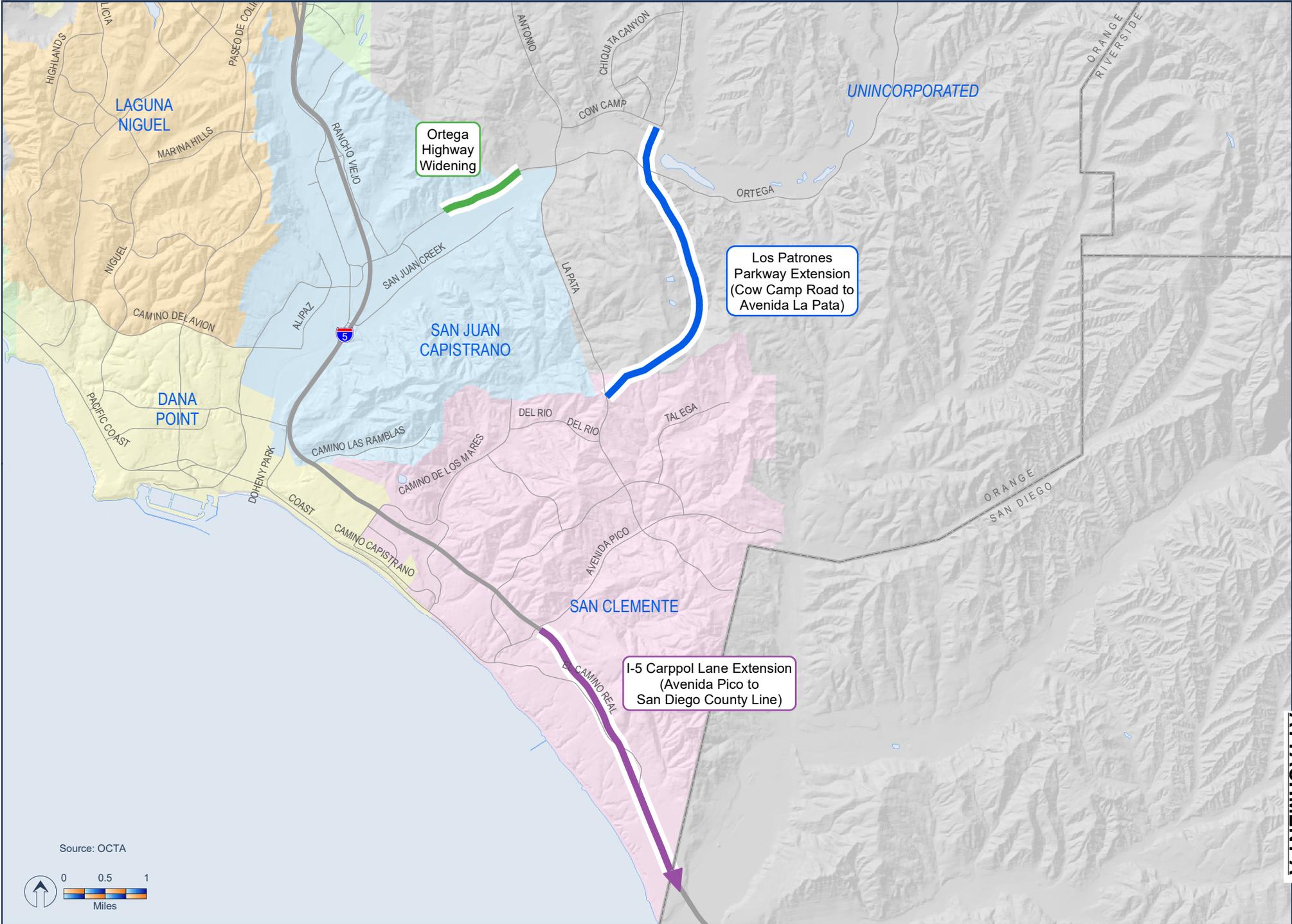
Kurt Brotcke
Director, Strategic Planning
(714) 560-5742

Approved by:



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

Key South Orange County Transportation Projects



Source: OCTA





COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Grant Acceptance for the Orange County Bike Connectors Gap Closure Feasibility Study

Regional Planning and Highways Committee Meeting of August 3, 2020

Present: Directors Bartlett, Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: None

Committee Vote

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

Director Pulido was not present to vote on this item.

Committee Recommendations

- A. Adopt Orange County Transportation Authority Resolution No. 2020-064 and authorize the Chief Executive Officer to accept the Sustainable Transportation Planning Grant award and execute grant-related agreements and documents with the California Department of Transportation and the Southern California Association of Governments.
- B. Authorize the Chief Executive Officer to amend the Federal Transportation Improvement Program and process all necessary amendments to facilitate the recommendation above.



August 3, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Grant Acceptance for the Orange County Bike Connectors Gap Closure Feasibility Study

Overview

The Orange County Transportation Authority was recently awarded \$160,000 for the Orange County Bike Connectors Gap Closure Feasibility Study through the statewide Sustainable Transportation Planning Grant Program. In order to utilize these grant funds, staff is seeking Board of Directors' approval to accept the award and enter into agreements with the granting agencies.

Recommendations

- A. Adopt Orange County Transportation Authority Resolution No. 2020-064 and authorize the Chief Executive Officer to accept the Sustainable Transportation Planning Grant award and execute grant-related agreements and documents with the California Department of Transportation and the Southern California Association of Governments.
- B. Authorize the Chief Executive Officer to amend the Federal Transportation Improvement Program and process all necessary amendments to facilitate the recommendation above.

Background

The Sustainable Transportation Planning Grant Program was created to support the California Department of Transportation's (Caltrans) mission to provide a safe, sustainable, integrated, and efficient transportation system to enhance the State of California's economy and livability. On August 16, 2019, Caltrans issued a fiscal year 2020-21 Sustainable Transportation Planning Grant statewide call for projects, which made available approximately \$34 million to regional and local agencies for transportation planning grants. In response to this opportunity, the Orange County Transportation Authority (OCTA) submitted a request for \$160,000 for the Orange County Bike Connectors Gap Closure Feasibility Study.

The planning effort would evaluate the potential to expand regional bikeway connections throughout Orange County. This will build on the OC Loop concept identifying additional branded regional bikeways throughout Orange County.

Discussion

On June 18, 2020, OCTA was notified that Caltrans selected the study for funding. This study builds on previously-envisioned bikeways across the County building on prior studies by the Southern California Association of Governments and OCTA. These studies culminated in the first countywide active transportation plan called “OC Active” completed in December 2019. OC Active, developed in conjunction with local agencies, identified the almost-complete OC Loop (north), and newly-proposed bikeways called South Loop and Central Loop, as well as a cross-county connector, which will link all three bicycle “loops” connecting to regional and local bikeway networks.

The plan will result in a study with recommendations for the most cost-effective solutions to provide a continuous and high-quality bikeway network. Cost estimates and project details will be developed, positioning local jurisdictions for funding pursuits or utilization of local funds to advance the bikeways.

The award of \$160,000 will be matched with \$40,000 State Transportation Improvement Program Planning, Programming, and Monitoring funds, for a total cost of \$200,000, and will support the study in its entirety. In order to execute the grant agreement, OCTA is seeking Board approval of Resolution No. 2020-064 (Attachment A).

Next Steps

Following execution of the Caltrans Sustainable Transportation Planning grants, staff will follow OCTA’s procurement process to award professional services contracts in the fall or winter of 2020.

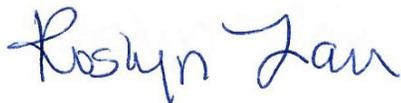
Summary

OCTA was awarded \$160,000 through a competitive grant from Caltrans. A resolution to accept the grant award and authorization to enter into grant-related agreements and documents is presented for adoption as required by the grant program.

Attachment

- A. Resolution No. 2020-064 of the Orange County Transportation Authority, 2020-2021 Sustainable Transportation Planning Grant Program Authorization

Prepared by:



Roslyn Lau
Senior Transportation Funding Analyst
(714) 560-5341

Approved by:



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

**RESOLUTION NO. 2020-064
OF THE ORANGE COUNTY TRANSPORTATION AUTHORITY**

**2020-2021 SUSTAINABLE TRANSPORTATION PLANNING GRANT PROGRAM
AUTHORIZATION**

WHEREAS, the California Department of Transportation administers the Sustainable Transportation Planning Grant Program to support its mission, which is to provide a safe, sustainable, integrated, and efficient transportation system to enhance California’s economy and livability; and

WHEREAS, the Orange County Transportation Authority, as an eligible grantee of the California Department of Transportation’s Sustainable Transportation Planning Grant Program, applied for and was awarded \$160,000 in grant funds for the Orange County Bike Connectors Gap Closure Feasibility Study; and

WHEREAS, the California Department of Transportation requires the grantee to certify, by resolution, the acceptance of awarded grant funds and authority to execute grant-related agreements;

WHEREAS, the Orange County Transportation Authority will provide a cash match of \$40,000 in State Transportation Improvement Program Planning, Programming, and Monitoring funds to complete the Bike Connectors Gap Closure Feasibility Study; and

THEREFORE, BE IT RESOLVED that the Orange County Transportation Authority Board of Directors accepts the awarded grant funds and authorizes the Chief Executive Officer, or designee, to file and execute grant applications and agreements, certifications and assurances, and other documents for and on behalf of Orange County Transportation Authority with the California Department of Transportation.

ADOPTED, SIGNED, AND APPROVED this _____ day of _____, 2020.

AYES:

NOES:

ABSENT:

ATTEST:

Laurena Weinert
Clerk of the Board

Steve Jones, Chairman
Orange County Transportation Authority



August 10, 2020

To: Members of the Board of Directors

From: Darrell E. Johnson, Chief Executive Officer

Subject: Award of Agreement for the Purchase of Operator Relief Vehicles

Overview

The Orange County Transportation Authority uses a variety of light-duty vehicles to support bus operations. Operator relief vehicles are light-duty vehicles used primarily to relieve bus operators on duty in the field. Fifty-five vehicles used in this capacity have reached their useful life and are scheduled for replacement in accordance with the Orange County Transportation Authority's non-revenue vehicle fleet policy. Staff is seeking to expedite this planned procurement in order to take advantage of factory incentives of approximately \$1,000 per vehicle that are expiring on August 20, 2020, and requests Board of Directors' approval to purchase these vehicles from a statewide contract through the California Department of General Services.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Purchase Order No. C-0-2515 between the Orange County Transportation Authority and Winner Chevrolet, a state-contracted qualified dealer, in the amount of \$1,781,379, for the purchase of up to 55 2020 Chevy Bolt battery electric vehicles.

Discussion

Staff is seeking to expedite this planned procurement due to factory incentives that will be expiring soon and that will bring substantial savings to the Orange County Transportation Authority (OCTA). Through the California Department of General Services' statewide contract, \$1,000 savings per vehicle can be realized if the contract is executed before August 20, 2020. Based on information from General Motors and Winner Chevrolet, a state-contracted qualified dealer, it is uncertain whether incentives will be available beyond this date. Therefore, staff is seeking Board of Directors' (Board) approval to expedite an agreement to take full advantage of the current incentives available.

OCTA currently owns, operates, and maintains a fleet of vehicles used to support bus operations, transit police services, administrative staff pool vehicles, and department-assigned vehicles. These vehicles are referred to as non-revenue vehicles.

Fifty-five of those non-revenue vehicles are currently used as operator relief vehicles (ORV) in support of bus operations. The ORVs are primarily used to relieve bus operators on duty in the field. Although an operator may work eight to ten hours per day, the bus may remain in service up to 22 hours per day. For this reason, operators must be relieved in the field. Based on our current service allocation, 55 ORVs are required for the two directly operated bases. Forty-one of the 55 vehicles have exceeded their useful life of 100,000 miles, with the highest at 119,000 miles. The remaining 14 vehicles will exceed their useful life miles by the time of replacement.

The current ORVs are compressed natural gas (CNG)-powered vehicles and are considered partial zero emission vehicles. The CNG-powered light-duty vehicles are no longer available directly from the vehicle manufacturers. The proposed replacement vehicle is all-battery electric vehicle (BEV), which is considered a zero-emission vehicle.

On November 12, 2019, a discussion item was presented to the Transit Committee in order to receive feedback on transitioning from a CNG-powered vehicle to a BEV fleet. The total cost of ownership comparing the current CNG-powered vehicles, a BEV, and a gasoline vehicle were discussed, as well as the infrastructure required to support a BEV fleet. Staff received full support from the Transit Committee to pursue the BEV.

Procurement Approach

The OCTA Board-approved procurement policies and procedures allow for two options that can be used to purchase new vehicles. OCTA can either issue an invitation for bids (IFB) or utilize the statewide contract for fleet vehicle purchases.

Using the first option, OCTA issues an IFB containing detailed vehicle specifications. The advantage of this procurement method is that OCTA can specify the type of vehicle desired. The disadvantage of this procurement option is the timeline, which may take up to four months from when an IFB is issued to the time when the vehicles are received.

Using the second option, OCTA identifies an existing statewide contract for the type of vehicle desired. The advantage of this procurement method is a shortened timeline, and OCTA can begin receiving vehicles in a much shorter period of time. In addition, the statewide contract pricing is significantly lower than other vehicle dealers.

With this procurement, the statewide contract's specified dealer will be including a \$500 cost discount per vehicle for all 2020 vehicles ordered before August 20, 2020, as a factory incentive. In addition, there is a second incentive option that will reduce the cost of each vehicle by an additional \$500 if payment is made within 20 days of receipt of vehicles.

The current manufacturer's suggested retail price per vehicle is \$37,520. Utilizing the statewide contract, OCTA's cost is \$29,550, resulting in a total cost savings per vehicle of \$7,970, and therefore is deemed fair and reasonable.

Fiscal Impact

Funding was included in the OCTA Fiscal Year 2021-22 Budget, Maintenance Resource Management, Account 2159-D2113-0PU-9025, in the amount of \$2,100,000.

Summary

Based on the information provided, staff recommends the Board authorize the Chief Executive Officer to negotiate and execute Purchase Order No. C-0-2515 with Winner Chevrolet, the state-contracted qualified dealer, in the amount of \$1,781,379, for the purchase of up to 55 2020 Chevy Bolt battery electric vehicles.

Attachment

None.

Prepared by:



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

Approved by:



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



Virginia Abadessa
Director, Contracts Administration and
Materials Management
714-560-5623



COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors

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

Subject: Capital Programs Division - Fourth Quarter Fiscal Year 2019-20
and Planned Fiscal Year 2020-21 Capital Action Plan
Performance Metrics

Executive Committee Meeting of August 3, 2020

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

Absent: None

Committee Vote

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

Staff Recommendation

Receive and file as an information item.



August 3, 2020

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Capital Programs Division - Fourth Quarter Fiscal Year 2019-20 and Planned Fiscal Year 2020-21 Capital Action Plan Performance Metrics

A handwritten signature in blue ink, appearing to read "Darrell Johnson", is positioned over the "From:" line of the email header.

Overview

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

Recommendation

Receive and file as an information item.

Background

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

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

Discussion

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

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

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

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

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

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



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

CAP milestones achieved in the fourth quarter FY 2019-20 include:

Freeway Projects

- The complete environmental milestone was achieved for the State Route 91 (SR-91) widening between State Route 57 (SR-57) and State Route 55 (SR-55). The project is being delivered in three separate design packages and construction contract segments.
- The begin design milestone on segment two of the SR-91 widening between SR-55 and La Palma Avenue was achieved early. This is the middle of three segments of SR-91 widening between SR-57 to SR-55. Segment one, from SR-55 to Lakeview Avenue, began design in March 2020, and segment three, from Acacia Street to La Palma Avenue, will begin design in November 2020.

- The complete design milestone was achieved on the SR-55 widening between Interstate 405 (I-405) and Interstate 5 (I-5).
- The construction ready and advertise construction milestones were achieved on the I-5 widening between Alicia Parkway and El Toro Road. This is the northernmost of three segments of I-5 widening between State Route 73 and El Toro Road.

Rail and Station Projects

- The begin environmental milestone for the Orange County Metrolink Maintenance Facility was achieved and preliminary design and environmental clearance work is proceeding. Environmental clearance is anticipated in July 2022.

The following CAP milestones missed the planned delivery through the fourth quarter of FY 2019-20:

The complete environmental milestone for the I-5 El Toro interchange project is delayed beyond the current FY. OCTA procured a consultant to facilitate a review of scoping of the project alternatives with the cities of Laguna Hills, Laguna Woods, and Lake Forest, as well as other stakeholders. A revised environmental completion schedule has not yet been established.

The planned complete design, construction ready, advertise construction, and award contract milestones for the Anaheim Canyon Metrolink Station expansion project were not achieved in FY 2019-20. Anticipated construction access conditions through adjacent private property on the east side of the station have changed due to private development activity. Alternative construction access options have been developed, and ROW agreements are being negotiated and finalized.

The planned construction ready, advertise construction, and award contract milestones for the Placentia Metrolink Station project were not achieved in FY 2019-20. Approval to construct the project remains dependent on negotiating and finalizing the Metrolink/BNSF Railway (BNSF) shared use agreement (SUA) for the ongoing Metrolink use of the BNSF rail corridor. Staff has moved the revised target for release of the invitation for construction bids to January 2021.

The award contract milestone for the I-5 widening between Alicia Parkway and El Toro Road was not achieved. However, construction bids were received on June 30, 2020, and the California Department of Transportation is reviewing the apparent low bid for conformance with all bid, subcontracting, and security bonding requirements. Construction work is expected to begin in September 2020.

Recap of FY 2019-20 Performance Metrics

The performance metrics snapshot provided at the beginning of FY 2019-20 reflects 19 planned major project delivery milestones to be accomplished within the year. The CAP and performance metrics have been updated to reflect both the milestones achieved and missed through the fourth quarter of FY 2019-20 (Attachment B). Eleven of the 19 milestones (57.9 percent) planned in FY 2019-20 were achieved. Six of the eight milestones missed are attributable to the Placentia Metrolink Station and Anaheim Canyon Metrolink Station project delays.

New FY 2020-21 Performance Metrics

The CAP and performance metrics have been updated with the latest project status and there are 15 major project delivery milestones planned in FY 2020-21 (Attachment C).

FY 2020-21 Cost and Performance Metrics Risks

The construction ready milestone for the SR-55 widening from I-405 to I-5 has been moved out to the fourth quarter of FY 2020-21 due to extremely complex right of way requirements for the project. Staff is working with Caltrans to assess all opportunities to reduce impacts to adjacent parcels and businesses. In addition, due to the coronavirus (COVID-19) pandemic, business shutdowns and social distancing measures have complicated and slowed communications with property and business owners. Also, when eminent domain proceedings are initiated, it is typical to gain early possession of needed ROW through the Court. We anticipate the Court schedules to be backlogged due to the COVID-19 pandemic, which may impact scheduled possession of ROW and delay the construction ready milestone.

The Placentia Metrolink Station construction ready milestone, now planned in the third quarter of FY 2020-21, requires BNSF approvals, which are subject to Metrolink and BNSF completing negotiations and finalizing the SUA for the ongoing Metrolink use of the BNSF rail corridor.

Recent highway project construction bids indicate a favorable market with a high number of bidders and very competitive bids being priced below the engineers estimated cost of bid items.

Summary

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

Attachments

- A. Capital Action Plan, Status Through June 2020
- B. Capital Programs Division, Fiscal Year 2019-20 Performance Metrics Through June 2020
- C. Capital Programs Division, Fiscal Year 2020-21 Performance Metrics Plan

Prepared by:



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

Capital Action Plan
 Status Through June 2020
 Updated: July 20, 2020

Capital Projects	Cost		Schedule											
	Baseline/Forecast		Plan/Forecast											
	Baselne/Forecast (millions)		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction				
Freeway Projects:														
I-5, Pico to San Diego County	TBD		TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
I-5, Pico to Vista Hermosa	\$113.0		Apr-21	Dec-23	Jun-11	Oct-13	Feb-14	Oct-14	Dec-14	Dec-14	Aug-18	Aug-18	Aug-18	Aug-18
Project C	\$83.4		Jun-09	Oct-11	Jun-11	Oct-13	May-14	Sep-14	Dec-14	Dec-14	Aug-18	Aug-18	Aug-18	Aug-18
I-5, Vista Hermosa to Pacific Coast Highway	\$75.6		Jun-09	Dec-11	Jun-11	Feb-13	Jun-13	Oct-13	Dec-13	Dec-13	Mar-17	Mar-17	Mar-17	Mar-17
Project C	\$75.4		Jun-09	Oct-11	Jun-11	May-13	Aug-13	Feb-14	Jun-14	Jun-14	Jul-17	Jul-17	Jul-17	Jul-17
I-5, Pacific Coast Highway to San Juan Creek Road	\$70.7		Jun-09	Dec-11	Jun-11	Jan-13	May-13	Aug-13	Oct-13	Oct-13	Sep-16	Sep-16	Sep-16	Sep-16
Project C	\$74.3		Jun-09	Oct-11	Jun-11	Jan-13	Apr-13	Aug-13	Dec-13	Dec-13	Jul-18	Jul-18	Jul-18	Jul-18
I-5, I-5/Ortega Interchange	\$90.9		Sep-05	Jun-09	Jan-09	Nov-11	Mar-12	Jun-12	Aug-12	Aug-12	Sep-15	Sep-15	Sep-15	Sep-15
Project D	\$79.8		Sep-05	Jun-09	Jan-09	Dec-11	Apr-12	Jun-12	Aug-12	Aug-12	Jan-16	Jan-16	Jan-16	Jan-16
I-5, I-5/Ortega Interchange (Landscape)	N/A		N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project D	N/A		N/A	N/A	Jan-14	Oct-14	Feb-15	Aug-15	Sep-15	Sep-15	Sep-16	Sep-16	Sep-16	Sep-16
I-5, SR-73 to Oso Parkway	\$151.9		Sep-11	Jun-14	Mar-15	Jan-18	May-18	Aug-18	Dec-18	Dec-18	Apr-25	Apr-25	Apr-25	Apr-25
Project C & D	\$196.1		Oct-11	May-14	Mar-15	Aug-18	May-19	Aug-19	Dec-19	Dec-19	Apr-25	Apr-25	Apr-25	Apr-25
I-5, Oso Parkway to Alicia Parkway	\$196.2		Sep-11	Jun-14	Nov-14	Jun-17	Dec-17	Feb-18	Jun-18	Jun-18	Nov-23	Nov-23	Nov-23	Nov-23
Project C & D	\$203.1		Oct-11	May-14	Nov-14	Dec-17	Jun-18	Nov-18	Mar-19	Mar-19	Nov-23	Nov-23	Nov-23	Nov-23
I-5, Alicia Parkway to El Toro Road	\$133.6		Sep-11	Jun-14	Mar-15	Jun-18	Dec-18	Jan-19	May-19	May-19	Jun-23	Jun-23	Jun-23	Jun-23
Project C	\$165.9		Oct-11	May-14	Mar-15	May-19	Apr-20	May-20	Aug-20	Aug-20	Sep-24	Sep-24	Sep-24	Sep-24
I-5, SR-73 to El Toro Road (Landscape)	TBD		N/A	N/A	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project C	\$12.4		N/A	N/A	Jul-22	Mar-24	Jul-24	Sep-24	Nov-24	Nov-24	Jun-26	Jun-26	Jun-26	Jun-26
I-5, I-5/El Toro Road Interchange	TBD		Apr-17	Nov-19	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project D	TBD		Apr-17	Oct-21	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
I-5, I-405 to Yale Avenue	\$230.5		May-14	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project B	\$230.5		May-14	Jan-20	Sep-21	Jun-24	Dec-24	Apr-25	Jul-25	Jul-25	Jan-29	Jan-29	Jan-29	Jan-29
I-5, Yale Avenue to SR-55	\$200.4		May-14	Aug-18	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Project B	\$200.4		May-14	Jan-20	Apr-21	Dec-23	Jun-24	Oct-24	Feb-25	Feb-25	Aug-28	Aug-28	Aug-28	Aug-28
I-5, SR-55 to SR-57	\$38.1		Jul-11	Jun-13	Jun-15	Mar-17	Jul-17	Sep-17	Dec-17	Dec-17	Apr-21	Apr-21	Apr-21	Apr-21
Project A	\$41.5		Jun-11	Apr-15	Jun-15	Jun-17	Dec-17	Mar-18	Nov-18	Nov-18	Apr-21	Apr-21	Apr-21	Apr-21
SR-55, I-405 to I-5	\$410.9		Feb-11	Nov-13	Sep-17	Apr-20	Dec-20	Apr-21	Jul-21	Jul-21	Aug-25	Aug-25	Aug-25	Aug-25
Project F	\$410.9		May-11	Aug-17	Sep-17	Apr-20	May-21	Sep-21	Dec-21	Dec-21	Jan-26	Jan-26	Jan-26	Jan-26



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

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Capital Projects	Cost		Schedule											
	Baseline/Forecast		Plan/Forecast											
	(millions)		Begin Environmental	Complete Environmental	Begin Design	Complete Design	Construction Ready	Advertise Construction	Award Contract	Complete Construction				
SR-91, SR-55 to SR-241 (Landscape)	N/A		N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Project J	N/A		N/A	N/A	May-12	Feb-13	Apr-13	Jul-13	Oct-13	Feb-15				
SR-91 Eastbound, SR-241 to SR-71	\$104.5		Mar-05	Dec-07	Jul-07	Dec-08	Mar-09	May-09	Jul-09	Nov-10				
Project J	\$57.8		Mar-05	Dec-07	Jul-07	Dec-08	May-09	Jun-09	Aug-09	Jan-11				
91 Express Lanes to SR-241 Toll Connector	TBD		N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
I-405, I-5 to SR-55	TBD		Nov-13	Jan-20	Jun-16	Dec-21	Jun-22	Jul-22	Nov-22	Jun-25				
Project L	TBD		Dec-14	Jul-18	TBD	TBD	TBD	TBD	TBD	TBD				
I-405, SR-55 to I-605 (Design-Build)	\$1,900.0		Mar-09	Mar-13	Mar-14	Nov-15	Feb-16	Mar-16	Nov-16	May-23				
Project K	\$1,900.0		Mar-09	May-15	Mar-14	Nov-15	Feb-16	Mar-16	Nov-16	May-23				
I-405/SR-22 HOV Connector	\$195.9		N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Aug-10	Aug-14				
I-405/I-605 HOV Connector	\$120.8		N/A	N/A	Sep-07	Jun-09	Sep-09	Sep-09	Jun-10	Mar-15				
I-405/I-605 HOV Connector	\$260.4		N/A	N/A	Sep-07	Sep-09	Mar-10	May-10	Oct-10	Jan-15				
I-405/SR-22/I-605 HOV Connector (Landscape)	\$172.6		N/A	N/A	Sep-07	Sep-09	Feb-10	May-10	Oct-10	Mar-15				
I-405/SR-22/I-605 HOV Connector (Landscape)	N/A		N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
I-605, I-605/Katella Interchange	\$29.0		Aug-16	Nov-18	TBD	TBD	TBD	TBD	TBD	TBD				
Project M	\$29.0		Aug-16	Oct-18	Dec-20	Sep-22	Jan-23	Mar-23	Jun-23	Feb-25				
Grade Separation Projects:														
Sand Canyon Avenue Railroad Grade Separation	\$55.6		N/A	Sep-03	Jan-04	Jul-10	Jul-10	Jul-10	Feb-11	May-14				
Project R	\$61.9		N/A	Sep-03	Jan-04	Jul-10	Jul-10	Jul-10	Feb-11	Jan-16				
Raymond Avenue Railroad Grade Separation	\$77.2		Feb-09	Nov-09	Mar-10	Aug-12	Nov-12	Feb-13	May-13	Aug-18				
Project O	\$125.5		Feb-09	Nov-09	Mar-10	Dec-12	Jul-13	Oct-13	Feb-14	May-18				
State College Boulevard Railroad Grade Separation (Fullerton)	\$73.6		Dec-08	Jan-11	Jul-06	Aug-12	Nov-12	Feb-13	May-13	May-18				
Project O	\$100.2		Dec-08	Apr-11	Jul-06	Feb-13	May-13	Sep-13	Feb-14	Mar-18				
Placentia Avenue Railroad Grade Separation	\$78.2		Jan-01	May-01	Jan-09	Mar-10	May-10	Mar-11	Jun-11	Nov-14				
Project O	\$64.5		Jan-01	May-01	Jan-09	Jun-10	Jan-11	Mar-11	Jul-11	Dec-14				
Kraemer Boulevard Railroad Grade Separation	\$70.4		Jan-01	Sep-09	Jan-09	Jul-10	Jul-10	Apr-11	Aug-11	Oct-14				
Project O	\$63.8		Jan-01	Sep-09	Feb-09	Jul-10	Jan-11	Jun-11	Sep-11	Dec-14				
Orangethorpe Avenue Railroad Grade Separation	\$117.4		Jan-01	Sep-09	Feb-09	Dec-11	Dec-11	Feb-12	May-12	Sep-16				
Project O	\$105.9		Jan-01	Sep-09	Feb-09	Oct-11	Apr-12	Sep-12	Jan-13	Oct-16				



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



Capital Action Plan

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

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

- Grey = Milestone achieved
- Green = Forecast milestone meets or exceeds plan
- Yellow = Forecast milestone is one to three months later than plan
- Red = Forecast milestone is over three months later than plan

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

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

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

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

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

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

Award Contract: The date the construction contract is awarded.

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

Acronyms

- I-5 - Santa Ana Freeway (Interstate 5)
- SR-73 - San Joaquin Freeway (State Route 73)
- SR-55 - Costa Mesa Freeway (State Route 55)
- SR-57 - Orange Freeway (State Route 57)
- SR-91 - Riverside Freeway (State Route 91)
- SR-22 - Garden Grove Freeway (State Route 22)
- I-405 - San Diego Freeway (Interstate 405)
- SR-241 - Foothill/Eastern Transportation Corridor (State Route 241)
- I-605 - San Gabriel River Freeway (Interstate 605)
- ADA - Americans with Disabilities Act

Capital Programs Division Fiscal Year 2019-20 Performance Metrics Through June 2020

Begin Environmental

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
Orange County Maintenance Facility			X					✓	
Total Forecast/Actual	0	0	1	0	0	0	0	1	1

Complete Environmental

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
I-5/EI Toro Road Interchange			X						(missed)
I-5, I-405 to SR-55					X	✓			
SR-55, I-5 to SR-91						✓	X		
SR-91, SR-57 to SR-55							X	✓	
Total Forecast/Actual	0	0	1	0	1	2	2	1	4

Begin Design

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
SR-91, SR-55 to Lakeview Avenue					X	✓			
SR-91, La Palma Avenue to SR-55								✓	(early)
Total Forecast/Actual	0	0	0	0	1	1	0	1	1

Complete Design

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
Anaheim Canyon Metrolink Station	X								(missed)
SR-55, I-405 to I-5							X	✓	
Total Forecast/Actual	1	0	0	0	0	0	1	1	2

Construction Ready

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
Anaheim Canyon Metrolink Station			X						(missed)
I-5, Alicia Parkway to El Toro Road			X					✓	
Placentia Metrolink Station and Parking Structure					X				(missed)
Total Forecast/Actual	0	0	2	0	1	0	0	1	3

Advertise Construction

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
I-5, SR-73 to Oso Parkway	X	✓							
Anaheim Canyon Metrolink Station			X						(missed)
I-5, Alicia Parkway to El Toro Road					X			✓	
Placentia Metrolink Station and Parking Structure					X				(missed)
Total Forecast/Actual	1	1	1	0	2	0	0	1	4

Capital Programs Division Fiscal Year 2019-20 Performance Metrics Through June 2020

Award Contract

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
I-5, SR-73 to Oso Parkway			X	✔					
Anaheim Canyon Metrolink Station							X		(missed)
I-5, Alicia Parkway to El Toro Road							X		(missed)
Placentia Metrolink Station and Parking Structure							X		(missed)
Total Forecast/Actual	0	0	1	1	0	0	3	0	4

Complete Construction

Project Description	FY 20 Qtr 1		FY 20 Qtr 2		FY 20 Qtr 3		FY 20 Qtr 4		FY 20
	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst	Actual	Fcst
No "Complete Construction" milestones scheduled for FY 2019-20									
Total Forecast/Actual	0	0	0	0	0	0	0	0	0

Totals	2	1	6	1	5	3	6	6	19
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Begin Environmental: The date work on the environmental clearance, project report, or preliminary engineering phase begins.

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

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

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

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

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

Award Contract: The date the construction contract is awarded.

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

Acronyms

I-5 - Santa Ana Freeway (Interstate 5)

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

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

SR-57 - Orange Freeway (State Route 57)

SR-91 - Riverside Freeway (State Route 91)

I-405 - San Diego Freeway (Interstate 405)

X = milestone forecast in quarter

✔ = milestone accomplished in quarter

Capital Programs Division Fiscal Year 2020-21 Performance Metrics Plan

Begin Environmental

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

Complete Environmental

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

Begin Design

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

Complete Design

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

Construction Ready

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

Advertise Construction

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

Award Contract

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

Capital Programs Division Fiscal Year 2020-21 Performance Metrics Plan

Complete Construction

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

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

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

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

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

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

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

Award Contract: The date the construction contract is awarded.

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

Acronyms

- I-5 - Santa Ana Freeway (Interstate 5)
- SR-55 - Costa Mesa Freeway (State Route 55)
- SR-57 - Orange Freeway (State Route 57)
- SR-91 - Riverside Freeway (State Route 91)
- I-605 - San Gabriel River Freeway (Interstate 605)
- I-405 - San Diego Freeway (Interstate 405)

X = milestone forecast in quarter





COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Supplemental Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 - Utility Work at Goldenwest Street Overcrossing

Regional Planning and Highways Committee Meeting of August 3, 2020

Present: Directors Bartlett, Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: None

Committee Vote

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

Director Pulido was not present to vote on this item.

Committee Recommendation

Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 34.4 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$300,000, to provide assistance to Chevron and Crimson utility companies during utility relocation work at Goldenwest Street overcrossing for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.



August 3, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Supplemental Contract Change Order for the Interstate 405 Improvement Project from State Route 73 to Interstate 605 – Utility Work at Goldenwest Street Overcrossing

Overview

On November 14, 2016, the Orange County Transportation Authority Board of Directors approved Agreement No. C-5-3843 with OC 405 Partners, a joint venture, for the design and construction of the Interstate 405 Improvement Project from State Route 73 to Interstate 605. A supplemental contract change order is needed to provide assistance to Chevron and Crimson utility companies during utility relocation work at the Goldenwest Street overcrossing in the City of Westminster.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute supplemental Contract Change Order No. 34.4 to Agreement No. C-5-3843 between the Orange County Transportation Authority and OC 405 Partners, a joint venture, in the amount of \$300,000, to provide assistance to Chevron and Crimson utility companies during utility relocation work at the Goldenwest Street overcrossing for the Interstate 405 Improvement Project from State Route 73 to Interstate 605.

Discussion

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

**Supplemental Contract Change Order for the Interstate 405 Page 2
Improvement Project from State Route 73 to Interstate 605 –
Utility Work at Goldenwest Street Overcrossing**

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

As part of the Project, the Goldenwest Street overcrossing will be reconstructed and the Chevron and Crimson petroleum lines in the old bridge will be relocated into the new bridge. To facilitate the timely relocation of these utilities and avoid Project schedule delays, OCTA directed OC405 to provide maintenance of traffic (MOT), storm water pollution prevention plan (SWPPP) work, and disposal of contaminated soil and groundwater to support the utility relocations. The additional utility support was not anticipated in the original scope of work. This saved time on the Goldenwest Street overcrossing work sequence by allowing work to be performed concurrently rather than sequentially. Originally, the existing utility lines were planned to be removed after the opening of Goldenwest phase 1 bridge and closure of the remaining existing bridge. The additional MOT support allowed the utility companies to remove the companies' lines while Goldenwest phase 1 was under construction. By doing so, Goldenwest phase 2 work was advanced much earlier than planned. By using this approach, approximately 40 days were saved on this critical path of the schedule. This equates to over \$5,000,000 in savings to the Project.

Construction Change Order (CCO) No. 34 was executed, in the amount of \$75,000, for compensation on a time-and-material basis at the direction of Project staff through issuance of a task order. Supplemental CCOs were executed for additional MOT, SWPPP, and disposal tasks as follows: CCO No. 34.1 for \$12,018, CCO No. 34.2 for \$110,000, and CCO No. 34.3 for \$10,982.

The utility relocations are now complete and a supplemental CCO, in the amount of \$300,000, is needed to compensate OC405 for all of the task orders issued to complete the work and mitigate schedule impacts. The requested amount is based on actual time-and-material costs to date and the estimated cost to dispose of the remaining material. With this supplemental CCO, the total amount of CCO No. 34 will be \$508,000.

Procurement Approach

The procurement was handled in accordance with the best-value selection process authorized by AB 401 (Chapter 586, Statutes of 2013) for design-build (DB) projects, and with OCTA's Board-approved procedures for

**Supplemental Contract Change Order for the Interstate 405 Page 3
Improvement Project from State Route 73 to Interstate 605 –
Utility Work at Goldenwest Street Overcrossing**

public works projects, which conform to both federal and state requirements. On November 14, 2016, OCTA approved Agreement No. C-5-3843 with OC405 for the design and construction of the Project through a DB contract.

Proposed supplemental CCO No. 34.4, in the amount of \$300,000, in addition to the previous CCO No. 34 and three supplemental CCOs issued under CCO No. 34, and approved by OCTA's Contracts Administration and Materials Management Department, will provide compensation to OC405 for all its work to support Chevron and Crimson relocations on Goldenwest Street overcrossing in the City of Westminster.

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

Fiscal Impact

Funding for this work was approved in OCTA's Fiscal Year 2020-21 Budget, Capital Programs Division, accounts 0017-9084-FK101-0GM and 0037-9017-A9510-0GM, and is funded with a combination of federal, state, and local funds. M2 funds will be used for improvements specific to M2 Project K, and non-M2 funds will be used for improvements specific to the 405 Express Lanes. The cost of CCO No. 34.4 is funded from the Project contingency and will not increase the total Project estimate of \$1.9 billion.

Summary

Staff recommends Board authorization for the Chief Executive Officer to negotiate and execute CCO No. 34.4 to Agreement No. C-5-3843 with OC405 Partners, in the amount of \$300,000, to provide traffic control, SWPPP plan support, and contaminated material disposal in support of the Chevron and Crimson utility relocations for the Project.

**Supplemental Contract Change Order for the Interstate 405 Page 4
Improvement Project from State Route 73 to Interstate 605 –
Utility Work at Goldenwest Street Overcrossing**

Attachment

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

Prepared by:



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

Approved by:



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



Virginia Abadessa
Director, Contracts Administration and
Materials Management
(714) 560-5623

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

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
001	Technical Provisions – Execution Version	Approved	06/14/2017	\$0.00
002	Notice to Proceed No. 1 Payment Cap Increase and Substantial Completion Deadline Modifications	Approved	6/21/2017	\$0.00
003	Extra Maintenance Work (Provisional Sum)	Approved	7/28/2017	\$200,000.00
003.1	Amendment to Change Order to Add Additional Funds for Extra Maintenance Work	Approved	10/2/2018	\$200,000.00
003.1.1	Provisional Sum for Extra Maintenance Work-Unilateral	Approved	10/10/2019	\$400,000.00
003.1.2	Supplemental Extra Maintenance Work	Approved	1/16/2020	\$350,000.00
003.1.3	Supplemental Extra Maintenance Work	Pending		\$350,000.00
004	Design-Builder Personnel Changes (Appendices 7 and 23)	Approved	12/20/2017	\$0.00
005	Dispute Review Board (Provisional Sum)	Approved	9/13/2017	\$50,000.00
005.1	Increase in Provisional Sum per Contract Section 19.4 Disputes Board	Approved	7/1/2019	\$50,000.00
006	Partnering (Provisional Sum)	Approved	9/13/2017	\$50,000.00
006.1	Partnering per Contract Section 19.1	Approved	7/1/2019	\$50,000.00
007	Implementation of California Department of Transportation (Caltrans) Guidance on Six-Inch Wide Longitudinal Traffic Lines and Non-Reflective Raised Pavement Markers	Approved	3/15/2018	\$0.00
008	Collection and Disposal of Unknown Hazardous Materials (Provisional Sum)	Approved	9/13/2018	\$100,000.00
008.1	Supplemental Unknown Hazardous Materials	Approved	9/11/2019	\$100,000.00
008.2	Supplemental Unknown Hazardous Materials	Approved	11/25/2019	\$250,000.00
008.2.1	Supplemental Unknown Hazardous Materials	Approved	3/11/2020	\$150,000.00
008.3	Supplemental Unknown Hazardous Materials	Approved	5/4/2020	\$500,000.00
009	Repair of Caltrans' Fiber Optic Line	Approved	5/16/2018	\$31,753.69

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
010	Five Project Funding Identification Signs (Provisional Sum)	Approved	7/2/2018	\$32,644.25
011	Revised Right-of-Way (ROW) Availability Date of Caltrans Parcel No. 102919 Used By Mike Thompson's RV Super Store	Approved	6/28/2018	\$0.00
012	Credit to OCTA for Elimination of the Street Widening Improvements Along Eastbound Edinger Avenue	Approved	9/13/2018	-\$237,982.39
013	Additional Design and Construction Cost Compensation Related to: City Bridge Width; Construction Changes to Minimize ROW Impacts; Revised Design Concept at Ellis Avenue On-Ramp to Southbound I-405; State Route 73 Overhead Sign Structures; Sendero Apartments Left-Turn Pocket on Magnolia Street; Newland Street Waterline Extension; and Signal Improvements at Ellis Avenue/ Bushard Street	Approved	2/25/2019	\$8,560,556.00
013.1	Permanent Traffic Signal at the intersection of Warner Avenue and Greenleaf Street	Approved	12/5/2019	\$460,327.00
014	Thrust Blocks for the City of Fountain Valley Water Lines	Approved	10/29/2018	\$88,021.00
015	Slater Bridge Construction Shuttle Services	Approved	12/4/2018	\$175,000.00
016	Construction Zone Speed Reduction	Approved	12/3/2018	\$70,000.00
016.1	Additional Speed Reduction Signs	Approved	12/31/2019	\$4,512.00
017	Relocation of Water Lines for the City of Fountain Valley	Approved	3/8/2019	\$800,000.00
018	Enhanced Gawk Screen at Bolsa Chica Road	Approved	1/25/2019	\$56,395.00
019	Brookhurst Street Overhead Sign Location Redesign	Approved	1/25/2019	\$11,484.00
020	Differing Site Conditions - Pavement Thickness at Magnolia	Approved	1/29/2019	\$4,095.00
021	Polymer Fibers in All Concrete Bridge Decks	Approved	3/19/2019	\$1,463,020.00
022	Temporary Construction Easement Reduction at La Quinta	Approved	3/19/2019	\$85,573.00
023	Updated FasTrak Logos (Unilateral)	Approved	2/21/2019	\$20,532.00
024	Express Lanes Channelizers	Approved	3/12/2019	\$122,778.00

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
025	Stainless Steel Inserts at Fairview Road Overcrossing	Approved	3/12/2019	-\$9,293.00
026	OCTA PlanGrid Software Licenses	Approved	3/28/2019	\$35,994.00
026.1	Supplemental for OCTA PlanGrid Software Licenses	Approved	9/11/2019	\$8,570.00
027	Utility potholing on Milton Ave	Approved	9/12/2019	\$61,731.87
027.1	Electrical Infrastructure Work at Milton Avenue	Approved	1/16/2020	\$278,282.28
028	Mesa Water District 12-inch Water Line (CN-1127)	Approved	5/7/2019	\$208,600.00
029	Magnolia Loop Ramp CMS Deletion	Approved	05/15/19	-\$74,319.00
030	Motel 6 Sound Wall (SW-791) Elimination	Approved	05/15/19	-\$130,000.00
031	Sound Wall 956 Reduction	Approved	05/22/19	-\$30,000.00
033	Edinger Channel Pavement Rehabilitation	Approved	07/30/19	\$176,465.00
034	Chevron and Crimson Utility Relocation at Goldenwest Crossing	Approved	8/2/2019	\$75,000.00
034.1	Chevron and Crimson Utility Relocation Support	Approved	12/31/2019	\$12,018.00
034.2	Chevron and Crimson Goldenwest Relocation Assistance	Approved	02/18/2020	\$110,000.00
034.3	Chevron and Crimson Goldenwest Relocation Assistance	Pending		\$10,982.00
034.4	Chevron and Crimson Goldenwest Relocation Assistance	Pending		\$300,000.00
035	Incompatible Specifications - Adjacent to CRCP Pavement	Approved	06/26/19	\$2,900,557.00
036	Minor Construction Support for Dry Utilities	Approved	5/11/2020	\$100,000.00
037	Sound Wall 375 Protect in Place	Approved	06/04/19	\$200,000.00
040	HDPE in Lieu of RCP	Approved	7/9/2019	-\$7,418.68
041	Emergency Vehicle Preemption Devices at Fairview	Approved	7/9/2019	\$44,147.00
042	Executed Utility Agreements (Unilateral)	Approved	11/4/2019	\$0.00
043	Early Partial Removal of Sound Wall 328	Approved	9/16/2019	\$14,414.18

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
044	Field survey for Frontier at Westminster	Approved	1/7/2020	\$12,908.42
045	Water Line Betterments (CN 1012 & 6044) at Warner Avenue	Approved	10/12/2019	\$256,244.00
046	Additional Water Lines at Brookhurst Street and Talbert Avenue in the City of Fountain Valley	Approved	12/5/2019	\$389,878.00
047	Additional Water Line Valves for the City of Fountain Valley	Approved	12/5/2019	\$266,828.00
048	Temporary Construction Easement Reduction at Sit n' Sleep (CPN 103026)	Approved	10/17/2019	\$129,243.00
049	Beach Blvd Lane Widths Reduction (Necessary Basic Configuration Change)	Approved	10/17/2019	\$160,000.00
050	Vibration Sensitive Receptors (McFadden OC Abutment 3)	Approved	10/17/2019	\$59,383.87
051	Exercising Water Valves for the City of Fountain Valley	Approved	1/16/2020	\$50,000.00
052	McFadden Avenue Interconnect Between Beach Boulevard and Sugar Drive	Approved	11/14/2019	\$0.00
053	Traffic Signal Modification at Beach and McFadden	Approved	11/14/2019	-\$128,118.00
054	DSC Pavement Against Median K-Rail	Approved	12/31/2019	\$11,133.00
055	LA Fitness at Retaining Wall 717	Approved	12/31/2019	\$8,428.29
056	Additional Speed Reduction Signs and Radar Packages	Approved	12/31/2019	\$148,397.00
057	Archeological Treatment Plan	Approved	6/4/2020	\$200,000.00
057.1	Archaeological Treatment Plan	Approved	7/9/2020	\$500,000.00
058	Biological Monitoring Naval Weapons Station (Unilateral)	Approved	6/29/2020	\$50,000.00
059	Pavement Limits for Beach Boulevard and Edinger Avenue	Approved	02/18/2020	\$33,573.00
060	Heil Pedestrian Overcrossing and Switchback Ramp (Unilateral)	Approved	2/25/20	\$1,044,927.00
061	Plant Establishment Period	Approved	02/26/2020	\$1,600,000.00
062	Senate Bill 1: Diesel Fuel Sales Tax Rate Increase	Approved	3/9/2020	\$1,764,164.64
063	Bracing for Southern California Edison Power Poles at CN 2012	Approved	03/05/2020	\$169,770.00
064	City Sales and Use Tax Increases (Unilateral)	Approved	4/22/2020	\$28,657.00

Contract Change Order (CCO) No.	Title	Status	Date Executed	Cost
065	Traffic Studies to Analyze Schedule Mitigation	Approved	4/22/2020	\$70,854.00
066	Combined Authority-accepted Extra Work	Approved	5/14/2020	\$18,826.00
067	SCE Conduit at Heil Avenue	Approved	5/14/2020	\$109,219.00
068	Archaeological Monitoring for all Ground disturbing activities at Naval Weapons Station	Pending		\$100,000.00
069	Drainage System 757 Access	Approved	5/14/2020	\$60,374.00
070	Amendments to Contract Sections 19.3.4 and 19.5.2 No Cost	Approved	5/19/2020	\$0.00
071	UPRR Flagging Costs	Approved	6/13/2020	\$200,000.00
072	SCE and Frontier Electrical Infrastructure Work at Almond Avenue	Approved	5/19/2020	\$1,843,329.00
073	Shadow Striping for Temporary Pavement Delineation for North End of Project.	Pending		\$200,000.00
074	Combined Authority Accepted Extra Work (PCOs 169 and 122G)	Approved	7/7/2020	\$6,965.39
075	Bushard Pile Conflict with Existing Piles	Pending		\$28,867.00
076	Combined Authority Accepted Extra Work (PCOs 180, and 183)	Pending		\$12,668.80

Original Contract Price	\$1,217,065,000.00
Contingency Fund	<u>\$98,935,000.00</u>
Total Contract Allotment	\$1,316,000,000.00
Subtotal Approved CCO	\$27,238,441.81
Subtotal Pending CCOs	<u>\$1,002,517.80</u>
Total CCOs	\$28,240,959.61
Proposed Revised Contract Price	\$1,245,305,959.61
Remaining Contingency Fund	\$70,694,040.39



COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Consultant Selection for the Preparation of Plans, Specifications, and Estimates for the Interstate 605/Katella Avenue Interchange Improvement Project

Regional Planning and Highways Committee Meeting of August 3, 2020

Present: Directors Bartlett, Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: None

Committee Vote

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

Committee Recommendations

- A. Approve the selection of Michael Baker International, Inc., as the firm to prepare the plans, specifications, and estimates for the Interstate 605/Katella Avenue Interchange improvement project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2186 between the Orange County Transportation Authority and Michael Baker International, Inc., for the preparation of plans, specifications, and estimates for the Interstate 605/Katella Avenue Interchange improvement project.



August 3, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Consultant Selection for the Preparation of Plans, Specifications, and Estimates for the Interstate 605/Katella Avenue Interchange Improvement Project

Overview

On April 13, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for the preparation of plans, specifications, and estimates for the Interstate 605/Katella Avenue Interchange improvement project. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of Michael Baker International, Inc., as the firm to prepare the plans, specifications, and estimates for the Interstate 605/Katella Avenue Interchange improvement project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2186 between the Orange County Transportation Authority and Michael Baker International, Inc., for the preparation of plans, specifications, and estimates for the Interstate 605/Katella Avenue Interchange improvement project.

Discussion

The Interstate 605 (I-605)/Katella Avenue Interchange improvement (Project) is identified as Project M in the Measure M2 (M2) freeway program. In the Next 10 Plan, adopted by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in November 2019, the Project is one of the M2 freeway projects that is approved through construction. The Project is now scheduled to move into the design phase using M2 funding, as approved by the Board.

The Project will modify interchange ramps and provide operational improvements along Katella Avenue between Coyote Creek Channel and Civic Center Drive.

The final environmental document was approved by California Department of Transportation (Caltrans), District 12 on October 3, 2018, and build alternative 2 was identified as the preferred alternative by the Project development team. Therefore, the Project is ready to proceed into the final design phase.

Procurement Approach

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

On April 13, 2020, the Board authorized the release of Request for Proposals (RFP) 0-2186 which was electronically issued on CAMM NET. The Project was advertised on April 13 and April 20, 2020, in a newspaper of general circulation. A pre-proposal conference was held on April 21, 2020, with 20 attendees representing 17 firms. Four addenda were issued to make available the pre-proposal conference registration sheets, provide responses to questions received, and handle administrative issues related to the RFP.

On May 13, 2020, three proposals were received. An evaluation committee consisting of members from OCTA's Contracts Administration and Materials Management and Highway Programs departments, as well as external representatives from Caltrans and the City of Los Alamitos, met to review all submitted proposals. The proposals were evaluated utilizing the following Board-approved evaluation criteria and weights:

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

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

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

Firm and Location

Mark Thomas & Company, Inc. (Mark Thomas)
Irvine, California

Michael Baker International, Inc. (MBI)
Santa Ana, California

Moffatt & Nichol (M&N)
Costa Mesa, California

On June 10, 2020, the evaluation committee interviewed the three firms. The interviews consisted of a presentation allowing each team to present its qualifications, highlight its proposal, and respond to evaluation committee questions. Each firm also discussed its staffing plan, work plan, and perceived Project challenges. Each firm was asked general questions related to qualifications, relevant experience, Project organization, and approach to the work plan. All firms were asked questions specific to each firm's proposals regarding its team's approach to the requirements of the SOW, management of the Project, coordination with various agencies, experience with similar projects, and the proposed solutions toward achieving the Project goals. After considering responses to the questions asked during the interviews, the evaluation committee adjusted the preliminary scores for each firm; however, MBI remained the top-ranked firm with the highest cumulative score.

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

Qualifications of the Firm

All short-listed firms are established firms with recent and relevant experience and qualified to perform the services.

MBI, a privately-held corporation, was founded in 1940 and is a full-service planning and engineering firm with over 3,000 nationwide professionals in 90 offices that has successfully delivered infrastructure for public and private sector clients. MBI has over 300 local experts in various disciplines. The firm has seven southern California offices, including one in Santa Ana. MBI's highway experience includes the preparation of over 75 Caltrans design reports to include project study reports (PSR), project reports (PR) and combined PSR/PRs, and over 150 final PS&E projects statewide. Recent relevant firm experience includes the I-605 Katella Interchange PSR/project development support (PDS) and project approval/environmental document (PA/ED), State Route 91 (SR-91) westbound widening PS&E from State Route 57 (SR-57) to Interstate 5 (I-5), and SR-57 northbound widening PA/ED and PS&E (Orangethorpe Avenue to Yorba Linda Boulevard).

M&N, an employee-owned California corporation, headquartered in Long Beach, was founded in 1945 and provides transportation solutions for highways, bridges, grade separations, railways, and intermodal facilities from conceptual planning and preliminary engineering through final design and construction support. M&N has over 850 professionals worldwide and 230 in southern California. The southern California offices include Long Beach, Costa Mesa, San Diego, and a newly opened office in Ontario. The team has successfully delivered infrastructure projects for OCTA, Caltrans, and other southern California transportation agencies. Recent relevant firm experience includes the Interstate 405 (I-405) corridor from State Route 73 to I-605, and I-5/French Valley Parkway Interchange in Temecula, California.

Mark Thomas, a well-established transportation engineering firm with 93 years' experience, provides planning, design, and delivery of local roadway improvement projects, including highway and interchange projects throughout California. Mark Thomas has over 250 professionals in 12 offices statewide and has successfully delivered highway improvement design interchange projects for OCTA, Caltrans, and other local agencies from planning and preliminary engineering through final design and construction support. Mark Thomas has completed numerous Caltrans projects similar in scope and size, including PS&E for improvements to the US Route 50/Watt Avenue interchange in Sacramento, California, as well as a new State Route 60/Potrero Boulevard interchange near Beaumont, California. Mark Thomas is also currently working on the Highway 101 high-occupancy vehicle (HOV) widening and rehabilitation project in Santa Barbara, California.

Staffing and Project Organization

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

MBI proposed a qualified project team with relevant experience and comprehensive understanding of the Project issues, risks, and challenges. The team is proficient in various disciplines required for the Project and has extensive recent OCTA and Caltrans experience. The team has demonstrated experience working on projects of similar size and scope. The proposed project manager has 22 years of direct experience in planning, managing, and successfully delivering various transportation projects from preliminary studies through final design. The project manager has successfully delivered nine interchange PS&E projects in southern California within budget and schedule. The proposed roadway lead has 16 years of experience in civil engineering, construction, 3D modeling, and has demonstrated ability to model projects to foresee and resolve potential design conflicts during the design phase. The proposed drainage lead has 21 years of experience in stormwater management and regional drainage projects involving state highway improvements, and has worked on over 20 regional flood control facility improvement projects.

MBI's proposed project team demonstrated relevant experience delivering OCTA and Caltrans PS&E projects, including the I-605/Katella Interchange PSR/PDS and PA/ED, SR-91 westbound widening PS&E (SR-57 to I-5), and SR-57 northbound widening PA/ED and PS&E from Orangethorpe Avenue to Yorba Linda Boulevard. The MBI team includes staffing from Advanced Civil Technologies, with applicable experience in staging construction plans, and staffing from Earth Mechanics, Inc., with extensive knowledge of geotechnical conditions in Orange County and experienced in preparation of geotechnical foundational reports for bridges and retaining walls.

M&N proposed a qualified project team with relevant experience that showed understanding of the Project issues, risks, and challenges. The team, including subconsultants, are experienced in various disciplines required for the Project and have relevant local and Caltrans experience and OCTA PS&E project experience. The team and subconsultants have working relationships with demonstrated experience working on projects of similar size and scope. The proposed project manager has 26 years of relevant experience planning, managing, and leading a variety of transportation projects from preliminary studies through final design (PS&E). The project manager has facilitated workshops for stakeholders for other projects and has provided leadership on those project teams. The proposed roadway lead has over 10 years' experience in engineering and geometric design for roadway and bike infrastructure traffic control, and staged construction design. The proposed drainage lead has experience working on drainage solutions for freeway interchange, roadway widening, and grade separation projects.

M&N's proposed project team demonstrated relevant experience delivering OCTA and Caltrans PS&E projects, including OCTA's I-405/Beach Boulevard and I-405/Magnolia Avenue interchanges. M&N has working relationships with proposed subconsultants. The teams are established with relevant local, Caltrans, and OCTA PS&E experience.

Mark Thomas proposed a qualified project team with relevant experience and showed understanding of the Project issues, risks, and challenges. The team has recent OCTA and Caltrans experience. The team also has prior working relationship with subconsultants and demonstrated experience working on projects of similar size and scope. The proposed project manager has 22 years' direct experience in planning, managing, and successfully delivering various transportation projects from preliminary studies through final design (PS&E). The project manager successfully delivered 20 interchange and freeway widening projects in southern California and has direct experience with transportation projects. The project manager completed the PSR/PDS and PA/ED for the I-605/Katella Avenue Interchange project. The proposed roadway lead has 22 years' experience as a technical lead and project engineer for highway, roadway, bicycle, and pedestrian facility improvement projects. The proposed drainage/water quality lead has 15 years' experience delivering infrastructure projects and coordinating with multiple agencies throughout southern California, including OCTA and Caltrans, on various interchange improvement projects.

Mark Thomas' proposed team members demonstrated relevant experience delivering OCTA, Caltrans, and other local agencies' projects, including the PA/ED and PS&E for Interstate 15/State Route 79 in Temecula, California, and supporting roles on the I-5 widening from Oso Parkway to Alicia Parkway in Orange County, California. Mark Thomas is also currently working on the Highway 101 HOV widening and rehabilitation project in Santa Barbara, California.

Work Plan

All short-listed firms met the requirements of the RFP, and each firm adequately discussed its approach to the Project.

MBI presented a comprehensive and viable work plan that demonstrated an understanding of the Project design requirements, constraints, challenges, and risks. The plan proposed detailed recommendations and solutions on complete streets enhancements to multiple ramps to improve safety. The plan identified considerations for mainline and ramp improvements, acknowledged recent updates to the Caltrans Highway Design Manual, and identified locations where non-standard design features could be improved on the northbound on-ramp. The plan also accounted for the potential need to design an upgrade of the Katella Avenue storm channel, if a deviation was not granted by the Orange County Flood Control District (OCFCD). The plan also provided a comprehensive Project schedule that includes an outline of the first 60-day tasks which include critical path items related to preliminary design, right-of-way (ROW) needs, and management.

The overall approach to Project execution described in the work plan and presented during the interview included a thorough discussion of disciplines that are critical for successful PS&E performance. The interview confirmed the technical knowledge and expertise of the MBI team and its comprehensive understanding of Project challenges, risks, and requirements. The MBI team demonstrated in-depth knowledge of its proposed approach to the SOW by providing detailed Project-specific responses to all interview questions.

M&N presented a detailed work plan that demonstrated an understanding of the Project requirements, challenge, and risks. The plan proposed general discussions on complete streets enhancements to multiple ramps to improve safety, and featured a spanning culvert extension modification to minimize disruptions to the existing Los Alamitos Channel and minimize earthwork. The plan discussed innovative solutions for minimizing risks associated with ROW acquisition by proposing geometric adjustments to reduce overall parcels

affected, improving storm water quality treatment, and streamlining water quality documentation.

The overall approach to Project execution described in the work plan and presented during the interview demonstrated an understanding of the SOW, challenges, risks, and Project requirements. The M&N team presented an interview with detailed specific responses to all interview questions.

Mark Thomas presented a work plan identifying issues, recommendations, challenges, and potential solutions that demonstrated an understanding of the SOW, challenges, and risks associated with the Project. The plan included general discussion on complete streets and proposed geometric enhancements to the southbound on-ramp location to improve safety. The plan discussed pursuing deviations for drainage channel improvements from OCFCD, and discussed minimizing risks associated with ROW acquisition, utility relocations, and other appurtenances.

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

Procurement Summary

Based on the evaluation of the written proposals, team qualifications, and information obtained during the interviews, the evaluation committee recommends the selection of MBI as the top-ranked firm to prepare the PS&E for the Project.

Fiscal Impact

The Project is included in OCTA's Fiscal Year 2020-21 Budget, Capital Programs Division, Account 0017-7519-FM003-F17, and will be funded through M2.

Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Agreement No. C-0-2186 with Michael Baker International, Inc., as the firm to prepare the plans, specifications, and estimates for the Interstate 605/Katella Avenue Interchange improvement project.

Attachments

- A. Review of Proposals, RFP 0-2186 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 605/Katella Avenue Interchange Improvement Project
- B. Proposal Evaluation Criteria Matrix (Short-Listed), RFP 0-2186 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 605/Katella Avenue Interchange Improvement Project
- C. Contract History for the Past Two Years, RFP 0-2186 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 605/Katella Avenue Interchange Improvement Project

Prepared by:



Josue Vaglienty, P.E.
Senior Project Manager
(714) 560-5852

Approved by:



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



Virginia Abadessa
Director, Contracts Administration and
Materials Management
(714) 560-5623

Review of Proposals
RFP 0-2186 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 605/Katella Avenue Interchange Improvement Project
 Presented to RP&H Committee - August 3, 2020

Three proposals were received, Three firms were interviewed, One firm is being recommended

Overall Ranking	Overall Score	Firm and Location	Subcontractors	Evaluation Committee Comments
1	86	Michael Baker International, Inc. Santa Ana, California	Advanced Civil Technologies Earth Mechanics, Inc.	Highest-ranked firm overall. Firm has recent and relevant experience managing and delivering design transportation projects of similar size and scope. Qualified team includes project manager, key personnel, technical staff, and subconsultants with demonstrated experience working together on recent plans, specifications, and estimates (PS&E) projects. Project manager has direct experience planning, managing, and successfully delivering numerous transportation projects from preliminary studies through final design (PS&E). Comprehensive work plan identifying key issues, providing sound recommendations and viable solutions. Proposed a "First 60-Day Plan" that identified critical tasks and milestones. Detailed team presentation and interview with project-specific responses to all questions.
2	78	Moffatt & Nichol Costa Mesa, California	EXP U.S. Services, Inc. Fugro USA Land, Inc. Hout Construction Services, Inc. Iteris, Inc. Leighton Consulting, Inc. Lynn Capouya, Inc. Paleo Solutions, Inc. Psomas Q4 Transportation Solutions	Firm has recent and relevant experience managing and delivering design transportation projects of similar size and scope. Qualified team includes project manager, key personnel, and subconsultants with experience working together on recent PS&E projects. Project manager is qualified with relevant experience planning, managing, and successfully delivering transportation projects from preliminary studies through final design (PS&E). Work plan proposed modifications and innovative solutions to minimize disruptions and risks with the existing channel and right-of-way. Good presentation and interview with thorough responses to all interview questions.
3	77	Mark Thomas & Company, Inc. Irvine, California	Advance Civil Technologies Q3 Consulting Earth Mechanics, Inc. ICF Jones & Stokes, Inc. Psomas	Firm has recent and relevant experience managing and delivering design transportation projects of similar size and scope. Qualified team includes project manager, discipline leads, key and technical staff, and subconsultants with proven experience working together on recent PS&E projects. Project manager has excellent direct experience planning, managing, and successfully delivering numerous transportation, highway, and bridge projects for OCTA and Caltrans in all phases, from preliminary studies through final design (PS&E). Work plan included general discussions on complete streets and proposed geometric enhancements to southbound on-ramp locations to improve safety. Good team presentation and interview with detailed project-specific responses to all interview questions.

Evaluation Panel: 6 Members

Internal:

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

External:

- California Department of Transportation (2)
- City of Los Alamitos (1)

Evaluation Criteria:

- Staffing and Project Organization
- Work Plan
- Qualifications of the Firm

Weight Factors

- 40%
- 35%
- 25%

PROPOSAL EVALUATION CRITERIA MATRIX (Short-Listed)

RFP 0-2186 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 605/Katella Avenue Interchange Improvement Project

Firm: Michael Baker International, Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.5	4.5	4.5	4.5	4.0	4.5	5	22.1
Staffing/Project Organization	4.0	4.0	4.5	4.5	4.0	4.5	8	34.0
Work Plan	4.5	4.0	4.0	4.5	4.5	4.0	7	29.8
Overall Score	86.0	82.5	86.5	90.0	83.5	86.5		86

Firm: Moffatt & Nichol								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.0	4.0	4.0	4.0	4.0	4.0	5	20.0
Staffing/Project Organization	4.0	3.5	4.0	4.0	3.5	4.0	8	30.7
Work Plan	4.0	3.5	4.0	4.0	4.0	4.0	7	27.4
Overall Score	80.0	72.5	80.0	80.0	76.0	80.0		78

Firm: Mark Thomas & Company, Inc.								
Evaluator Number	1	2	3	4	5	6	Weights	Criteria Score
Qualifications of Firm	4.0	4.0	3.5	4.0	4.0	4.0	5	19.6
Staffing/Project Organization	4.0	3.5	4.0	4.0	4.0	4.0	8	31.3
Work Plan	3.5	4.0	4.0	3.5	4.0	3.5	7	26.3
Overall Score	76.5	76.0	77.5	76.5	80.0	76.5		77

CONTRACT HISTORY FOR THE PAST TWO YEARS
RFP 0-2186 Consultant Services for the Preparation of Plans, Specifications, and Estimates for the Interstate 605/Katella Avenue Interchange Improvement Project

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Michael Baker International, Inc.						
Contract Type: Firm-Fixed Price	C-3-1701	Project approval/environmental document for State Route 91 from State Route 57 to State Route 55	January 19, 2015	June 30, 2021		\$ 7,726,965
Subconsultants:						
Advanced Civil Technologies					\$ 349,969	
CLR Analytics Inc.					\$ 202,740	
Earth Mechanics Inc..					\$ 192,889	
Geospatial Prof Solns Inc.					\$ 101,369	
Kleinfelder					\$ 1,217,162	
Mars Services, Inc.					\$ 116,363	
Overland, Pacific & Cutler, LLC					\$ 278,262	
System Metrics Group					\$ 478,883	
Transystems					\$ 1,097,487	
Value Management Strategies					\$ 95,862	
Contract Type: Firm-Fixed Price	C-5-3729	Consultant services to prepare the project report/environmental document for Interstate 605/Katella Avenue Interchange	August 18, 2016	June 30, 2019		\$ 1,009,209
Subconsultants:						
Advanced Civil Technologies					\$ 179,849	
Cogstone Resource Management					\$ 40,216	
Earth Mechanics, Inc.					\$ 28,361	
Iteris, Inc.					\$ 115,543	
Contract Type: Firm-Fixed Price	C-7-2102	Consultant to prepare annual update for State Route 91 implementation plan PM: Allison Army	February 13, 2018	February 28, 2021		\$ 175,000
Subconsultants: None						
Subtotal						\$ 8,911,174
Mark Thomas & Company, Inc.						
Contract Type: None						
Subconsultants: None						
Subtotal						\$ -
Moffatt & Nichol						
Contract Type: None						
Subconsultants: None						
Subtotal						\$ -



COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Comprehensive Transportation Funding Programs Semi-Annual Review - March 2020

Regional Planning and Highways Committee Meeting of August 3, 2020

Present: Directors Bartlett, Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: None

Committee Vote

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

Director Pulido was not present to vote on this item.

Committee Recommendations

- A. Approve requested adjustments to the Comprehensive Transportation Funding Programs projects and Local Fair Share Program funds.
- B. Due to the unique circumstances created by the coronavirus, exempt certain Comprehensive Transportation Funding Programs and Measure M2 Eligibility Guidelines (documented in this staff report and attachments) in order to incorporate requested project adjustments.



August 3, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

A handwritten signature in blue ink, appearing to read "Darrell E. Johnson", is written over the "From:" line.

Subject: Comprehensive Transportation Funding Programs Semi-Annual Review – March 2020

Overview

The Orange County Transportation Authority recently completed the March 2020 semi-annual review of projects funded through the Comprehensive Transportation Funding Programs. This process reviews the status of Measure M2 grant-funded projects and provides an opportunity for local agencies to update project information and request project modifications. This semi-annual review cycle was unique since it was heavily influenced by project and personnel impacts of the coronavirus and the Governor's stay-at-home order. Project adjustments and proposed guidelines exemptions are presented for review and approval.

Recommendations

- A. Approve requested adjustments to the Comprehensive Transportation Funding Programs projects and Local Fair Share Program funds.
- B. Due to the unique circumstances created by the coronavirus, exempt certain Comprehensive Transportation Funding Programs and Measure M2 Eligibility Guidelines (documented in this staff report and attachments) in order to incorporate requested project adjustments.

Background

The Comprehensive Transportation Funding Programs (CTFP) is the mechanism which the Orange County Transportation Authority (OCTA) uses to administer funding for street, road, signal, transit, and water quality projects. The CTFP contains a variety of funding programs and sources, including Measure M2 (M2) revenues, State-Local Partnership Program funds,

and Local Partnership Program funds. The CTFP provides local agencies with a comprehensive set of guidelines for administration and delivery of various transportation funding grants.

Throughout the semi-annual review, OCTA meets with representatives from local agencies as necessary to review the status of projects and proposed project changes. This process is known as the semi-annual review. The goals of the semi-annual review are to review project status, determine the continued viability of projects, address local agency concerns, confirm availability of local match funds, and ensure timely closeout of all projects funded through the CTFP.

Discussion

The March 2020 semi-annual review process was originally scheduled to close on March 13, 2020. However, within a few days of its original closing, Governor Newsom issued Executive Order N-33-20 (stay-at-home order), which mandated that all California residents stay at home in order to combat the spread of the coronavirus (COVID-19). It quickly became apparent that the stay-at-home order was going to have significant impacts upon local agencies' abilities to conduct normal business, such as conducting city council meetings, awarding contracts, and scheduling procurements. As a result, OCTA reopened the semi-annual review process in order to accommodate new project adjustment requests. In total, after the March semi-annual review process was reopened, OCTA received an additional 51 project adjustment requests.

In total, 77 project adjustment requests including 18 delays, 11 timely use of funds extensions for CTFP projects, 15 timely use of funds extensions for the Local Fair Share Program, four scope changes, 24 project transfers, one cancellation, and four "other" requests are being recommended for Board of Directors (Board) approval. All recommended adjustment requests are itemized in Attachment A and described in Attachment B.

Local agencies identified several reasons for proposed project adjustment requests, which generally included the following.

- Delays were requested due to procurement, staffing, COVID-19-related impacts, utility, construction, and/or federal funding coordination issues.
- Extensions were requested because of delays in obtaining approvals and/or permits, right-of-way processes taking longer than expected, COVID-19-related impacts, design, staffing, project closeout, contractor scheduling, and coordination issues.
- Scope changes were requested due to either improvements on the original scope of work or to address design issues that emerged.

- Transfers of savings were requested by M2 Project V service providers (who ceased operations during COVID-19) in order to preserve unspent funds for use in subsequent fiscal years.
- A cancellation was requested due to the inability to resolve utility and contractor coordination issues.
- “Other” changes were required in order to document Project P administrative changes toward evaluation of multi-phased projects and a CTFP Guidelines exception, which was required during the CTFP Project O call for projects.

A summary of projects by phase and funding is included in the table below. Since inception of M2, OCTA has awarded approximately half a billion dollars in competitive funds, including approximately \$38 million in state and federal funds. Changes to this original allocation amount reflect the reduction in programming of approximately \$3.6 million, resulting in a cumulative total revised allocation of \$497.9 million as of March 31, 2020.

M2 CTFP Summary Table				
Project Status	September 2019 Semi-Annual Review		March 2020 Semi-Annual Review	
	Project Phases	Allocation	Project Phases	Allocations ¹ (after adjustments)
Planned ²	66	\$ 33.7	51	\$ 29.0
Started ³	125	\$204.2	111	\$178.5
Pending ⁴	86	\$ 54.1	96	\$ 82.4
Completed ⁵	341	\$166.9	367	\$169.6
Cancelled ⁶	50	\$ 37.9	50	\$ 38.4
Total	668	\$496.8	675	\$497.9

¹ Allocations in millions, subject to change pending final reconciliation.

² Planned - indicates that funds have not been obligated and/or are pending contract award.

³ Started - indicates that the phase is underway, and funds are obligated.

⁴ Pending - indicates that phase work is completed, and final report submittal/approval is pending.

⁵ Completed - indicates that phase work is complete, final report is approved, and final payment has been made.

⁶ Cancelled - indicates that the phase work will not be completed, and project savings will be returned to the program.

* Note: the project phase and allocations listed above are subject to frequent and regular changes due primarily to project status updates, final reconciliations, and project closeout processes.

As shown above, local agencies have made considerable progress since the last semi-annual review cycle in delivering and closing out CTFP projects. Demonstrating that progress, 15 projects have advanced from “planned” to “started” phase, and 96 projects are “pending” (meaning work is complete and final submittals are pending and/or need to be finalized). Additionally, 26 projects were completed between September 2019 and March 2020.

Furthermore, additional progress not reflected in the table includes over \$1.2 million in program savings due to projects being completed under programmed amounts. In total, this brings cumulative program savings to an estimated \$48 million (including both completed and cancelled projects). All savings are returned to the source program after closeout and are made available to all agencies in subsequent competitive funding cycles.

Additionally, OCTA takes every step possible to maintain M2 requirements consistent with its various guiding policy documents and requirements. However, as discussed above, this semi-annual review cycle was highly unique due to COVID-19-related impacts. As such, some requirements identified in either the CTFP Guidelines or the M2 Eligibility Guidelines require exemption (for this cycle only) in order to approve the recommended project adjustment requests. In total, there are seven guidelines exemption requests, which are primarily related to when submittals, city council approvals, or when back up and/or supporting documentation were due. These instances are noted and/or described in the attachments A, B, and C.

From a CTFP administrative perspective, the proposed project adjustments identified in this report are appropriate and necessary. With respect to the recommended guidelines exemptions, while exceedingly rare, staff is recommending Board approval given the unique, challenging, and unforeseen environment that emerged during the COVID-19 pandemic.

This report and its recommendations were reviewed by the OCTA Technical Advisory Committee in June. Board approval of the proposed March 2020 semi-annual review adjustments and waivers is recommended. If these recommendations are approved by the Board, staff will monitor implementation of these changes through both the OCFundtracker database and future semi-annual review cycles, which are reported to the Board biannually.

Summary

OCTA has recently reviewed the status of 312 active project phases funded through the CTFP. Staff recommends approval of the recommendations, project adjustments, and waivers requested by local agencies for the March 2020 semi-annual review cycle.

Attachments

- A. Comprehensive Transportation Funding Programs, March 2020
Semi-Annual Review Adjustment Requests
- B. Comprehensive Transportation Funding Programs, March 2020
Semi-Annual Review Adjustment Request Descriptions
- C. Summary of Proposed Guidelines Exemptions

Prepared by:



Charvalen Alacar
Transportation Funding Analyst, Senior
(714) 560-5401

Approved by:



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

Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Requests

Delay Requests										
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Delay (Months)	Proposed FY	
1	Anaheim	19-ANAH-STIS-3928 ¹	W	Anaheim Safe Transit Stop Improvements	CON	19/20	\$ 480,000	24	21/22	
2	Costa Mesa	19-CMSA-STIS-3929 ²	W	Costa Mesa Safe Transit Stop Improvements	CON	19/20	\$ 74,500	24	21/22	
3	Fullerton	19-FULL-TSP-3936 ^{1,3}	P	Harbor Boulevard Corridor	IMP	19/20	\$ 2,105,395	24	21/22	
4	Fullerton	19-FULL-TSP-3936 ^{1,3}	P	Harbor Boulevard Corridor	O&M	20/21	\$ 69,600	24	22/23	
5	Irvine	17-IRVN-ICE-3863 ⁵	O	University/Ridgeline Intersection Improvement	CON	19/20	\$ 1,724,024	24	21/22	
6	Laguna Hills	19-LHLL-STIS-3931 ¹	W	Laguna Hills Safe Transit Stop Improvements	CON	19/20	\$ 35,000	12	20/21	
7	Laguna Niguel ⁷	19-LNIG-CBT-3954 ^{1,3}	V	Laguna Niguel Summer Trolley - Southern Section	CAP	19/20	\$ 218,160	24	21/22	
8	Laguna Niguel ⁷	19-LNIG-CBT-3954 ^{1,3}	V	Laguna Niguel Summer Trolley - Southern Section	O&M	19/20	\$ 667,922	24	21/22	
9	Mission Viejo	18-MVJO-ACE-3904 ^{3,6}	O	La Paz Bridge and Road Widening from Muirlands to Chrisanta	CON	19/20	\$ 3,300,843	12	20/21	
10	Newport Beach ⁸	19-NBCH-ECP-3950 ³	X	Newport Bay Trash Mitigation Project Phase 2	CON	19/20	\$ 55,099	12	20/21	
11	OCTA	19-OCTA-STIS-3953 ^{3,5}	W	OCTA Safe Transit Stop Improvements (Laguna Hills Transit Center and Newport Beach Transit Center)	CON	19/20	\$ 15,000	12	20/21	
12	OCTA	16-OCTA-TSP-3794 ⁵	P	Brookhurst Street Traffic Signal Synchronization (Commonwealth Avenue to Pacific Coast Highway)	O&M	19/20	\$ 111,360	12	20/21	
13	OCTA	16-OCTA-TSP-3795 ⁵	P	Magnolia Avenue Traffic Signal Synchronization (Commonwealth Avenue to Banning Avenue)	O&M	19/20	\$ 96,000	12	20/21	
14	OCTA	18-OCTA-TSP-3894 ¹	P	Katella Avenue / Villa Park Road / Santiago Canyon Road RTSSP	O&M	19/20	\$ 53,280	24	21/22	
15	OCTA	18-OCTA-TSP-3897 ¹	P	Garden Grove Boulevard TSSP (Valley View Street to Bristol Street)	O&M	19/20	\$ 36,720	24	21/22	
16	OCTA	18-OCTA-TSP-3901 ¹	P	Main Street RTSSP	O&M	19/20	\$ 50,688	24	21/22	
17	OCTA	18-OCTA-TSP-3905 ¹	P	Los Alisos Boulevard Route Project	O&M	19/20	\$ 31,140	24	21/22	
18	Orange	19-ORNG-STIS-3933 ^{3,5}	W	Orange Safe Transit Stop Improvements	CON	19/20	\$ 98,300	12	20/21	
Delays - Total Phase Allocations (18)							\$	9,223,031		

Reasons for Project Adjustments

1. Procurement related
2. Staffing issue
3. Coronavirus (COVID-19) related
4. Utility coordination
5. Construction coordination
6. Federal funding coordination

Exemption requests

7. CTFP Guidelines - city council concurrence to be submitted with semi-annual review requests and prior to Board approval.
8. CTFP Guidelines - Project X Tier I projects are not eligible for delay requests.

Acronyms

- Board - Board of Directors
- CAP - Capital
- CON - Construction
- CTFP - Comprehensive Transportation Funding Programs
- FY - Fiscal Year
- IMP - Implementation
- O&M - Operations and Maintenance
- OCTA - Orange County Transportation Authority
- RTSSP - Regional Traffic Signal Synchronization Program
- TSSP - Traffic Signal Synchronization Program

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Timely Use of Funds Extension Requests - CTFP Programs*									
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Time Extension (Months)	Proposed Expenditure Deadline
1	Anaheim	17-ANAH-ACE-3860 ^{1,2}	O	Lincoln Avenue Widening (East Street to Evergreen Street)	ROW	17/18	\$ 1,147,669	24	9/27/2022
2	Brea	16-BREA-FST-3802 ²	O	SR-57 & Lambert Road Interchange Improvements	ROW	17/18	\$ 3,109,857	24	6/6/2022
3	County of Orange	17-ORCO-ACE-3868 ^{3,7}	O	Cow Camp Road Segment 2A & 2B Construction	CON	17/18	\$ 4,522,774	12	6/15/2022
4	Irvine	17-IRVN-TSP-3875 ⁴	P	Irvine Boulevard Signal Synchronization Project	O&M	18/19	\$ 80,640	24	5/22/2024
5	Irvine	18-IRVN-TSP-3902 ⁵	P	Culver Drive / Bonita Canyon Drive / Ford Road RTSSP	IMP	18/19	\$ 1,064,848	24	4/24/2024
6	Irvine	18-IRVN-TSP-3902 ⁵	P	Culver Drive / Bonita Canyon Drive / Ford Road RTSSP	O&M	19/20	\$ 74,880	24	6/2/2025
7	Laguna Woods	14-LWDS-TSP-3707 ^{3,6}	P	El Toro Road Regional Traffic Signal Synchronization	O&M	15/16	\$ 28,800	24	6/17/2022
8	Laguna Woods	14-LWDS-TSP-3708 ^{3,6}	P	Moulton Parkway Regional Traffic Signal Synchronization	O&M	15/16	\$ 71,040	24	6/17/2022
9	Santa Ana	16-SNTA-ACE-3814 ²	O	Warner Avenue Improvements and Widening (Main Street to Oak Street)	ROW	16/17	\$ 1,697,153	24	8/16/2022
10	Santa Ana	17-SNTA-ACE-3869 ²	O	Warner Avenue Improvements - Oak Street to Grand Avenue	ENG	17/18	\$ 811,125	24	8/14/2022
11	Santa Ana	17-SNTA-ACE-3870 ²	O	Warner Avenue Improvements from Main Street to Orange Avenue	ROW	17/18	\$ 8,586,900	24	8/16/2022
CTFP Timely Use of Funds Extensions (11) - Total Phase Allocations							\$ 21,195,686		

Reasons for Project Adjustments

1. Delays in obtaining necessary plan approvals and/or permits
2. ROW issues and/or delays
3. COVID-19 related
4. Design issues
5. Staffing issue
6. Project closeout
7. Contractor scheduling and utility coordination

Acronyms

- ROW - Right-of-Way
- SR-57 - State Route 57
- ENG - Engineering

*Once obligated, CTFP funds expire 36 months from the contract award date. Local agencies may request a one-time extension of up to 24 months.

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Timely Use of Funds Extension Requests - LFS*							
No	Agency	FY	Disbursement Date	Disbursement	Proposed Extension Amount	Proposed Interest Extension Amount	Extension Deadline
1	Brea	17/18	11/7/2017	\$ 155,700	\$ 155,700	\$ -	11/7/2022
2	Costa Mesa	17/18	11/7/2017	\$ 405,346	\$ 405,346	\$ -	11/7/2022
3-11	Villa Park ^{1,2}	15/16	6/30/2016	\$ 15,339	\$ 15,339	\$ -	6/30/2021
		16/17	9/13/2016	\$ 13,599	\$ 13,599	\$ -	9/13/2021
			11/15/2016	\$ 13,711	\$ 13,711	\$ -	11/15/2021
			1/10/2017	\$ 16,538	\$ 16,538	\$ -	1/10/2022
			3/14/2017	\$ 14,465	\$ 14,465	\$ -	3/14/2022
			5/23/2017	\$ 12,731	\$ 12,731	\$ -	5/23/2022
			6/30/2017	\$ 15,345	\$ 15,345	\$ -	6/30/2022
		17/18	9/12/2017	\$ 13,650	\$ 13,650	\$ -	9/12/2022
			11/7/2017	\$ 14,509	\$ 14,509	\$ -	11/7/2022
12-15	Yorba Linda	16/17	5/23/2017	\$ 146,012	\$ 146,012	\$ -	5/23/2022
			6/30/2017	\$ 175,993	\$ 175,993	\$ -	6/30/2022
		17/18	9/12/2017	\$ 157,305	\$ 157,305	\$ -	9/12/2022
			11/7/2017	\$ 167,004	\$ 167,004	\$ -	11/7/2022
LFS Timely Use of Funds Extensions (15) - Total					\$ 1,337,247		

*The Expenditure Guidelines specify that net revenues received by local jurisdictions through the LFS Program shall be expended or encumbered within three years. An extension may be granted but is limited to a total of five years from the date of receipt of funds. OCTA uses the check date as the date of receipt of funds. Requests for extension must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds. Requests for extension must include a plan of expenditure.

Exemption requests

1. M2 Eligibility Guidelines - funds extensions must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds.
2. CTFP and M2 Eligibility Guidelines - a plan of expenditure be submitted with semi-annual review timely use of funds extension requests.

Acronyms

LFS - Local Fair Share
 M2 - Measure M2

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Scope Change Requests								
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Allocation
1	Fullerton	15-FULL-TSP-3769 ¹	P	Malvern Avenue/Chapman Avenue Corridor RTSSP	O&M	18/19	\$ 127,200	\$ 127,200
2	Irvine	16-IRVN-TSP-3791 ²	P	Irvine Center Drive/Edinger Avenue Signal Synchronization	IMP	16/17	\$ 1,714,560	\$ 1,714,560
3	Irvine	16-IRVN-TSP-3792 ²	P	Von Karman Avenue/Tustin Ranch Road Signal Synchronization	IMP	16/17	\$ 1,353,580	\$ 1,353,580
4	La Habra	15-LHAB-TSP-3773 ²	P	Imperial Highway/State Route-90 Corridor	IMP	15/16	\$ 1,745,240	\$ 1,745,240
Scope Changes (4) - Total Phase Allocations							\$ 4,940,580	\$ 4,940,580

Reasons for Project Adjustments

1. Technology upgrades/ enhanced project benefits
2. Design Issue

Comprehensive Transportation Funding Programs
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Transfer Requests										
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Transfer Amount	Proposed Allocation	
1	County of Orange	16-ORCO-CBT-3822 ¹	V	Orange County RanchRide	O&M	19/20M	\$ 1,929,137	TBD	TBD	
2	Dana Point	14-DPNT-CBT-3742 ¹	V	Summer Weekend Trolley/Harbor Shuttle	O&M	19/20M	\$ 420,576	TBD	TBD	
3	Dana Point	16-DPNT-CBT-3823 ¹	V	Dana Point PCH Trolley	O&M	19/20M	\$ 388,272	TBD	TBD	
4,5	Dana Point	18-DNPT-CBT-3911 ¹	V	Dana Point Trolley Continuity and Expansion and Weekend Service	CAP	19/20M	\$ 110,250	TBD	TBD	
					O&M	19/20M	\$ 1,082,566	TBD	TBD	
6	La Habra	16-OCTA-CBT-3835 ¹	V	La Habra Special Event Shuttle Services	O&M	19/20M	\$ 89,757	TBD	TBD	
7,8	Laguna Beach	18-OCTA-CBT-3912 ¹	V	Summer Breeze Bus Service	CAP	19/20M	\$ 4,680	TBD	TBD	
					O&M	19/20M	\$ 536,725	TBD	TBD	
9,10	Laguna Niguel	19-LNIG-CBT-3954 ¹	V	Laguna Niguel Summer Trolley - Southern Section	CAP	19/20M	\$ 218,160	TBD	TBD	
					O&M	19/20M	\$ 667,922	TBD	TBD	
11	Lake Forest*	16-LFOR-CBT-3829 ¹	V	Shuttle Service between train station and Panasonic	O&M	19/20M	\$ 778,035	TBD	TBD	
12,13	Mission Viejo	16-OCTA-CBT-3836 ¹	V	Mission Viejo Local Transit Circulator	CAP	19/20M	\$ 475,300	TBD	TBD	
					O&M	19/20M	\$ 2,445,982	TBD	TBD	
14,15	Newport Beach	16-NBCH-CBT-3832 ¹	V	Balboa Peninsula Trolley	CAP	19/20M	\$ 262,768	TBD	TBD	
					O&M	19/20M	\$ 348,705	TBD	TBD	
16,17	Newport Beach	18-NBCH-CBT-3913 ¹	V	The Balboa Peninsula Shuttle Expansion Program	CAP	19/20M	\$ 110,400	TBD	TBD	
					O&M	19/20M	\$ 168,000	TBD	TBD	
18	Irvine	16-OCTA-CBT-3833 ¹	V	Irvine iShuttle Route West - Tustin Station - Irvine Business Complex	O&M	19/20M	\$ 2,168,913	TBD	TBD	
19	Irvine	16-OCTA-CBT-3834 ¹	V	Irvine iShuttle Route East - Irvine Station - East	O&M	19/20M	\$ 2,162,639	TBD	TBD	
20	San Clemente	16-SCLM-CBT-3840 ¹	V	San Clemente Summer Trolley	O&M	19/20M	\$ 510,598	TBD	TBD	
21	San Clemente	16-SCLM-CBT-3841 ¹	V	San Clemente Rideshare Services	O&M	19/20M	\$ 845,283	TBD	TBD	
22	San Clemente	18-SCLM-CBT-3914 ¹	V	San Clemente Trolley Expansion	O&M	19/20M	\$ 1,104,215	TBD	TBD	
23, 24	San Juan Capistrano	18-SJCP-CBT-3915 ¹	V	Special Event and Weekend Summer Trolley Service	CAP	19/20M	\$ 304,164	TBD	TBD	
					O&M	19/20M	\$ 654,478	TBD	TBD	
Transfer Requests (24) - Total Project Allocations							\$ 17,787,525	\$ -	\$ -	

Reasons for Project Adjustment

1. COVID-19 related: project savings in earlier phases/years can support work in later awarded phases/years.

Acronyms

PCH - Pacific Coast Highway

* Note: This project is currently pending cancellation in August 2020.

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Cancellation Requests								
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Allocation
1	Cypress	14-CYPR-ECP-3731 ^{1,2}	X	Priority Sediment/ Pollution Removal	CON	14/15	\$ 211,840	\$ -
Cancellations (1) - Total Phase Allocations							\$ 211,840	\$ -

Reasons for Project Adjustments

1. Utility coordination issues
2. Contractor coo 2. Contractor coordination issues

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Other: CTFP Requests										
No	Agency	Project Number	Project	Project Title	Phase	Initial Contract Award Date ¹	Notice to Proceed Date ²	Expenditure Deadline (Based off NTP)	Board Approved Time Extension (Months)	Updated Expenditure Deadline
1	Buena Park	14-BPRK-TSP-3703	P	Artesia Boulevard Corridor Signal Synchronization (Valley View Avenue to Dale Street)	O&M	6/23/2015	9/26/2018	9/26/2021	24 ³	9/26/2023
2	Santa Ana	14-SNTA-TSP-3710	P	Harbor Boulevard Corridor Traffic Signal Synchronization	O&M	4/21/2015	4/30/2018	4/30/2021	24 ⁴	4/30/2023
3	Santa Ana ⁵	20-SNTA-ACE-3968	O	Bristol Street Improvements Phase 3A - Civic Center Drive to Washington Avenue	CON	N/A	N/A	N/A	N/A	N/A
4	Santa Ana ⁵	20-SNTA-ACE-3969	O	Bristol Street Improvements Phase 4 - Warner Avenue to St. Andrew Place	CON	N/A	N/A	N/A	N/A	N/A

¹ Initial contract constitutes the combined contract for both PI and O&M phases.

² Per the CTFP Guidelines, local agencies should issue a separate NTP while combining contracts for both the PI and O&M phases. NTP date will be considered the date of encumbrance for the O&M phase.

³ Approved by the Board on December 12, 2016 during September 2016 semi-annual review.

⁴ Approved by the Board on June 12, 2017 during March 2017 semi-annual review.

Exemption request

⁵ Due to the COVID-19 pandemic and the timing of when OCTA reinstated the City of Santa Ana's (City) eligibility to receive M2 funds, the City was unable to comply with the CTFP Guidelines requirement specifying that final city council resolutions be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.

Acronyms

NTP - Notice to Proceed

PI - Primary Implementation

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

Delays

Local agencies may request up to an additional 24-months to obligate funds. During the March 2020 semi-annual review cycle, the following delay requests were submitted:

The City of Anaheim (Anaheim) is requesting a 24-month delay for the construction (CON) phase of the Anaheim Safe Transit Stop Improvements Project (19-ANAH-STS-3928). Anaheim is engaged in a bus shelter maintenance and operations contract, which is set to expire in December 2020. Upon expiration, a request for proposals for a new contract will be released, which will include new shelter types and designs. The additional time will allow Anaheim to procure bus shelters under the new contract and ensure consistency in shelter design throughout the city.

The City of Costa Mesa is (Costa Mesa) requesting a 24-month delay for the CON phase of the Costa Mesa Safe Transit Stop Improvements Project (19-CMSA-STS-3929) due to limited staff availability.

The City of Fullerton is requesting a 24-month delay for both the primary implementation (IMP) and the operation and maintenance (O&M) phases of the Harbor Boulevard Corridor Project (19-FULL-TSP-3936) to allow additional time to finalize the award of an engineering consultant contract. This request is due to unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to the coronavirus (COVID-19).

The City of Irvine (Irvine) is requesting a 24-month delay for the CON phase of the University/Ridgeline Intersection Improvement Project (17-IRVN-ICE-3863). The additional time will bring the timing of the construction in line with the construction of another street improvement project: University Drive Widening from Ridgeline Drive to Interstate 405. Aligning the construction schedules of the two projects on University Drive will minimize construction impacts on commuters and residents.

The City of Laguna Hills (Laguna Hills) is requesting a 12-month delay for the CON phase of the Laguna Hills Safe Transit Stop Improvements Project (19-LHLL-STS-3931). The project is currently under design and the additional time will allow Laguna Hills to finalize the award of a construction contract.

The City of Laguna Niguel (Laguna Niguel) is requesting a 24-month delay for the Capital (CAP) and (O&M) phases of the Laguna Niguel Summer Trolley – Southern Section (19-LNIG-CBT-3954) to allow additional time to finalize selection and execution of a contractor agreement. This request is due to unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19. Note: as part of this adjustment, Board of Directors' (Board) approval of a waiver to the Comprehensive

Comprehensive Transportation Funding Programs March 2020 Semi-Annual Review Adjustment Request Descriptions

Transportation Funding Programs (CTFP) requirement that city council concurrence be submitted with semi-annual review delay requests and prior to Board approval is requested.

The City of Mission Viejo (Mission Viejo) is requesting a 12-month delay for the CON phase of the La Paz Bridge and Road widening from Muirlands to Chrisanta Project (18-MVJO-ACE-3904). This project includes federal grant funding and Mission Viejo is requesting a delay due to unforeseen delays in the federal authorization process, as well as the unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19. The additional time will bring the timing for the Measure M2 (M2) grant funding in line with the federal grant funding.

The City of Newport Beach (Newport Beach) is requesting a 12-month delay for the CON phase of the Newport Bay Trash Mitigation Project Phase 2 Project (19-NBCH-ECP-3950) due to unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19. Note: as part of this adjustment, Board approval of a waiver to the CTFP requirement that Project X Tier I projects not be granted delays is requested.

The Orange County Transportation Authority (OCTA) is requesting a 12-month delay for the CON phase of the OCTA Safe Transit Stop Improvements at Laguna Hills Transit Center and Newport Beach Transit Center (19-OCTA-STS-3953) due to unforeseen delays in construction, as well as unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19.

OCTA, as administrative lead is requesting two 12-month delays for the O&M phase for the following projects. The request is due to unforeseen delays in construction.

- Brookhurst Street Traffic Signal Synchronization from Commonwealth Avenue to Pacific Coast Highway Project (16-OCTA-TSP-3794)
- Magnolia Avenue Traffic Signal Synchronization from Commonwealth Avenue to Banning Avenue Project (16-OCTA-TSP-3795)

OCTA, as administrative lead, is requesting 24-month delays for the O&M phase for the following projects. The request is due to protracted procurement efforts necessary to execute the contract and start the implementation phase (IMP).

- Katella Avenue/Villa Park Road/Santiago Canyon Road Regional Traffic Signal Synchronization Project (RTSSP [18-OCTA-TSP-3894])
- Garden Grove Boulevard Traffic Signal Synchronization Project (TSSP) from Valley View Street to Bristol Street (18-OCTA-TSP-3897)

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

- Main Street RTSSP (18-OCTA-TSP-3901)
- Los Alisos Boulevard Project (18-OCTA-TSP-3905)

The City of Orange is requesting a 12-month delay for the CON phase of the Orange Safe Transit Stop Improvements Project (19-ORNG-STS-3933) to allow additional time for cost benefit analysis with regard to shelter installation/construction coordination, as well as unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19.

CTFP Timely Use of Funds Extensions

Once obligated, CTFP funds expire 36 months from the contract award date. Local agencies may request an extension(s) of up to 24 months. During this semi-annual review cycle, the following CTFP timely use of funds extension requests were submitted:

Anaheim is requesting a 24-month timely use of funds extension for the right-of-way (ROW) phase of the Lincoln Avenue Widening Project (17-ANAH-ACE-3860) from September 2020 to September 2022. Additional time is required due to delays in obtaining necessary permits and ROW acquisitions.

The City of Brea (Brea) is requesting a 24-month timely use of funds extension for the ROW phase of the State Route 57 and Lambert Road Interchange Improvements Project (16-BREA-FST-3802) from June 2020 to June 2022. Additional time is required to finalize ROW processes, which include sign relocation work, site restoration, and relinquishment of a ROW portion that will be under California Department of Transportation's (Caltrans) purview.

The County of Orange is requesting a 12-month timely use of funds extension for the CON phase of the Cow Camp Road Segment 2A and 2B Construction Project (17-ORCO-ACE-3868) from June 2021 to June 2022. Additional time is required due to unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19, including contractor scheduling and utility relocation coordination challenges.

Irvine is requesting a 24-month timely use of funds extension for the O&M phase of the Irvine Boulevard Signal Synchronization Project (17-IRVN-TSP-3875) from May 2022 to May 2024. The request is due to reassessment and redesign of the initial signal synchronization plans during the IMP that contributed to the protracted length of time for construction.

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

Irvine is requesting a 24-month timely use of funds extension for both the IMP and O&M phases of the Culver Drive/Bonita Canyon Drive/Ford Road RTSSP (18-IRVN-TSP-3902) from April 2023 to April 2025. The request is due to staffing changes that contributed to the protracted length of time for the entire project.

The City of Laguna Woods is requesting a 24-month timely use of funds extension from June 2020 to June 2022 for the following two projects listed below to allow additional time for project closeout due to unforeseen closing delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19.

- The O&M phase of the El Toro Road RTSSP (14-LWDS-TSP-3707)
- The O&M phase of the Moulton Parkway RTSSP (14-LWDS-TSP-3708)

The City of Santa Ana (Santa Ana) is requesting a 24-month timely use of funds extension from August 2020 to August 2022 for the following three projects. Additional time will allow for negotiation with remaining property and business owners to provide relocation assistance and to carry out the design improvements until acquisition is completed.

- The ROW phase of the Warner Avenue Improvements and Widening from Main Street to Oak Street Project (16-SNTA-ACE-3814)
- The engineering (ENG) phase of the Warner Avenue Improvements from Oak Street to Grand Avenue Project (17-SNTA-ACE-3869)
- The ROW phase of the Warner Avenue Improvements from Main Street to Orange Avenue Project (17-SNTA-ACE-3870)

Local Fair Share (LFS) Timely Use of Funds Extensions

Once issued, LFS funds expire 36 months from the check issuance date. Local agencies may request an extension(s) of up to 24-months. During this semi-annual review cycle, the following timely use of funds LFS extension requests were submitted:

Brea is requesting a 24-month timely use of funds extension of \$155,700 from November 2020 to November 2022. The funds being considered for extension were disbursed in one installment and must be expended by the extension deadline provided in Attachment A.

Costa Mesa is requesting a 24-month timely use of funds extension of \$405,346 from November 2020 to November 2022. The funds being considered for extension were disbursed in one installment and must be expended by the extension deadlines provided in Attachment A.

Comprehensive Transportation Funding Programs March 2020 Semi-Annual Review Adjustment Request Descriptions

The City of Villa Park is requesting a 24-month timely use of funds extension for \$129,887. The funds being considered for the extension were disbursed in nine separate installments and must be expended by the extension deadlines provided in Attachment A. Note: as part of this adjustment, Board approval of a waiver to the M2 Eligibility Guidelines requirement that funds extensions must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds is requested. A waiver to the CTFP and Eligibility Guidelines requirement that a plan of expenditure be submitted as part of an LFS timely use of funds extension request is also requested.

- \$15,339, from June 2019 to June 2021
- \$13,599, from September 2019 to September 2021
- \$16,538, from January 2020 to January 2022
- \$14,465, from March 2020 to March 2022
- \$12,731, from May 2020 to May 2022
- \$15,345, from June 2020 to June 2022
- \$13,650, from September 2020 to September 2022
- \$14,509, from November 2020 to November 2022

The City of Yorba Linda is requesting a 24-month timely use of funds extension for \$646,314. The funds being considered for extension were disbursed in four separate installments and must be expended by the extension deadlines provided in Attachment A.

- \$146,012, from May 2020 to May 2022
- \$175,993, from June 2020 to June 2022
- \$157,305, from September 2020 to September 2022
- \$167,004, from November 2020 to November 2022

Scope Changes

Local agencies may request minor scope changes for CTFP projects if they can assure that project benefits as committed to in the initial application can still be delivered. During this semi-annual review cycle, the following scope change requests were submitted:

The City of Fullerton, as administrative lead for the Malvern Avenue/Chapman Avenue Corridor RTSSP (15-FULL-TSP-3769), is requesting a scope change to the O&M phase. The change includes central system software/hardware upgrades at respective city management centers, video detection installation upgrades, uninterruptible power supply system upgrades in traffic signal cabinets, and communication upgrades. These scope changes were identified during construction and were deemed to be beneficial to the overall intent and goals of the project.

**Comprehensive Transportation Funding Programs
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Irvine, as administrative lead for the Irvine Center Drive/Edinger Avenue Signal Synchronization Project (16-IRVN-TSP-3791), is requesting a scope change to the IMP phase. The change includes the addition of an Automated Traffic Signal Performance Measures (ATSPM) application, the Signal Performance Measures (SPM) application installed for Irvine, and the Centracs SPM module for the City of Tustin (Tustin). The scope change will improve the monitoring of the signal timing at all project intersections.

Irvine, as administrative lead for the Von Karman Avenue/Tustin Ranch Road Signal Synchronization Project (16-IRVN-TSP-3792), is requesting a scope change to the IMP phase. The scope change includes the addition of an ATSPM application, the SPM application installed for both Irvine and Tustin and the addition of a television monitor to Tustin's traffic management center. The scope changes will improve the monitoring of the signal timing at all project intersections.

The City of La Habra (La Habra), as administrative lead for the Imperial Highway/State Route 90 Corridor Project (15-LHAB-TSP-3773), is requesting a scope change to the IMP phase. The proposed change includes removing communications equipment installation, which was included in the initial application at the direction of Caltrans. The security and firewall equipment necessary for video sharing communication requested by Caltrans will be purchased and implemented through the Caltrans Integrated Corridor Management instead. The scope change also includes installation of additional conduit needed to separate power cable from fiber optic connections at various intersections due to conduit-overfill conditions, which were identified during the inventory and design stages. The cost savings from removing the communications equipment will go towards funding the additional conduit. As such, the proposed modifications will be accommodated within the existing approved grant allocation.

Transfers

The CTFP Guidelines allow agencies to request to transfer 100 percent of savings of funds between subsequent phases or years within a project. Funds can only be transferred to a phase or year that has already been awarded competitive funds. Such requests must be made prior to the acceptance of a final report and submitted as part of the semi-annual review. During this review cycle, the following transfer requests were submitted as a result of the impacts of COVID-19 and the need to suspend Project V services:

The County of Orange is requesting a transfer for the Orange County Ranch Ride (16-ORCO-CBT-3822). The transfer includes savings from fiscal year (FY) 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Comprehensive Transportation Funding Programs
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The City of Dana Point (Dana Point) is requesting a transfer for the Summer Weekend Trolley/Harbor Shuttle (14-DPNT-CBT-3742). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Dana Point is requesting a transfer for the Dana Point Pacific Coast Highway Trolley (16-DPNT-CBT-3823). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Dana Point is requesting a transfer for the Dana Point Trolley Continuity and Expansion and Weekend Service (18-DNPT-CBT-3911). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

La Habra is requesting a transfer for the La Habra Special Event Shuttle Services (16-OCTA-CBT-3835). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

The City of Laguna Beach is requesting a transfer for the Summer Breeze Bus Service (18-OCTA-CBT-3912). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Laguna Niguel is requesting a transfer for the Laguna Niguel Summer Trolley - Southern Section (19-LNIG-CBT-3954). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

The City of Lake Forest is requesting a transfer for the Shuttle Service between the Irvine Metrolink Station and Panasonic (16-LFOR-CBT-3829). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis. Note: this project is currently pending cancellation in August 2020. As such, this proposed transfer is only being advanced in the event that the proposed cancellation either does not occur or occurs later than currently anticipated.

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

Mission Viejo is requesting a transfer for the Mission Viejo Local Transit Circulator (16-OCTA-CBT-3836). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Newport Beach is requesting a transfer for the Balboa Peninsula Trolley (16-NBCH-CBT-3832). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Newport Beach is requesting a transfer for the Balboa Peninsula Shuttle Expansion Program (18-NBCH-CBT-3913). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Irvine is requesting to transfer project savings from FY 2019-20 and from all FYs moving forward from the O&M phase in amounts to be determined and to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis for the following two projects.

- Irvine iShuttle Route West – Tustin Station – Irvine Business Complex (16-OCTA-CBT-3833)
- Irvine iShuttle Route East – Irvine Station – East (16-OCTA-CBT-3834)

The City of San Clemente (San Clemente) is requesting a transfer for the San Clemente Summer Trolley (16-SCLM-CBT-3840). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

San Clemente is requesting a transfer for the San Clemente Rideshare Services (16-SCLM-CBT-3841). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

San Clemente is requesting a transfer for the San Clemente Trolley Expansion (18-SCLM-CBT-3914). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Comprehensive Transportation Funding Programs March 2020 Semi-Annual Review Adjustment Request Descriptions

The City of San Juan Capistrano is requesting a transfer for the Special Event and Weekend Summer Trolley Service (8SJCP-CBT-3915). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Cancellations

Local agencies may request to cancel projects. Cancelled projects are eligible to reapply upon resolution of the issues that led to the original project cancellation. During this review cycle, the following cancellation request was received:

The City of Cypress is requesting to cancel the CON phase for the Priority Sediment/Pollution Removal Project (14-CYPR-ECP-3731) due to utility conflicts and the contractor's availability.

Other

Once obligated, CTFP funds expire 36 months from the contract award date. Local agencies may request an extension(s) of up to 24 months. For Project P grants, local agencies should issue a single Notice to Proceed (NTP) for the O&M phase when a combined contract/agreement is awarded for both the primary implementation (PI) and O&M phases. The NTP date will be considered the date of encumbrance for the O&M phase. The following timely use of funds extension deadlines were approved by the Board in previous semi-annual reviews and fund expenditure deadlines are being updated based off the O&M NTP issuance date.

The City of Buena Park received Board approval for a 24-month timely use of funds extension during the September 2016 semi-annual review for the O&M phase of the Artesia Boulevard Corridor Signal Synchronization, Valley View Avenue to Dale Street Project (14-BPRK-TSP-3703). The extension to June 23, 2020 was based off the combined contract award date of June 23, 2015 for both the PI and O&M phases. The NTP for O&M was issued on September 26, 2018, thus the expenditure deadline for the O&M phase is September 26, 2021. With the previously Board-approved action, the updated expenditure deadline is now September 26, 2023.

The City of Santa Ana (Santa Ana) received Board approval for a 24-month timely use of funds extension during the March 2017 semi-annual review for the O&M phase of the Harbor Boulevard Corridor Traffic Signal Synchronization Project (14-SNTA-TSP-3710). The extension to April 21, 2020 was based off the combined contract award date of April 21, 2015 for both the PI and O&M phases. The NTP for O&M was issued on April 30, 2018, thus the expenditure deadline for the O&M phase is April 30, 2021.

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

With the previously Board-approved action, the updated expenditure deadline is now April 30, 2023.

Santa Ana was programmed by the Board to receive Regional Capacity Program construction funds in May 2020 for the following two projects.

- Bristol Street Improvements Phase 3A – Civic Center Drive to Washington Avenue
20-SNTA-ACE-3968
- Bristol Street Improvements Phase 4 – Warner Avenue to St. Andrew Place
20-SNTA-ACE-3969

Due to the COVID-19 pandemic and the timing of when OCTA reinstated Santa Ana's eligibility to receive M2 funds, Santa Ana was unable to comply with the CTFP Guidelines requirement specifying that final city council resolutions be submitted at least four weeks prior to the consideration of programming recommendations by the Board. As such, this CTFP Guidelines exception is noted here (along with all other guidelines exceptions) for documentation purposes.

Summary of Proposed Guidelines Exemptions

Guidelines Document	Requirement	Rationale	Resolution/Remedy	Project Phases Requesting Exemption(s)
CTFP Guidelines	City council concurrence to be submitted with semi-annual review requests and prior to Board approval.	Due to limited staffing and competing challenges as a result of the COVID-19 pandemic, evidence of council approval was not submitted as of the publishing of this staff report.	City council concurrence submitted on July 22, 2020.	19-LNIG-CBT-3954 (CAP)
CTFP Guidelines	City council concurrence to be submitted with semi-annual review requests and prior to Board approval.	Due to limited staffing and competing challenges as a result of the COVID-19 pandemic, evidence of council approval was not submitted as of the publishing of this staff report.	City council concurrence submitted on July 22, 2020.	19-LNIG-CBT-3954 (O&M)
CTFP Guidelines	Project X Tier I projects are not eligible for delay requests.	Due to competing challenges as a result of the COVID-19 pandemic and the timing of the encumbrance deadline, the City of Newport Beach was unable to meet its encumbrance deadline and comply with the CTFP Guidelines requirement.	Remedy for this requirement provided through the Board action.	19-NBCH-ECP-3950
M2 Eligibility Guidelines	Funds extensions must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds.	Due to staffing turnover and competing challenges, this request was not submitted prior to the third year from the date of receipt of funds.	Remedy for this requirement provided through the Board action.	9 Local Fair Share Funds Allocations
CTFP Guidelines and M2 Eligibility Guidelines	A plan of expenditure must be submitted with semi-annual review timely use of funds extension requests.	Due to limited staffing, competing challenges, and the need to locate older documents, a plan of expenditure was unable to be submitted as of the publishing of this staff report. This plan is anticipated to be submitted with future M2 eligibility submittals.	The actual expenditures for FY 2016-17, FY 2017-18, and FY 2018-19 will be provided with the annual expenditure reports that are being submitted for the current eligibility cycle.	9 Local Fair Share Funds Allocations
CTFP Guidelines	Final city council resolutions need to be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.	Due to the COVID-19 pandemic and the timing of when OCTA reinstated the City of Santa Ana's eligibility to receive M2 funds, the City of Santa Ana was unable to comply with the CTFP Guidelines requirement specifying that final city council resolutions be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.	The Santa Ana City Council resolution was approved on April 21, 2020.	20-SNTA-ACE-3968
CTFP Guidelines	Final city council resolutions need to be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.	Due to the COVID-19 pandemic and the timing of when OCTA reinstated the City's eligibility to receive M2 funds, the City of Santa Ana was unable to comply with the CTFP Guidelines requirement specifying that final city council resolutions be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.	The Santa Ana City Council resolution was approved on April 21, 2020.	20-SNTA-ACE-3969

Exemption Requests - (7) Total

Acronyms

CTFP - Comprehensive Transportation Funding Programs
 Board - Board of Directors
 M2 - Measure M2
 OCTA - Orange County Transportation Authority
 COVID-19 - Coronavirus pandemic
 FY - Fiscal year



COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Measure M2 Comprehensive Transportation Funding Programs –
2021 Annual Call for Projects

Regional Planning and Highways Committee Meeting of August 3, 2020

Present: Directors Bartlett, Chaffee, Delgleize, Muller, M. Murphy,
R. Murphy, and Pulido

Absent: None

Committee Vote

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

Director Pulido was not present to vote on this item.

Committee Recommendations

- A. Approve proposed revisions to the Comprehensive Transportation Funding Programs Guidelines.
- B. Authorize staff to issue the 2021 annual call for projects for the Regional Capacity Program.
- C. Authorize staff to issue the 2021 annual call for projects for the Regional Traffic Signal Synchronization Program.



August 3, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Measure M2 Comprehensive Transportation Funding Programs - 2021 Annual Call for Projects

Overview

The Measure M2 Comprehensive Transportation Funding Programs Guidelines provide the mechanism for administration of the annual competitive call for projects for Measure M2 programs, including the countywide Regional Capacity Program (Project O) and the Regional Traffic Signal Synchronization Program (Project P). The 2021 Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects is presented for review and approval.

Recommendations

- A. Approve proposed revisions to the Comprehensive Transportation Funding Programs Guidelines.
- B. Authorize staff to issue the 2021 annual call for projects for the Regional Capacity Program.
- C. Authorize staff to issue the 2021 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.

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

The Comprehensive Transportation Funding Programs (CTFP) document 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 environmental cleanup programs (Project X).

The CTFP Guidelines (Guidelines) identify procedures and requirements that local agencies must adhere to in order to apply for M2 funding and after award, to seek reimbursement. These guidelines were first approved by the OCTA Board of Directors (Board) on March 22, 2010, and were most recently updated in March 2020.

Discussion

Updates to the Guidelines have been prepared in anticipation of the Board's authorization of the upcoming 2021 annual call for projects (call) for the RCP and RTSSP. OCTA worked closely with the Technical Steering Committee (TSC) and Technical Advisory Committee (TAC) to determine areas of the Guidelines that needed to be adjusted and/or updated. Issues and lessons learned from previous calls were also reviewed and considered. The Guidelines were reviewed and updated, as appropriate, to provide for both better consistency and streamlining throughout the document.

Guideline updates for Project O (RCP), include call dates, deadlines, and amounts. Based on available funding, staff is recommending to make \$22 million available for Project O project awards, which is lower than has been made available in past cycles due to the anticipated reduction in M2 revenues associated with the coronavirus pandemic. The updated Guidelines also include:

- Merging of environmental-related items into the sustainability category;
- Clarification that the CTFP funds may only be used toward the portion of bridge widening that is consistent with the MPAH; and
- Modified language related to rough grading based on input from the TAC.

Changes are also being proposed for the Project P (RTSSP) program. Similar to Project O changes, call dates, deadlines, and amounts were updated. For this cycle, staff is proposing making \$8 million available, which is consistent with prior calls due to the high interest in this program. Unlike the last call, OCTA

will offer to lead projects for local jurisdictions (if requested), contingent on available resources. The updated Guidelines also include:

- Clarified scoring narrative sections;
- Clearer eligibility component descriptions for various scoring categories;
- Revisions to some scoring categories to emphasize signal coordination (over capital improvements) and faster project delivery;
- Streamlined in-kind match discussions; and
- General submittal and point determination discussions were simplified, where possible.

A more detailed summary of the proposed Guidelines changes is included in Attachment A, which provides a table of the changes, as well as in Attachment B, which provides a marked-up version of the Guidelines. Proposed changes that were deemed to be non-substantive (i.e., wording/grammatical, streamlining, and clarifications) are generally not identified here but are shown in the attachments.

These proposed Guidelines changes were presented to the TSC and TAC in June. Both committees requested broader eligibility consideration for rough grading project components. Accordingly, a change in rough grading requirements has been incorporated into the proposed Project O Guidelines. It should be noted that this change does not go as far as the TSC and TAC had requested in terms of broadening rough grading eligibility requirements. However, the proposed revisions provide an increased level of flexibility, which was previously not available to local agencies, while at the same time maintaining ease of implementation and adherence to basic M2 requirements.

The proposed Guidelines changes are being submitted to the Board for final consideration and approval. Authorization is also being requested to initiate the 2021 call, making \$30 million available for both the M2 RCP (\$22 million) and RTSSP (\$8 million) programs to support local streets and roads improvement projects through Orange County.

Next Steps

If the Board approves these recommendations, staff will send out letters and e-blast announcements notifying local agencies of the call's initiation and any other pertinent information.

Applications would be due to OCTA by October 22, 2020, and based upon project selection criteria as specified in the Guidelines, projects will be prioritized for Board, TSC, and TAC consideration in spring 2021. Project funds would

become available to local agencies starting July 1, 2021, and may be programmed as late as fiscal year 2023-24. A summary of the call's proposed timeline is identified below.

- Board authorization to issue call: August 2020
- Application submittal deadline: October 22, 2020
- TSC/TAC review: February/March 2021
- Committee/Board approval: May 2021

Summary

M2 provides funding for arterial and intersection 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, and staff is now seeking approval of proposed modifications to the Guidelines and authorization to initiate the 2021 RCP and RTSSP annual call.

Attachments

- A. 2021 CTFP Guidelines (Projects O and P) – Proposed Changes List
- B. Comprehensive Transportation Funding Programs, Guidelines Excerpt, Proposed Revisions

Prepared by:



Alfonso Hernandez
Senior Transportation Funding Analyst
(714) 560-5363

Approved by:



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

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/Chapter	Subsection	Page No.	Proposed Change
1	III. Definitions	N/A	x	20. "Primary Implementation (PI) Report" refers to the report required at the end of the PI phase. It is a technical report that documents the work completed during the PI phase, which contains the Before and After Study. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
2	III. Definitions	N/A	x	21. "Operations and Maintenance (O&M) Technical Memorandum Report" refers to the report required at the conclusion of O&M phase. It is a technical report that documents the work completed during the O&M phase. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
3	III. Definitions	N/A	xi	30. The term "offset signal" refers to traffic signalized intersections within 2,700 feet from either direction of the project corridor. (Project P Only)
4	IV. Acronyms	N/A	xii	CTO – Contract Task Order
5	Ch. 1	MPAH Consistency Review and Amendment Process	1-1	Link updated to: http://www.octa.net/pdf/mpah_guidlines.pdf
6	Ch. 2	Programming Policies	2-6	For the RTSSP (Project P) program, changes to project costs with respect to the phase allocations will be considered based upon the issuance of contract or the contract task order (CTO), provided that the readjusted phase allocations are timely and do not increase the overall grant.
7	Ch.7	2021 Call for Projects	7-3	Updated the approximate amount available for the 2021 Call, \$22 million, and the three-year period for programming of projects, FY21/22 – FY23/24.
8	Ch.7	2021 Call for Projects	7-4	Applications for the 2021 call for projects by 5:00 p.m. on Thursday, October 22, 2020.
9	Ch.7	Application Review Process	7-13	Board authorization to issue call: August 2020 Application submittal deadline: October 22, 2020 TSC/TAC Review: February/March 2021 Committee/Board approval: May 2021
10	Ch.7	Potentially Eligible Items	7-15	Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis.
11	Ch.7	Potentially Eligible Items	7-16	Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.
12	Ch.7	Selection Criteria	7-21 - 7-22	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 10, 2020 for the 2021 Call for Projects.
13	Ch.7	Selection Criteria/Current Project Readiness	7-22	Rearranged project development phases in order of actual phasing progression.
14	Ch.7	Selection Criteria/Operational Attributes (within the roadway)	7-23 – 7-24	The Water Conservation Element and Sustainability scoring elements were merged and the definition was updated to make the sustainability evaluation more comprehensive.
15	Ch.7	Selection Criteria/Improvement Characteristics	7-24	Bridge crossing: Widening of bridge crossing within the project limits to full MPAH width. Widening beyond MPAH shall not qualify for Project O funding.
16	Ch.7	New Facilities	7-25 – 7-26	Any request for modeling must be submitted to OCTA no later than September 10, 2020 for the 2021 Call for Projects.
17	Ch.7	Table 7-2/Operational Attributes (within the roadway)	7-30	The Water Conservation Element and Sustainability scoring elements were merged, and the Water Conservation Element was removed from ACE Scoring Criteria
18	Ch.7	Table 7-2/Funding Over-Match	7-30	Made technical correction to points column for Funding Over-Match for the ACE Scoring Criteria.
19	Ch. 7	Potentially Eligible Items	7-32	Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis.
20	Ch. 7	Ineligible Items	7-33	Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.
21	Ch.7	Selection Criteria/Current Project Readiness	7-35	Rearranged project development phases in order of actual phasing progression.

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/Chapter	Subsection	Page No.	Proposed Change
22	Ch.7	Selection Criteria/Operational Attributes (within the roadway)	7-36	The Water Conservation Element and Sustainability scoring elements were merged and the definition was updated to make the sustainability evaluation more comprehensive.
23	Ch.7	Selection Criteria/LOS Improvement	7-37	If an alternative methodology is proposed, all analysis must be submitted to OCTA for review no later than September 10, 2020 for the 2021 Call for Projects.
24	Ch.7	Table 7-4/Operational Attributes (within the roadway)	7-41	The Water Conservation Element and Sustainability scoring elements were merged, and the Water Conservation Element was removed from ICE Scoring Criteria
25	Ch. 7	Potentially Eligible Items	7-43	Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis.
26	Ch. 7	Potentially Eligible Items	7-44	Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.
27	Ch.7	Selection Criteria/Current Project Readiness	7-45 – 7-46	Rearranged project development phases in order of actual phasing progression.
28	Ch.7	Selection Criteria/ Operational Attributes (within the roadway)	7-46	Operational Attributes (within the roadway)
29	Ch.7	Selection Criteria/ Operational Attributes (within the roadway)	7-47	The Water Conservation Element and Sustainability scoring elements were merged and the definition was updated to make the sustainability evaluation more comprehensive.
30	Ch.7	Selection Criteria/LOS Improvement	7-47	If HCM 2010 is proposed for intersections as an alternative methodology, all analysis must be submitted to OCTA no later than September 10, 2020 and the cost for independent review shall be reimbursed by the applicant.
31	Ch.7	Table 7-6/Operational Attributes (within the roadway)	7-53	The Water Conservation Element and Sustainability scoring elements were merged and the Water Conservation Element was removed from FAST Scoring Criteria
32	Ch.7	Table 7-6/Funding Over-Match	7-53	Made technical correction to points column for Funding Over-Match for the FAST Scoring Criteria.
33	Ch.7	Table 7-6/Coordination with Freeway	7-53	Clarified heading for category: Coordination with Freeway Mainline Improvements
34	Ch. 8	Regional Traffic Signal Synchronization Program	8-1	The Master Plan will be revised and updated by OCTA every three years and will provide details on the status and performance of the traffic signal synchronization activities over that period.
35	Ch. 8	2021 Call for Projects	8-2	M2 is anticipated to provide approximately \$8 million for signal coordination across Orange County.
36	Ch. 8	2021 Call for Projects	8-2	<p>5. Projects are funded for a grant period of three (3) years and are divided into two phases:</p> <ul style="list-style-type: none"> a. <u>Primary Implementation (PI)</u> – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. A Project Rreport is required at the conclusion of this phase to document work completed during the PI phase. This PI Project Report shall be submitted with the final report according to the payment process. b. <u>Ongoing Operations and Maintenance (O&M)</u> – 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 Final 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.

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/Chapter	Subsection	Page No.	Proposed Change
37	Ch. 8	2021 Call for Projects	8-2 – 8-3	6. This information shall be collected both before and after any signal timing changes have been made and after the PI implemented and approved by all agencies. . . The Before and After Study shall be submitted after the PI phase is completed as part of the PI Project Report.
38	Ch. 8	2021 Call for Projects	8-3	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.
39	Ch. 8	Applications	8-3	OCTA shall require agencies to submit applications for the call for projects by 5:00 p.m. on Thursday, October 22, 2020.
40	Ch. 8	Application Process	8-4	Agencies seeking funding must complete an online application, a supplemental application in the OCTA's latest format, and provide supporting . . .
41	Ch. 8	Application Process	8-4	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).
42	Ch. 8	Other Application Materials	8-5	A Supplemental Application (available on the OCTA website and OCFundtracker) is <u>required</u> to be completed for each project application and included in the electronic submittal. Any Supplemental Application not submitted in the 2021 format will NOT be considered.
43	Ch. 8	Other Application Materials/Lead Agency	8-5	<u>Lead Agency:</u> Eligible jurisdictions consistent with Measure M2 ordinance definitions and requirements.
44	Ch. 8	Other Application Materials/Participating Agencies	8-5	If a draft copy of these resolutions of support . . . by OCTA's Board of Directors. 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 is required to sign a cooperative agreement with Caltrans in order for the entire project to claim Caltrans as a participant.
45	Ch. 8	Other Application Materials/Project Support	8-5 – 8-6	Project Support: If proposed project has . . . asked for detailed information only if necessary, to adequately evaluate the project application.
46	Ch. 8	Lead Agency	8-6	This Program is administered through a single lead agency: See Lead Agency definition above.
47	Ch. 8	Lead Agency	8-6	OCTA Lead: [NOT AVAILABLE FOR 2020 CALL FOR PROJECTS] OCTA may, . . . work and cost elements by 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.
48	Ch. 8	Lead Agency	8-6	Applications must be prepared by a designated local agency acting in a lead capacity during grant preparation. Projects nominated for OCTA lead shall be discussed at the Traffic Forum.
49	Ch. 8	Lead Agency	8-6	The application will be scored using the criteria outlined in the previous following sections.
50	Ch. 8	OCFundTracker Application Components	8-7	Transportation Significance VMT , Cost Benefit, Project Characteristics, Transportation Significance , Maintenance of Effort, Project Scale, Project Scale, Number of Local Agencies, Current Project Status Readiness , and Funding Match Rate.
51	Ch. 8	Application Review and Program Adoption	8-7	Board authorization to issue call: August 2020 Application submittal deadline: October 22, 2020 TSC/TAC Review: February/March 2021 Committee/Board approval: May 2021
52	Ch. 8	Checklist Guide	8-7	The checklist should be provided as a cover sheet table of contents for each application submitted.
53	Ch. 8	Project Definition	8-8	Projects previously awarded RTSSP funding must be complete with a Final Report submitted and approved by to OCTA. . . . Communication system improvements. Signal Synchronization Corridor project.

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/ Chapter	Subsection	Page No.	Proposed Change
54	Ch. 8	Project Definition	8-8	<p>Applicant agency and owning agency must . . . 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:</p> <ul style="list-style-type: none"> • 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 <p>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. Linked corridors may also combine at the point of intersection to form a single local Master offset Control Point (TO) for future Zone operations.</p>
55	Ch. 8	Project Definition	8-9	Therefore, active transportation elements may be included as part of the project, as outlined in the following section.
56	Ch. 8	Eligible Activities	8-9	<ul style="list-style-type: none"> ○ Signal Coordination
57	Ch. 8	Eligible Activities	8-9	<p>These improvements are restricted to the signal synchronization project limits but may include synchronization with traffic signalized intersections on intersection corridors where new optimized timing has occurred within the past three years; maximum distance for either direction from crossing arterial within intersection is 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. The following are a list of potentially eligible items as part of a signal coordination project:</p> <p>In addition, Expenditures related to the design of systems, permitting, and environmental clearance are eligible for funding.</p>
58	Ch. 8	Eligible Activities	8-9 – 8-10	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 project.
59	Ch. 8	Funding Estimates	8-10	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.
60	Ch. 8	Selection Criteria	8-10 – 8-11	<p>Transportation Significance: Vehicle Miles Traveled (VMT): 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.</p> <p>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.</p>
61	Ch. 8	Selection Criteria	8-11	<p>VMT should be calculated by the smallest segmentation on which the city typically collects ADT data. (maximum: 20 points)</p> <p>ADT must be based upon actual count information taken within the 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)</p>
62	Ch. 8	Cost Benefit	8-11	<u>Cost Benefit:</u> 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)
63	Ch. 8	Selection Criteria/Project Characteristics	8-11 – 8-14	<p><u>Project Characteristics:</u> 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. <list relocated from Eligible Activities – note that changes are only shown for any addition or deletion not relocation or formatting></p> <ul style="list-style-type: none"> • Real-time traffic actuated operations and demonstration projects can be claimed for any one of the following (4 points): <ul style="list-style-type: none"> ○ 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.

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				<ul style="list-style-type: none"> ○ 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: <ul style="list-style-type: none"> ○ 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) <ul style="list-style-type: none"> ○ 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 need 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) <ul style="list-style-type: none"> ○ 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 <ul style="list-style-type: none"> ▪ 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) <ul style="list-style-type: none"> ○ 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) <ul style="list-style-type: none"> ○ 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).

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				<ul style="list-style-type: none"> o 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. <p>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)</p>																																																				
64	Ch. 8	Selection Criteria/Maintenance of Effort	8-14	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)																																																				
65	Ch. 8	Selection Criteria/Project Scale	8-14 – 8-15	Project Scale: Points are earned for including more intersections along signal synchronization network or serving as a signal corridor "gap closure" . 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: 240 points)																																																				
66	Ch. 8	Selection Criteria/Number of Local Agencies	8-15	Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: 120 points)																																																				
67	Ch. 8	Selection Criteria/Current Project Readiness-Status	8-15	Current Project Readiness-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. Evidence of actual preliminary engineering performed for proposals requesting funding for implementation phases must be provided to qualify for points related to this attribute. 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.																																																				
68	Ch. 8	Selection Criteria/Funding Rate	8-15	The percentages shown in Table 8-1 apply to overall match rates above a local agency's minimum requirement.																																																				
69	Ch. 8	Table 8-1/VMT	8-16	<table border="0"> <tr> <td>Transportation Significance</td> <td>Vehicle Miles Travelled (VMT)</td> <td>Points:</td> <td>320</td> </tr> <tr> <td colspan="4"><hr/></td> </tr> <tr> <td></td> <td>Inclusion of offset signals within 2700'</td> <td>Points</td> <td>90% or above 10</td> </tr> <tr> <td></td> <td>50 – 89%</td> <td>5</td> <td></td> </tr> <tr> <td></td> <td>< 50%</td> <td>0</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: center;">AND</td> </tr> <tr> <td></td> <td>Vehicle Miles Traveled (VMT) Range</td> <td></td> <td></td> </tr> </table>	Transportation Significance	Vehicle Miles Travelled (VMT)	Points:	320	<hr/>					Inclusion of offset signals within 2700'	Points	90% or above 10		50 – 89%	5			< 50%	0		AND					Vehicle Miles Traveled (VMT) Range																										
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70	Ch. 8	Table 8-1/Economic Effectiveness	8-16	o Cost Benefit (Total \$/VMT) Range* —																																																				
71	Ch. 8	Table 8-1/Project Characteristics	8-16	<table border="0"> <tr> <td><u>Project Feature</u></td> <td><u>Points</u></td> <td><u>Timing Only, No Capital</u></td> <td><u>10</u></td> </tr> <tr> <td>Adaptive Traffic & Demonstration Projects</td> <td>4</td> <td></td> <td></td> </tr> <tr> <td>TMC/TOC Connections Between Agencies</td> <td>4</td> <td></td> <td></td> </tr> <tr> <td>Automated Traffic Signal Perf. Measures</td> <td>43</td> <td></td> <td></td> </tr> <tr> <td>Intelligent Cameras</td> <td>32</td> <td></td> <td></td> </tr> <tr> <td>Detection for ATSPM and counts</td> <td>3</td> <td></td> <td></td> </tr> <tr> <td>Separate Bicycle/ADA Pedestrian Detection</td> <td>32</td> <td></td> <td></td> </tr> <tr> <td>New/Upgraded Communications Systems</td> <td>2</td> <td></td> <td></td> </tr> <tr> <td>Intersection/Field System Modernization</td> <td>2</td> <td></td> <td></td> </tr> <tr> <td>Minor Signal Operational Improvements</td> <td>2</td> <td></td> <td></td> </tr> <tr> <td>New Protected/Permissive Signals</td> <td>2</td> <td></td> <td></td> </tr> <tr> <td>TMC/TOC and Motorist Information</td> <td>1</td> <td></td> <td></td> </tr> <tr> <td>New/Upgraded Detection</td> <td>1</td> <td></td> <td></td> </tr> </table>	<u>Project Feature</u>	<u>Points</u>	<u>Timing Only, No Capital</u>	<u>10</u>	Adaptive Traffic & Demonstration Projects	4			TMC/TOC Connections Between Agencies	4			Automated Traffic Signal Perf. Measures	43			Intelligent Cameras	32			Detection for ATSPM and counts	3			Separate Bicycle/ADA Pedestrian Detection	32			New/Upgraded Communications Systems	2			Intersection/Field System Modernization	2			Minor Signal Operational Improvements	2			New Protected/Permissive Signals	2			TMC/TOC and Motorist Information	1			New/Upgraded Detection	1		
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72	Ch. 8	Table 8-1/Transportation Significance	8-16	<table border="0"> <tr> <td>Transportation Significance</td> <td>Points: 10</td> <td>Corridor Type</td> <td>Points</td> <td>Priority & Signal Synchronization Corridor</td> <td>5</td> <td>Corridor "Gap Closure"</td> <td>5</td> </tr> </table>	Transportation Significance	Points: 10	Corridor Type	Points	Priority & Signal Synchronization Corridor	5	Corridor "Gap Closure"	5																																												
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73	Ch. 8	Table 8-1/Number of Signals on Main Corridor Coordinated by Project	8-16	<p>Project Scale Points: 420</p> <p>Number of Signals on Main Corridor Coordinated by Project</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>50+</td> <td>510</td> </tr> <tr> <td>40 - 49</td> <td>48</td> </tr> <tr> <td>30 - 39</td> <td>36</td> </tr> <tr> <td>20 - 29</td> <td>24</td> </tr> <tr> <td>10 - 19</td> <td>12</td> </tr> <tr> <td>< 10</td> <td>0</td> </tr> </tbody> </table>	Range	Points	50+	510	40 - 49	48	30 - 39	36	20 - 29	24	10 - 19	12	< 10	0
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74	Ch. 8	Table 8-1/Percent of Main Corridor Signals Being Retimed	8-16	<p>Percent of Main Corridor Signals Being Retimed</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>90% or above</td> <td>510</td> </tr> <tr> <td>80 - 89%</td> <td>48</td> </tr> <tr> <td>70 - 79%</td> <td>36</td> </tr> <tr> <td>60 - 69%</td> <td>24</td> </tr> <tr> <td>50 - 59%</td> <td>12</td> </tr> <tr> <td>< 50%</td> <td>0</td> </tr> </tbody> </table>	Range	Points	90% or above	510	80 - 89%	48	70 - 79%	36	60 - 69%	24	50 - 59%	12	< 50%	0
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75	Ch. 8	Table 8-1/Number of Jurisdictions	8-16	<p>Number of Jurisdictions Points: 210</p> <p>Total Number of Involved Jurisdictions</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>5 or more</td> <td>2010</td> </tr> <tr> <td>4</td> <td>168</td> </tr> <tr> <td>3</td> <td>126</td> </tr> <tr> <td>2</td> <td>84</td> </tr> <tr> <td>1</td> <td>0</td> </tr> </tbody> </table>	Range	Points	5 or more	2010	4	168	3	126	2	84	1	0		
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76	Ch. 8	Table 8-1/Current Project Readiness	8-16	<p>Current Project Readiness-Status Points: 10</p> <table border="1"> <thead> <tr> <th>Project Status</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>Re-timing 75% of prior RTSSP project</td> <td>5</td> </tr> <tr> <td>Implementation within 12 months</td> <td>5</td> </tr> </tbody> </table>	Project Status	Points	Re-timing 75% of prior RTSSP project	5	Implementation within 12 months	5								
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77	Ch. 8	Matching Funds	8-18-8-19	Examples of staffing commitment . . .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.														
78	Ch. 8	Matching Funds	8-19	Allowable signal system investment . . .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.														
79	Ch. 8	Matching Funds	8-19	<p>The specific matching requirement by project category type is listed below for city agency led projects:</p> <table border="1"> <thead> <tr> <th>Project category</th> <th>Type of matching allowed*</th> </tr> </thead> <tbody> <tr> <td>Signal coordination</td> <td>In-kind match** or cash match</td> </tr> <tr> <td>New or upgraded detection</td> <td>In-kind match** or cash match</td> </tr> </tbody> </table>	Project category	Type of matching allowed*	Signal coordination	In-kind match** or cash match	New or upgraded detection	In-kind match** or cash match								
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				<table border="1"> <tr> <td>New or upgraded communications systems</td> <td>In-kind match** or cash match</td> </tr> <tr> <td>Communications and detection support</td> <td>In-kind match** or cash match</td> </tr> <tr> <td>Intersection/field system modernization and replacement</td> <td>In-kind match** or cash match</td> </tr> <tr> <td>Minor signal operational improvements</td> <td>In-kind match** or cash match</td> </tr> <tr> <td>TMC/TOC and motorist information systems</td> <td>Cash match</td> </tr> <tr> <td>Real-time traffic actuated operations and demonstration projects</td> <td>Cash match</td> </tr> <tr> <td>Caltrans fees and expenses (labor and capital)</td> <td>In-kind match** or cash match</td> </tr> </table> <p>* 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. ** In-kind match services are subject to audit.</p>	New or upgraded communications systems	In-kind match** or cash match	Communications and detection support	In-kind match** or cash match	Intersection/field system modernization and replacement	In-kind match** or cash match	Minor signal operational improvements	In-kind match** or cash match	TMC/TOC and motorist information systems	Cash match	Real-time traffic actuated operations and demonstration projects	Cash match	Caltrans fees and expenses (labor and capital)	In-kind match** or cash match
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80	Ch. 8	Matching Funds	8-20	New signal system investment (limited to eligible activities)														
81	Ch. 8	Matching Funds	8-20– 8-21	<p>Relocated from Lead Agency Section Additionally, for projects designating OCTA as lead agency . . . when the local agency develops the application:</p> <ul style="list-style-type: none"> • Primary Implementation (PI) (12 months) <ul style="list-style-type: none"> o Project Administration - Each local . . . administration). o Signal Synchronization Timing - Each local . . . agency intersection. o Before and After Study - Each local . . . local agency. o Engineering design/review - Each local . . . local agency intersection. o System integration - Each local . . . on improvements). o Construction management - Each local . . . depending on improvements. • Ongoing O&M (24 months) - Each local . . . project O&M report. <p>For projects designating a local agency . . . using a different formula (e.g., 2-5 hours per local agency signal for 24 months).</p>														
82	Ch. 8	Matching Funds	8-21	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.														
83	Ch. 8	Data Compatibility	8-22	<p>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 in one of the two following digital formats: 1) Microsoft Excel format. NDS/Southland Car Counters style Excel spreadsheet; or 2) JAMAR comma separated value style text file. The data shall then be loaded into the OCTA Roadway Operations and Analysis Database System (ROADS). 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 shall provide a listing of intersections and corresponding unique node ID numbers upon request. Each count data file name shall adhere to the following file naming describe the year the counts were collected, agency, type of count file, intersection name, and OCTA node ID number. or .esv. 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_2020_ITM_4534.esv.xls.</p> <p>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 esv latest Universal Traffic Data Format (UTDF) format and version combined data UTDF-format. This data shall include the 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. All such data shall be consistent with the OCTA ROADS database.</p>														
84	Ch. 8	Project Summary Information	8-22	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.														

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85	Ch. 8	Exhibit 8-1: Checklist	8-23– 8-24	<p>RTSSP Online Application – submitted through OCFundTracker</p> <ol style="list-style-type: none"> 1. Transportation Significance Vehicle Miles Traveled 2. Benefit Cost Ratio 3. Project Characteristics 4. Transportation Significance 4. Maintenance of Effort 5. Project Scale 6. Number of Jurisdictions 7. Current Project Readiness Status 8. Funding Over-Match <p>Section 1: Key Technical Information</p> <ol style="list-style-type: none"> a. Name of Project Corridor/Grid Route Limits 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: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor h. Project start date and end date, including any commitment to operate signal synchronization beyond the three-year grant period i. Previous funding j. Contact Information k. Signalized intersections that are part of the project Traffic Forum members l. Project Map Depicting the Project Limits <p>Section 2: Regional Significance Lead Agency</p> <p>Section 3: Acknowledgement of Required Tasks Resolutions of Support from the Project's Traffic Forum Members</p> <p>Section 4: Funding Needs/Costs Preliminary Plans for the Proposed Project by Task The plans shall include details about both phases of the project: Preliminary Implementation (PI) and Ongoing Operations and Maintenance (O&M). The plan should be organized using the following setup:</p> <p>Primary Implementation shall include details about the following:</p> <ul style="list-style-type: none"> –Task 1: Project Administration (required) –Task 2: Data Collection (required) –Task 3: Field Review and Plans Specifications and Estimates (required) –Task 4: Corridor “Before” Study (required) –Task 5: Signal Timing Optimization and Implementation (required) –Task 6: Corridor “After” Study (required) –Task 7: Synchronization System Construction (required) –Task 8: Project Report (required) –Task 9: On-going Operations and Maintenance (required) <p>Ongoing O&M will begin after the PI of the project is completed. It shall include details about the following:</p> <ol style="list-style-type: none"> a. Monitoring and improving optimized signal timing (required) b. Communications and detection support (optional)

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				c. O&M Final Memorandum (required) 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 Total Proposed Project Cost by Task a. Table I: Summary of Improvements b. Table II: Detailed Improvement Breakdown Section 6: Project Schedule for the 3 Year Grant Period by Task a. Project State and End Dates b. Project Schedule by Task c. Agency Commitment of Extended Monitoring and Maintenance Section 7: Matching Funds Section 8: Environmental Clearances and Other Permits Section 9: Calculations Used for Develop Selection Criteria Inputs Section 10: Any additional Information Deemed Relevant by the Applicant Appendices a. Agency Resolutions b. Vehicle Miles Traveled (VMT) c. Calculations and Estimated Points d. Additional Information (Optional)
86	Ch. 8	Exhibit 8-2 Resolution	8-25	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 Transportation Signal Synchronization Program.
87	Ch.9	Payment Requests	9-4	3. Documentation of the Contract Award – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. After contract award, the agency shall submit the project name, contractor/consultant company name, and project scope including bid/task list, for each contract. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order or Notice to Proceed (NTP) that includes the project-specific scope of work for the contractor.
88	Ch.9	Payment Requests	9-4	5. Work Schedule – OCTA prefers a complete project schedule, but an agency may provide as little as the expected start and completion dates for preliminary engineering, final engineering, right-of-way, and construction phases on the Engineering & Construction Phase Initial Report Form 10-1A.
89	Ch. 9	Final Payment Documentation Requirements	9-7	5. Final Report Form – The local agency shall prepare a final report form using the Engineering & Construction Phase Final Report Form 10-5A.
90	Ch. 9	Procedures for Receiving Funds	9-12	O&M will begin after the PI of the project is completed and be required for the remainder of the project and last for a minimum of two (2) years. Primary Implementation (PI) includes the following: • Producing a Final PI Report, which includes the Before and After Study for the proposed project (required)
91	Ch. 9	Procedures for Receiving Funds	9-12	Ongoing Operation and Maintenance (O&M) will begin after the PI of the project is completed. Includes the following: • Final O&M Report
92	Ch. 9	Initial Payment Requests for Primary Implementation	9-13	The PI final report has been provided so a lead agency can determine the reporting and documentation required for an initial payment request. Staff may request additional documentation that is not listed on the PI final rReport prior to approving the request. The electronic versions of the forms are available through the OCFundtracker.
93	Ch. 9	Initial Payment Requests for Primary Implementation	9-14	Final Report Submission

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/Chapter	Subsection	Page No.	Proposed Change																
94	Ch. 9	Example of Initial Reimbursement for Primary Implementation (PI):	9-14	<table border="0"> <tr> <td>CTFP Grant Allocation</td> <td>OCTA Match Rate</td> <td>Local Agency Match Rate</td> </tr> <tr> <td align="center">\$960,000.00</td> <td align="center">80%</td> <td align="center">20%</td> </tr> </table> <p>Step 1 Eligible Expenses x OCTA Match Rate = Product \$1,000,000.00 x 80% = \$800,000.00</p> <p>Step 2 Check if Product is greater than or less than CTFP Grant Allocation Amount: \$800,000 vs \$960,000</p> <p>Step 3 Use the lower of the Product or CTFP Grant Allocation In this case, the \$800,000.00 amount is lower</p> <p>Step 4 Then multiply the amount by 75% (Initial Payment Percentage)</p> <table border="0"> <tr> <td align="center">\$800,000.00</td> <td align="center">x</td> <td align="center">75%</td> <td align="center">=</td> <td align="center">\$600,000.00</td> </tr> <tr> <td colspan="4"></td> <td align="center">Invoice Amount</td> </tr> </table>	CTFP Grant Allocation	OCTA Match Rate	Local Agency Match Rate	\$960,000.00	80%	20%	\$800,000.00	x	75%	=	\$600,000.00					Invoice Amount
CTFP Grant Allocation	OCTA Match Rate	Local Agency Match Rate																		
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\$800,000.00	x	75%	=	\$600,000.00																
				Invoice Amount																
95	Ch. 9	Final Payment Requests for Primary Implementation	9-15	A template for the before and after study is available. The PI Report, which includes the <u>Before and After Study</u> for RTSSP, shall be included as a requirement at the end of the Primary Implementation phase and as part of the Final Report as required by the M2 Ordinance, Attachment B, Section III.A.9 for reimbursement purposes.																
96	Ch. 9	O&M Project Final Report	9-15 – 9-16	O&M Project Final Report The project final O&M Report shall be completed in accordance with all CTFP Guidelines upon the end of the three-year grant period O&M phase. In addition, the final O&M Report shall summarize the O&M period, full project through the three-year grant period, include the Before and After Study from the PI phase, and report on additional updates/information that result from the Ongoing Operation and Maintenance phase. documenting the O&M efforts and procedures for continuing maintenance. At a minimum, the O&M Report shall include when travel runs were conducted and issues and solutions throughout the phase. The report shall document all planned and programmed improvements on the study corridor as well as recommendations for further infrastructure improvements that would likely enhance the corridor signal coordination project results.																

- Acronyms
 CTFP – Comprehensive Transportation Funding Program
 O&M – Operations & Maintenance
 N/A – Not applicable
 OCTA – Orange County Transportation Authority
 RTSSP – Regional Transportation Signal Synchronization Program
 RCP – Regional Capacity Program
 Board – Board of Directors
 M2 – Measure M2
 PI – Primary Implementation
 CCTV -Closed Circuit Television
 ADA – Americans with Disabilities Act
 Caltrans – California Department of Transportation

**Comprehensive Transportation Funding Programs,
Guidelines Excerpt, Proposed Revisions**

III. Definitions

1. The term “agency,” “agencies,” “local agency” or any form thereof shall be described in Precept 2.
2. “Competitive funds” refers to funding grants received through the Comprehensive Transportation Funding Programs (CTFP).
3. The term “complete project” is inclusive of acquiring environmental documents, preliminary engineering, Right-of-Way (ROW) acquisition, construction, and construction engineering.
4. The term “cost overrun” in reference to projects awarded through the CTFP shall refer to any and all costs beyond the original estimate that are necessary to complete the approved project scope.
5. The term “encumbrance” or any variation thereof shall mean the execution of a contract or other action (e.g. city council award of a primary contract or issuance of a purchase order and Notice to Proceed (NTP)) to be funded by Net Revenues.
6. The term “escalation” or “escalate” is the inflationary adjustment, as determined by the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average, added to the application funding request (current year basis) for ROW and construction phases (see Precept 13).
7. The term “environmental mitigation” is referred to as environmental clean-up/preservation measures made as part of that project’s environmental clearance.
8. For the purpose of these guidelines, the terms “excess right-of-way” and “surplus right-of-way” shall interchangeably refer to ROW acquired for a specific transportation purpose that is not needed for that purpose. ROW designation shall be acknowledged by applicant to OCTA within sixty calendar days of designation. Furthermore, surplus property plan must also be provided to OCTA at time of designation.
9. The term “Fast Track” shall refer to projects that apply for both planning and implementation phase funding in a single competitive application/call for projects.
10. The term “Fully Burdened Labor Rates” include Work Force Labor Rate (WFLR) plus overhead (see Chapter 9).
11. The term “funding grant,” “grant,” “project funding,” “competitive funds,” “project programming” shall refer to the total amount of funds approved by the Board through the CTFP competitive process.
12. The term “Gap Closure” shall refer to 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.
13. The term “implementing agency” is the agency responsible for managing the scope, cost and schedule of the proposed project as defined in the grant application.
 14. The term “lead agency” shall refer to the agency responsible for the submission of the grant application.
 15. The term “Master Funding Agreements” or any form thereof shall refer to cooperative funding agreements described in Precept 4.
 16. The term “match rate”, “local match”, “local matching funds”, or any variation thereof, refers to the match funding that an agency is pledging through the competitive process and disposed of through procedures in Chapter 9.
 17. A “micro-purchase” is any purchase that does not exceed \$2,500. For the purposes of proof of payment, only an invoice is required.
 18. The term “obligate” or any variation thereof shall refer to the process of encumbering funds.
 19. “OCFundtracker” refers to the online grant application and payment system used by OCTA to administer the competitive programs awarded through the CTFP. Refer to <https://ocfundtracker.octa.net/>.
 20. “Primary Implementation (PI) Report” refers to the report required at the end of the PI phase. It is a technical report that documents the work completed during the PI phase, which contains the Before and After Study. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
 - ~~20.~~21. “Operations and Maintenance (O&M) Technical Memorandum Report” refers to the report required at the conclusion of O&M phase. It is a technical report that documents the work completed during O&M phase. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
 - ~~21.~~22. The term “project phase” or any form thereof shall refer to the three distinct project phases (engineering, right-of-way, and construction) OCTA funds through the CTFP. Additionally, the “engineering phase” shall include the preparation of environmental documents, preliminary engineering, and ROW engineering. The “ROW phase” shall include ROW acquisition, utility relocation and adjustment to private property as contained in the ROW agreements, private improvements taken, Temporary Construction Easements (TCE), severance damages, relocation costs that are the legal obligation of the agency, as well as loss of good will,

fixtures and equipment including legal cost. The “construction phase” shall include construction and construction engineering. A fourth phase defined as “Operations & Maintenance” applies to select programs and is described more fully in the applicable program chapter.

- ~~22-23~~. Programming for RCP (Project O) follows a sequential process related to Planning and Implementation elements as described more fully in Chapter 2. The Planning step includes environmental evaluation, planning and engineering activities. The Implementation step includes ROW and construction activities.
- ~~23-24~~. The term “project phase completion” refers to the date that the local agency has paid the final contractor/consultant invoice (including retention) for work performed and any pending litigation has been adjudicated for the engineering phase or for the ROW phase, and all liens/claims have been settled for the construction phase. The date of project phase completion will begin the 180-day requirement for the submission of a project final report as required by the M2 Ordinance, Attachment B, Section III.A.9.
- ~~24-25~~. The term “Public-Private Partnerships” is defined as direct financial contributions, sponsorships or ROW dedications for eligible program activities.
- ~~25-26~~. The term “reasonable” in reference to project phase costs shall refer to a cost that, in its nature and amount, does not exceed that which would normally be incurred under the circumstances prevailing at the time the decision was made to incur the cost. Factors that influence the reasonableness of costs: whether the cost is of a type generally recognized as ordinary and necessary for the completion of the work effort and market prices for comparable goods or services.
- ~~26-27~~. The term “savings” or “project savings” in reference to projects awarded through the CTFP are any grant funds remaining on a particular project phase after all eligible items within the approved project scope have been reimbursed.
- ~~27-28~~. “Sustainability”, as it applies to capacity enhancing infrastructure projects, refers to project elements that support environmental benefits such as use of renewable or recycled resources.
- ~~29~~. The term “Work Force Labor Rates (WFLR)” include direct salaries plus direct fringe benefits.
- ~~28-30~~. The term “offset signal” refers to traffic signalized intersections within 2,700 feet from either direction of the project corridor. (Project P Only)

IV. Acronyms

AADT – Average Annual Daily Traffic

ACE – Arterial Capacity Enhancements

ADA – Americans with Disabilities Act of 1990

ADT – Average Daily Trips

A/E – Architectural/Engineering

APIRI – Applications Programming Interface with Referenced Implementations

ATC – Advanced Transportation Controller

ATMS – Advanced Transportation Management System

BMP – Best Management Practices

B/RVH – Boardings Divided by the Revenue Vehicle Hours

C2C – Center-to-Center Communication

CASQA – California Stormwater Quality Association

CAPPM – Cost Accounting Policies and Procedures Manual

CCI – Construction Cost Index

CCTV – Closed Circuit Television

CDS – Continuous Deflection Separator

CFS – Climate Forecast System

CE – Categorical Exclusion

CEQA – California Environmental Quality Act

CIP – Capital Improvement Plan

CPI – Catchment Prioritization Index

CSPI – Corridor System Performance Index

CTC – California Transportation Commission

CTFP – Comprehensive Transportation Funding Programs

CTO – Contract Task Order

ECAC – Environmental Cleanup Allocation Committee

ECP – Environmental Cleanup Program

EIR – Environmental Impact Report

Chapter 1 - Eligibility

Overview

To apply for the CTFP, local agencies must fulfill an annual eligibility process. OCTA established this process to ensure that improvements are consistent with regional plans. The cities and county approved a process reflecting the eligibility criteria found in Measure M. Eligibility packages are due to OCTA by June 30 of each year.

In order to receive CTFP and M2 LFS funds, OCTA must deem agencies as eligible. OCTA shall annually distribute an eligibility information package to local agencies. Below is a brief list of requirements:

- Adoption of a Capital Improvement Program (CIP)
- Adoption of a General Plan Circulation Element which does not preclude implementation of the MPAH
- Adoption of a Pavement Management Plan
- Adoption of a Local Traffic Signal Synchronization Plan
- Satisfied Maintenance of Effort requirements
- Approved agreement to expend funds within three years of receipt (based upon award date for competitive M2 projects and based on the date OCTA issues check to local agency for LFS and Senior Mobility Programs)
- Adopt an annual Expenditure Report
- Submit Project Final Report for all Net Revenue projects

The M2 Eligibility Guidelines outline the eligibility requirements in detail. OCTA updates the Eligibility Preparation Manual annually and encourages agencies to use it as a reference when preparing items to meet eligibility requirements (see <http://www.octa.net/pdf/M2EligibilityGuidelines.pdf>). Agencies will submit a CIP through an electronic database application (see <http://ocfundtracker.octa.net/> <http://websmartcip.octa.net/>). OCTA develops a manual and workshops to prepare local agency staff for the annual eligibility process.

MPAH Consistency Review and Amendment Process

Through a transfer agreement with the County of Orange, OCTA assumed responsibility for administering the MPAH starting in mid-1995. As the administrator, OCTA is responsible for maintaining the integrity of the MPAH through coordination with cities and the County and shall determine an agency's consistency with the MPAH. In order to provide a mechanism to communicate MPAH policies and procedures, OCTA prepared the Guidance for the Administration of the Orange County Master Plan of Arterial Highways (see http://www.octa.net/pdf/mpah_guidlines.pdf). The guidance document is to assist

OCTA, the County, and the cities of Orange County to maintain the MPAH as a vital component of transportation planning in the County. The guidance document outlines, in detail, the MPAH consistency review and amendment process. Agencies can find contact information for OCTA staff assigned to MPAH administration in the manual.

Additional Information Regarding MPAH

The agency's General Plan Circulation Element must be consistent with the MPAH. In order for an agency's circulation element to be consistent with the MPAH, it shall have a planned-carrying capacity equivalent to the MPAH for all MPAH links within the agency's jurisdiction. "Planned capacity" shall be measured by the number of through lanes on each arterial highway as shown on the local circulation element. Agencies are not considered "inconsistent" as a result of existing capacity limitations on arterials which are not yet constructed to the circulation element design.

The agency must also submit a resolution attesting that no unilateral reduction in lanes has been made on any MPAH arterials. For a sample resolution, see the Measure M2 Eligibility Guidelines.

Chapter 2 – Project Programming

Program Consolidation

The M2 RCP improvement categories (see Chapter 7) will combine projects into one application review process. The programs of the CTFP will act as the project funding source. The consolidation of programs will help eliminate confusion among the various requirements and allow the greatest flexibility for programming projects. Other funding programs (Projects S, T, V, W, and X) have similar eligibility requirements, but OCTA will evaluate and approve these projects through a separate process.

Sequential Programming Process – RCP

Timely and efficient use of funding is a critical success factor for the CTFP. Historically, agencies were encouraged to develop long term projects spanning three or more years which often led to delays in implementing final project phases. This dynamic led to larger-than-anticipated funding program cash balances and an inability to fund smaller time sensitive projects in the interim.

In response to concerns raised by the Board and the Taxpayers Oversight Committee responsible for M2 oversight, OCTA will use annual calls that serve a near term programming window (3 years), as well as a sequential funding approach for M2 projects. OCTA expects this new approach to aid in a timelier use of funding and limit the potential for unanticipated project completion delays inherent with long lead time projects.

Sequential funding is a two-step process. Step One, also known as the planning phase, includes funding requests for planning/environmental, engineering and ROW engineering activities. Step Two, also known as the implementation phase, includes ROW engineering/acquisition and construction activities. ROW engineering can be requested in either the planning or implementation phases. Projects must complete the planning phase before an agency requests implementation phase funding during a call for projects. Exceptions to this rule include the following:

- An agency may request implementation funding prior to completion of the planning phase if the jurisdiction can demonstrate that the planning phase activities are underway, are substantially complete and the agency will complete the activities within six months of the start of the new phase programmed year.

OR

- An agency may request a Fast Track approach, seeking funds for planning and implementation phase at the same time. The agency must demonstrate that the policy variance is necessary due to the project schedule and waiting until the next annual call for projects to apply for implementation phase funding presents undue hardship or could jeopardize the overall project delivery and milestones. The

agency will waive the opportunity to request a project delay under this approach. The Fast Track approach is permitted only for projects that do not have ROW acquisition needs. If seeking engineering funds, the local agency must have received environmental clearance and demonstrate that all necessary easements and titles are in place for local agency use. Under no circumstances will the Fast Track option be considered for local agency convenience as this could delay implementation of other projects that are shelf ready.

Each call for projects will cover a three-year period that overlaps subsequent future cycles. Funding targets for each cycle are based upon prior funding commitments, anticipated revenues, reprogramming of unused grants (cancellations and savings), and a set aside for future funding cycles.

As part of each call for projects, OCTA will determine an appropriate balance between grants made for the planning and implementation phases.

Tiered Funding

Project funding for RCP (Project O) will follow a tiered funding process that differentiates between large and small projects. The tiered process is described in detail in Chapter 7.

Funding Projections – Call for Projects

Revenue estimates for M2 are updated annually. Programming decisions are based upon conservative economic assumptions provided by Southern California academic institutions. In the future, OCTA will add project cancellations and realized savings from completed projects to anticipated revenues for redistribution in the first year of each funding cycle.

Project Cost Escalation

OCTA will escalate approved ROW and construction projects in years two and three. The match rate percentage identified by implementing agencies in the project grant application shall remain constant throughout the project. This includes projects where the programming has been escalated for future years. OCTA will base escalation rates for future years on ENR CCI 20 City Average escalation rates.

Programming Adjustments

OCTA bases funding grants on cost estimates that agencies provide and that OCTA validates against industry norms during the evaluation process. Agencies must provide estimates in current year dollars.

Projects programmed in Year Two or Year Three of each funding cycle include a CCI-based adjustment factor for the ROW and construction phases only. Lead agencies shall not receive grant increases. Cost overruns are the responsibility of local agencies and

may count against agencies' match rate commitment for eligible activities. Local agencies may request scope adjustments to meet budget shortfalls when the agency can demonstrate substantial consistency and attainment of proposed transportation benefits compared to the original project scope.

When agencies are preparing applications, **all cost estimates must be in current year dollars with Month and Year cited.** OCTA will review each cost estimate thoroughly and will escalate ROW and construction costs based on the year OCTA programs the project grant. For example, if an agency's cost estimate lists construction costs for a project and OCTA programs the project for Year Three of the funding cycle, then OCTA will escalate the costs by the CCI-based adjustment factor, compounded annually, beginning in Year One of the funding cycle.

Project Readiness

In an effort to better utilize project funding and maintain project schedules, programming of funding for CTFP under the sequential approach has been revised. In general, to program grants for Step Two (ROW or construction phases), a project must either have:

1. Project-level approval for environmental clearance, California Environmental Quality Act (CEQA), for M2 programs, (National Environmental Policy Act (NEPA) and CEQA for federally funded programs), or;
2. Exempt (categorically or statutorily) under CEQA and/or NEPA (as applicable).

OCTA will not consider any projects for funding for ROW and construction without final adopted project level environmental clearance documentation at the time of application.

Programming Policies

OCTA will not increase grants after the initial programming for each phase except through project savings transfers, where applicable. Project savings are defined as the grant value remaining after one project phase (such as engineering) has been completed. Transfers should be identified during the SAR phase. Formal request of savings transfers must be accompanied by updated information and justification for the intended phase. Scope reductions are not considered project savings. Overall projects savings at the conclusion of a project are returned to the original program for reprogramming in a subsequent call for projects. This section is intended to clarify rather than replace the transfer policy identified in Precept 22.

In order to receive ROW and construction grants, a project must have all environmental clearances in place. OCTA shall not release final payment for the planning stage (includes final design) until confirmation of environmental clearance is provided.

Agencies are responsible for costs that exceed the project grant, maintaining the project schedule, and maintaining the project scope.

An agency's grant will be cancelled if the agency does not encumber the funds within the programmed fiscal year. An agency may request a delay in accordance with the time extension policy described in the precepts.

An agency must have a fully executed Letter Agreement prior to the obligation of funds.

As stated above, an agency's grant is based on the project's cost as requested and programmed with established escalation rates. If project costs escalate beyond original estimates and the agency is unable to cover additional costs, a request to reduce the project scope or limits will be considered where feasible. For the RTSSP (Project P) program, changes to project costs with respect to the phase allocations will be considered based upon the issuance of contract or contract task order (CTO), provided that the readjusted phase allocations are timely and do not increase the overall grant. All requests for changes in scope and limits must be submitted to OCTA in advance of the change. This request will be evaluated on a case-by-case basis and must be approved by the TAC and the Board prior to initiation of the change by the lead agency. The lead agency must submit a letter to OCTA no later than June 30th of the year in which funds are programmed stating the reasons for cost increases, a proposal for project scope or limit reduction, and an explanation of why approval of the request is warranted. The review process is similar to the appeals process mentioned above.

Schedule change requests

Grants approved as part of the CTFP process are subject to timely delivery requirements. Implementation schedules are determined by the lead agency (applicant). Contract work must be awarded prior to the end of the programmed fiscal year to encumber the funds. If work cannot be initiated within this time frame, a request to defer funding may be submitted to OCTA for consideration. Project status is reviewed every six months during the SAR process. Expired project funding is subject to withdrawal from project and reprogramming in a subsequent call for projects.

Funding delays must be submitted to OCTA in conjunction with the SAR process. These reviews are typically held in Fall and Spring. Emergency extensions after the Spring SAR may be considered on a case by case basis, but no less than ninety (90) calendar days prior to the encumbrance deadline. The M2 Ordinance permits a delay for up to 24 months. Implementing agencies may request a one-time delay of up to 24 months per project grant. Agencies shall justify this request, receive City Council/Board of Supervisor concurrence, and seek approval of OCTA staff, the TAC and Board as part of the SAR process. Projects that are expected to incur extensive delays beyond the parameters of the program should consider cancellation and reapplication at a future date. Advancement requests may be considered during the review process and may be approved subject to funding availability.

Timely use of funds

For project phases, excluding ROW, funds will expire after 36 months from encumbrance. For the ROW phase, funds will expire after 36 months from the date of the first offer letter. Extensions up to 24 months may be granted through the SAR. Extension requests must be received no less than ninety (90) calendar days prior to the encumbrance deadline. Additional extensions may be considered on a case by case basis for the RCP (Project O) and the RTSSP (Project P).

Project Advancements

Agencies wishing to advance a project by one fiscal year, or more may request project advancement. Advancement requests will be considered only if program funds are available. The grant will be de-escalated according to the original escalation rate.

Requests must be submitted as part of the SAR. All advancements will be reviewed by the TAC and approved by the Board. If approved, the agency and project will be required to meet the new fiscal year award or encumbrance deadline.

Should OCTA be unable to accommodate an advancement request due to cash flow constraints, the agency may still move forward with the project using local funding. (See Precept 6) The lead agency must have a fully executed letter agreement prior to beginning work. The lead agency may subsequently seek reimbursement of CTFP funds in the fiscal year in which funds are programmed. Reimbursement shall follow the standard CTFP process (see Chapter 9). Prior approval is not necessary if the project is being advanced through local funds.

Semi-Annual Review

OCTA staff will conduct a comprehensive review of CTFP projects on a semi-annual basis to determine the status of projects. Project updates will be provided by the local agencies and uploaded to OCFundtracker. Follow-up meetings to these updates will be held as needed. Semi-annual project reviews are usually scheduled to occur in March and September of each year.

Projects are reviewed to:

1. Update project cost estimates. For any project experiencing cost increases exceeding 10 percent (10%) of the originally contracted amount, a revised cost estimate must be submitted to OCTA. This is applicable even if the increase is within the overall grant amount.
2. Review the project delivery schedule
3. Determine the project's continued viability
4. Verify project O&M expenditures (e.g. ECP (Project X))

5. Discuss any potential issues with external fund sources committed as match against the competitive funds

Prior to each review meeting, OCTA staff will distribute a list of active projects to each local agency. Each agency will be contacted as needed and asked to participate in the upcoming review where each agency's project schedules, cost estimates, and scope will be reviewed. Agencies will be given the opportunity to request program changes (e.g. delaying and advancing funds from one fiscal year to another) and each adjustment will be considered on a case-by-case basis. The agency should be prepared to explain any changes and provide all necessary supporting documentation. Generally, the local agency is responsible for the implementation of the projects as approved by OCTA, however consideration will be given for circumstances beyond the lead agency's control that affect scope, cost, or schedule.

Based on the semi-annual review meetings, OCTA staff will develop and present recommendations for project adjustments to the TAC. Requests for project changes (delays, advancements, scope modifications, etc.) will be considered on an individual basis. The following action plan has been developed for the semi-annual review process:

- Require local agencies to submit status reports, project worksheets, and supporting documentation to OCTA for all project adjustments.
- Require local agencies to abide by the **Time Extension Policy**:
 - Agencies may request a delay of up to 24 months per grant. Local agencies will be required to justify this request and seek approval of OCTA staff, the TAC, and the Board as part of the semi-annual review process.
 - Approved schedule changes will require an update of the local jurisdiction's seven-year CIP and the OCTA cooperative funding agreement.
 - Evidence of Council approval (resolution, minute order, or notification) must be provided prior to Board approval of delays.
 - An administrative extension may be granted for expiring M2 funds for a project phase that is clearly engaged in the procurement process (advertised but not yet awarded). The local agency must notify OCTA, submit a written request, for an extension, and provide evidence of advertisement prior to the award deadline.
 - Agencies that have requested Fast Track funding cannot request time extensions.

Environmental Cleanup Program Operations and Maintenance Reporting

For Tier 1 of the ECP (Project X), cash match is required. Ongoing Operations and Maintenance (O&M) of the project can no longer be pledged as a match.

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 for Cities and Counties](#) (March 2019). These Guidelines are available at the following link: https://www.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. 	

2021~~0~~ Call for Projects

Contingent on OCTA’s Board approval, the 2021 Call for Projects (call) for RCP (Project O) – under M2 is anticipated to provide approximately **\$22 million** for streets and roads improvements across Orange County.

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 21/22 – 23/24), 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 202¹ call for projects by **5:00 p.m. on Thursday, October 22, 2020**. **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.

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

OC Fundtracker 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 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 2020](#)

Application submittal deadline: October [22, 2020](#)

TSC/TAC Review: February/March [2021](#)

Committee/Board approval: May [2021](#)

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 ~~(e.g. over excavation for poor soil conditions)~~ 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 roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.

~~Roadway grading will be eligible for structural sections within the roadway ROW. Additional grading required within the project limits will be subject to OCTA's review. OCTA will make the determination based on the additional documentation provided to demonstrate local agency's financial obligation to pay for such improvements. Rough roadway grading must be complete prior to project start.~~

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.

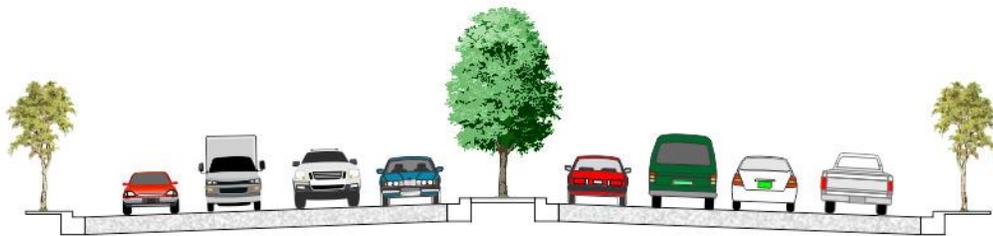
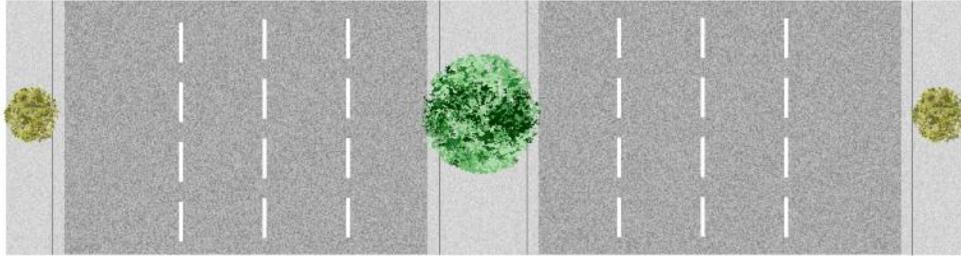
In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

Ineligible Expenditures

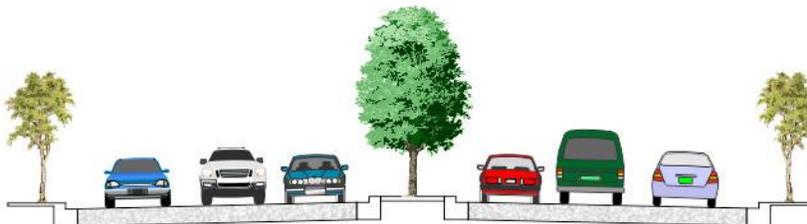
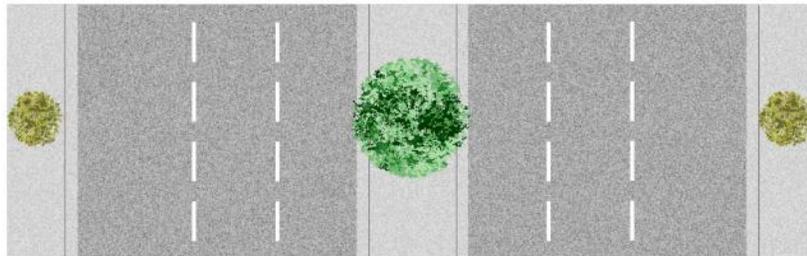
Items that are not eligible under the ACE Program are:

- Grading outside of the roadway ROW not related to a TCE or ROW agreement.
- 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

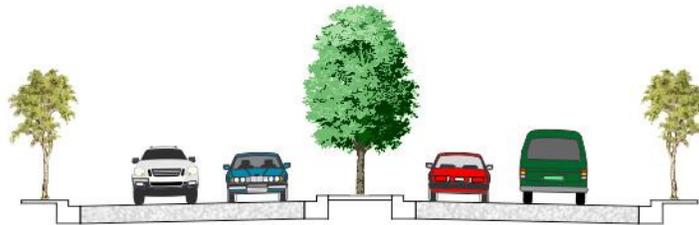
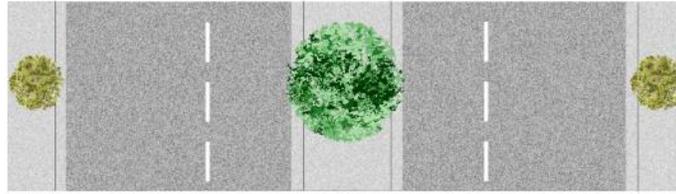


PRINCIPAL
144 FT
(8 LANES, DIVIDED)

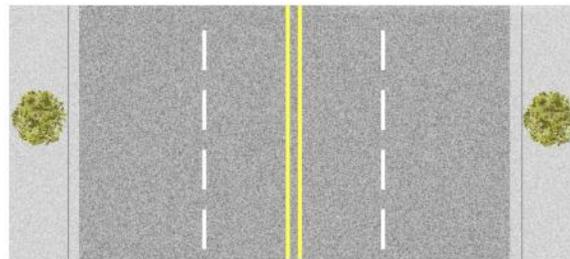


MAJOR
120FT
(6 LANES, DIVIDED)

Exhibit 7-5 *continued*
Standard MPAH Cross Sections

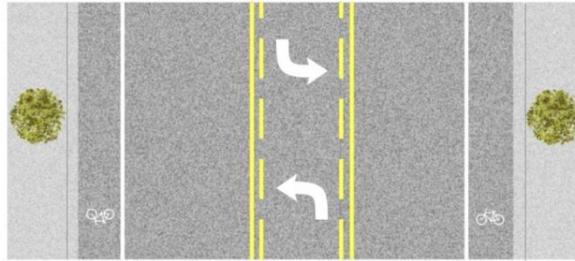


PRIMARY
100 FT
(4 LANES, DIVIDED)

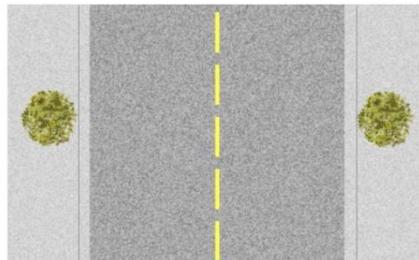


SECONDARY
80 FT
(4 LANES, UNDIVIDED)

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 .51 - .60 v/c	B .61 - .70 v/c	C .71 - .80 v/c	D .81 - .90 v/c	E .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 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 10,**

2020 for the 2021 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.
- ~~ROW (All easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.~~
- ~~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.~~
- ~~Final Design (Plan, Specification and Estimate (PS&E)) – applies where the jurisdiction’s City engineer or other authorized person has approved the final design.~~
- ~~Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.~~
- ~~Environmental Approvals – applies where all environmental clearances have been obtained on the project.~~

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, recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or 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.

- ~~• **Water Conservation:** Includes 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.~~
- **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 10, 2020 for the 2021 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		
<u>Existing ADT Range</u>		<u>Points</u>
45+	thousand	10
40 – 44	thousand	8
35 – 39	thousand	6
30 – 34	thousand	5
25 – 29	thousand	4
20 – 24	thousand	3
15 – 19	thousand	2
10 – 14	thousand	1
<10	thousand	0
<u>VMT Range</u>		<u>Points</u>
31+	thousand	10
26 – 30	thousand	8
22 – 25	thousand	6
18 – 21	thousand	5
14 – 17	thousand	4
11 – 13	thousand	3
08 – 10	thousand	2
04 – 07	thousand	1
<4	thousand	0
<u>Current Project Readiness</u>		<u>Max Points: 10</u>
ROW (All Easement and Titles)		5
Final Design (PS&E)		4
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: 15		
<u>Cost Benefit (Total \$/ADT)</u>		<u>Points</u>
<u>Range*</u>		
< 49		10
50 – 74		9
75 – 99		7
100 – 149		5
150 – 199		4
200 – 249		3
250 – 299		2
300 – 349		1
350+		0
Funding Over-Match (local match/project cost) minus minimum local match requirement.		
<u>Range*</u>		<u>Points</u>
25+%		5
20 – 24%		4
15 – 19%		3
10 – 14%		2
05 – 09%		1
00 – 04%		0
*Range refers to % points above agency minimum requirement.		
Facility Importance Points: 20		
<u>Transportation Significance Range</u>		<u>Points</u>
Principal or CMP Route		10
Major		8
Primary		6
Secondary		4
Collector		2
<u>Operational Attributes (within the roadway)</u>		<u>Max Points: 10</u>
Pedestrian Facilities (New)		3
Meets MPAH Configs.		3
Bike Lanes (New)		3
Active Transit Route(s)		2
Bus Turnouts		2
Median (Raised)		2
Remove On-Street Parking		2
Water Conservation Elements		2
Safety Improvements		2
Sustainability Elements		2
Other		2
Benefit Points: 35		
<u>Improve Characteristics</u>		<u>Points</u>
Gap Closure		10
New Facility/Extension		8
Bridge Crossing		8
Adds Capacity		6
Improves Traffic Flow		2
LOS Improvement Max Points: 25		
<u>Existing LOS Starting Point Range (LOS Imp x LOS Starting Pt)</u>		<u>Points</u>
1.01+		5
.96 – 1.00		4
.91 – .95		3
.86 – .90		2
.81 – .85		1
<.81		0
LOS Improvements with Project (exist. Volume)		
<u>Existing LOS Starting Point Range</u>		<u>Points</u>
.20+		5
.16 – .20		4
.10 – .15		3
.05 – .09		2
.01 – .05		1
<.01		0

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 jurisdiction 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 (~~e.g. over excavation for poor soil conditions~~) 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.
- 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 roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.

~~Roadway grading is eligible for structural sections. OCTA assumes rough roadway grading is complete prior to project start and is considered an ineligible item.~~

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.~~Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.~~
- ~~• Water Conservation: Includes elements that reduce water consumption. 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.~~
- 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 10, 2020** for the 2021 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																																																																											
<table border="1"> <thead> <tr> <th>ADT Range*</th> <th></th> <th>Points</th> </tr> </thead> <tbody> <tr><td>60+</td><td>thousand</td><td>15</td></tr> <tr><td>55 – 59</td><td>thousand</td><td>13</td></tr> <tr><td>50 – 54</td><td>thousand</td><td>11</td></tr> <tr><td>45 – 49</td><td>thousand</td><td>9</td></tr> <tr><td>40 – 44</td><td>thousand</td><td>7</td></tr> <tr><td>35 – 39</td><td>thousand</td><td>5</td></tr> <tr><td>30 – 34</td><td>thousand</td><td>3</td></tr> <tr><td>25 – 29</td><td>thousand</td><td>1</td></tr> </tbody> </table> <p>*AVG ADT for east and west legs plus AVG ADT for north and south legs of intersection.</p> <table border="1"> <thead> <tr> <th>Current Project Readiness</th> <th>Max Points: 10</th> </tr> </thead> <tbody> <tr><td>ROW (All Easement and Titles)</td><td>5</td></tr> <tr><td>Final Design (PS&E)</td><td>4</td></tr> <tr><td>Environmental Approvals</td><td>2</td></tr> <tr><td>Preliminary Design (35%)</td><td>2</td></tr> <tr><td>ROW (All Offers Issued)</td><td>2</td></tr> </tbody> </table> <p>Points are additive. Design and ROW limited to highest qualifying designation.</p>			ADT Range*		Points	60+	thousand	15	55 – 59	thousand	13	50 – 54	thousand	11	45 – 49	thousand	9	40 – 44	thousand	7	35 – 39	thousand	5	30 – 34	thousand	3	25 – 29	thousand	1	Current Project Readiness	Max Points: 10	ROW (All Easement and Titles)	5	Final Design (PS&E)	4	Environmental Approvals	2	Preliminary Design (35%)	2	ROW (All Offers Issued)	2	<table border="1"> <thead> <tr> <th>Transportation Significance Range</th> <th>Points</th> </tr> </thead> <tbody> <tr><td>Principal or CMP Route</td><td>10</td></tr> <tr><td>Major</td><td>8</td></tr> <tr><td>Primary</td><td>6</td></tr> <tr><td>Secondary</td><td>4</td></tr> <tr><td>Collector</td><td>2</td></tr> </tbody> </table> <p>Operational Attributes (within the roadway) Max Points: 20</p> <table border="1"> <tbody> <tr><td>Grade Separations</td><td>10</td></tr> <tr><td>Bus Turnouts</td><td>4</td></tr> <tr><td>Bike Lanes</td><td>4</td></tr> <tr><td>Ped. Facilities (New)</td><td>4</td></tr> <tr><td>Free Right</td><td>4</td></tr> <tr><td>Lowers Density</td><td>3</td></tr> <tr><td>Channels Traffic</td><td>3</td></tr> <tr><td>Protected/Permissive Left Turn</td><td>2</td></tr> <tr><td>Water Conservations Elements</td><td>2</td></tr> <tr><td>Safety Improvements</td><td>2</td></tr> <tr><td>Sustainability Elements</td><td>2</td></tr> </tbody> </table>			Transportation Significance Range	Points	Principal or CMP Route	10	Major	8	Primary	6	Secondary	4	Collector	2	Grade Separations	10	Bus Turnouts	4	Bike Lanes	4	Ped. Facilities (New)	4	Free Right	4	Lowers Density	3	Channels Traffic	3	Protected/Permissive Left Turn	2	Water Conservations Elements	2	Safety Improvements	2	Sustainability Elements	2
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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 (~~e.g. over excavation for poor soil conditions~~) will be considered on a case by case basis.
- 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 roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.

~~Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). OCTA assumes rough roadway grading is complete prior to project start and is generally considered an ineligible item.~~

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)

- 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 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.

- 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.
- Project Approvals/Environmental Documentation (PA/ED) – applies where a Project Report-level analysis has been completed and environmental approvals have been attained. Furthermore, Environmental Approvals and Preliminary Design (35 percent (35%) level) are included with the PA/ED phase for FAST.
- Project Study Report (PSR) or equivalent – applies where the proposed project has completed initial planning activities, such as Environmental Impact Report (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. The applicant will be asked for detailed information only if necessary, to adequately evaluate the project application.

- ~~• ROW (all easements and titles) — applies where no ROW is needed for the project or where all ROW has been acquired/dedicated).~~
- ~~• ROW (all offers issued) — applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction.~~
- ~~• Final Design (PS&E) — applies where the jurisdiction's City engineer or other authorized person has approved the final design.~~
- ~~• Preliminary design (35 percent (35%) level) — will require certification from the City engineer and is subject to verification.~~
- ~~• Project Approvals/Environmental Documentation (PA/ED) — applies where a Project Report-level analysis has been completed and environmental approvals have been attained.~~

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) Efficiencies: 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. ~~Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis.~~
- ~~• Water Conservation: Includes elements that reduce water consumption. This includes 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.~~
- 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 10, 2020** 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%

Table 7-6 Interchange Improvement Point Breakdown

FAST SCORING CRITERIA

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

Facility Usage Points: 20			Facility Importance Points: 25		
<u>ADT Range*</u>			<u>Transportation Significance Range</u>		
55+	thousand	10	Principal or CMP Route		10
50 – 54	thousand	9	Major		8
45 – 49	thousand	8	Primary		6
40 – 44	thousand	6	Secondary		4
35 – 39	thousand	4	Collector		2
30 – 34	thousand	3			
25 – 29	thousand	2			
20 – 24	thousand	1			
<10 – 19	thousand	0			
*Arterial plus daily ramp exit volume			<u>Operational Attributes (within the roadway)</u>		
			Max Points: 15		
<u>Current Project Readiness</u>			Eliminate Left Turn Conflict		
Max Points: 10			Add Turn Lanes		
ROW (All Easement and Titles)		6	Enhanced Ramp Storage		
ROW (All Offers Issued)		4	Pedestrian Facilities (New)		
Final Design (PS&E)		4	Coordinated Signal		
PA/ED		2	Water Conservation Elements		
Project Study Report or Equiv.		1	Safety Improvements		
			Sustainability <u>Elements</u>		
			Add Traffic Control		
Points are additive. ROW is the highest qualifying designation.					
Economic Effectiveness Points: 25			Benefit Points: 30		
<u>Cost Benefit (Total \$/ADT)</u>			LOS Improvement		
<u>Range*</u>			Max Points: 20		
< 20		10	Calculation: Avg. LOS Imp + Avg. LOS Starting Point		
20 – 39		8	<u>LOS Reduction w/ Project (existing Volume) Range</u>		
40 – 79		6			Points
80 – 159		4	.20+		10
160 – 319		2	.16 – .19		8
320 – 640		1	.10 – .15		6
>640		0	.05 – .09		4
			<.05		2
Funding Over-Match (local match/project cost) minus minimum local match requirement.					
<u>Range*</u>			<u>Existing LOS Range</u>		
30+%		10	1.06+		10
25 – 29%		8	1.01 – 1.05		8
20 – 24%		6	0.96 – 1.00		6
15 – 19%		4	0.91 – 0.95		4
10 – 14%		2	0.86 – 0.90		2
05 – 09%		1	0.81 – 0.85		1
Range refers to % points above agency minimum requirement			Improvement Characteristics		
Coordination with Freeway <u>Mainline Improvements</u>			Max Points: 10		
<u>Project Range</u>			<u>Improvement Characteristics</u>		
Yes		5	New Facility (Full Interchange)		
No		0	New Facility (Partial Interchange)		
			Interchange Reconstruction		
			Ramp Reconfiguration		
			Ramp Metering		

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 202~~1~~, 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 ~~every three years and will provide details on the status and performance of the traffic signal synchronization activities over that period.~~ 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
- 202~~1~~ 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.

2021~~0~~ Call for Projects

Contingent on OCTA's Board approval, the 2021~~0~~ Call for Projects (call) for RTSSP (Project P)– under M2 is anticipated to provide approximately **\$8 million** for signal coordination across Orange County. The following information provides an overview of the 2021~~0~~ RTSSP 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 ~~Project R~~report is required at the conclusion of this phase to document work completed during the PI phase. This ~~PI Project~~Report shall be submitted ~~according to the payment process~~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 Technical Memorandum~~ 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 system performance index (CSPI) metric. This information shall be collected both before and after~~any~~ signal

timing changes have been ~~made implemented and approved by all agencies and after the PI.~~ 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 ~~after the PI phase is completed~~ as part of the PI ~~Project~~ 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 22, 2020**. 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 names
- 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 ~~Template~~ (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 2021 format will NOT be considered.** ~~Note: There is a new section for all costs, on a line item basis, in excel format for both project phases.~~ 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 the following 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 a draft copy of these resolutions of support are provided, the local agency must also provide the date the resolution will be finalized by the participating 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. 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 will 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.

~~Project Support: 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. The applicant will be asked for detailed information only if necessary, to adequately evaluate the project application.~~

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: ~~[NOT AVAILABLE FOR 2020 CALL FOR PROJECTS]~~ 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.](#) ~~Projects nominated for OCTA lead shall be discussed at the Traffic Forum.~~ Applications must include a complete photographic field review (as outlined above) when submitted. The application will be scored using the criteria outlined in the ~~previous~~ [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 lead 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%)).

[<match discussion moved to Matching Funds section>](#)

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 VMT, Cost Benefit, Project Characteristics, Transportation Significance, Maintenance of Effort, Project Scale, Project Scale, Number of Local Agencies, Current Project Status Readiness, 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.

OCTA shall distribute copies of the approved program to each participating local jurisdiction with any qualifying conditions stipulated for the jurisdiction's funded project(s). 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 2020

Application submittal deadline: October 22, 2020

TSC/TAC Review: February/March 2021

Committee/Board approval: May 2021

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 cover sheet 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 states 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~~ Final report ~~Report~~ submitted ~~and approved by 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. <communication text moved to Selection Criteria section>

Applicant agency and owning agency must demonstrate through simulation, or actual vehicle counts showing Origin – Destination that proposed linked corridors ~~tdo~~ 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 summarized—and, as part of the project, travel time studies shall also be collected along all corridors making the grid. ~~Linked corridors may also combine at the point of intersection to form a single local Master offset Control Point (T₀) for future Zone operations.~~

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:

~~• Signal Coordination~~

- 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 ~~on intersecting corridors where new optimized timing has occurred within the past three years; maximum distance for either direction from crossing arterial within intersection in 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).~~ <communication text moved to Selection Criteria section>-All improvements must be designed to enhance the specific project. ~~The following are a list of potentially eligible items as part of a signal coordination project:~~

~~In addition,~~ Expenditures related to the design of systems, permitting, and environmental clearance are eligible for funding.

<eligible items moved and re-organized under Selection Criteria section>

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 project.

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: ~~Vehicle Miles Traveled (VMT)~~: 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. ~~(maximum: 20 points)~~

ADT must be based upon actual count information taken within ~~the~~ 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 ~~in~~ below per the "Eligible Activities" section above. ~~as follows:for an~~ <list relocated from Eligible Activities – note that changes are only shown for any addition or deletion not relocation or formatting>

- 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. ~~(must be connected to OCTA SPM Dashboard)~~

- 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 ~~items~~ 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 need 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).
 - ~~Gap~~ 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 ~~Gap~~ closure communications 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.
- ~~Communications Support~~
 - ~~Monitor, maintain, and repair signal communication systems and infrastructure along synchronized corridors to ensure necessary conditions for signal synchronization including interconnect and Central Systems and Local Systems communications equipment (two years after PI acceptance)~~
 - ~~Detection Support~~
 - ~~Monitor, maintain, and repair all detection systems and infrastructure associated with the PI Phase of a specific project along synchronized corridors to ensure necessary conditions for signal synchronization including local intersection and System Sampling Detection equipment (two years after PI acceptance)~~
 - 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 version 6.24 or better of latest industry standards. ATC standard 5201 and ATC standard 5401 Applications Programming Interface with Referenced Implementations (APIRI)
 - Controller cabinet (assemblies) replacements that can be shown to enhance signal synchronization.
 - Closed Circuit Television (CCTV) ~~(also can perform video detection)~~.
 - 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 A approval of request for UPS is at the sole discretion of ~~the AUTHORITY 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.
- ~~Improvements to comply with new federal or state standards for traffic signal design as related to signal synchronization including pedestrian, bicycle, and vehicular timing intervals, as well as the MUTCD~~
- Traffic Management Center (TMC)/Traffic Operations Centers (TOC) and motorist information (1 point)
 - New TMCs or TOCs (any project funded under this category ~~must be~~should planned ~~for~~ ~~built to be~~ center-to-center communication (C2C) ~~“ready”~~ with nearby agencies and/or OCTA).
 - Upgrades to existing TMCs or TOCs (any project funded under this category ~~must be~~should planned ~~for~~ ~~built to be~~ C2C ~~“ready”~~ 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:
 - ~~Upgrade detection~~ 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)

~~Transportation Significance: Points are earned based on the corridor being on the signal synchronization network. (maximum: 5 points) (Priority signal network corridors are eligible but will not be awarded for being on a Priority Corridor.)~~

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 ~~or serving as a signal corridor “gap closure”.~~ For a grid, the

number of signals and percent of signals being retimed will only be calculated for the corridor that is designated ~~ed~~ as the Main Corridor. (maximum: ~~2~~10 points)

Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: ~~1~~20 points)

Current Project ~~Readiness~~ 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 ~~will~~ provide evidence that they can complete ~~—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.** ~~Evidence of actual preliminary engineering performed for proposals requesting funding for implementation phases must be provided to qualify for points related to this attribute a is.~~ (maximum for category: 10 points)

Funding Rate: The percentages shown in Table 8-1 apply to overall match rates ~~above a local agency's minimum match requirement~~. 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

<p>Transportation Significance Vehicle Miles Travelled (VMT) Points: 320</p> <p><u>Inclusion of offset signals within 2700'</u> Points</p> <table border="1"> <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> <p><u>Vehicle Miles Traveled (VMT)</u></p> <table border="1"> <tr><th>Range</th><th>Points</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>	90% or above	10	50 - 89%	5	< 50%	0	Range	Points	250+ thousand	20	200 - 249 thousand	15	150 - 199 thousand	10	100 - 149 thousand	6	50 - 99 thousand	3	0 - 49 thousand	1	<p>Project Scale Points: 210</p> <p>Number of Signals <u>on Main Corridor</u> Coordinated by Project</p> <table border="1"> <tr><th>Range</th><th>Points</th></tr> <tr><td>50+</td><td>510</td></tr> <tr><td>40 - 49</td><td>84</td></tr> <tr><td>30 - 39</td><td>63</td></tr> <tr><td>20 - 29</td><td>42</td></tr> <tr><td>10 - 19</td><td>21</td></tr> <tr><td>< 10</td><td>0</td></tr> </table> <p style="text-align: center;">AND</p> <p>Percent of <u>Main Corridor</u> Signals Being Retimed</p> <table border="1"> <tr><th>Range</th><th>Points</th></tr> <tr><td>90% or above</td><td>510</td></tr> <tr><td>80 - 89%</td><td>84</td></tr> <tr><td>70 - 79%</td><td>63</td></tr> <tr><td>60 - 69%</td><td>42</td></tr> <tr><td>50 - 59%</td><td>21</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>	Range	Points	50+	510	40 - 49	84	30 - 39	63	20 - 29	42	10 - 19	21	< 10	0	Range	Points	90% or above	510	80 - 89%	84	70 - 79%	63	60 - 69%	42	50 - 59%	21	< 50%	0
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<p>Economic Effectiveness Points: 10</p> <p>Cost Benefit (Total \$/VMT)</p> <table border="1"> <tr><th>Range*</th><th>Points</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>	Range*	Points	< 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	<p>Number of Jurisdictions Points: 120</p> <p>Total Number of Involved Jurisdictions</p> <table border="1"> <tr><th>Range</th><th>Points</th></tr> <tr><td>5 or more</td><td>1020</td></tr> <tr><td>4</td><td>816</td></tr> <tr><td>3</td><td>612</td></tr> <tr><td>2</td><td>408</td></tr> <tr><td>1</td><td>0</td></tr> </table>	Range	Points	5 or more	1020	4	816	3	612	2	408	1	0														
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<p>Project Characteristics Max Points: 10</p> <table border="1"> <tr><th>Project Feature</th><th>Points</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>TMC/TOC Connections Between Agencies</td><td>4</td></tr> <tr><td>Automated Traffic Signal Perf. Measures</td><td>34</td></tr> <tr><td>Intelligent Cameras</td><td>32</td></tr> <tr><td><u>Detection for ATSPM and counts</u></td><td>3</td></tr> <tr><td><u>Separate Bicycle/ADA Pedestrian Detection</u></td><td>32</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>New Protected/Permissive Signals</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	Points	Timing Only, No Capital	10	Adaptive Traffic & Demonstration Projects	4	TMC/TOC Connections Between Agencies	4	Automated Traffic Signal Perf. Measures	34	Intelligent Cameras	32	<u>Detection for ATSPM and counts</u>	3	<u>Separate Bicycle/ADA Pedestrian Detection</u>	32	New/Upgraded Communications Systems	2	Intersection/Field System Modernization	2	Minor Signal Operational Improvements	2	New Protected/Permissive Signals	2	TMC/TOC and Motorist Information	1	New/Upgraded Detection	1	<p>Current Project Readiness Points: 10 Status</p> <table border="1"> <tr><th>Project Status</th><th>Points</th></tr> <tr><td>Re-timing <u>75%</u> of prior RTSSP project</td><td>5</td></tr> <tr><td>Implementation within 12 months</td><td>5</td></tr> </table>	Project Status	Points	Re-timing <u>75%</u> of prior RTSSP project	5	Implementation within 12 months	5														
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2 years	3
1 year	1
None	0
Transportation Significance	Points: 10
<u>Corridor Type</u>	<u>Points</u>
Priority & Signal Synchronization Corridor	5
Corridor "Gap Closure"	5



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 cross 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.

~~The specific matching requirement by project category type is listed below for city led projects:~~

Project category	Type of matching allowed*
Signal coordination	In-kind match** or cash match
New or upgraded detection	In-kind match** or cash match
New or upgraded communications systems	In-kind match** or cash match
Communications and detection support	In-kind match** or cash match
Intersection/field system modernization and replacement	In-kind match** or cash match
Minor signal operational improvements	In-kind match** or cash match
TMC/TOC and motorist information systems	Cash match
Real-time traffic actuated operations and demonstration projects	Cash match
Caltrans fees and expenses (labor and capital)	In-kind match** or cash match

~~* 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.~~

~~** In-kind match services are subject to audit.~~

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.

<relocated from Lead Agency section> 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 ~~in one of the two following digital formats: 1) Intersection Turning Movement (ITM) counts in Microsoft Excel spreadsheet; and 2) Average Daily Traffic (ADT) counts in Excel spreadsheet format. NDS/Southland Car Counters style Excel spreadsheet; or 2) JAMAR comma separated value style text file. The data shall then be loaded into the OCTA Roadway Operations and Analysis Database System (ROADS).~~ 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 ~~shall~~ will provide a listing of intersections and corresponding unique node ID numbers upon request. Each count data file ~~name shall adhere to the following file naming describe the year the counts were collected, agency, type of count file, intersection name, and OCTA node ID number.~~ or csv. 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_2020_ITM_4534.csvxls.

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 ~~csv latest Universal Traffic Data Format (UTDF) format and version combined data UTDF~~ format. This data shall include the 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. ~~All such data shall be consistent with the OCTA ROADS database.~~

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
<p>RTSSP Online Application – submitted through OCFundTracker</p> <ol style="list-style-type: none"> 1. <u>Transportation Significance</u>Vehicle Miles Traveled 2. Benefit Cost Ratio 3. Project Characteristics 4. Transportation Significance 5.4. Maintenance of Effort 6.5. Project Scale 7.6. Number of Jurisdictions 8.7. Current Project <u>Readiness Status</u> 9.8. Funding Over-Match 	Online
<p>Section 1: Key Technical Information</p> <ol style="list-style-type: none"> a. <u>Name of Project Corridor/Grid/Route</u>Limits b. <u>Project Limits</u> c. <u>Project Length</u> d. <u>Number of Signalized Intersections Along Corridor</u> e. <u>Participating Agencies/Traffic Forum Members</u> f. <u>Lead Agency</u> b.g. <u>Designation of the co</u>Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor h. <u>Project start date and end date, including any commitment to operate signal synchronization beyond the three-year grant period</u> i. <u>Previous funding</u> e.i. <u>Contact Information</u> d. Signalized intersections that are part of the project k. <u></u> e.l. <u>Project Map Depicting the Project Limits</u>Traffic Forum members 	
<p>Section 2: <u>Lead Agency</u>Regional Significance</p>	
<p>Section 3: <u>Resolutions of Support from the Project's Traffic Forum Members</u>Acknowledgement of Required Tasks</p>	
<p>Section 4: <u>Preliminary Plans for the Proposed Project</u>Funding Needs/Costs for Proposed Project by Task</p> <ol style="list-style-type: none"> a. The plans shall include details about both phases of the project: <u>Primary Implementation (PI)</u> and <u>Ongoing Operations and Maintenance (O&M)</u>. The plan should be organized using the following setup: b. c. <u>Primary Implementation</u> shall include details about the following: <ol style="list-style-type: none"> d. Task 1: Project Administration (required) e. Task 2: Data Collection (required) f. Task 3: Field Review and Plans Specifications and Estimates (required) g. Task 4: Corridor "Before" Study (required) h. Task 5: Signal Timing Optimization and Implementation (required) i. Task 6: Corridor "After" Study (required) j. Task 7: Synchronization System Construction (required) k. Task 8: Project Report (required) l. Task 9: On-going Operations and Maintenance (required) m. <u>Ongoing O&M will begin after the PI of the project is completed. It shall include details about the following:</u> <ol style="list-style-type: none"> n.a. <u>Monitoring and improving optimized signal timing (required)</u><u>Summary of Project Cost</u> e.b. <u>Communications and detection support (optional)</u><u>Summary of Cost by Agency</u> c. <u>Table I: Agency Improvement Preferences</u> 	

<p>p.d. Table II: O&M Final Memorandum (required) <u>Description of Work by Intersection</u></p>	
<p>Section 5: Total Proposed Project Cost by Task <u>Detailed Local Match Commitment</u> Table I: Summary of Improvements Table II: Detailed Improvement Breakdown</p>	
<p>Section 6: Project Schedule for the 3 Year Grant Period by Task <u>a. Project State and End Dates</u> <u>b. Project Schedule by Task</u> <u>a.c. Agency Commitment of Extended Monitoring and Maintenance</u></p>	
<p>Section 7: Matching Funds</p>	
<p>Section 8: Environmental Clearances and Other Permits</p>	
<p>Section 9: Calculations Used to Develop Selection Criteria Inputs</p>	
<p>Section 10: Any additional Information Deemed Relevant by the Applicant</p>	
<p>Appendices <u>a. Agency Resolutions</u> <u>b. Vehicle Miles Traveled (VMT)</u> <u>c. Calculations and Estimated Points</u> <u>a.d. Additional Information (Optional)</u></p>	

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 2000 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 ~~Transportation~~ 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

Chapter 9 – Reimbursements and Reporting

Procedures for Receiving Funds

An implementing agency must encumber funds OCTA awards to a project phase within the fiscal year the grant is programmed (July 1-June 30). Prior to the encumbrance of funds, an agency must have a fully executed letter agreement with OCTA. An agency encumbers funds by awarding a contract, completing the appraisal or issuing an offer letter for one parcel of right-of-way, or by providing expense reports with supporting documentation to prove an agency's workforce costs (provided that the agency intends to complete the phase with agency staff). OCTA shall consider the primary contract or the contract with the largest dollar amount, associated with the phase's tasks, when an agency uses a contract to show encumbrance of CTFP funds. Once an agency encumbers CTFP funds for a phase, it can begin the process for receiving payment of the funds.⁹

OCTA will release funds through two payments. The initial payment will provide up to 75 percent (75%) of the contract award or programmed amount, whichever is less. OCTA will disburse the final payment, 25 percent (25%) of eligible funds, after it approves the final report (See Precept 34).

For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase but shall in no case be less than 10 percent (10%) of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent (10%) threshold is reached (See Precept 35).

Agencies shall submit payment requests to OCTA in a timely fashion. The M2 Ordinance requires the submittal of a final report within 180 days of the project phase completion date (See M2 Ordinance/definitions/Precept 36). Failure to submit a final report within the 180-day time frame will result in an agency being found ineligible to receive net revenues. Per the M2 Ordinance, no provision for extension is allowed. The term "project phase completion" refers to the date that the local agency has paid the final contractor/consultant invoice (including retention) for work performed and any pending litigation has been adjudicated for the engineering phase or for the ROW phase, and all liens/claims have been settled for the construction phase.

⁹ Funds from state and federal sources funds will undertake a separate process. Local agencies must contact Caltrans local assistance for reimbursement.

OCTA will provide a separate CTFP payment supplement that includes sample forms and instructions for payment submittals and can be downloaded from the OCfundtracker database. Payment submittals are described in this chapter and must be submitted through OCTA's online database, OCfundtracker: <http://ocfundtracker.octa.net>. Detailed instructions for OCfundtracker are available online at the previously mentioned website. Staff is also available to assist agencies with this process. Agencies must upload appropriate backup documentation to the database. OCTA may request hardcopy payment requests.

Availability of Funds

The funds granted by OCTA for each phase will be available on July 1, the first day of the fiscal year in which the funds are programmed and upon implementation of the letter agreement for the specific project.

Cancellation of Project

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, regardless of whether property has been purchased or not. 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.

Project O - Regional Capacity Program Initial Payment

Payment Requests

An agency shall use the report and checklist provided in the CTFP Payment Supplement (see https://ocfundtracker.octa.net/report_payment_excel.asp) in order to determine the reporting and documentation requirements for initial payment requests. Payment requirements are located in the Guidelines. Staff may request additional documentation that is not listed on the checklist prior to approving the request.

The interactive electronic versions of all payment forms can be downloaded via OCFundtracker at <http://ocfundtracker.octa.net>.

OCTA usually releases funds through two payments. The initial payment will constitute 75 percent (75%) of the eligible contract award or allocation amount, whichever is less. In addition to the bid abstract, OCTA will require local agencies to submit appropriate backup documentation for all project phases to support the initial payment request. OCTA will release the final payment of remaining balance, usually the final 25 percent (25%) of CTFP grant funds, when the project is complete and OCTA accepts the final report. The balance is determined based on final costs for CTFP eligible program expenditures. Prior to submitting the report, review the program specific section in these guidelines that addresses the final report process.

OCTA will reimburse costs associated with the Measure M informational signs (fabrication, installation, and removal) and do not count against a project's grant. Measure M informational "Funded By" sign removal costs should be requested in the Final Report.

Prior to submitting an initial payment request, a local agency may request a meeting with OCTA staff to determine eligible/ineligible items prior to requesting reimbursement.

Below is additional information regarding the documentation requirements of initial payment requests:

1. Invoice – For initial payments, an agency shall invoice for 75 percent (75%) of the contract amount or programmed amount, whichever is less. For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase but shall in no case be less than 10 percent (10%) of the grant for that phase. Should the 75/25 payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent (10%) threshold is reached (See Precept 35). Agencies seeking initial payment for the planning, environmental and preliminary engineering work performed by local agency forces, must submit payroll records and City Council budget allocation with the initial payment request. The payroll records should identify the project name, date of expenditures, amount, and employee position. It is recommended that a unique project key be created for each project and

all project charges be billed under that job code. OCTA staff can provide a sample of acceptable form of payroll report upon local agency request.

2. Project Certification Letter – The public works director, or appropriate equivalent, shall submit a certification letter, with applicable statements, using the Project Certification Form 10-2. This will include the certification that the project being reimbursed has meet the signage requirements laid out in Precept 21.
3. Documentation of the Contract Award – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. After contract award, the agency shall submit the project name, contractor/consultant company name, and project scope including bid/task list, for each contract. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order or Notice to Proceed (NTP) that includes the project-specific scope of work for the contractor.
4. Revised Cost Estimate – The agency shall use the format provided in the Revised Costs Estimate Form 10-3.
5. Work Schedule – OCTA prefers a complete project schedule, but an agency may provide as little as the expected start and completion dates for preliminary engineering, final engineering, right-of-way, and construction phases on the Engineering & Construction Phase Initial Report Form 10-1A.
6. ROW Documents – Each parcel shall include an appraiser’s report, written offer letter, plat map, and legal description. Agencies attempting to acquire five or more parcels for a project shall include a parcel location map. Initial payments for ROW will be considered after submittal of a signed ROW agreement with the property owners and/or upon City Council Resolution initiating a property acquisition in accordance with the Code of Civil Procedure per §1230.010, et. seq.
7. Plans, Specifications, & Estimate (PS&E) Certification – Agencies shall submit a PS&E certification using the PS&E Certification Form 10-4. The agency engineer shall certify that the local agency properly prepared and approved plans and specifications in accordance with authorized procedures and adopted standards, followed approved scope of work, and incorporated materials report.
8. Layout Plans – An agency shall not submit layout plans that print on paper larger than 11 inches by 17 inches.
9. Documentation of Decision to Use Local Agency Forces – For all project phases, for any work performed by local agency forces in lieu of a primary contract, local agency must document that local agency forces could perform the work more cost effectively or timely than a contractor; and documentation of this decision can be supplied in case of audit.

- Documentation Supporting Local Agency Liability for Utility Relocation Costs – Local agency liability can be supported by the documentation of property rights, franchise rights/agreements, state and local statutes/ordinances, permits, or a finding by the local agency’s counsel.

Reimbursement

OCTA shall not reimburse for a project prior to the beginning of the fiscal year of the grant. If an agency receives an advancement and begins work prior to the start of the fiscal year of the grant, the agency may request an initial payment against the grant. If an agency receives an advancement and completes a project prior to the start of the fiscal year of the grant, OCTA shall disburse the grant in a single payment. OCTA must accept the final report prior to issuing a payment.

Calculation of Payment

Once an agency encumbers Measure M funds, the agency may request a maximum of 75 percent (75%) of the contract award amount or programmed amount, whichever is less. For situations where a grant exceeds \$2 million, (See Precept 36). An example of calculating the initial funding request for a standard 75/25 payment is described below.

Example:

CTFP Grant Allocation	OCTA Match Rate	Local Agency Match Rate
\$200,000	80%	20%

Step 1

Eligible Expenses x OCTA Match Rate = Product
 $\$ 225,000.00 \times 80\% = \$ 180,000.00$

Step 2

Check if Product is greater than or less than
CTFP Allocation Amount: **\$200,000**

Step 3

Use the lower of the **Product** or **Allocation** **\$ 180,000.00**
 In this case the \$180,000 amount is less

Step 4

Then multiply the **\$180,000** amount by 75% (Initial Payment Percentage)

\$180,000	X	75%	=	\$135,000.00
				Invoice Amount

Project O - Regional Capacity Program Final Report and Payment Process

The remaining CTFP funds are reimbursed to the lead agency following completion of the final reporting process. This final payment is calculated by considering the grant allocation amount, the minimum local agency match rate, how much has been previously reimbursed as part of the initial payment, and the total eligible costs that can be applied to the grant (see program specific eligibility sections). M2 funds are applied proportionally to all eligible project expenses. Prior to submitting the Final Report, review the following section which includes items important to the final reporting process. The CTFP Payment Supplement provides additional instructions and sample forms to complete payment requests. Payment requirements are located in this chapter.

Project Cost Changes

If the contract price is lower than the amount programmed, and the agency requested additional items and/or change orders during construction/study, OCTA may approve the additional costs during the review of the final report. OCTA will review these reports to:

1. Determine that the agency submitted proper justification for the change order(s)
2. Determine if the items are eligible for reimbursement
3. Confirm that expenses are within the project's original scope of work
4. The lead agency should provide information supporting the need for the change orders in the final report. Changes in project limits for construction projects are not eligible for reimbursement.

Final Payment Documentation Requirements

The items listed below are to be submitted to complete the final reporting process.

1. Invoice - For final payments, an agency shall invoice for the remaining balance of the contract amount or programmed amount, whichever is less. Final payment request invoices shall normally be approximately 25 percent (25%) of the eligible funds. Interest earned by an agency for initial payments received shall be applied to and deducted from the final payment balance amount.
2. Project Certification Letter – The public works director, or appropriate equivalent, shall submit a certification letter, with applicable statements, using the Project Certification Form 10-2. This will include the certification that the project being reimbursed has meet the signage requirements laid out in Precept 21.
3. Documentation of the Contract Award – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. After contract award, the agency shall submit the project name,

contractor/consultant company name, and project scope including bid/task list, for each contract. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order that includes the scope of work for the contractor.

4. PS&E Certification – Agencies shall submit a PS&E certification using the PS&E Certification Form 10-4. The agency engineer shall certify that the local agency properly prepared and approved plans and specifications in accordance with authorized procedures and adopted standards, followed approved scope of work, and incorporated materials report.
5. Final Report Form – The local agency shall prepare a final report form using the Engineering & Construction Phase Final Report ~~final report~~ Form 10-5A.
6. Division of Costs – The Division of Costs Form 10-6. Supportive material shall equal the division of costs totals that are located in the final report form.
7. OCTA shall reimburse general lump sum pay items, appraisal cost, design, and construction engineering in the same ratio as the total ROW acquisition or construction costs.
8. Proof of Project Payment – The required documentation that will be submitted includes approved contract invoices and may also include, but is not limited to, supportive material for agency work forces, equipment, material, and corresponding proof of payment. Additional records are required to be maintained as outlined in the Audit (Chapter 10).
9. Layout Plans – An agency shall not submit layout plans that print on paper larger than 11 inches by 17 inches (where applicable).
10. Documentation of Decision to Use Local Agency Forces – For all project phases, for any work performed by local agency forces in lieu of a primary contract, local agency must document that local agency forces could perform the work more cost effectively or timely than a contractor; and documentation of this decision can be supplied in case of audit.
11. Documentation Supporting Local Agency Liability for Utility Relocation Costs – Local agency liability can be supported by the documentation of property rights, franchise rights/agreements, state and local statutes/ordinances, permits, or a finding by the local agency's counsel.
12. ROW Documents – Each parcel shall include an appraiser's report, written offer letter, plat map, and legal description. Agencies attempting to acquire five or more parcels for a project shall include a parcel location map.

13. Summary of ROW Acquisition – Agencies shall submit a summary of ROW acquisition as described in the Summary of ROW acquisition Form 10-5B.
14. Notice of Completion – An agency shall submit The Notice of Completion form to certify the phase completion date (Form 10-7). See Definition 22 for phase completion date.
15. Before and After Project Photos (where applicable) – photographs showing the project before and after the improvements.

Electronic copies of all payment forms can be downloaded from OCFundtracker.

Timely Final Reports

OCTA will work with local agencies to ensure the timeliness of final reports by utilizing the following procedures:

1. Local agencies to notify OCTA of the project phase completion date within 30 days of completion.
2. Local agencies to file a final report within 180 days of project phase completion date.
3. OCTA to issue a notification to the project manager, public works directors or TAC representative(s) 90 days after the project completion date, as reported in OCFundtracker, to remind local agencies that the final report is due in 90 days. OCTA staff will provide guidance to assist in preparation of the final report.
4. OCTA to issue a final notice letter to the project manager, public works directors or TAC representative(s) with a copy to the agency's management and finance director if OCTA does not receive the final report within 180 days of the project completion date. The final notice letter will inform the local agencies that if OCTA does not receive a response to the final notice letter and the final report within 180 days, then the funds will be unencumbered and OCTA shall request that the agency return disbursed funds, plus interest.
5. OCTA to issue the final payment to local agencies within 60 days of receiving the complete final report and all supporting documentation.

Failure to Submit Final Report

Agencies who fail to submit a Final Report will be required to repay applicable M2 funds received for the project in a manner consistent with the Master Funding Agreement and/or will be found ineligible to receive M2 Net Revenues.

Excess Right-of-Way

Agencies that use Net Revenues (through CTFP or LFS programs) to acquire project ROW shall dispose of land deemed in excess of the proposed transportation use. Excess land

sold by the lead agency will be disposed of in accordance with the process established in Government Code, Article 8, Surplus Land, Section 54220-54232, etc. Seq. and the ROW acquisition/disposal plan submitted as part of the application process. The agency shall return proceeds from the sale to OCTA. OCTA shall return the funds to the program of origin for future use.

Proceeds from the sale of excess ROW shall be returned to OCTA in proportion to the amount of M2 funds used in the purchase.

Agencies shall submit ROW documents for all parcels utilizing M2 Net Revenues. Agencies must submit the following documents:

- Summary of the ROW required for the project
- Plat maps and legal descriptions for ROW acquisitions
- Parcel location map
- Identification of anticipated excess right-of-way, if any
- Appraisal reports for excess right-of-way
- ROW acquisition/disposal plan

OCTA shall consider excess ROW with a value of \$10,000.00 or less as an uneconomic remnant. OCTA shall determine if excess ROW is to be considered an uneconomic remnant.

The agency shall submit a fair market value appraisal report for the excess land of each parcel. Appraisers must conduct appraisals in accordance with the Uniform Standards of Professional Appraisal Practice (USPAP). If an agency suspects that the excess ROW has a value of \$10,000.00 or less, the agency may conduct a limited fair market value appraisal to confirm the value of the excess right-of-way. The agency shall submit the appraisals with the ROW final report.

OCTA shall retain from the final payment the value of excess ROW that is proportional to OCTA's percentage match rate to the project up to OCTA's match rate of ROW grant. However, if the local agency provided additional funds beyond what was original estimated, OCTA will be reimbursed based on its proportional share of the cost of right-of-way.

An agency may include incidental expenditures from the disposal of property in their final report for the ROW grant.

An agency shall begin the process to sell excess ROW within 60 days after acceptance of the construction improvements.

OCTA shall not close-out the ROW grant or construction grant until the agency and OCTA resolve questions regarding excess right-of-way.

Example:

OCTA’s ROW grant:	\$500,000
OCTA grant match rate	75%
Parcel Costs:	
Cost – Parcel 1:	\$300,000
Cost – Parcel 2:	\$380,000
Cost – Parcel 3:	\$120,000
Cost – Parcel 4:	<u>\$100,000</u>
Total ROW Costs:	\$900,000
Payment with no excess ROW:	\$500,000

Excess right-of-way

Value of excess ROW for parcel 1:	\$200,000
Value of excess ROW for parcel 2:	\$105,000
Value of excess ROW for parcel 3:	\$ 0
Value of excess ROW for parcel 4:	<u>\$ 0</u>
Total Value of excess ROW:	\$305,000

OCTA contribution to ROW acquisition:

CTFP ROW contribution ÷ Agency total cost of right-of-way

$$\$500,000 \div \$900,000 = 56\%$$

OCTA’s shall reduce the final ROW payment by:

Parcel 1:	\$200,000 x 56% =	\$112,000
Parcel 2:	\$105,000 x 56% =	+ <u>\$58,800</u>
Total:		\$170,800
Payment (incorporating excess right-of-way):		\$500,000
		- <u>\$170,800</u>
		\$329,200

Agency Workforce and Equipment Rental

An agency must provide supporting documentation for work completed by agency staff. It is recommended that a unique project job key be created for each project and all project charges be billed under that job code. The agency shall multiply the fully burdened labor rate by the number of hours for each staff person assigned to the project. An agency may add actual overhead costs at an allowable rate up to 30 percent (30%) of payroll

and fringe benefits. Where an agency due to size cannot calculate its specific overhead rate, an agency may refer to the Cost Accounting Policies and Procedures Manual (CAPP) of the California Uniform Public Construction Cost Accounting Commission, which allows for a fixed overhead rate billing dependent on city size. Where an agency has actual overhead costs that exceed 30 percent (30%), these will be accepted when a fully audited cost allocation plan is provided and approved by the appropriate governmental entity listed in the CAPP or 2 Code of Federal Regulations Part 225.

An agency must provide supporting documentation for equipment used by local agency staff. An agency may use local agency or Caltrans surcharge and equipment rental rates.

Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP Guidelines and may conduct a technical and/or field review. As part of the technical/field review of a CTFP project, OCTA may:

- review ROW acquisitions and the potential for excess right-of-way
- compare hourly breakdown of staff time compared to staff time sheets
- conduct a project field review – ensure improvements are within scope
- review items that agencies self-certify
- verification of the reasonableness of project costs

OCTA may review all phases of the project.

OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for projects (i.e., expenditures, interest) to ensure compliance. OCTA will only reimburse eligible CTFP items listed on the cost estimate. The implementing agency is expected to complete the entire scope of work as presented in the original application.

See Chapter 10 for independent audit requirements beyond the technical/field review.

Reporting of Local Fair Share (LFS)

For the purposes of reporting non-project work (maintenance, repair, and other non-project related costs) funded by Measure M LFS funds, the Measure M2 expenditure report cited M2 Ordinance, Section III(B)(8) shall satisfy reporting requirements. If LFS funds are used for projects, the local agency shall also include a list of those funds and/or other Measure M2 funds in the Project Final Report cited in Section III(B)(9).

Project P - Regional Traffic Signal Synchronization Program Reimbursements and Reporting Requirements

The previous sections of this chapter outline the process and requirements regarding reimbursements and reporting for all competitive programs that are part of Measure M2. A lead agency shall also use the following additional reporting and documentation requirements specific to any competitive project funded through RTSSP (Project P) as part of the reimbursement process.

Procedures for Receiving Funds

RTSSP (Project P) funds projects with a three (3) year grant. Projects are divided into two components for the purposes of reimbursements and reporting: PI and Ongoing O&M. ~~O&M will begin after the PI of the project is completed and be required for the remainder of the project and last for a minimum of two (2) years.~~

Primary Implementation (PI) includes the following:

- Project administration (required)
- Developing and implementing optimized signal synchronization timing (required)
- Producing a PI Report, which includes the Before and After Study for the proposed project (required)
- Engineering design of signal improvements for the project (optional)
- System integration (optional)
- Proposed signal improvements, construction support, and contingency (optional):
 - New or upgraded detection
 - New or upgraded communication systems
 - Intersection/field system modernization and replacement
 - Minor signal operation improvements
 - Traffic management centers
 - Real-time traffic actuated operations and demonstration projects
- Contingencies (optional)
- Construction management (optional)

Ongoing Operation and Maintenance (O&M) ~~will begin after the PI of the project is completed.~~ It includes the following:

- Monitoring and improving optimized signal timing (required)
- Communications support (optional)
- Detection support (optional)
- ~~Final~~ O&M report (required)

A lead agency must encumber funds OCTA allocates to a project within the fiscal year of the grant and after funding agreements with OCTA are executed. A lead agency encumbers funds by awarding a contract or providing expense reports to prove the lead or a participating agency's workforce costs, provided that the lead agency intends to complete the PI with lead agency or participating agency staff. Once an agency encumbers RTSSP (Project P) funds for PI, it can begin the process for receiving payment of the funds. Note that only the lead agency will receive payment of funds from OCTA. Any funds that are due to other participating agencies are the responsibility of the lead agency and not OCTA.

The project lead agency must submit payment requests through OCTA's online database, [OCFundtracker](#). Additional details about the retention caps, timely payment requests, project closeout, and payment are available in Chapter 9.

Availability of Funds

The funds allocated for projects will be available to project lead agencies July 1st of the programmed year and after funding agreements with OCTA are executed.

Initial Payment Requests for Primary Implementation

The initial payment will provide up to 75 percent (75%) of funds for the PI of the project. The following information specific to the RTSSP (Project P) Project is provided regarding the documentation requirements for initial payment of PI after an agency encumbers funds for the project.

The interactive electronic versions of all payment forms can be downloaded via OCFundtracker.

The PI-final report has been provided so a lead agency can determine the reporting and documentation required for an initial payment request. Staff may request additional documentation that is not listed on the PI Report prior to approving the request. The electronic versions of the forms are available through the OCFundtracker.

Below is additional information regarding documentation requirements for RTSSP payment requests. The CTFP Payment Supplement provides instructions and sample forms for the items listed.

- Invoice - For initial payments, the lead agency shall invoice for 75 percent (75%) of the contract amount or programmed amount of the project's PI, whichever is less. For final payments of the PI, the lead agency shall invoice the remaining balance of the project's PI phase contract amount or programmed amount, whichever is less
- Project Certification Letter (initial and final)

- Revised Cost Estimate (initial)
- PS&E Certification (initial and final)
- Certification of Phase (initial)
- ~~Final~~ Report Submission
- Division of Cost Schedule (final)
- Work Schedule - OCTA requires a complete project schedule, including expected start and completion dates for tasks in the PI and Ongoing O&M phases (initial and final)
- ROW Documents - No requirements as ROW is not a part of RTSSP

Detail on other aspects on Initial Payment Requests for PI including project advancement and reimbursement is available in this chapter.

Example of Initial Reimbursement for Primary Implementation (PI):

CTFP Grant Allocation	OCTA Match Rate	Local Agency Match Rate
\$960,000.00	80%	20%

Step 1

$$\text{Eligible Expenses} \times \text{OCTA Match Rate} = \text{Product}$$

$$\$1,000,000.00 \times 80\% = \$800,000.00$$

Step 2

Check if **Product** is greater than or less than **CTFP Grant Allocation Amount**:
\$800,000 vs **\$960,000**

Step 3

Use the lower of the **Product** or **CTFP Grant Allocation**
 In this case, the **\$800,000.00** amount is lower

Step 4

Then multiply the amount by **75%** (Initial Payment Percentage)

\$800,000.00	x	75%	=	\$600,000.00
				Invoice Amount

Final Payment Requests for Primary Implementation

OCTA will release the remaining balance to the lead agency, approximately 25 percent (25%) of funds for the PI, when the project's PI phase is complete and OCTA receives the project Before and After Study. The balance is determined based on the final costs for the eligible RTSSP expenditures. The Before and After Study is defined as the following:

This study shall at minimum collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived CSPI metric. In addition, greenhouse gas and gasoline savings should be identified. This information shall be developed both before any signal timing changes have been made and after the PI. The study shall compare the information collected both before and after the timing changes. Comparisons shall 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.).

~~A template for the before and after study is available.~~ The PI Report, which includes the Before and After Study for RTSSP, shall be included as a requirement at the end of the Primary Implementation phase and as part of the Final Report as required by the M2 Ordinance, Attachment B, Section III.A.9~~for reimbursement purposes.~~

Payment Requests for Ongoing Operations and Maintenance

The payments for the Ongoing O&M portion of the project award will cover the remainder of the grant period after the PI phase is completed and will be paid as a reimbursement upon proof of work/payment and receipt of invoice. The invoice should include the Final O&M report with details on the ongoing O&M work done including the required (1) work monitoring and improving optimized signal timing; and optional (2) communications and detection support.

~~O&M Project Final~~ O&M Report

The ~~project final~~ O&M Rreport shall be completed in accordance with all CTFP Guidelines upon the end of the ~~three-year grant period~~ O&M phase. In addition, the ~~final O&M R~~report shall summarize the ~~full project through the three-year grant period~~ O&M period, ~~include the Before and After Study from the PI phase, and report on additional updates/information that result from the Ongoing Operation and Maintenance phase.~~ documenting the O&M efforts and procedures for continuing maintenance shall be prepared. At ~~the~~ a minimum, the ~~f~~O&M rReport shall include when travel runs were conducted and issues and solutions throughout the phase. The ~~memorandum~~ report shall document all planned and programmed improvements on the study corridor as well as

recommendations for further infrastructure improvements that would likely improve enhance the corridor signal coordination project results.



COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: Consultant Selection for Traffic and Intelligent Transportation Systems Engineering Services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project

Regional Planning and Highways Committee Meeting of August 3, 2020

Present: Directors Bartlett, Chaffee, Delgleize, Muller, M. Murphy, R. Murphy, and Pulido

Absent: None

Committee Vote

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

Committee Recommendations

- A. Approve the selection of Albert Grover and Associates, Inc., as the firm to provide traffic and intelligent transportation systems engineering services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2019 between the Orange County Transportation Authority and Albert Grover and Associates, Inc., to provide traffic and intelligent transportation systems engineering services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project.



August 3, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Consultant Selection for Traffic and Intelligent Transportation Systems Engineering Services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project

Overview

On January 27, 2020, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for a consultant to provide traffic and intelligent transportation systems engineering services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project. Board of Directors' approval is requested for the selection of the firm to perform the required work.

Recommendations

- A. Approve the selection of Albert Grover and Associates, Inc., as the firm to provide traffic and intelligent transportation systems engineering services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-0-2019 between the Orange County Transportation Authority and Albert Grover and Associates, Inc., to provide traffic and intelligent transportation systems engineering services for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project.

Discussion

The Orange County Transportation Authority (OCTA) was awarded funds from the Solutions for Congested Corridors Program (SCCP) for the MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program (RTSSP) Project. Through a cooperative agreement, OCTA will lead and administer this multi-agency traffic signal synchronization project. OCTA requires the services of a highly-specialized traffic and intelligent transportation systems (ITS) engineering firm to deliver this project.

The MacArthur Boulevard/Talbert Avenue RTSSP Project will synchronize approximately 26 signalized intersections over approximately seven miles. The limits of the project are from Walmart Driveway (east of Beach Boulevard), to MacArthur Place (west of State Route 55) and include participation by the cities of Fountain Valley, Huntington Beach, and Santa Ana. The project goals are to improve travel times, reduce emissions, and provide savings to motorists in reduced fuel consumption through new optimized coordinated synchronized traffic signal timing at all intersections along the project limits, consistent with previous countywide signal synchronization goals.

Procurement Approach

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

The Board authorized the release of Request for Proposals (RFP) No. 0-2019 on March 24, 2020, which was electronically issued on CAMM NET. The project was advertised on March 24 and 30, 2020, in a newspaper of general circulation. A pre-proposal conference was held on March 31, 2020, with 27 attendees representing ten firms. Three addenda were issued to provide pre-proposal conference information, responses to questions received, and handle administrative issues related to the RFP.

On April 23, 2020, five proposals were received. An evaluation committee consisting of members from Contracts Administration and Materials Management and Strategic Planning departments, and external representatives from the cities of Fountain Valley and La Habra met to review all submitted proposals.

Consultant Selection for Traffic and Intelligent Transportation Systems Engineering Services for the MacArthur Boulevard/ Talbert Avenue Regional Traffic Signal Synchronization Program Project

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

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

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

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

Firm and Location

Advantec Consulting Engineers (ACE)
Irvine, California

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

DKS Associates (DKS)
Anaheim, California

On May 27, 2020, the evaluation committee interviewed the short-listed firms. The interviews consisted of a presentation allowing each team to present its qualifications, highlight its proposal, and respond to evaluation committee questions. Firms also highlighted their staffing plans, availability of resources, work plans, and perceived project issues. Each team was asked general questions regarding its approach to the requirements of the scope of work, work plans, management of the projects, coordination with various agencies, experience with similar projects, and the team's solutions in achieving the project's goals.

Based on the evaluation of written proposals and information obtained during the interviews, staff recommends AGA as the firm to provide traffic and ITS engineering services for the MacArthur Boulevard/Talbert Avenue RTSSP Project. This firm ranked highest amongst the proposing firms based on the team's relevant experience in traffic and ITS engineering services. AGA's proposed team is comprised of qualified key personnel with relevant and recent experience in traffic signal synchronization and ITS projects. The firm demonstrated an understanding of the project requirements and presented a comprehensive work plan addressing key issues that are critical to the success of the project. The following is a summary of the proposal evaluation results.

Qualifications of Firm

AGA is a multi-disciplinary engineering firm specializing in municipal and transportation engineering services. The firm was founded in 1993 and has relevant experience with traffic engineering, traffic signal synchronization, transportation planning, project management, monitoring and operational controls of traffic signal systems, and ITS-related services. AGA has an office in the City of Fullerton with 19 employees and has provided services to local agencies in Southern California for traffic engineering and ITS projects. Recent and relevant projects for OCTA and other agencies in Orange County include: Orange County Traffic Signal Coordination Program, Euclid Street Demonstration Project, Chapman Avenue Proposition 1B/Traffic Light Signal Project, Tustin Avenue/Rose Drive, Bolsa Avenue/First Street RTSSP, Irvine Center Drive/Edinger Avenue RTSSP, Adams Avenue, La Paz Road, and Antonio Parkway Traffic Signal Synchronization Project (TSSP) projects. AGA was instrumental in the design and consensus building between the City of Rancho Santa Margarita, County of Orange, and California Department of Transportation (Caltrans) in providing new and future ITS communications infrastructure.

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

DKS has provided transportation planning and engineering services to public agencies across the United States since 1979. The firm has 139 professionals in seven offices nationally, and ten staff locally in the City of Anaheim. DKS has experience and expertise in traffic operational analysis, traffic signal synchronization, traffic signal design, systems engineering, and integration services in ITS and transportation communications networks. The majority of DKS' signal timing projects involve multiple jurisdictions and required consensus building amongst multiple agencies. DKS' recent and relevant projects for OCTA and entities in Orange County include: State College Boulevard, Westminster Avenue/17th Street, Anaheim Boulevard, Olympiad Road – Felipe Road RTSSP, Los Alisos Boulevard Corridor RTSSP, and the Magnolia Street corridor RTSSP.

Staffing and Project Organization

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

AGA's proposed team is experienced in traffic engineering operational projects for traffic signal timing and coordination utilizing the firm's in-house traffic management systems. The proposed project manager has over 25 years of experience in traffic and transportation and has managed over 11 different traffic engineering, traffic signal synchronization, and ITS projects for OCTA since 1998. AGA proposed an experienced quality assurance/quality control manager with over 40 years of experience who has been extensively involved in ITS design, traffic signal interconnect, coordination plans, traffic signal system implementation, and streetlight evaluation and design. AGA's senior transportation engineers have been instrumental in developing hundreds of signal timing plans throughout Orange County under OCTA's TSSP. AGA's key personnel and support staff have experience in traffic operations and transportation engineering services, including traffic signal timing, operational analysis, traffic signal and communication design, and systems engineering for ITS.

AGA's team presented knowledge of traffic impact studies, development of transportation planning models to evaluate long-range impacts, development of signals, master plan coordination, intersection design improvement plans, and traffic signal interconnect plans that include the latest advancements in ITS technologies. AGA's proposed team has worked together for over 20 years, and the team has successfully implemented numerous transportation signal timing and synchronization projects. AGA's experienced staff, resources, and availability are important to the project goals and the successful delivery and implementation of the project.

ACE proposed an experienced project team with knowledge and relevant experience in transportation engineering, transportation planning, and traffic engineering. The proposed project manager has 30 years of experience as project manager and operations task leader in traffic operations and traffic engineering, conducting and managing traffic signal synchronization and ITS projects. ACE's proposed task leader has 21 years of experience in the field of ITS engineering, transportation planning and design, and traffic engineering services. The project team consists of senior advisors, transportation planners, civil and traffic engineers, and signal synchronization and traffic coordinators. ACE's key personnel and specialists are experienced in ITS, traffic engineering, traffic safety, operations, maintenance and monitoring, systems communications, data collection, and TMC and signal improvements. The project team and key support staff have demonstrated experience working together on recent projects of similar size and scope.

DKS' proposed team is skilled in signal timing and synchronization projects and have experience in traffic operations and transportation engineering including traffic signal timing, operational analysis, and systems engineering for ITS. DKS' proposed project manager has 30 years of experience managing corridor studies, arterial signal systems projects, and ITS planning and development projects. The proposed senior transportation engineer and signal timing lead has over 25 years of experience in the implementation and delivery of traffic signal synchronization projects, and has expertise and knowledge in signal timing, troubleshooting software and hardware issues, and evaluating signal systems. The project team's task leaders and support staff are experienced in ITS, traffic engineering, operations, maintenance and monitoring, systems communications, traffic data collection, signal improvements, and demonstrated knowledge through recent projects in signal synchronization, signal improvement, communication design, and equipment implementation and installation. DKS' key personnel have successfully worked together on recent and relevant projects and have experience in traffic operations and transportation engineering including traffic signal timing, operational analysis, traffic signal and communication design, and systems engineering for ITS.

Work Plan

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

The work plan for AGA demonstrated a clear understanding of project requirements and project challenges. AGA discussed their project approach through specific tasks to be accomplished and by how they would perform operations and timing analysis to develop a coordination of signal timing.

The work plan proposed recommendations for new or modified traffic signal equipment to improve synchronization and traffic enhancement solutions. AGA demonstrated knowledge and research on the corridor and its understanding to the current traffic signal synchronization and explained unpredictable schedule impacts. AGA incorporated the latest technology recommendations by performing field reviews, foundation checks, product demonstrations, and assessing the respective agencies' needs on this project. AGA's work plan addressed high-traffic volumes at certain intersections, split phase operations and heavy-traffic volumes, and pedestrian traffic challenges. The firm demonstrated a thorough understanding of traffic conditions and signal synchronization timing and delays. AGA discussed possible corridor issues and proposed solutions for traffic signal optimization and signal timing analysis implementation during the interview.

The work plan for ACE conveyed a clear and distinct project understanding, the project management approach, quality assurance and quality control methods, implementation of optimized timing, and infrastructure signal improvements. The firm's work plan demonstrated knowledge of the project objectives and the goals of traffic signal analysis and implementation plans, upgrades to equipment to improve synchronization, and identification of traffic conditions and solutions. ACE proposed several enhancements including: review of existing transportation infrastructures along the corridor, use of data sources to determine origin/destination patterns, and application of case studies along the corridors to assess the effects of proposed improvements on actual operations of the streets, including detailed routes with regards to traffic flow and corridor synchronization. The work plan described traffic management center improvements, with regards to closed circuit television equipment, video management/detection systems, communication/hardware equipment, and other various traffic management systems equipment. In the interview, ACE discussed the approach and solution to the traffic data collection during various planned roadway closures of the Interstate 405 (I-405) overcrossings due to the ongoing I-405 Widening Project and continued impact of the Governor's stay-at-home order.

The work plan for DKS demonstrated an understanding of the project's key requirements, challenges, recommendations, and solutions. The work plan addressed traffic volumes and synchronization performance, signal cycle timing, pedestrian and bicycle detection, and proposed corridor improvements. DKS proposed a proactive team approach to include weekly project meetings, hands-on relationships with the cities, effective budget controls, and value

engineering techniques. DKS proposed efficient signal synchronization timing to be performed at each corridor and suggested traffic signal upgrade recommendations. The firm presented its project management approach, quality assurance and quality control methods, and adherence to the project schedule.

DKS discussed solutions for traffic signal optimization and the use of automated traffic signal performance measures in the performance of their work. DKS demonstrated their understanding of project issues and proposed solutions in the interview, and recommended traffic equipment upgrades to improve signal synchronization.

Procurement Summary

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

Fiscal Impact

The project is included in OCTA's Fiscal Year 2020-21 Budget, Strategic Planning Division, Account No. 0017-7519-SPF31-P57. Staff has secured funds in the amount of \$2,950,770 (80 percent from the SCCP {SB 1 [Chapter 5, Statutes of 2017]}). Measure M2 will provide \$590,154 (16 percent). The local agencies will provide \$148,076 (four percent) of the total project cost in matching funds.

Summary

Staff requests Board approval for the Chief Executive Officer to negotiate and execute Agreement C-0-2019 with AGA to provide traffic and ITS engineering services for the MacArthur Boulevard/Talbert Regional Traffic Signal Synchronization Program Project.

Attachments

- A. Review of Proposals, Request for Proposals 0-2019 Consultant Services for Traffic and Intelligent Transportation Systems Engineering Services for MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project
- B. Proposal Evaluation Criteria Matrix – A&E, RFP 0-2019 Consultant Services for Traffic and Intelligent Transportation Systems Engineering Services for MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project
- C. Contract History for the Past Two Years, RFP 0-2019: Consultant Services for Traffic and Intelligent Transportation Systems Engineering Services for MacArthur Boulevard/Talbert Avenue, Regional Traffic Signal Synchronization Program Project

Prepared by:



Amy Tran
Transportation Analyst, Principal
Regional Modeling - Traffic Operations
(714) 560-5379

Approved by:



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



Virginia Abadessa
Director, Contracts Administration and
Materials Management
(714) 560-5623

Review of Proposals

Request for Proposals 0-2019 Consultant Services for Traffic and Intelligent Transportation Systems Engineering Services for MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project

Presented to Regional Planning and Highways Committee - August 3, 2020

Five firms proposed, three firms were interviewed, one firm is being recommended

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments
1	86	Albert Grover & Associates, Inc. Fullerton, California	National Data & Survey Services Crosstown Electrical and Data, Inc. Aim Traffic Data LLC	Experienced firm in traffic engineering, signal synchronization, transportation planning, and intelligent transportation systems (ITS). Project manager has over 25 years of experience in traffic engineering, transportation planning, and signal synchronization projects. Proposed project team experienced in traffic engineering operational projects for traffic signal timing and coordination utilizing in-house traffic management systems. Proposed key personnel have successfully worked on relevant signal timing synchronization and ITS projects. Proposed team has experienced staff, resources, and availability for successful delivery and implementation of the project. Work plan demonstrated a clear understanding of project key requirements, challenges, and proposed solutions. Interview discussed issues and proposed enhancements for signal optimization and implementation.
2	82	Advantec Consulting Engineers, Inc. Irvine, California	Crosstown Electrical and Data, Inc. Counts Unlimited, Inc. Rock Miller	Experienced firm in multimodal transportation planning, engineering, and technology services. Proposed project manager has 30 years of experience in ITS and traffic engineering projects. Proposed team has experience in transportation engineering/planning, technology, and traffic engineering projects. Proposed team has demonstrated experience working on projects of similar size and scope. Work plan demonstrated understanding of the project constraints, solutions, and enhancements. Interview discussed project approach, operational impacts, and solutions.
3	79	DKS Associates Anaheim, California	Crosstown Electrical and Data, Inc. Ferreira Construction	Experienced firm in traffic operational analysis, traffic synchronization, and ITS. Proposed project manager has 30 years of experience with transportation corridor and traffic engineering projects, ITS planning, and development projects. Proposed project team has experience in transportation engineering, transportation planning, and traffic engineering. Proposed team has worked on relevant signal timing, traffic engineering, operation maintenance and monitoring, systems communications, and traffic data collection. Work plan demonstrated knowledge of the project's key requirements, challenges, recommendations, and solutions. Interview demonstrated understanding of project requirements and challenges.

Evaluation Panel:

Internal:
Contracts Administration and Materials Management (1)
Strategic Planning (3)
External:
City of Fountain Valley (1)
City of La Habra (1)

Proposal Criteria

Qualifications of the Firm
Staffing and Project Organization
Work Plan

Weight Factors

25%
40%
35%

PROPOSAL EVALUATION CRITERIA MATRIX - A&E

RFP 0-2019 Consultant Services for Traffic and Intelligent Transportation Systems Engineering Services for MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project

Firm: Albert Grover & Associates, Inc.							Weightings	Criteria Score
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.0	4.5	4.0	5.0	4.5	4.0	5.00	21.7
Staffing/Project Organization	4.0	4.5	4.0	4.5	5.0	4.0	8.00	34.7
Work Plan	4.5	4.5	4.0	4.5	4.0	4.0	7.00	29.8
Overall Score	83.5	90.0	80.0	92.5	90.5	80.0		86

Firm: Advantec Consulting Engineers, Inc.							Weightings	Criteria Score
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.0	4.5	4.0	4.5	4.5	4.0	5.00	21.3
Staffing/Project Organization	3.0	4.0	4.0	4.5	3.5	3.5	8.00	30.0
Work Plan	4.0	4.5	4.5	4.5	4.5	4.5	7.00	30.9
Overall Score	72.0	86.0	83.5	90.0	82.0	79.5		82

Firm: DKS Associates							Weightings	Criteria Score
Evaluator Number	1	2	3	4	5	6		
Qualifications of Firm	4.0	4.5	4.0	5.0	3.5	4.0	5.00	20.8
Staffing/Project Organization	3.5	4.0	3.5	4.0	4.0	3.5	8.00	30.0
Work Plan	4.0	4.0	4.0	4.0	4.0	4.0	7.00	28.0
Overall Score	76.0	82.5	76.0	85.0	77.5	76.0		79

The range of scores for non short-listed firms is 69 to 71

A&E - Architectural and engineering
RFP - Request for Proposals

Contract History for the Past Two Years

RFP 0-2019: Consultant Services for Traffic and Intelligent Transportation Systems Engineering Services for MacArthur Boulevard/Talbert Avenue Regional Traffic Signal Synchronization Program Project

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Albert Grover and Associates, Inc.						
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical and Data, Inc.	C-2-1416	Adams Avenue Regional Traffic Signal Synchronization Project	May 15, 2014	May 31, 2019		\$ 1,144,786
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical and Data, Inc.	C-1-2634	Antonio Parkway Regional Traffic Signal Synchronization Project	June 23, 2014	June 30, 2019		\$ 1,317,499
Contract Type: Contract Task Order Subconsultants: Crosstown Electrical and Data, Inc.	C-4-1804	Alicia Parkway Regional Traffic Signal Synchronization Project	June 15, 2016	June 30, 2019		\$ 2,135,540
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical and Data, Inc.	C-0-1810	On- Call Traffic Engineering and Intelligent Transportation Systems Services	June 17, 2020	June 30, 2024		
Sub Total						\$4,597,825
Advantec Consulting Engineers, Inc.						
Contract Type: Contract Task Order Subconsultants: Pacific Traffic Data Services Crosstown Electric & Data, Inc.	C-2-1417	Consulting Services Jeronimo Road Traffic Signal Synchronization Project	May 15, 2014	May 31, 2019		\$ 307,621
Contract Type: Time and Expense Subconsultants: None	C-8-1627	Intelligent Transportation Systems On-Call Support Services				\$ 50,000
Contract Type: Contract Task Order Subconsultants: Pacific Traffic Data Services Crosstown Electric & Data, Inc.	C-2-1418	Traffic Engineering Services Edinger Avenue Traffic Signal Synchronization Project	June 18, 2016	December 31, 2018		\$ 803,019
Contract Type: Firm-Fixed Price Subconsultants: Counts Unlimited, Inc.	C-8-1910	Intelligent Transportation Systems and Traffic Engineering Services for Garden Grove Boulevard	September 19, 2019	June 30, 2023		\$ 2,480,653
Contract Type: Firm-Fixed Price Subconsultants: AimTD, LLC. Counts Unlimited, Inc.	C-9-0940	Intelligent Transportation Systems and Traffic Engineering Services for Los Alisos Boulevard	September 19, 2019	June 30, 2023		\$ 2,028,365
Sub Total						\$5,669,658
DKS Associates						
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical and Data, Inc.	C-2-1421	Goldenwest Street Project P Traffic Engineering	June 15, 2012	December 31, 2018		\$ 432,338
Contract Type: Contract Task Order Subconsultants: None	C-2-1421	Traffic Engineering Services Los Alisos Boulevard	May 20, 2013	December 31, 2018		\$ 371,409

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical and Data, Inc.	C-4-1320	Traffic Engineering Services State College Boulevard Regional Traffic Signal Synchronization Project	May 23, 2014	June 30, 2019		\$ 940,870
Contract Type: Contract Task Order Subconsultants: Crosstown Electrical and Data, Inc.	C-4-1805	Westminster Avenue/17th Street Regional Traffic Signal Synchronization Project	June 29, 2016	May 31, 2020		\$ 3,405,611
Contract Type: Contract Task Order Subconsultants: National Data & Surveying Services Crosstown Electrical and Data, Inc. Ferreira Construction	C-9-1513	On- Call Traffic Engineering and Intelligent Transportation Systems Services	May 20, 2020	June 30, 2025		\$ -
Contract Type: Firm-Fixed Price Subconsultants: Ferreira Construction Crosstown Electrical and Data, Inc.	C-0-2018	Traffic Engineering and Intelligent Transportation Systems Services for Edinger Avenue	TBD	TBD		\$ -
Sub Total						\$5,150,228

RFP - Request for Proposals



COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors
From: *RW*
Laurena Weinert, Clerk of the Board
Subject: Coronavirus Health and Safety Measures

Executive Committee Meeting of August 3, 2020

Present: Chairman Jones, Vice Chairman Do, and Directors Davies, Hennessey, M. Murphy, and Shaw
Absent: None

Committee Vote

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

Committee Recommendations

- A. Adopt Orange County Transportation Authority Resolution No. 2020-070 supporting the delivery of a safe, reliable transportation system that prioritizes the health of passengers and employees and recognizes the critical role that transit plays for essential employees in keeping Orange County moving safely.
- B. Direct staff to follow requirements, guidelines, and best practices that promote the safe and healthy operation of transit service for the public and employees.
- C. Direct staff to seek necessary funding for the ongoing implementation of health and safety practices for the public and employees, including the replenishment of face covering inventory to ensure transit accessibility for all passengers.



August 3, 2020

To: Executive Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: Coronavirus Health and Safety Measures

Overview

Since March 4, 2020, when Governor Gavin Newsom declared a State of Emergency to help California prepare for the spread of the coronavirus, the Orange County Transportation Authority has proactively responded and implemented an evolving series of measures to ensure ongoing delivery of essential transportation services and projects while helping to protect the health and safety of the public and employees. These efforts have followed guidance and best practices from the State of California, Federal Transit Administration, California Transit Association, American Public Transportation Association, and others. An update on these health and safety measures is provided for Board of Directors' review and recommendations are presented to guide the agency's efforts moving forward.

Recommendations

- A. Adopt Orange County Transportation Authority Resolution No. 2020-070 supporting the delivery of a safe, reliable transportation system that prioritizes the health of passengers and employees and recognizes the critical role that transit plays for essential employees in keeping Orange County moving safely.
- B. Direct staff to follow requirements, guidelines, and best practices that promote the safe and healthy operation of transit service for the public and employees.
- C. Direct staff to seek necessary funding for the ongoing implementation of health and safety practices for the public and employees, including the replenishment of face covering inventory to ensure transit accessibility for all passengers.

Background

On March 4, 2020, Governor Gavin Newsom declared a State of Emergency to help the State of California prepare for a broader spread of the coronavirus (COVID-19), which subsequently was declared a pandemic by the World Health Organization. The Governor's declaration was followed by a March 19, 2020, stay-at-home order for California except for essential services. Public transportation and infrastructure projects have been designated by the state and federal governments as essential. Since then, some restrictions have been eased, and the Orange County Transportation Authority (OCTA) continues serving the public with transit services and capital project delivery.

OCTA has implemented a series of operational and administrative measures to prioritize the health and safety of passengers and employees. Implementation of these efforts is guided by federal, state, and local public health orders, as well as industry best practices and recommendations.

The health and safety measures implemented are in line with OCTA's core value of safety and fulfill the agency's mission of providing access to safe and reliable transportation for those who most need it. Delivering this service has become even more critical during the pandemic for essential workers and those making essential trips.

Discussion

The COVID-19 pandemic continues to be an evolving public health crisis and has presented ongoing and significant challenges that OCTA staff has endeavored to overcome in order to deliver safe and reliable transportation services to the public.

OCTA staff has worked in close coordination with officials at the federal, state, and local levels in an ongoing effort to monitor and respond to any changes in guidance related to public transit, passenger, and employee health.

In general terms, the activities to prioritize health and safety fall into two categories of safeguarding the public as well as employees and include, but are not limited to, the efforts listed below.

Employees:

- Issued personal protective equipment including face coverings, disposable gloves, hand sanitizer, face shields, and disinfectant as needed.

- Modified base operations and procedures to allow for social distancing and enhanced daily cleaning at bases.
- Implemented a daily COVID-19 employee screening including temperature check prior to employees beginning each shift.
- Implemented rear-door passenger boardings to limit interaction between coach operators and passengers and installed a chain near the front of the bus for further separation.
- Provided no-cost voluntary COVID-19 testing for employees.
- Launched a comprehensive health and safety education campaign, "Work Smart. Stay Safe."
- Created the cross-divisional Coronavirus Task Force and Executive Team Task Force, implemented focused CEO communications and virtual town halls for all employees.
- Provided extended leaves to employees over 65 or identified as high-risk for contracting COVID-19 and extended leaves for employees with dependent care issues.

Passengers:

- Enhanced daily cleaning and sanitation of buses, including added focus on high-touch areas using approved COVID-19 disinfectants.
- Implemented onboard social distancing, limiting boardings to approximately 15 passengers for 40-foot buses and 20 passengers for 60-foot buses.
- Provided onboard hand sanitizer dispensers.
- Increased bus service to meet demand in June 2020 following an initial reduction in March 2020 and provided added trips on the most heavily traveled routes.
- Required face coverings onboard and while waiting for the bus.
- Implemented rear-door boarding and required fares to be purchased offboard to limit interaction with other passengers and coach operators.
- Launched a comprehensive multi-lingual public outreach campaign that includes onboard signage, direct passenger emails, educational and informational videos, OCTA's website, social media, and traditional media.

Face covering requirements and best safety practices

One area where guidance has shifted during the pandemic has been regarding the use of face coverings as an effective method of limiting the spread of COVID-19.

In addition to being a mandate by the California Department of Public Health (CDPH), face covering use on public transportation is currently a best practice and recommendation included in guidance from the Federal Transit Administration (FTA), Centers for Disease Control and Prevention, California Transit Association, and American Public Transit Association.

The CDPH and state's guidance for the use of face coverings states that people in California must wear face coverings when they are in the high-risk situations listed below:

- Waiting for or riding on public transportation or paratransit or while in a taxi, private car service, or ride-sharing vehicle.
- Driving or operating any public transportation or paratransit vehicle, taxi, or private car service or ride-sharing vehicle when passengers are present. When no passengers are present, face coverings are strongly recommended.

The guidance does allow for exemptions for those under two years of age, persons with a medical condition that prohibits them from wearing one, and persons who are hearing impaired.

There is additional guidance and best practices related to onboard social distancing, bus cleaning and sanitization, employee health screening and training, personal protective equipment, rear-door boarding, fare collection, and other areas related to operations and workplace practices. In close coordination with the Orange County Health Care Agency, OCTA has incorporated these protocols into daily operational and administrative practices.

Since mid-May 2020, OCTA has required that passengers wear face coverings and has communicated the information through onboard signage and other passenger communications. The mandate for coach operators to wear face coverings while driving was put in place on May 2, 2020.

On June 12, 2020, the FTA announced it was providing nearly 100 million reusable cloth face coverings to transit, passenger rail, and aviation sectors throughout the nation. OCTA received 60,000 cloth face coverings from FTA, the bulk of which arrived the week of July 20, 2020. Beginning July 27, 2020, OCTA began distributing face coverings to passengers at the OCTA Store and onboard Route 43 and Bravo! 543 on Harbor Boulevard between the cities of Fullerton and Costa Mesa, and Route 66 on McFadden Avenue between the cities of Huntington Beach and Irvine. OCTA is testing two types of dispensers, which are installed near the onboard hand sanitizer. Based on operation and

maintenance considerations, OCTA will determine the best option moving forward to install dispensers throughout the entire fleet in the coming weeks.

Additionally, OCTA is exploring distribution of face coverings through social service agencies that purchase bus passes in bulk. Face covering distribution helps ensure the health and safety of passengers and employees and removes barriers to transportation that are critical for access to employment, education, healthcare, and other essential trips.

Training and enforcement

Multiple operational and workplace changes have been implemented since March 2020, in OCTA's ongoing effort to help protect the health and safety of the public and employees. These changes have necessitated ongoing training and communication to Operations Division employees, in particular for coach operators, who represent the face of OCTA to passengers using OC Bus. All coach operators are required to attend eight hours of ongoing annual training. The training this year has included:

- Customer Service: focusing on positive interactions with internal and external customers
- Assault Awareness: focusing on situational awareness, mitigation, and conflict resolution
- Back to Basics: focusing on frequent passenger issues faced by coach operators

Additionally, coach operators who took leave during the initial months of the pandemic for any reason were required to take four additional hours of training upon their return that included updates on the modifications to operations including rear-door boarding, social distancing, and fare collection.

Specifically, regarding face coverings, coach operators have been instructed to inform passengers of the requirement and they are asked to enforce the requirement to the extent they are able. Coach operators are trained to avoid confrontation and de-escalate difficult situations. The intent of the training regarding face coverings is to avoid any escalation of tensions, which could further threaten the safety of passengers and employees. There are reports of incidents statewide, nationally, and internationally where drivers attempting to enforce face covering requirements have been assaulted causing severe injury or death.

OCTA contracts with the Orange County Sheriff's Department to provide Transit Police Services (TPS). At the coach operator's discretion and using their

professional judgement, they may contact Central Communications to seek additional assistance, which may include requesting that TPS be dispatched.

Summary

OCTA continues its ongoing effort to implement the necessary measures that will help ensure the health and safety of the public and employees during the COVID-19 pandemic. A resolution and recommendations are presented for Board approval that prioritize and reinforce OCTA's culture of safety, adoption of best practices, and seek necessary funding for this effort.

Attachment

- A. Resolution No. 2020-70 of the Orange County Transportation Authority, Coronavirus Health and Safety Measures Prioritization

Prepared by:



Joel Zlotnik
Communications Manager,
Public Information Office
(714) 560-5713

Approved by:



Jennifer L. Bergener
Deputy CEO/Chief Operating Officer
(714) 560-5492

**RESOLUTION NO. 2020-070
OF THE
ORANGE COUNTY TRANSPORTATION AUTHORITY**

CORONAVIRUS HEALTH AND SAFETY MEASURES PRIORITIZATION

WHEREAS, on March 4, 2020, a State of Emergency was declared to help California slow the spread of the coronavirus (COVID-19); and

WHEREAS, the Orange County Transportation Authority (OCTA) proactively responded to the public health crisis by reducing the frequency of bus service and implementing a series of health and safety precautions to protect the public and employees; and

WHEREAS, OCTA has coordinated closely with the Orange County Health Care Agency and followed the guidance and best practices of the State of California, the Federal Transit Administration, the California Transit Association and others; and

WHEREAS, the OC Bus system is critical to thousands of essential employees who are keeping Orange County operating during the public health crisis; and

WHEREAS, all essential workers in the County, including OCTA coach operators, mechanics, and service workers, are the unsung heroes of this public health crisis; and

WHEREAS, OCTA recognizes its responsibility to each OC Bus passenger and employee to help them travel safely to their destination and back home to their families in good health; and

NOW, THEREFORE, BE IT RESOLVED that the OCTA Board of Directors (Board) does hereby support the implementation of all necessary precautionary measures to help prevent the spread of COVID-19 and promote a culture of safety throughout the OC Bus system and in the workplace; and

BE IT FURTHER RESOLVED that the OCTA Board recognizes all essential workers throughout the County for their unwavering commitment to serving the public; and

BE IT FURTHER RESOLVED that the OCTA Board commends the tremendous performance of all of the agency's employees, including coach operators, maintenance staff, and service workers, who continue their dedication to keeping Orange County moving safely.

ADOPTED, SIGNED, AND APPROVED this _____ day of _____, 2020.

AYES:

NOES:

ABSENT:

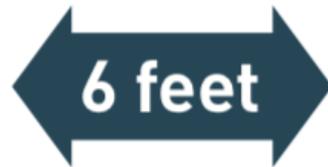
ATTEST:

Laurena Weinert
Clerk of the Board

Steve Jones, Chairman
Orange County Transportation Authority

OCTA Resolution No. 2020-070

Coronavirus Health and Safety Measures



Guidance, Coordination, Collaboration



Coronavirus (COVID-19) Passenger Safety Measures

- Temporary service reductions
- Rear-door boarding
- Social distancing
- Enhanced bus and facility cleaning
- On-board hand sanitizer
- Face covering requirement and distribution
(Pilot on limited routes)



KEEPING ORANGE COUNTY MOVING SAFELY
Please follow OC Bus Safety Guidelines to keep yourself and others safe.

Please wear face covering

Practice social distancing

Use on-board hand sanitizer

Board from the rear doors

A bus pass is required

Fewer customers per bus

Plan ahead before you ride
All adjusted routes and schedules can be found at [OCTA.net](https://www.octa.net)

OCBUS | **OCTA** **RIDE SMART. STAY SAFE.**

The graphic features six circular icons: a person wearing a pink face mask, two people sitting on a bench with space between them, a hand being dispensed with sanitizer, a person boarding a bus from the rear door, a person holding a 'ONE DAY' bus pass and a smartphone with a QR code, and a person standing at a bus stop with an 'OCBUS' sign.

COVID-19 Employee Safety Measures

- Personal protective equipment
- Daily screenings with temperature checks
- Enhanced base cleaning
- Daily safety checklist
- Training and education campaign
- Social distancing rules
- No-cost voluntary COVID-19 testing

WORK SMART. STAY SAFE.
To safeguard you and others, OCTA's safety practices include THE BIG FIVE.

- 1 Stay home if you feel sick
- 2 Face covering required
- 3 Practice social distancing (Keep 6 feet apart)
- 4 Wash your hands often (For 20 seconds)
- 5 Use Sanitation Stations to disinfect surfaces (When possible)

THE BIG FIVE



WORK SMART. STAY SAFE.

To help safeguard you and others, OCTA's safety practices include wearing a face covering.

Where social distancing is not possible, employees are required to wear a face covering at the bases, at all other OCTA locations, and when serving the public.

California's Face Covering Mandates

Workers must wear face coverings when:

- Interacting in-person with any member of the public
- Working in any space visited by members of the public, regardless of whether anyone from the public is present



Face coverings must be worn when:

- Waiting for, or riding on, public transportation or paratransit
- Driving or operating any public transportation or paratransit vehicle when passengers are present
- When no passengers are present, face coverings are strongly recommended

Face Covering Distribution and Communications

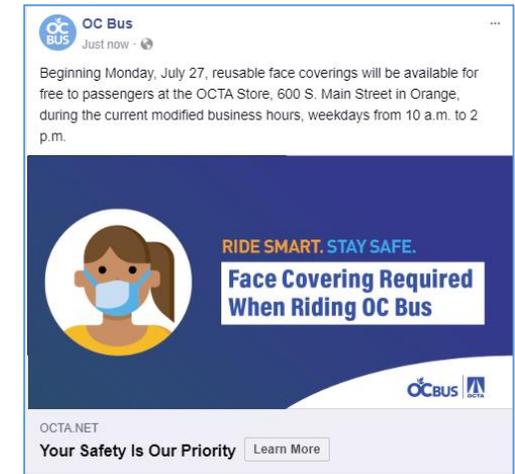
- Piloting face coverings onboard select bus routes and OCTA Store
- Exploring social service agency distribution with bulk pass buys
- Communicating requirements through multiple channels



Mask Dispenser



Bus Interior Card



Social Media

Next Steps

- Adopt Resolution No. 2020-070 supporting the delivery of a safe and reliable transportation system that prioritizes the health of passengers and employees
- Promote the safe and healthy operation of transit service
- Continue to seek funding for the ongoing implementation of health and safety practices

OCTA's Core Values

- Integrity
- Can-do Spirit
- Customer Focus
- Communications
- Teamwork
- **Safety**



COMMITTEE TRANSMITTAL

August 10, 2020

To: Members of the Board of Directors

From: Laurena Weinert,  Clerk of the Board

Subject: South Orange County Multimodal Transportation Study Update

Regional Planning and Highways Committee Meeting of August 3, 2020

Present: Directors Bartlett, Chaffee, Delgleize, Muller, M. Murphy,
R. Murphy, and Pulido

Absent: None

Committee Vote

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

Committee Recommendation

Receive and file as an information item.



August 3, 2020

To: Regional Planning and Highways Committee
From: Darrell E. Johnson, Chief Executive Officer 
Subject: South Orange County Multimodal Transportation Study Update

Overview

The Orange County Transportation Authority is conducting a long-range multimodal transportation study for the south Orange County area. Objectives of the study are to document transportation issues and opportunities, engage with key stakeholders, partner agencies, and the public to identify potential multimodal solutions. A status report on the study is provided for information purposes.

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority (OCTA) conducts planning studies to address the long-term transportation needs of Orange County. Multimodal transportation studies serve as the foundation of the long-range planning process by engaging stakeholders, providing focused analysis of corridor-specific transportation issues, and recommending a vision for the corridor or study area. The vision is often referred to as the locally preferred strategy (LPS).

Once an LPS is approved by the Board of Directors (Board), the recommended improvements advance to subsequent phases of the long-range planning process. First, improvements are considered for inclusion in the Long-Range Transportation Plan (LRTP) financially constrained project list. Next, OCTA uses the LRTP financially constrained project list as input for the Regional Transportation Plan (RTP) developed by the Southern California Association of Governments (SCAG). Finally, projects included in the RTP are then eligible to proceed through project-level development and implementation processes and compete for state and federal funding.

Achieving consensus on an LPS typically involves local jurisdictions' technical staff, transportation and environmental resource agencies, elected officials, residents, business and homeowner associations, and other key community organizations in the study screening and decision-making processes. As such, the improvement recommendations represent a locally supported vision for the study area's long-term transportation needs. With the conclusion of the South County Traffic Relief Effort (SCTRE) by the California Department of Transportation (Caltrans) and the Transportation Corridor Agencies (TCA), it is timely for OCTA to revisit the long-term transportation vision for southern Orange County.

Discussion

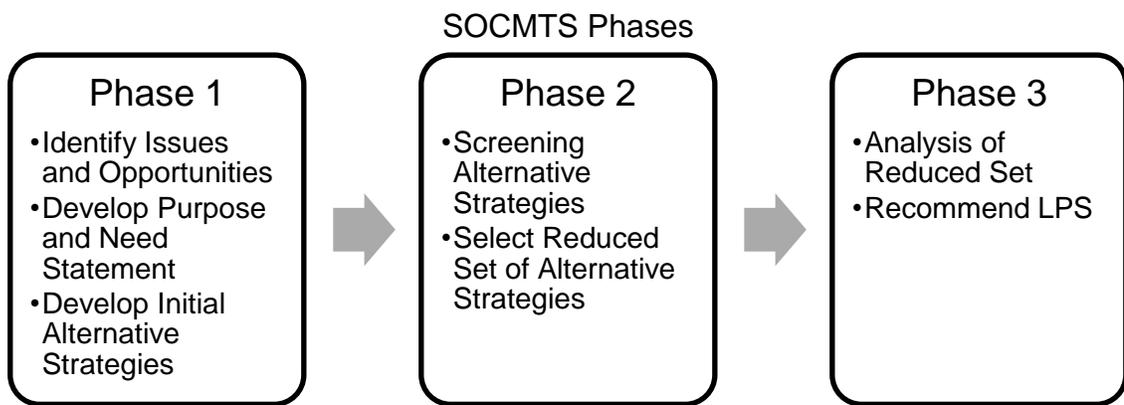
The South Orange County Multimodal Transportation Study (SOCMTS) will provide an updated transportation vision for the area¹ depicted in Attachment A, which was previously studied in the 2008 South Orange County Major Investment Study (SOCMIS). Since 2008, most of the recommendations from the SOCMIS LPS have been implemented or are underway, including the recently completed Interstate 5 (I-5) carpool lanes between San Juan Creek Road and Avenida Pico, and the I-5 widening between State Route 73 (SR-73) and El Toro Road, which is currently under construction.

There have also been significant changes since 2008 within south Orange County, including the elimination of the proposed State Route 241 (SR-241) southerly extension (assumed in the 2008 SOCMIS baseline scenario). In addition, Los Patrones Parkway opened as a north-south local arterial within a similar alignment as the eliminated SR-241 extension. Other notable changes impacting south Orange County include downscaled socioeconomic growth projections, a decline in transit ridership, the introduction of transportation network companies, demand responsive transit services, community-based transit circulators, an expanding fleet of electric vehicles, widespread use of navigation/traffic apps, and emerging connected and autonomous vehicle technologies. More recently, public health directives, in response to the coronavirus (COVID-19) pandemic, have had immediate impacts on travel, economic activity, and transit service in south Orange County. The long-term impacts of which may not be known for some time.

The transportation planning context has also changed significantly, including additional planning and funding requirements to analyze and consider greenhouse gas (GHG) emissions and vehicle miles traveled (VMT). This will likely continue to evolve as new legislation and guidance focusing on reducing growth in VMT, GHG emissions, and encouraging alternatives to driving alone is developed.

¹ The study area is generally bounded by State Route 55 to the north, Santiago Canyon Road to the east, the San Diego County line to the south, and the Pacific Ocean coastline to the west.

The objective of the SOCMTS is to develop consensus on an LPS of multimodal transportation investments for potential implementation over time. SOCMTS will be completed in three phases. Phase 1 of the study will: (1) document current and projected future transportation issues and opportunities in south Orange County; (2) develop the Purpose and Need Statement; and (3) develop a broad range of multimodal alternative strategies addressing the Purpose and Need Statement. Phase 2 will evaluate these strategies and recommend a reduced set of conceptual alternatives. Phase 3 will identify an LPS. All three phases are expected to be completed by late 2021.



Current study activities entail documenting study area transportation issues and opportunities, which will provide the foundation for the Purpose and Need Statement. Combined, these two initial steps provide the basis for defining alternatives for consideration, comparing alternative strategies, and ultimately, selecting an LPS. The transportation issues and opportunities along with the Purpose and Need Statement provide a starting point in forming the evaluation measures that will be used to screen alternative strategies in favor of more competitive options during the study process.

An initial evaluation of transportation issues and opportunities in the study area yield the following observations:

- There is consistently heavy traffic on I-5 and Interstate 405 (I-405) and heavy peak-period travel demand on major east-west arterials, which result in substantial congestion and low travel time reliability on many study area roadways. Projected population and employment increases are expected to exacerbate roadway congestion in the future in the absence of planned improvements.
- The toll roads that generally parallel I-5 and I-405 (i.e., SR-73 and SR-241) experience limited peak-period congestion.

- Average commute trips in the study area are longer distance than the countywide average.
- Low-density land-use patterns inhibit greater transit use in south Orange County.
- There is low usage of active transportation in south Orange County, attributable to factors including gaps in the bikeway network, challenging topography, a somewhat circuitous road network, and relatively few short-distance trips due to dispersed, low-density land-use patterns.

The transportation issues and opportunities analysis will be used to guide the development of the Purpose and Need Statement. As a point of reference, the Purpose and Need Statement from the 2008 SOCMIS highlighted the following key issues:

- Freeway congestion
- Arterial roadway congestion
- Weekend congestion
- Lack of transit choices
- Rail corridor constraints
- Economic/quality of life
- Maximize existing infrastructure
- System gaps

Stakeholder and Partner Agency Engagement

To ensure the study receives input from a broad range of stakeholders and the general public, the engagement program will use both traditional and non-traditional outreach methods. Methods will be responsive to public health directives while striving to obtain the greatest level of public involvement possible. OCTA will seek input from the general public through various tactics that may include social media, online surveys, virtual open houses, webinars, and a community hotline. Additionally, OCTA will conduct an elected official roundtable, a stakeholder roundtable, a technical working group, and a transportation agency working group.

While the OCTA Board will make policy decisions with respect to the study, elected official roundtables will provide input on significant policy issues, such as the Purpose and Need Statement, strategies and alternatives considered, evaluation criteria, and the selection of an LPS. An elected official roundtable will be convened on an as-needed basis throughout the duration of the study and will solicit input from elected officials from south Orange County cities and the County of Orange.

The stakeholder roundtable will provide a forum for more in-depth discussions about the Purpose and Need Statement and the proposed conceptual alternative strategies and will be convened on an as-needed basis. Stakeholder roundtable participants will be comprised of a broad range of interest groups including civic and community organizations, business and environmental leaders, major employers, and transportation advocates.

The Technical Working Group will be comprised of technical planning and public works staff from the cities within the study area and the County of Orange. The Transportation Agencies Working Group will be comprised of staff from Caltrans, TCA, SCAG, the San Diego Association of Governments, the Southern California Regional Rail Authority, and the Federal Highway Administration. These two working groups will support the exchange of technical information, review interim work products, and work to resolve technical issues that may surface during the study process. The two working groups will meet every other month.

During the next few months, OCTA will engage with the general public, stakeholders, and partner agencies to confirm the transportation issues and opportunities, draft the Purpose and Need Statement, and identify an initial set of conceptual alternative strategies. The conceptual alternative strategies are envisioned to represent a broad range of potential solutions to the challenges and opportunities presented in the Purpose and Need Statement. Furthermore, the conceptual strategies will incorporate assumed investments, such as Measure M2 commitments and the recommendations following the conclusion of the SCTRE (i.e., non-tolled extension to Los Patrones Parkway, Ortega Highway widening, and I-5 high-occupancy vehicle lane improvements). Additionally, the study will focus on long-term needs and not on near-term responses to the COVID-19 pandemic while acknowledging that the long-term impacts from the COVID-19 pandemic will not be fully realized or known for some time. It is anticipated that the study will need to be refreshed periodically to reflect changing conditions and priorities.

Summary

OCTA is working to develop strategies to improve travel in the south Orange County area. Study objectives are presented for Board review. Technical analysis, in conjunction with input from stakeholder engagement efforts, will guide the development of the Purpose and Need Statement and initial set of alternative strategies and will be brought to the Board for consideration later this year.

Attachment

A. South Orange County Multimodal Study Area

Prepared by:



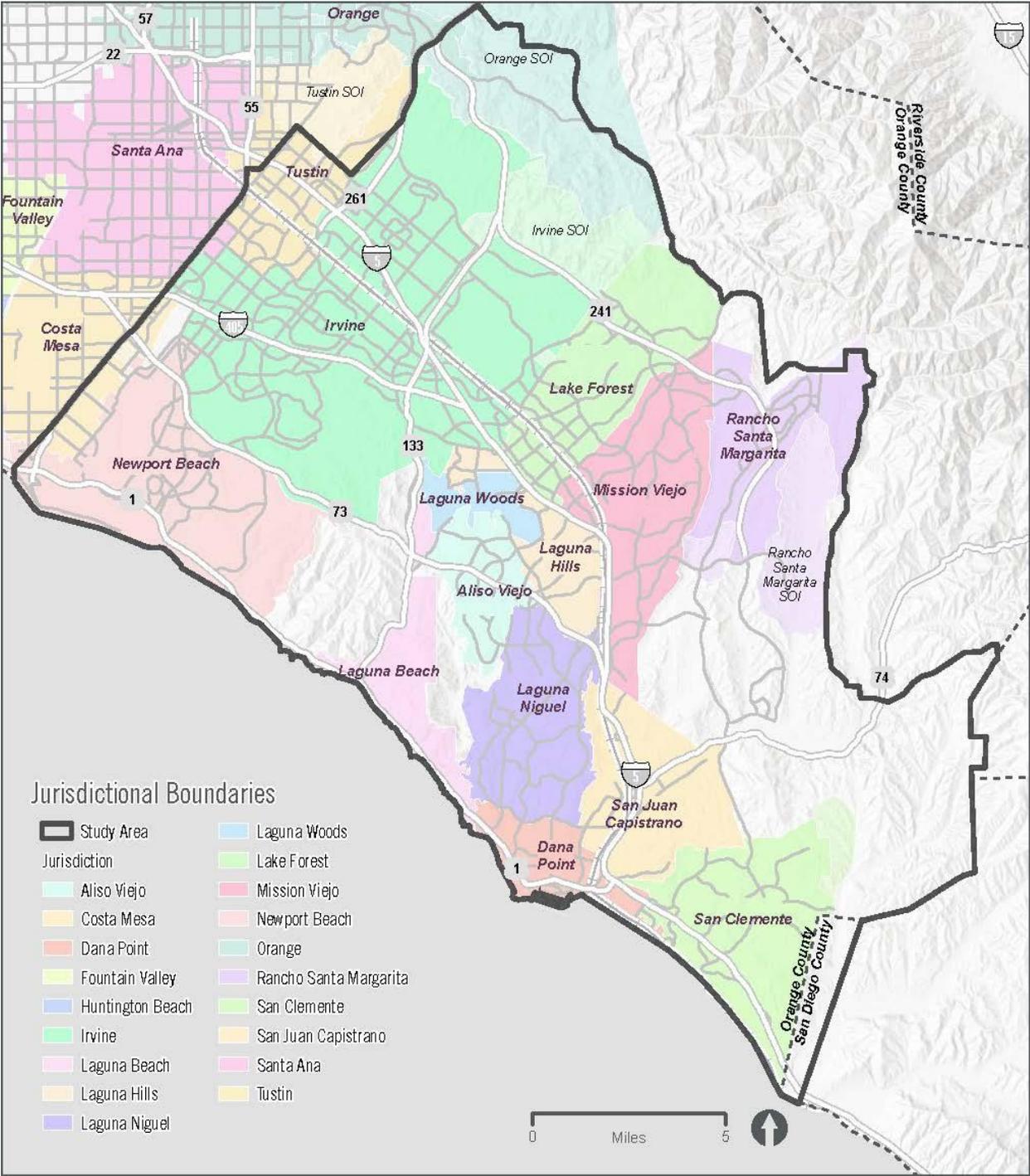
Warren Whiteaker
Senior Transportation Analyst
(714) 560-5748

Approved by:



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

South Orange County Multimodal Study Area

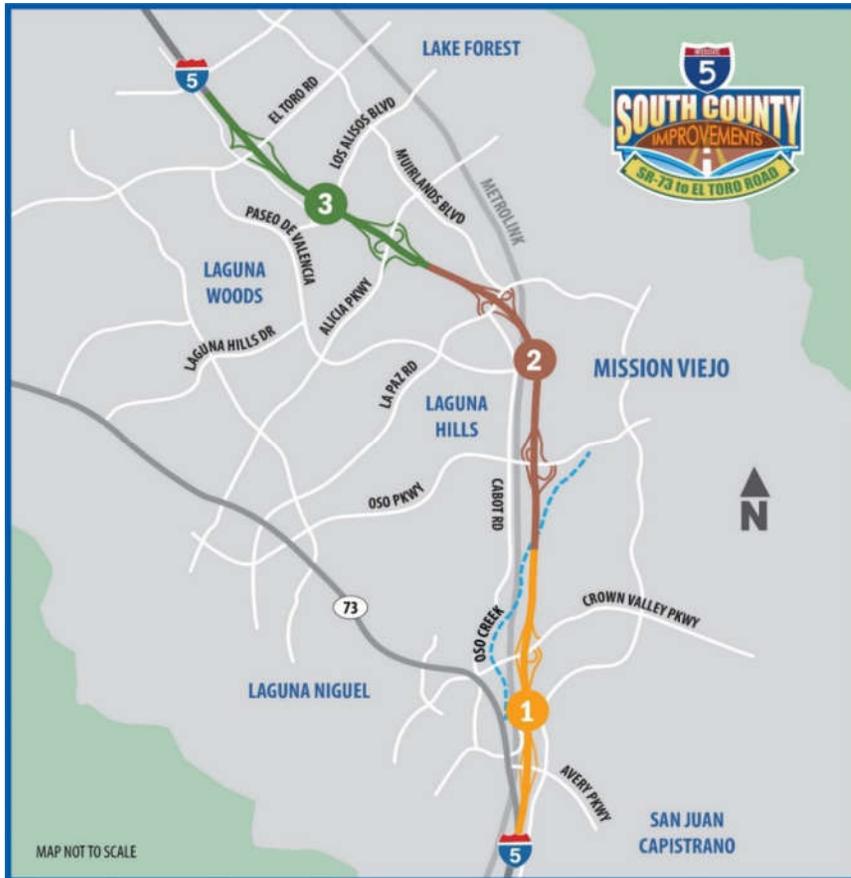




Update on Interstate 5 Widening Project Between State Route 73 and El Toro Road



Project Area



Project Segments

Segment 1

State Route 73 to Oso Parkway

Segment 2

Oso Parkway to Alicia Parkway

Segment 3

Alicia Parkway to El Toro Road

Total length: 6.5 miles

Total estimated cost: \$565m

Local Cities

Mission Viejo, Laguna Niguel

Mission Viejo, Laguna Hills

Laguna Hills, Laguna Woods,
Lake Forest

Project Improvements

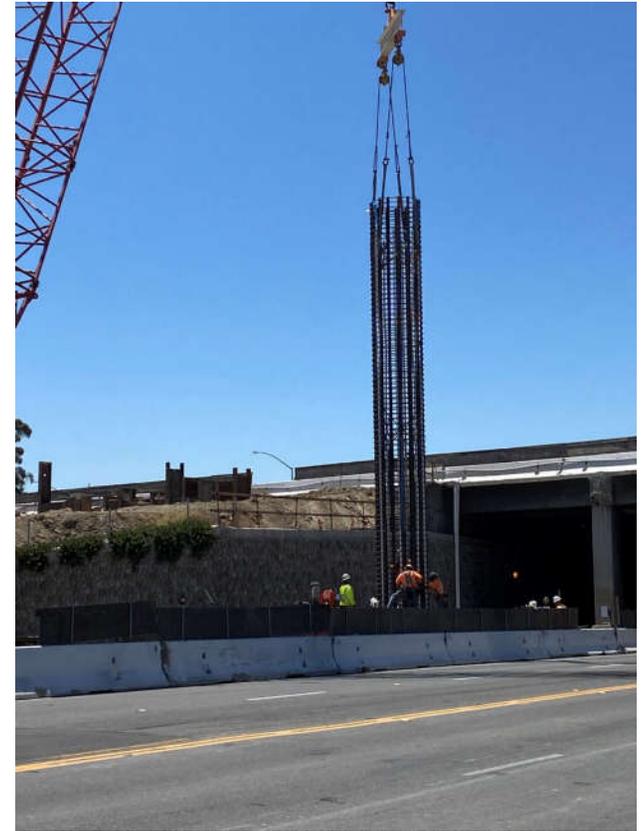
- 1** Add one general purpose lane in both directions from Avery Parkway to Alicia Parkway
- 2** Extend second high-occupancy vehicle (HOV) lane in both directions from Alicia Parkway to El Toro Road
- 3** Reconstruct Avery Parkway and La Paz Road interchanges and Los Alisos Boulevard overcrossing
- 4** Reconstruct and add auxiliary lanes
- 5** Realign and/or improve on- and off-ramps
- 6** Convert existing HOV lanes to continuous access throughout the project area

Estimated Construction Schedule

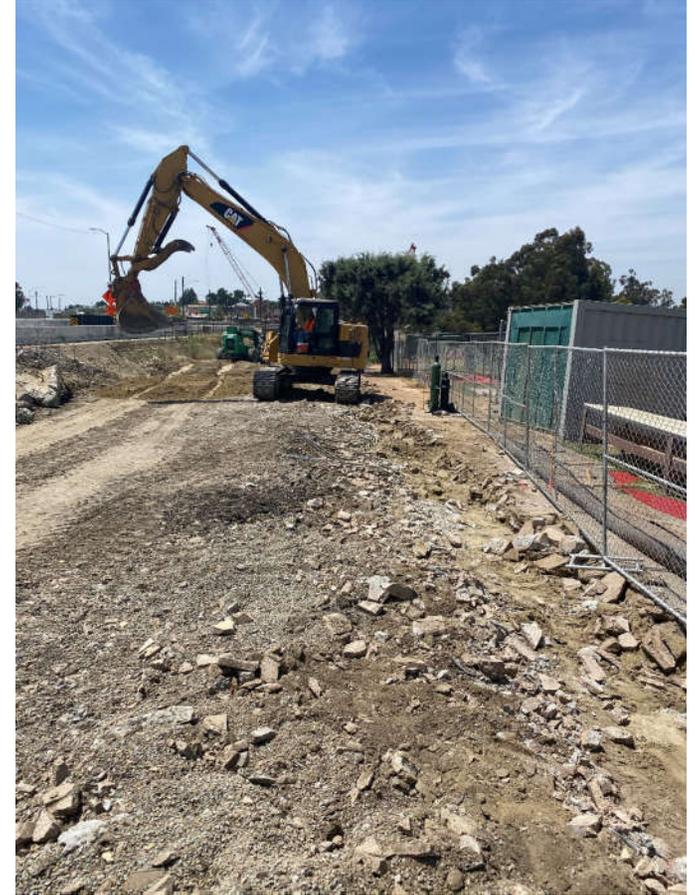


Segment	Estimated Schedule
Segment 2 Oso Parkway to Alicia Parkway	Late May 2019 – Late 2023 <i>Under Construction</i>
Segment 1 State Route 73 to Oso Parkway	Early 2020 – Early 2025 <i>Under Construction</i>
Segment 3 Alicia Parkway to El Toro Road	Late 2020 – Mid 2024

Segment 2 – Current Activities



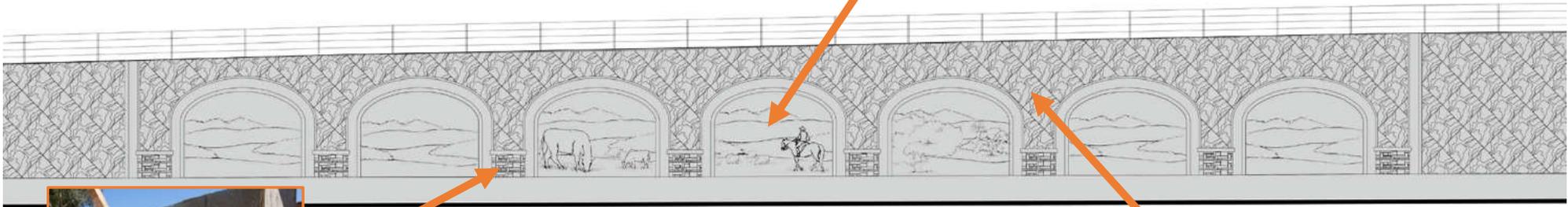
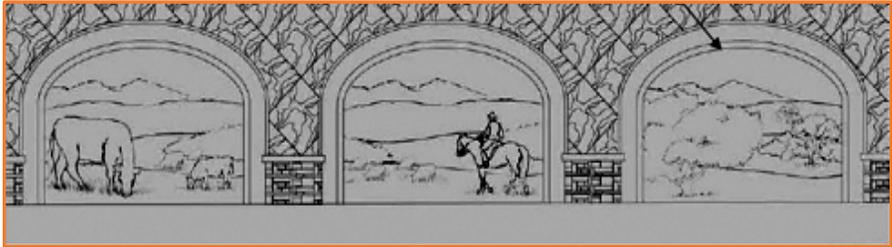
Segment 2 – Current Activities



Retaining Wall Aesthetics



Major Retaining Walls *Pastoral Ranch Theme*



Stacked Stone Texture

Slate Stone Texture



Segment 1 - Current Activities



Traffic Management Plan



55 mph zone
K-rail
CHP-enforced
Closures



Off-peak
Overnight
2 lanes



Short-term
28 hour
55 hour



Caltrans
Cities
CHP

Public Outreach



SOUTH COUNTY IMPROVEMENTS
CONSTRUCTION CREWS PERFORM NIGHTTIME EMERGENCY BRIDGE DECK REPAIR
Train Horns at I-5 and La Paz Road

WHAT Crews will be performing emergency bridge deck repairs of I-5 above the railroad tracks adjacent to the La Paz Road interchange. This work is not anticipated to require lane closures.

WHY This emergency work must be performed for safety reasons.

WHEN Work will be performed from 9:30 p.m. to 3:30 a.m. Monday through Thursday, beginning Aug. 19 and is expected to continue for up to four weeks.

WHERE

SOUTH COUNTY IMPROVEMENTS
SR-73 to EL TORO ROAD

IMPROVEMENTS ARE DOWN THE ROAD

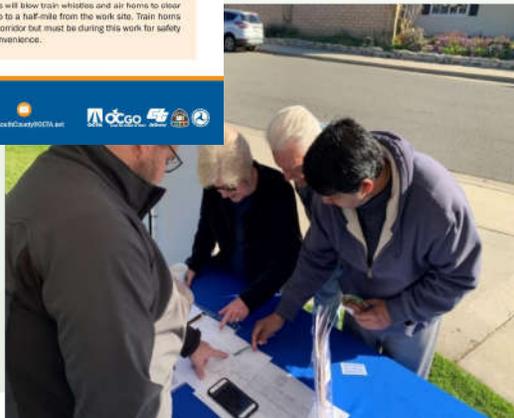
OCTA.NET/SOUTHCOUNTY

WHAT TO EXPECT

As required by law, train conductors will blow train whistles and air horns to clear tracks of any construction crews up to a half-mile from the work site. Train horns are not regularly blown within the corridor but must be during this work for safety reasons. We apologize for the inconvenience.

STAY INFORMED

855.724.0333 | octa.net/ibsearch | @SouthOCGO | #OC25SouthCounty | @SouthCountyOCGO.net



RECONNECT

Wayne Does that mean that most closures will be at night vs daytime?

Mary Rickey Thank you for the update at El Tero Rd.

Wayne Does that mean that most closures will be at night vs daytime?

Shelly Miller Are any toll lanes planned on this project?

Wayne If my off ramp is closed how far will I have to drive to get back to my route to my home?

Logan Selfick Thank you for your question Alice Rogan. The project is anticipated to be completed in 2025. Some segments will

Offer

Send to everybody... Chat mode

Type your comment...



Public Outreach Contacts



Fernando Chavarria
(714) 560-5306
fchavarria@octa.net



Logan Selleck
(714) 560-5573
lselleck@octa.net



octa.net/I5SouthCounty



@I5SouthCounty@octa.net



@OCI5SouthCounty



Project Help Line
949-614-0202



Facebook.com/OCI5SouthCounty