

**Fiscal Year  
2016-17**

**Orange County Transportation Authority**

**Approved Budget**





June 13, 2016

BOARD OF DIRECTORS

Lori Donchak  
Chair

Michael Hennessey  
Vice Chair

Lisa A. Bartlett  
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Steve Jones  
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Gregory T. Winterbottom  
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Ryan Chamberlain  
Ex-Officio Member

CHIEF EXECUTIVE OFFICE

Darrell Johnson  
Chief Executive Officer

Chair Lori Donchak and Members of the Orange County Transportation Authority Board of Directors:

In alignment with the Orange County Transportation Authority's (OCTA) vision, mission, values, and in accordance with the Board of Directors (Board) Strategic Initiatives, I present to you the fiscal year (FY) 2016-17 budget for OCTA. The FY 2016-17 budget is balanced at \$1.2 billion and commits the necessary resources to continue to keep its promises to the residents of Orange County.

This budget includes the new and more conservative Board-adopted forecast methodologies for both of OCTA's sales tax measures. The first relates to the Measure M2 (M2) Program, the ½ cent voter-approved sales tax which is projected to grow by 4.4 percent. The second, which funds approximately 58 percent of the bus program's operating expenditures, is the ¼ cent Local Transportation Fund which is projected to grow by 2.8 percent.

Under the M2 Program, funds will continue to provide improvements to freeways and streets and roads throughout Orange County, as well as fund several transit programs. Included in the proposed budget is \$230 million to make improvements to the Interstate 405, Interstate 5, State Route 55, State Route 57, and State Route 91 freeways. Approximately \$183 million is budgeted to improve streets and roads, including \$53 million to fund the Local Fair Share Program, \$53 million for the Regional Capacity Program, and \$50 million for the OC Bridges Project. In addition, the M2 transit budget includes \$61 million to continue the OC Streetcar.

In FY 2016-17, the budget to support the Bus Program is \$345 million. The budget includes efforts to begin the implementation of OC Bus 360, which aims to increase bus ridership. The budget also maintains existing service levels at 1.6 million service hours and defers a planned fare increase. In order to maintain service levels, despite declines in fare revenue and State Transit Assistance, and lower forecasted growth in sales tax, OCTA reduced the bus operating budget by \$20 million. The budget also includes the transition of approximately 52,000 hours of directly-operated service to the contracted service provider which will bring the total amount of contracted service to 40 percent.

The FY 2016-17 budget demonstrates OCTA's continued commitment to provide an effective and efficient multi-modal transportation network to enhance quality of life and keep the residents of Orange County moving.

Sincerely,

Darrell Johnson  
Chief Executive Officer





**OCTA**



# Table of Contents

## I. Executive Summary

OCTA Board of Directors .....	1
Organization Chart .....	3
OCTA Profile .....	7
Strategic Plan Framework .....	8
OCTA Accomplishments .....	10
OCTA Goals .....	11
FY 2016-17 Budget Sources and Uses .....	12
External Sources and Uses Report .....	14
Regional and Economic Factors .....	15
OCTA Programs .....	16
Provides descriptions, accomplishments and goals for Measure M2, Freeways, Streets and Roads, Rail, 91 Express Lanes, Motorist Services, Transit Bus Program	
Staffing Plan .....	22

## II. Financial Reports

External Sources and Uses .....	26
External Revenues and Use of Prior Year Designations .....	27
External Expenses and Designations .....	29

## III. Fund Budgets

External Fund Level Summary - Sources .....	32
External Fund Level Summary - Uses .....	33
External Revenues & Use of Designations by Fund .....	34
External Expenses and Designations by Fund .....	35

## IV. Administrative Fund Group

General Fund .....	38
ARBA Trust Fund .....	42
Internal Service Fund - PL and PD .....	44
Internal Service Fund - Workers Compensation .....	46
Scholarship Fund .....	48

## V. Transit Fund Group

Local Transportation Fund .....	52
Orange County Transit District Fund .....	55
State Transit Assistance Fund .....	58

## VI. Measure M Fund Group

Local Transportation Authority M2 Fund .....	62
Measure M - CURE Fund .....	64
Measure M2 Bond Debt Service Fund .....	66

## VII. Rail Fund Group

Commuter and Urban Rail Endowment Fund .....	70
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## VIII. Express Lanes Fund Group

State Route 91 Toll Road Fund .....	74
405 Express Lanes Fund .....	76

## IX. Motorist and Taxi Services Fund Group

Orange County Taxicab and Administrative Program Fund .....	80
Service Authority for Abandoned Vehicles Fund .....	82
Service Authority for Freeway Emergencies Fund .....	84

## X. Capital Projects Fund Group

Orange County Unified Transportation Trust Fund .....	88
Transit Development Capital Projects .....	90

## XI. Divisions

Executive Office .....	93
Finance and Administration .....	103
Human Resources and Organizational Development .....	117
Government Relations .....	129
Planning .....	135
Capital Programs .....	145
External Affairs .....	155
Transit .....	169

## XII. Appendix

Fund Descriptions .....	186
Glossary .....	188
Gann Appropriations .....	190
Board Budget Resolution .....	193
Map of Orange County .....	194
Budget Calendar & Controls .....	195
Debt Policy .....	196
CSMFO Award .....	198





**OCTA**



OCTA is governed by an 18-member Board of Directors consisting of five members of the Orange County Board of Supervisors, ten city council members selected by the cities in the supervisorial district in which they represent, two public members selected by the other 15 board members,

and a representative appointed by the Governor of California serving in a non-voting capacity. OCTA is managed by a Chief Executive Officer, who acts in accordance with the direction, goals, and policies articulated by the Board of Directors.

# BOARD OF DIRECTORS

**Lori Donchak**  
Chair  
Representing City Member  
5th District



**Michael Hennessey**  
Vice Chairman  
Representing Public Member



**Lisa A. Bartlett**  
Director  
Representing Supervisor  
5th District



**Andrew Do**  
Director  
Representing Supervisor  
1st District



**Steve Jones**  
Director  
Representing City Member  
1st District



**Jim Katapodis**  
Director  
Representing City Member  
2nd District



**Jeffrey Lalloway**  
Director  
Representing City Member  
3rd District



**Gary A. Miller**  
Director  
Representing City Member  
2nd District



**Al Murray**  
Director  
Representing City Member  
3rd District



**Shawn Nelson**  
Director  
Representing Supervisor  
4th District



**Miguel Pulido**  
Director  
Representing City Member  
1st District



**Tim Shaw**  
Director  
Representing City Member  
4th District



**Todd Spitzer**  
Director  
Representing Supervisor  
3rd District



**Michelle Steel**  
Director  
Representing Supervisor  
2nd District



**Tom Tait**  
Director  
Representing City Member  
4th District



**Frank Ury**  
Director  
Representing City Member  
5th District



**Gregory T. Winterbottom**  
Director  
Representing  
Public Member

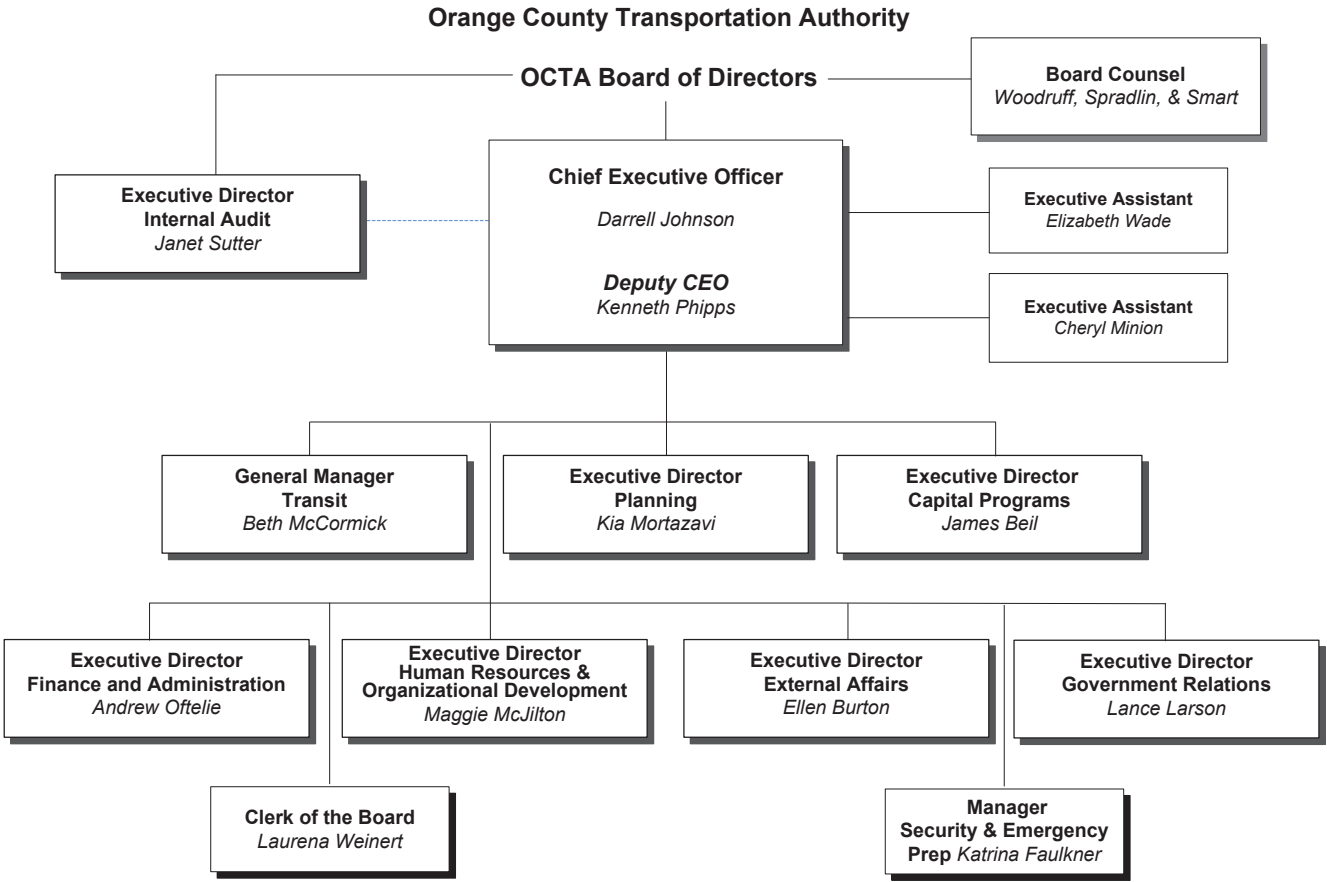


**Ryan Chamberlain**  
Governor's Ex-officio Member  
Representing Caltrans District 12  
District Director





**OCTA**





**OCTA**







**OCTA**

## OCTA's Core Values

The Orange County Transportation Authority (OCTA) was established by state law and began serving the public on June 20, 1991. OCTA is responsible for providing coordinated, effective, and accountable transportation planning and public transportation services within Orange County.

The former agencies and funds consolidated to form OCTA include:

- Orange County Transportation Commission
- Orange County Transit District
- Orange County Consolidated Transportation Services Agency
- Orange County Local Transportation Authority
- Service Authority for Freeway Emergencies
- Orange County Congestion Management Agency
- Service Authority for Abandoned Vehicles
- State Transit Assistance Fund
- Orange County Local Transportation Fund
- Orange County Unified Transportation Trust
- Transportation Development Reserve



## OCTA's Core Values

### INTEGRITY

We deliver as promised and do so ethically, fairly and with transparency.

### CUSTOMER FOCUS

We treat our customers with care, consideration and respect, providing friendly and reliable professional service responsive to their needs.

### CAN-DO SPIRIT

We tackle challenges with innovation, vision and strategic thinking.

### COMMUNICATION

We provide consistent, timely and reliable information in an open, honest and straightforward manner.

### TEAMWORK

We work well together from a sense of shared purpose and mutual respect.

OCTA works with federal, state, regional, and local agencies to plan, fund, implement, and maintain transportation programs and services throughout Orange County. The Board of Directors (Board) and staff work in close partnership with related agencies from all levels of government as the county's advocate for transportation improvements and ongoing services. Since its inception, OCTA's partnerships have resulted in increased funding for road and highway improvements, expansion of fixed route bus service, and creation of commuter rail service, all of which expand the variety of transportation choices in Orange County.



## OCTA's Strategic Plan Framework

OCTA's Strategic Plan (Version 2.0), adopted by the Board of Directors in April 2014, provides the framework of goals and values used for the development of the annual budget. OCTA's core values (inset on page 7) describe the basic behaviors, attributes, principles and beliefs that guide all OCTA staff. The Strategic Plan Goals shown below, are reflected in all of OCTA's planning.

### Strategic Plan Goals

#### MOBILITY

Deliver programs, projects and services to improve the movement of people and goods throughout Orange County and the region.

#### PUBLIC SERVICE

Enhance customer satisfaction by understanding, connecting with and serving our diverse communities and partners.

#### FISCAL SUSTAINABILITY

Ensure fiscal health through prudent financial management and by protecting and leveraging available revenue sources.

#### STEWARDSHIP

Embrace responsible policies and practices designed to promote environmental sustainability and enhance the safety and quality of life in Orange County.

#### ORGANIZATIONAL EXCELLENCE

Continue the tradition of being a high-performing organization through employee development and efficient business practices.



## OCTA's Strategic Plan Framework (continued)

The Board and CEO goals along with the Long-Range Transportation Plan, Comprehensive Business Plan, M2020 Plan, Plan of Finance, and Bus Capital Plan all play a role in the development of the budget.

### Long-Range Transportation Plan

Guided by the values, vision, and mission defined by the Strategic Plan, OCTA maintains a Long-Range Transportation Plan (LRTP) updated every four years to account for new planning efforts, as well as changes in demographics, economic conditions, and available sources of transportation funding.

Destination 2035 outlines a vision of multi-modal transportation improvements throughout Orange County. This blueprint of transportation projects and programs is the basis of OCTA's input for the Regional Transportation Plan (RTP) prepared by the Southern California Association of Governments. One purpose of the LRTP is to develop a strategy to address the future needs

of the transportation system, based on a long-term forecast of available revenues and growth in population, employment, and housing. The LRTP reflects OCTA's current policies and commitments and incorporates input from local jurisdictions, business and community leaders, county residents, transportation planning professionals and other stakeholders.

### Comprehensive Business Plan

The Comprehensive Business Plan (CBP) is a financially constrained business-planning tool designed to assist OCTA in implementing its strategic goals and objectives. The CBP encapsulates OCTA's programs and outlines goals and objectives over the next 20 years, as articulated by the Board. This is accomplished within the framework of sound business practices to provide an effective and efficient multi-modal transportation network to the residents of Orange County.

Through the use of financial modeling and divisional input and review, a comprehensive study of economic

influences and programmatic needs and objectives are incorporated into a business-planning document. The CBP validates the feasibility of proposed program and service levels, anticipates a variable economic environment, and identifies and proposes policy direction. The CBP is an evolving document that is approved by the Board bi-annually in response to the ever-changing social, political, and economic environment. The CBP lays the foundation for the annual budget process.

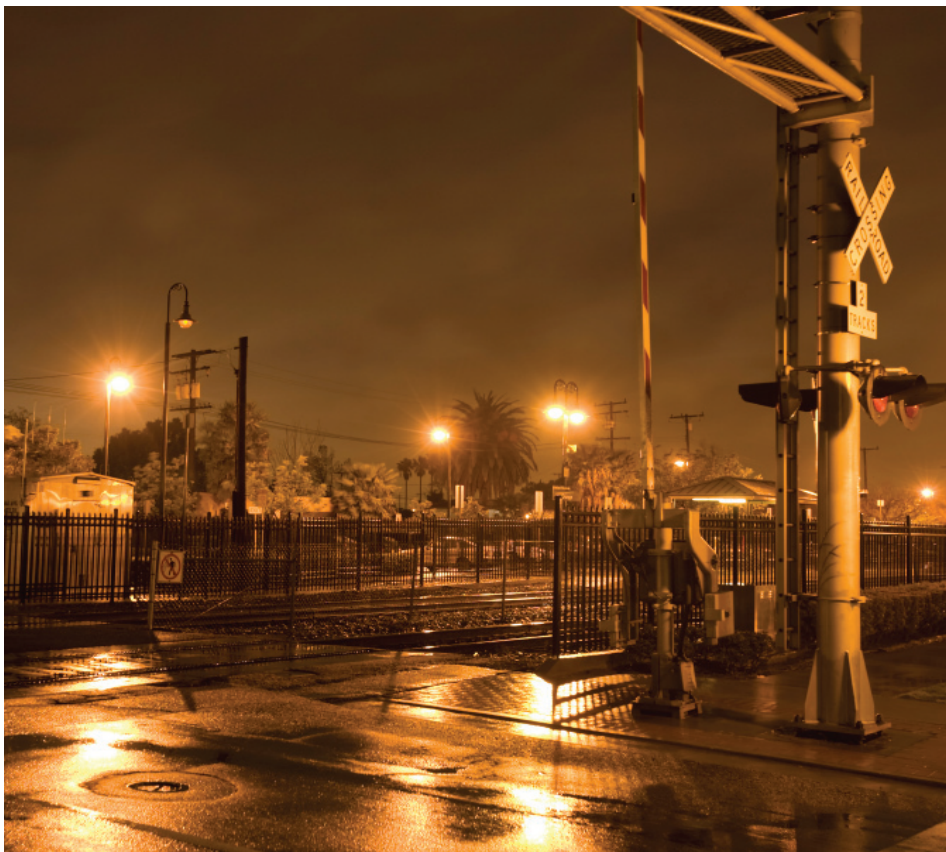
### M2020 Plan

In August 2007, the OCTA Board approved and released a Measure M2 (M2) Early Action Plan (EAP) covering FY 2006-07 through FY 2011-12. A financial plan to provide funding for projects was adopted by the OCTA Board on November 9, 2007. During the development of the EAP, guiding principles were established that set the direction for staff on establishing priorities for project acceleration.

These guiding principles are the basis for the M2020 Plan and represent a blueprint for continued advancement of M2 for the period from 2013 through 2020. The M2020 Plan presents strategies to accelerate M2 improvements by delivering early on promises made to the voters. This plan also set OCTA on a course to go beyond the early implementation projects as external funds can be secured.

### Bus Capital Plan

In 2012, OCTA prepared a bus capital plan to help prioritize future capital investments related to the bus program. The bus capital plan was revised in July 2015. The primary intent of the update was to develop a repeatable process to review and prioritize individual capital project improvements based upon factors such as need, programming status, and project readiness. Another main objective was to forecast project costs and funding availability in order to identify any funding shortfalls.

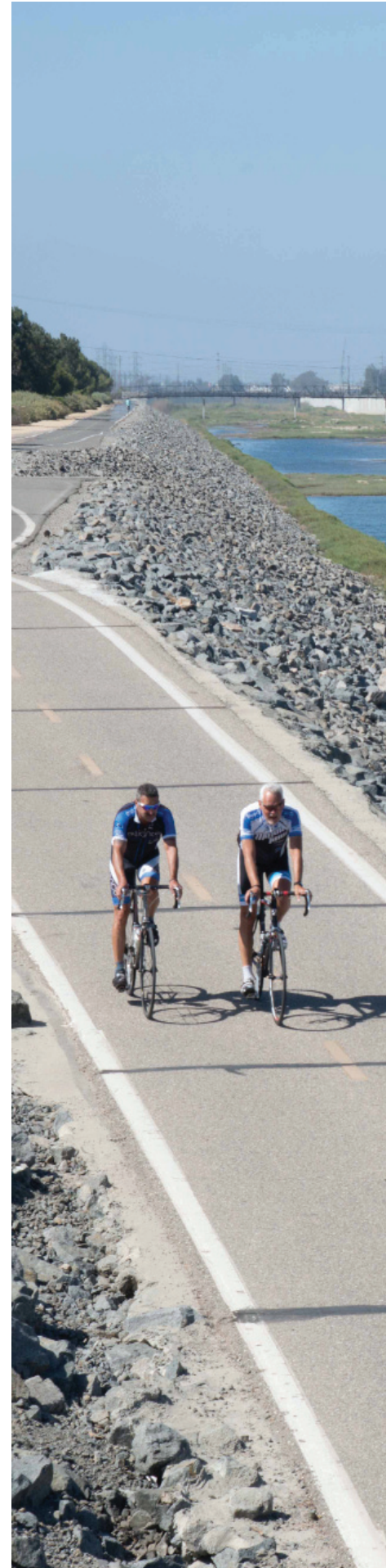




## OCTA Accomplishments

### Accomplishments Fiscal Year 2015-16

- The first comprehensive review of OCTA's M2 Program was completed and determined that M2 was supported by the public and continues to deliver M2 Programs as promised to the voters. An M2 Public Hearing was conducted and the Taxpayer Oversight Committee determined that OCTA is in compliance with the M2 Ordinance.
- Delivered on the environmental promises of Measure M by embracing policies and practices to promote environmental sustainability. The OCTA Environmental Cleanup Program was awarded the 2015 Sustainability Award by the Southern California Association of Governments. The award recognizes projects that coordinated land use and transportation to improve mobility, livability, prosperity, and sustainability in Southern California.
- The Federal Transit Administration issued a Finding of No Significant Impact for the environmental assessment/final environmental impact report, clearing the OC Streetcar project to advance into the design phase. Successfully entered the OC Streetcar project into the project development phase of the federal New Starts process.
- The final interagency transfer agreement (ITA) between the LOSSAN Caltrans Division of Rail and Mass Transportation was approved by the Secretary of the California State Transportation Agency. The ITA became effective July 1, 2015. An operating agreement between LOSSAN and Amtrak for the Pacific Surfliner service was executed and the LOSSAN Rail Corridor Agency is now responsible for the managerial and operational oversight of the Pacific Surfliner service, which is the second busiest Amtrak route in the nation, serving 2.7 million passengers.
- Earned the Certificate of Achievement for Excellence in Budgeting from the California Society of Municipal Finance Officers for FY 2015-16.
- Prepared the FY 2016-17 Annual Budget without unplanned use of prior year designations, which is also consistent with the Comprehensive Business Plan and Board approved goals, policies and procedures.
- Earned the Government Finance Officers Association (GFOA) Certificate of Achievement for Excellence in Financial Reporting for the FY 2014-15 Comprehensive Annual Financial Report (CAFR).
- Won the Achievement of Excellence in Procurement award sponsored by the National Procurement Institute for the fifth year.
- Received a rating upgrade from "A-" to "A" from Fitch Ratings for OCTA.
- Supported the passage of Fixing America's Surface Transportation (FAST) Act, which is the first law enacted in over ten years that provides long-term funding certainty for surface transportation and legislative action to extend the alternative fuel tax credit to all of 2015 and 2016.
- Secured legislation that revised the cap-and-trade funded Transit and Intercity Rail Capital Program to allow for improvements that will ensure investments are made in transformative transit and rail capital projects, improve mobility, and reduce greenhouse gas emissions.
- Developed 2016 Bus Service Plan and Bus Stop Spacing Efficiency Program in support of the OC Bus 360° ridership initiative. The program is expected to reverse the declining ridership trend and increase ridership by over 1.3 million boardings in three years.
- Issued a Bicycle Corridor Improvement Program call for projects to provide \$20 million of grants to local agency bicycle corridor projects.
- Delivered ten signal synchronization projects on behalf of multiple cities that resulted in significant travel time improvements for approximately 73 miles of arterials and 259 signalized intersections.





## OCTA Goals

### Goals Fiscal Year 2016-17

- Meet annual M2 ordinance compliance requirements of the Taxpayers Oversight Committee.
- Preserve fiscal stability through prudent financial planning. Complete the FY 2016-17 Comprehensive Business Plan and adopt a balanced budget for FY 2017-18.
- Update Emergency Operations Plans for all OCTA locations.
- Protect environmental resources. Finalize conservation, resource, management, and endowment plans.
- Complete construction of the I-5 widening between Vista Hermosa and Pacific Coast Highway, the I-5/SR-74 Ortega Highway interchange replacement planting, the SR-91 westbound widening between SR-55 and Tustin Avenue, the West County Connector replacement planting, the Orangethorpe Avenue railroad grade separation, the Tustin Avenue/Rose Drive railroad grade separation, the Fullerton Transportation Center elevator upgrades, and the Laguna Niguel/Mission Viejo Metrolink station pedestrian access ramps.
- Continue the transition of fixed route service to the contracted service provider to a level of 40 percent.
- Complete the FY 2015-16 Comprehensive Annual Financial Report (CAFR) that includes audited financial statements earning an unmodified audit opinion.
- Coordinate with Riverside County Transportation Commission on the extension of the existing 91 Express Lanes into Riverside County and receive and review the 241/91 Connector Traffic & Revenue Study from Transportation Corridor Agencies.
- Obtain Federal Transit Administration approval for entry into the project engineering phase for the OC Streetcar.
- Secure Transportation Infrastructure Finance and Innovation Act funding for the 405 Improvement Project.
- Release the design-build request for proposals and approve the design-build contract for the 405 improvement project.
- Continue to effectively manage OCTA Workers' Compensation program to reduce claims and related administrative expenses.
- Implement city outreach activities with OCTA Board of Directors and executive management regarding the M2 Program, increase awareness of OCTA local agency grant programs.
- Initiate county-wide Active Transportation Plan to consolidate regional bikeway plans and prioritize regional pedestrian projects.
- Finalize the Freeway Mitigation Program Natural Community Conservation Plan, Habitat Conservation Plan and associated Environmental Impact Report/Environmental Impact Statement.
- Complete implementation of mobile ticketing for all fixed-routes which includes a mobile application and use of electronic validators on all buses.
- Invest in targeted marketing programs for OC Bus 360° to attract, retain, and grow ridership.
- Safeguard public investments in transportation and conduct state and federal triennial reviews.
- Encourage the use of OCTA's programs and services while ensuring transparency and accountability to the public through comprehensive, proactive communication efforts.



## Sources and Uses

In an effort to continue fiscal sustainability, OCTA has balanced the FY 2016-17 budget. Sources and uses of funds are outlined in this section of the executive summary.

### Sources of Funds

Total sources of funds are a combination of \$972.2 million in revenue and the planned use of prior year designations of \$189.3 million for a total of \$1,161.5 million. The following highlights each funding source within these categories.

#### Local Sources

It is anticipated that OCTA will receive \$354.6 million from local sources in FY 2016-17. The majority of the local sources come from the 1/2 cent sales tax receipts collected under M2 (\$314.3 million). In FY 2016-17, OCTA is utilizing a M2 sales tax forecast provided by MuniServices, LLC. Additional local sources include property tax, advertising revenue, and contributions for projects from local jurisdictions.

#### Federal Sources

OCTA receives federal grant funds on a formula and competitive basis. OCTA anticipates receiving \$272.2 million from federal sources in FY 2016-17. Of this, \$71.1 million is comprised of federal operating assistance grants associated with bus operations, capital cost of contracting, preventive maintenance, and other transit program initiatives. Also included in the budget is \$201.1 million of federal grants for capital projects. Freeway projects will be funded with \$120.5 million in federal grants. Rail capital projects include \$49 million in federal grants and the OC Streetcar is expected to receive \$26 million.

#### State Sources

It is expected that \$227 million will be received from state sources in FY 2016-17. The sources of state revenue include the 1/4 cent Transportation Development Act (TDA) sales tax (\$161 million) and the State Transit

Assistance Fund (STAF) (\$17.2 million). These revenue sources help fund the operations, administration and capital expenditures of the bus program. In FY 2016-17, OCTA is utilizing a TDA sales tax forecast provided by MuniServices, LLC. The STAF is forecasted by the California State Controller's office on an annual basis.

State sources also include \$48.8 million in funding from Proposition 1B, State Transportation Improvement Program, and the State Highway Operation and Protection Program. These funds will be used primarily for the construction of grade separations as part of the OC Bridges Program, construction of the 405 improvement project, and capital planning.

#### Farebox Revenues

These revenues are derived from passenger fares generated from fixed-route bus service and paratransit service, including senior and disabled fare subsidies. The farebox revenues

represent one of the primary sources used by OCTA to offset the costs of bus service. Farebox revenues are projected at \$49.9 million in FY 2016-17 and are forecasted based on estimated ridership.

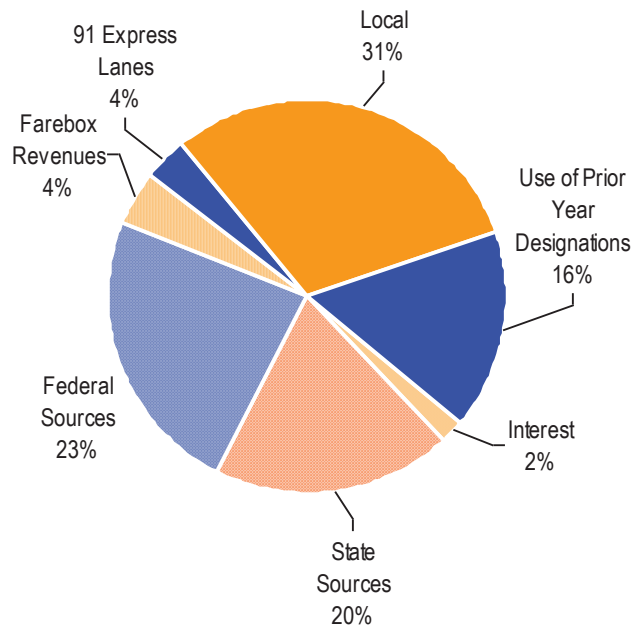
#### 91 Express Lane Revenue

91 Express Lanes revenues are estimated at \$43.5 million for FY 2016-17. Toll revenue accounts for \$35.9 million of total 91 Express Lanes revenue, with the remaining \$7.6 million attributed to non-toll revenue.

#### Interest Income

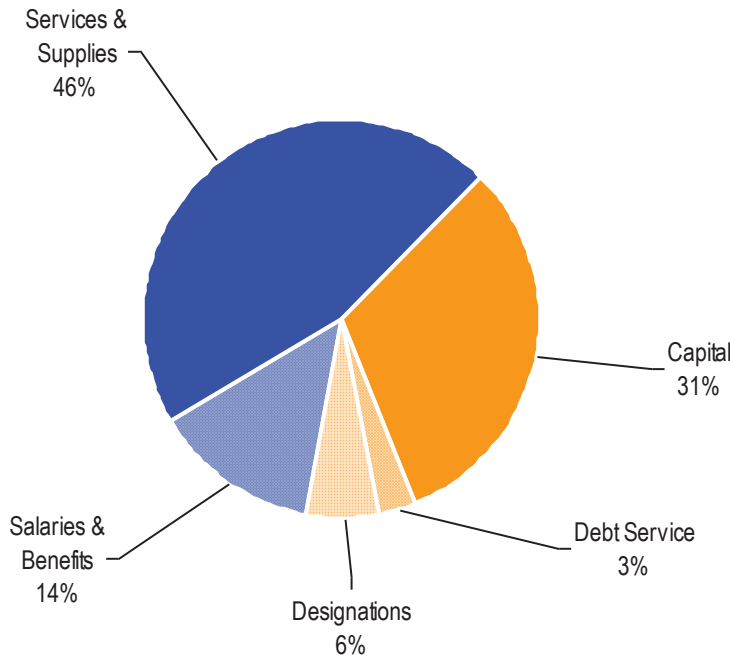
It is projected that OCTA will earn \$21.9 million in interest income on its investment portfolio in FY 2016-17. The funds that generate the largest interest earnings are the M2 and OCTD funds. Interest earnings are projected at a conservative rate of 1.25 percent. Interest income also includes funds that are anticipated to be received from the IRS for the Build America Bonds debt.

Sources of Funds



Sources and Uses (Continued)

Uses of Funds



**Planned Use of Prior Year Designations**

In prior years, OCTA has set aside revenue, known as designations, for future capital and program requirements. OCTA will utilize \$189.3 million of prior year designations in FY 2016-17. A draw on M2 prior year designations of \$87.4 million is planned to fund the OC Bridges Program, OC Street Car, 405 Improvement Project, and construction of the Placentia Metrolink Station. Prior year designations of \$36.4 million will be utilized from the Commuter and Urban Endowment (CURE) to support Metrolink operations and capital improvements. The 91 Express Lanes plans to utilize \$32 million primarily for the pavement rehabilitation project and the contribution to the Placentia Metrolink Station. OCTD will utilize \$13 million to fund the Bristol Street widening project and \$5.3 million of OCTD Fixed Asset reserves will be used to fund capital replacement purchases. Other prior year designations include M2 bond debt service of \$7 million and Personal Liability /

Property Damage (PL/PD) claims of \$4.2 million.

**Uses of Funds**

The expenditures projected for FY 2016-17 are expected to reach \$1,161.5 million, with \$68.8 million designated for future use. Appropriations are allocated in five categories and summarized below.

**Services and Supplies**

These items include appropriations for the purchase of services (e.g., engineering, design, contract transportation services, and consultant services) and supplies (e.g., fuel, maintenance parts, office supplies, and software). Total budgeted services and supplies for FY 2016-17 is \$534.3 million with \$203.4 million related to contributions to other agencies including M2 Local Fair Share, M2 Regional Capacity Program grant payments, Environmental Mitigation Program, grade separation projects, Bristol Street Widening and the Regional Traffic Signal Synchronization program.

**Capital and Fixed Assets**

This category of expenses includes all capital equipment purchases (\$5,000 minimum and an initial useful life in excess of one year), which includes vehicle procurements, freeway and capital construction projects, and right-of-way acquisitions totaling \$365.5 million. The majority of the capital investments will be made in the following projects: 405 improvement project, OC Streetcar, and grade separation projects.

**Salaries and Benefits**

This category includes the cost for salaries and employee benefits budgeted at \$158.6 million. This represents a 1.1 percent decrease from the FY 2015-16 budget. LOSSAN salaries and employee benefits account for 0.9 percent of total salaries and employee benefits.

**Debt Service**

Debt service requirements for FY 2016-17 will be \$34.3 million. Funds in this category are used to account for the accumulation of resources for, and payment of, OCTA's long-term debt obligations, including principal and interest costs.

**Designation of Funds**

Funds in this category are set-aside for future use. FY 2016-17 has \$68.8 million in designations, of which \$42.1 million will be designated for future bus program capital expenditures. Toll revenue in the amount of \$21.8 million will be set aside for the future improvements along the 91 corridor. A breakdown of the sources and uses of funds is provided in the Financial Reports section.



## External Sources and Uses Summary

The External Sources and Uses Summary below provides a high level summary of OCTA's sources and uses; including use of prior year designations and designations in the FY 2016-17 budget.

### External Sources and Uses Summary

Sources Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
5100 Passenger Fares	54,503,091	56,535,726	49,898,610
5500 91 Express Lanes Revenue	46,570,842	41,977,061	43,482,706
6020 State Assistance	61,886,589	16,666,064	32,703,739
6030 Federal Operating Assistance Grants	81,879,017	96,887,563	209,188,742
6040 Federal Capital Assistance Grants	32,477,964	57,583,220	62,995,250
6050 Reimbursement from Other Agencies	24,410,045	33,047,689	28,156,858
6100 Property Taxes	13,293,181	12,401,715	13,426,113
6101 Taxes	466,128,361	496,267,421	492,568,476
6103 DMV Fees	2,351,264	2,687,567	2,670,798
6110 License Fees	675,147	666,078	520,250
6200 Interest Income	17,730,712	20,194,266	21,933,506
6300 Other Non-operating Revenue	12,004,693	9,368,528	11,621,763
6550 Proceeds Sale of Capital Asset	5,606,468	2,500,000	3,000,000
<b>Subtotal Revenues</b>	<b>\$ 819,517,374</b>	<b>\$ 846,782,898</b>	<b>\$ 972,166,811</b>
Use of Prior Year Designations	345,915,436	175,752,478	189,309,536
<b>Total Sources</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>
Uses Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7100 Salaries and Benefits	151,331,690	158,044,532	157,073,920
7101 LOSSAN Salaries and Benefits	0	1,663,657	1,450,107
7300 Purchased Transportation Services	84,749,105	90,370,072	90,431,458
7500 Professional Services	155,158,656	199,312,627	203,930,841
7540 Insurance Claims/Premiums	4,999,119	8,985,000	9,239,122
7600 General and Administrative	8,689,360	14,420,750	11,683,336
7700 Maintenance Parts and Fuel	19,904,658	24,976,768	15,593,111
7800 Contributions to Other Agencies	138,433,269	196,492,211	203,395,592
8111 Interest Expense	27,851,154	27,329,938	26,856,738
8112 Principal Payment On Long Term Debt	6,865,000	7,210,000	7,475,000
9000 Capital Expenditures	257,389,475	236,521,222	365,541,914
<b>Subtotal Expenses</b>	<b>\$ 855,371,486</b>	<b>\$ 965,326,777</b>	<b>\$ 1,092,671,139</b>
Designations	310,061,324	57,208,599	68,805,208
<b>Total Uses</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>

## Regional and Economic Factors

### Orange County Profile

Orange County occupies 798 square miles and is located in Southern California - south of Los Angeles County, north of San Diego County, and west of Riverside and San Bernardino Counties. Its prime location within the Los Angeles basin offers residents an ideal climate, access to mountains and coastlines, a diverse housing market, and excellent schools. Orange County boasts a thriving business economy and a well-educated work force.

Thirty-four cities are within Orange County, which together with county unincorporated areas have a current population of approximately 3.1 million, making it the third most populous county in California and the sixth most populous in the United States. California State University at Fullerton's Center for Demographic Research projects that by 2035, the population in Orange County will increase by 11 percent to over 3.4 million.

Orange County's economic success is partially attributed to the amenities provided to its residents such as

prestigious financial centers, numerous shopping and entertainment centers, community colleges, a California State University campus, and a University of California campus. Also, Orange County offers many amusement parks, including Disneyland, Disney California Adventure and Knott's Berry Farm. Convenient air travel is provided through John Wayne Airport and countywide bus and rail services are provided by OCTA.

Public bus service was launched in 1972 in response to the county's growing population and increasing traffic congestion. In 1990, Orange County voters passed Measure M, which provided additional sales tax revenues for freeways, regional and local street and road projects, and public transit projects.

In 2006, OCTA requested and received voter approval for a 30-year extension of the Measure M sales tax. This Measure M renewal will allow OCTA to continue making transportation improvements throughout the county.

### Economic & Financial Condition

The State of California has remained one of the bright spots in the national economy. In fact, December 2015 marked the 46th consecutive month that California has outpaced the U.S. overall in terms of nonfarm job growth. California's nonfarm job growth was strong at 3 percent for 2015. Not only has California been generating a significant quantity of new jobs, but the quality of those jobs has been improving as well. Professional, Scientific, and Technical Services sector jobs, which generally offer above average wages, have been some of the largest contributors over the past year, accounting for 73,858 (15.9 percent) of the 464,434 nonfarm jobs created during 2015.

Orange County has also been faring well. The unemployment rate in Orange County was 4.0 percent in March 2016. Statewide unemployment was 6.3 percent in March 2016, which is 0.2 percentage points lower than the same period in 2015. National unemployment has fallen to 5 percent. This makes Orange County's unem-





**OCTA Programs**



ployment rate 2.3 points below the state level and 1 point below the national level.

**“The estimated taxable sales growth rate for FY 2016-17 is 4.4 percent.”**

The bulk of the new jobs added over the last year in Orange County were in the Education and Health Care industry. The industry created 9,942 new jobs in 2015, a 5.2 percent year-over-year increase that accounted for over 21 percent of the region’s net job gains for total nonfarm employment. These positions tend toward the middle portion of the wage spectrum, but Orange County has been adding high wage positions as well. The Professional, Scientific, and Technical Services industry added 5,424 new jobs to company payrolls in 2015, a 4.4 percent increase over the prior year.

Falling oil prices, in addition to statewide subpar wage growth, have kept inflation in check over the last year. The price index for nationwide personal consumption expenditures (PCE), the Federal Reserve’s preferred measure of inflation, grew by just 0.3 percent in 2015. In contrast, the PCE price index grew by 1.4 percent in 2014.

The Orange County real estate market remains strong. Median home prices in March 2016 increased by 4.4 percent year-over-year to \$705,000, up from \$675,000. Home sales rose by 0.9 percent year-over-year to 1,260 from 1,249.

The estimated sales tax growth rate for FY 2016-17 is 4.4 percent for Measure M2 based on the forecast provided by MuniServices, LLC. Based on the new sales tax forecasting methodology, sales tax for the M2 program is estimated to be \$14.8 billion over the life of the measure. The new sales tax forecasting methodology estimates OCTA's Local Transportation Fund (LTF) sales tax will grow by 2.8 percent in FY 2016-17.

**OCTA's Programs**

**Measure M2 (M2)**

On November 7, 2006, the voters of Orange County chose to extend the M1 half cent sales tax for another 30 years from 2011 through 2041. The M2 Transportation Investment Plan will generate billions of dollars to address current and future transportation needs in Orange County. The M2 Investment Plan will allocate 43 percent of funds to freeway projects, 32 percent to streets and roads, and 25 percent to transit projects.

**Freeways**

Approximately 43 percent of M2 revenue will be invested in new freeway construction, which represents the greatest investment in the M2 Program at approximately \$5.9 billion dollars. Relieving congestion on the Riverside/Artesia Freeway (SR-91) is a key element of the freeway program and will include new lanes, new interchanges, and new bridges.

Other major projects will make substantial improvements on Interstate 5 (I-5) in southern Orange County and the San Diego Freeway (I-405) in western Orange County. Additional improvements under the plan include the intersection of the I-5, Garden Grove Freeway (SR-22), Costa Mesa Freeway (SR-55), and the Orange Freeway (SR-57), known as the

<b>Freeway Program</b>	<b>FY 2016-17</b>
I-405, San Diego Freeway (Projects K, L)	\$ 141,926,250
I-5, Santa Ana Freeway (Projects A, B, C)	42,686,000
405 Express Lanes	39,654,506
Costa Mesa Freeway (SR-55) Improvements (Project F)	22,400,000
Orange Freeway (SR-57) Improvements (Project G)	9,373,250
Freeway Environmental Mitigation	7,262,750
Riverside Freeway (SR-91) Improvements (Projects H, I, J)	5,535,000
San Gabriel (I-605) Freeway Improvements (Project M)	1,250,000
West County Connectors	1,060,000
<b>Total</b>	<b>\$ 271,147,756</b>

## Streets and Roads / Environmental

Orange Crush, which will be improved and upgraded. In addition, major traffic chokepoints on almost every Orange County freeway will be remedied.

All of the freeway program projects identified in the M2020 Plan that are scheduled under construction by 2020 are progressing and are in the environmental approval phase, design phase, construction phase, or have been completed. In FY 2016-17 the 405 and I-5 improvement projects will be in the right-of-way and construction phases.

### Streets and Roads

Orange County has more than 6,500 lane miles of aging streets and roads. M2 will allocate 32 percent of revenues to streets and roads. These funds will help fix potholes, improve intersections, synchronize traffic signals county-wide, and make the existing network of streets and roads safer and more efficient. The Local Fair Share Program receives 18 percent of net revenues and assists cities and the County of Orange in keeping up with the rising cost of repairing the aging street system.

Local agencies also have the opportunity to use these funds for other local transportation needs such as residential street projects, traffic and pedestrian safety near schools, signal priority for emergency vehicles, among other needs. Since the program is designed to augment, rather than replace, existing transportation expenditures, cities are required to meet a set of guidelines on an annual

basis to receive the funds. Once a local agency has met the guidelines the funds are distributed on a formula basis that accounts for population, street mileage, and amount of sales tax collected in each jurisdiction. In FY 2016-17, \$52.9 million is budgeted for the Local Fair Share Program.

The Regional Capacity Program (RCP), in combination with local matching funds, provides a funding source to complete the Orange County Master Plan of Arterial Highways. The program also provides for intersection improvements and other projects to improve street operations and reduce congestion. The program allocates funds through a competitive process and prioritizes projects that best facilitate traffic flow by considering factors such as degree of congestion relief, cost effectiveness and project readiness. To date, there have been six annual calls for projects totaling \$208.1 million for RCP projects. In FY 2016-17, \$52.6 million is budgeted for the RCP.

The O.C. Bridges Program is creating underpasses and overpasses to eliminate railroad crossings where cars are stopped in order for trains to pass in North Orange County along the Orangethorpe corridor in the cities of Anaheim, Fullerton, and Placentia. More than 70 freight trains travel through this stretch on a daily basis and the number of trains is expected to increase to more than 135 each day by 2030. The seven projects will decrease delays in traffic, improve safety and increase mobility. All seven of the OC

Bridges Program grade separation projects are under construction, or completed.

The OC Bridges Program was honored by the Advancing Women in Transportation organization with the Innovative Transportation Solutions Award. The FY 2016-17 budget includes \$50.2 million targeted for the O.C. Bridges Program.

The Regional Traffic Signal Synchronization Program (RTSSP) targets over 2,000 signalized intersections across the County for coordinated operation. The goal is to improve the flow of traffic by developing and implementing regional signal coordination programs that cross jurisdictional boundaries. To date, there have been six annual calls for projects totaling \$69.6 million. In FY 2016-17, \$24.3 million is budgeted for the RTSSP.

### Environmental Cleanup Program

The Measure M2 Environmental Cleanup Program helps improve overall water quality in Orange County from transportation-generated pollution. Program funds are allocated on a countywide competitive basis to assist jurisdictions in meeting the Clean Water Act for controlling transportation-generated pollution. The funds are designed to supplement, not supplant, existing programs.

In September 2014, OCTA received the honor of best management practices by the California Stormwater Quality Association for its M2 Environmental Cleanup Program. In FY 2016-17, OCTA has allocated \$3.2 million for continued effort on this project.

### Freeway / Environmental Mitigation Program

The M2 Freeway Environmental Mitigation Program allocates funds to acquire land and fund habitat restoration projects in exchange for streamlined project approvals for the 13 M2 freeway improvement projects. Acquired properties are purchased

Streets and Roads Program	FY 2016-17
Local Fair Share (Project Q)	\$ 52,946,704
Regional Capacity Program (Project O)	52,579,275
O.C. Bridges (Project O)	50,204,600
Regional Traffic Signal Synchronization (Project P)	24,276,485
Bristol Street Widening Project	13,000,000
Clean-up Highway/Street Runoff (Project X)	3,198,500
<b>Total</b>	<b>\$ 196,205,564</b>

## Rail Program / 91 Express Lanes

and permanently preserved as open space. Funded restoration projects restore preserved open space lands to their native habitat and include the removal of invasive plant species.

**"Approximately \$10 million has been allocated to restore roughly 400 acres of open space land."**

In November 2010, the Board allocated \$42 million to purchase open space in Orange County during the first round of funding. Since 2010, a total of 11 restoration projects have been funded throughout Orange County. Approximately \$10 million has been allocated to restore roughly 400 acres of open space land. The Freeway Environmental Mitigation Program has been budgeted for \$7.3 million in FY 2016-17. Deposits into the endowment for this program will begin in FY 2016-17.

### Rail

Rail service for OCTA centers on Metrolink, Southern California's commuter rail system linking residential communities to employment and activity centers. Formed in 1991, Metrolink is operated by the Southern California Regional Rail Authority (SCRRA) — a joint powers authority of five member agencies representing the Counties of Los Angeles, Orange, Riverside, San Bernardino, and Ventura. OCTA is one of the five member agencies that fund Metrolink.

Three weekday Metrolink lines serve Orange County: Orange County Line provides service from Oceanside to Los Angeles Union Station; the Inland Empire-Orange County (IEOC) Line, with service from San Bernardino and Riverside to Oceanside; and the 91 Line, with service from Riverside to Los Angeles via Fullerton and Buena Park. Weekend service is available on the OC and IEOC lines.

The Rail budget of \$181.6 million in FY 2016-17 consists of both operating and capital expenses. Operating expenses in FY 2016-17 are budgeted at \$36.9 million. OCTA's portion of the Metrolink subsidy is \$28.2 million, which includes the cost to lease BNSF locomotives. Capital expenditures are anticipated to reach \$144.7 million. The FY 2016-17 rail capital projects are shown below.

Orange County's first streetcar is on track to bring greater mobility to the heart of Orange County. In cooperation with the Cities of Santa Ana and Garden Grove, OCTA is building the OC Streetcar to fulfill a Measure M promise to broaden the reach of Metrolink. OCTA is the lead agency for project development, engineering, construction, operations, and maintenance. Approximately \$61.1 million has been budgeted in FY 2016-17 to provide engineering and final design services.

OCTA is serving as the local managing agency for the Los Angeles - San Diego - San Luis Obispo Rail Corridor (LOSSAN) Agency. The FY 2016-17 budget includes nine dedicated OCTA staff who will administer the LOSSAN agency.

### 91 Express Lanes

The 91 Express Lanes is a four-lane, 10-mile toll road built in the median

of California's Riverside Freeway (SR-91) between the Orange/Riverside County line and the SR-55. To mitigate growing concerns over congestion, OCTA acquired the 91 Express Lanes franchise rights in January 2003. This eliminated the non-compete provision, clearing the way for future enhancements that increase capacity and improve traffic flow along the SR-91 corridor.

In FY 2014-15, OCTA completed a three-party agreement with the Riverside County Transportation Commission (RCTC) and Cofiroute USA for operations of the 91 Express Lanes. This will help ensure streamlined, consistent inter-county travel for motorists on the original ten-mile span of the 91 Express Lanes and the new eight miles that will extend into Riverside County.

The 91 Express Lanes expenditure budget of \$76.6 million represents a 7.6 percent or \$5.4 million increase over the FY 2015-16 budget. The budget provides \$20.7 million for pavement rehabilitation. The 91 Express Lanes operations contract is budgeted at \$8.2 million. As approved by the Board, the 91 Express Lanes will contribute \$8.3 million for the Placentia Metrolink Station construction. Designations of \$21.8 million within the 91 Express Lanes will be used to make future improvements along the corridor.

Rail Program Capital Budget	FY 2016-17
OC Streetcar	\$ 61,128,258
Orange Transportation Center Parking Expansion	25,284,000
Laguna Niguel to San Juan Capistrano Passing Siding	19,837,000
Placentia Metrolink Station	19,783,000
San Juan Creek Bridge Replacement	6,188,000
Rail Station Improvements	4,084,500
Control Point at 4th Street	4,050,000
Rotem Rail Cars	2,329,603
Other Measure M2 Rail Capital Projects	1,732,100
LOSSAN Slope Stabilization	244,000
<b>Total</b>	<b>\$ 144,660,461</b>



## Transit Bus Program

### Motorist Services

Motorist Services includes the Service Authority for Freeway Emergencies Program (SAFE), as well as the Orange County Taxi Administration Program (OCTAP). The SAFE Program is comprised of Freeway Services Patrol (FSP), Call Box Network and Orange County 511 Service.

SAFE goals for FY 2016-17 include adding two FSP service beats, replacing 2G cellular service call boxes with a 3G/4G cellular solution, and supporting the 511 Program. The FY 2016-17 budget provides \$7 million for FSP and Call Box-related costs.

OCTAP goals include sustaining an adequate level of resources in order to properly administer the current number of permitted taxicab vehicles and drivers in Orange County. The program is currently facing challenges from transportation network companies and declining license fees. Management is exploring strategies for reducing program costs. The FY 2016-17 budget is \$795 thousand for OCTAP.

### Bus Program

As a multi-modal transportation agency serving Orange County, OCTA's local bus service is one of the agency's core programs. OCTA's goal is to provide the

citizens and visitors of Orange County with a safe, reliable, and convenient service throughout the County sustainable over the long-term.

The level of bus service that OCTA provides is highly dependent upon the receipt of several major revenues sources. These major revenues include the LTF ¼ cent sales tax, state and federal funding, and fare revenue.

LTF is the most critical funding source for the bus program, as it funds approximately 50 percent of bus operations. Over the last five years since the recession, this funding source has grown year-over-year. The FY 2016-17 LTF budget of \$161 million is based on an estimated sales tax growth rate of 2.8 percent, which is the October 2015 forecast provided by MuniServices, LLC. Federal grants supporting operating and capital expenditures are also an important source of revenue for the bus program. Approximately \$56.9 million in federal grants are in the budget funding expenditures such as preventative maintenance, capital cost of contracting, ACCESS service, and other transit program initiatives. Fixed-route boardings are anticipated to reach 42.2 million in FY 2016-17, with fare revenue budgeted at \$49.9

million. OCTA expects to receive approximately \$17.2 million in State Transit Assistance Funding (STAF) in FY 2016-17 based on estimates provided by the State Controller to support capital expenditures.

The FY 2016-17 budget sustains existing service levels of 1.6 million revenue hours. The plan to convert a portion of directly operated fixed route service to contracted service commensurate with coach operator attrition will continue with approximately 52 thousand revenue hours being converted during the year. By the end of the year, approximately 40 percent of fixed-route service will be operated by the contracted service provider.

In FY 2016-17 OCTA will implement OC Bus 360°. The goal of OC Bus 360° is to increase bus system ridership through a series of initiatives. These initiatives include improving bus travel times and frequencies, expanding access to route and real time information, introducing mobile ticketing, and evaluating fares. OCTA will reallocate fixed-route bus service in FY 2016-17 to optimize efficiency and effectiveness of the overall bus system. OCTA's goal is to increase ridership by offering faster, more convenient service in high-use



## Transit Bus Program (Continued)

areas by reallocating service from low ridership areas.

### ACCESS

The ACCESS Program provides complementary transit service to persons with disabilities as required by the Americans with Disabilities Act (ADA). To mitigate the cost of providing ACCESS services, the use of supplemental taxi services is one of a variety of measures being employed along with other strategies recommended in the Transit System Study. OCTA also continues its focus on developing partnerships to provide alternative transportation options for seniors and persons with disabilities.

For FY 2016-17 OCTA anticipates delivering 503 thousand revenue hours of primary ADA service, and 272 thousand supplemental service trips. Though ACCESS service continues to be a costly service to provide, a new contract executed in FY 2014-15 resulted in an estimated savings of \$46 million over 4 years.

### Express Service

OCTA currently operates a total of five express routes that provide stress free commuting to various destinations within Orange County and neighboring

counties. These routes constitute 18.9 thousand revenue hours of the total fixed-route service, and offer a convenient option for riders traveling as far as Riverside, Los Angeles, and San Bernardino counties

### Community Based Transit Circulators (Project V)

This program establishes a competitive program for local jurisdictions to develop local bus transit services such as community based circulators, shuttles and bus trolleys that complement regional bus and rail services, and meet needs in areas not adequately served by regional transit. As part of this program, three 32-foot buses were purchased with M2 Project V funds for the City of La Habra. In FY 2014-15, the City of La Habra launched a year-round service with stops at St. Jude Hospital and the Fullerton Transportation Center. The FY 2016-17 budget has provided \$6.6 million to support the next call for projects and \$209.8 thousand to continue the La Habra Shuttle service.

### Senior Mobility Program

Authorized by the OCTA Board in October 2001, OCTA's Senior Mobility Program (SMP) is designed to fill the gap between local fixed-

route buses and ADA paratransit, or ACCESS service, by providing local transportation services to seniors in participating cities in Orange County. M2 allocates one percent of net revenues to SMP under Project U. Funding for the four non-profit SMP participants comes from OCTD. The allocations have been determined based on criteria and requirements for the SMP adopted by the OCTA.

Under the program, participating cities are eligible to receive funds and vehicles from OCTA to help design and operate a transit program that best fits the needs of older adults in their communities. To date, 32 cities, one county unincorporated area (Rossmore) and four non-profit agencies including Abrazar, Inc., Jewish Federation and Family Services of Orange County, Korean American Senior Association of Orange County, and Vietnamese Community of Orange County have chosen to participate in the SMP.

### M2 Fare Stabilization

M2 allocates 1.47 percent of net revenues to stabilize fares for seniors and persons with disabilities. This revenue is included as farebox revenue, and the calculation of





## Transit Bus Program (Continued)

the farebox recovery ratio. For FY 2016-17, the program is budgeted at \$4.4 million.

### JARC/New Freedom Program

The FTA provides funding for transportation programs to serve persons of low income, seniors and persons with disabilities under the Section 5316 Jobs Access Reverse Commute (JARC) and Section 5317 New Freedom Program.

Agencies receiving JARC and New Freedom funding are implementing transportation and mobility management programs which address gaps and barriers in service identified in the 2008 Orange County Public

Transit-Human Services Transportation Coordination Plan. Agencies approved for funding include: Abrazar, Inc., Acacia Adult Day Services, Alzheimer's Family Services, Boys and Girls Club of Huntington Beach, County of Orange/Office on Aging, Dayle McIntosh Center, Jewish Family Services of Orange County, North Orange County Community College District, Vietnamese Community of Orange County, and Women Helping Women.

Under the JARC and New Freedom Programs, capital expenses are funded at 80 percent and operating expenses are funded at 50 percent with grant recipients responsible for the

remaining expenses. The FY 2016-17 budget includes \$1.2 million for the JARC and New Freedom Program.

### Transit Performance Indicators

OCTA tracks performance indicators by mode of service and at the route level. This information has become a valuable management resource and has helped bus operations staff in determining the effectiveness and efficiency of OCTA's bus service.

The chart shown below highlights the FY 2016-17 approved bus service levels, projected boardings, operating cost, and fare revenue by mode of service.

Performance Indicators	Directly Operated Fixed Route	Contracted Fixed Route	ACCESS	ADA Taxi Service	Same Day Taxi Service	Special Agency Services	TNC	System Total	
<b>Service Provided</b>	Vehicle Hours (VH)	1,055,458	731,643	670,922				2,458,022	
	Vehicle Miles (VM)	13,463,663	10,685,610	9,017,361				33,166,634	
	Revenue Hours (RVH)	968,561	635,256	503,405				2,107,222	
	Revenue Miles (RVM)	11,375,760	8,218,767	7,669,546				27,264,073	
<b>Passenger Usage</b>	Boardings	30,292,114	11,872,093	925,077	271,198	157,901	233,200	5,475	43,757,059
	Boardings per VH	28.70	16.23	1.38					17.80
	Boardings per VM	2.25	1.11	0.10					1.32
	Boardings per RVH	31.28	18.69	1.84					20.77
	Boardings per RVM	0.38	0.69	8.29					0.62
<b>Operating Costs</b>	Costs	\$134,326,691	\$64,248,532	\$43,928,552	\$14,367,791	\$2,149,341	\$5,920,067	\$163,666	\$265,104,641
	Cost per VH	\$127.27	\$87.81	\$65.47					\$107.85
	Cost per VM	\$9.98	\$6.01	\$4.87					\$7.99
	Cost per RVH	\$138.69	\$101.14	\$87.26					\$125.81
	Cost per RVM	\$11.81	\$7.82	\$5.73					\$9.72
	Cost per Boarding	\$4.43	\$5.41	\$47.49	\$52.98	\$13.61	\$25.39	\$29.89	\$6.06
<b>Fare Revenues</b>	Revenue	\$34,404,406	\$12,056,333	\$5,484,000	\$1,049,009				\$52,993,748
	Revenue per VH	\$32.60	\$16.48	\$9.06					\$21.56
	Revenue per VM	\$2.56	\$1.13	\$0.67					\$1.60
	Revenue per RVH	\$35.52	\$18.98	\$12.08					\$25.15
	Revenue per RVM	\$3.02	\$1.47	\$0.79					\$1.94
	Revenue per Boarding	\$1.14	\$1.02	\$6.57					\$1.21

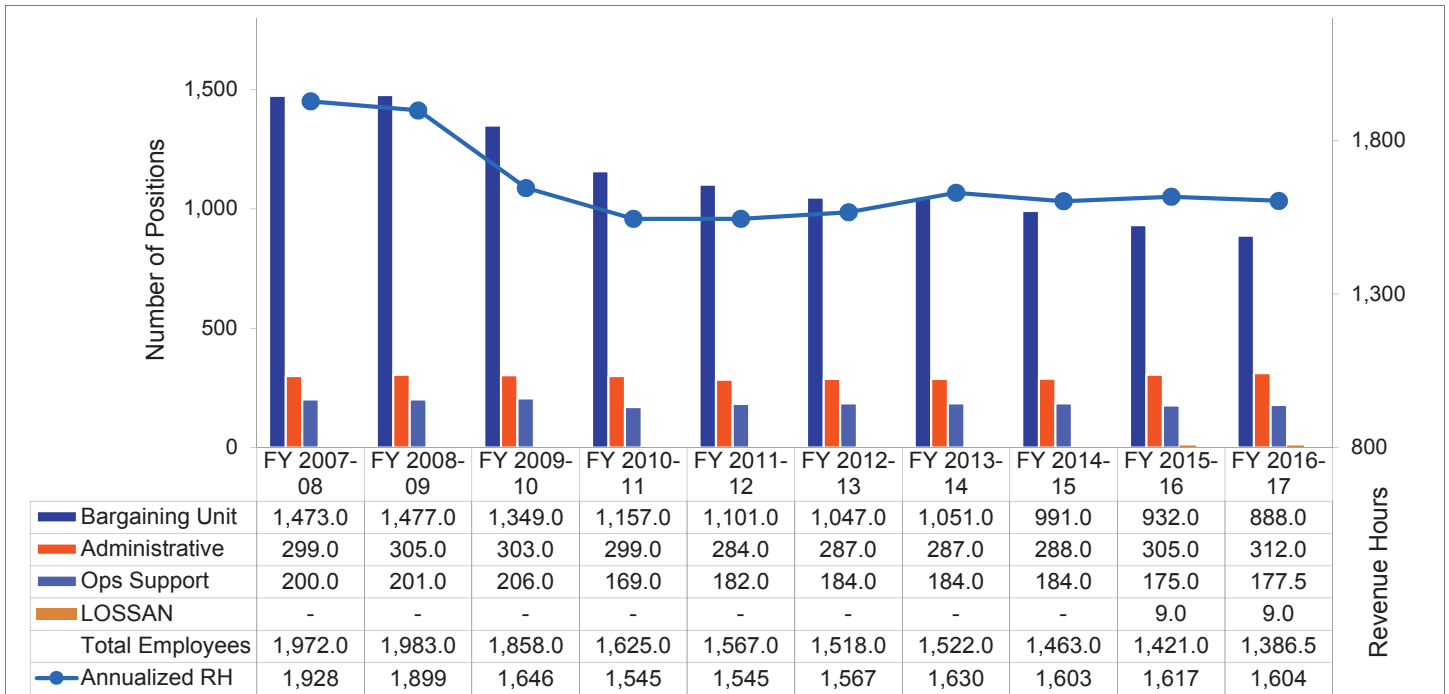
<b>Farebox Recovery Ratio</b>	<b>25.61%</b>	<b>18.77%</b>	<b>12.48%</b>					<b>19.99%</b>
<b>Farebox Recovery Ratio (Per Senate Bill 508: Revisions to the Transportation Development Act)</b>								<b>26.83%</b>

\* Taxi Service and Special Agency passenger usage and related metrics are reported in terms of trips.  
 \*\* TNC - Transportation Network Companies

Note: Farebox recovery ratio is used to determine the amount of costs that are recovered from passenger fares and M2 fare stabilization funding. The Transportation Development Act requires transit agencies to achieve a 20 percent farebox recovery ratio in order to receive the maximum available sales taxes for public transit purposes.

Staffing Plan

Historic Staffing Levels Comparison



OCTA's historical staffing and revenue vehicle hours (RVH) are presented on the chart above. OCTA's staffing levels decreased proportionately with the reductions in revenue vehicle hours caused by the economic recession of 2007. In FY 2016-17, staffing levels

will further decrease based on the plan to convert a portion of directly operated service to a contracted service provider. The OCTA was selected to serve as the managing agency for the Los Angeles - San Diego - San Luis Obispo (LOSSAN) Rail Corridor

Agency (Agency) in August 2013. The LOSSAN is administered by nine dedicated OCTA staff. These positions are funded through the Interagency Transfer Agreement (ITA) with the State of California.

Staffing Levels

	FY 2015-16	FY 2016-17	Difference
<b>OCTA Staffing</b>	<b>FTE</b>	<b>FTE</b>	
Administrative	480.0	489.5	9.5
Union	932.0	888.0	(44.0)
Coach Operators	713.0	680.0	(33.0)
Maintenance	180.0	171.0	(9.0)
Facility Technicians and Parts Clerks	39.0	37.0	(2.0)
<b>OCTA Positions</b>	<b>1,412.0</b>	<b>1,377.5</b>	<b>(34.5)</b>
LOSSAN	9.0	9.0	-
<b>Total Authority Positions</b>	<b>1,421.0</b>	<b>1,386.5</b>	<b>(34.5)</b>



## Department Staffing

OCTA is comprised of eight divisions. Each division is organized by department. The table below shows staffing levels for FY 2014-15 through FY 2016-17.

Division / Department	FY 2014-15 Budget	FY 2015-16 Budget	FY 2016-17 Budget
<b>Executive Office</b>			
Executive Office - CEO	5.00	5.00	5.00
Internal Audit	6.00	6.00	6.00
Clerk of the Board	4.00	4.00	4.00
Security Assessment	3.00	3.00	4.00
<b>Executive Office</b>	<b>18.00</b>	<b>18.00</b>	<b>19.00</b>
<b>Finance and Administration</b>			
Executive Director, Finance and Admin.	4.00	4.00	4.00
Accounting and Financial Reporting	24.00	24.00	22.00
Financial Planning and Analysis	12.00	12.00	9.00
Grants and Revenue Management	.00	.00	6.00
Contracts Admin. and Material Management	59.00	59.00	57.00
Information Systems	37.00	38.00	39.00
General Services	18.00	19.00	20.00
Treasury Department	2.00	2.00	2.00
91 Express Lanes	3.00	3.00	3.00
<b>Finance and Administration</b>	<b>159.00</b>	<b>161.00</b>	<b>162.00</b>
<b>Human Resources and Org. Development</b>			
Human Resources	19.00	19.00	19.00
Learning and Development	4.00	4.00	5.00
Risk Management	7.00	7.00	7.00
Executive Director of HR&OD	2.00	2.00	2.00
Labor and Employee Relations	5.00	6.00	6.00
Safety	6.00	7.00	7.00
<b>Human Resources and Org. Development</b>	<b>43.00</b>	<b>45.00</b>	<b>46.00</b>
<b>Government Relations</b>			
Executive Director, Government Relations	9.00	10.00	10.50
<b>Government Relations</b>	<b>9.00</b>	<b>10.00</b>	<b>10.50</b>
<b>Planning</b>			
Executive Director, Planning	4.00	5.00	5.00
Director, Strategic Planning	4.00	4.00	3.00
Planning and Analysis	21.00	21.00	23.00
Capital and Local Programs	9.00	9.00	10.00
<b>Planning</b>	<b>38.00</b>	<b>39.00</b>	<b>41.00</b>

Continued next page...

## Department Staffing (Continued)

Division / Department	FY 2014-15 Budget	FY 2015-16 Budget	FY 2016-17 Budget
<u>Capital Programs</u>			
LOSSAN Staff Administration	.00	9.00	9.00
Executive Director, Capital Programs	14.00	14.00	14.00
Rail	11.00	13.00	14.00
Highway Programs	12.00	12.00	12.00
<b>Capital Programs</b>	<b>37.00</b>	<b>48.00</b>	<b>49.00</b>
<u>External Affairs</u>			
Executive Director, External Affairs	3.00	3.00	3.00
Marketing & Customer Engagement	10.00	13.00	13.00
OCTD Marketing & Engagement	8.00	6.00	6.00
Public Outreach	10.00	11.00	12.00
Public Information Office	.00	3.00	3.50
Vanpool	2.00	2.00	2.00
Rideshare	3.00	2.00	2.00
Strategic Communications	4.00	.00	.00
<b>External Affairs</b>	<b>40.00</b>	<b>40.00</b>	<b>41.50</b>
<u>Transit</u>			
O.C. Taxicab Administration Program	5.00	4.00	4.00
Motorist Services	3.00	4.00	4.00
General Manager Transit	5.00	5.00	6.00
Bus Operations	833.00	780.00	745.50
Community Transportation Services	12.00	6.00	7.50
Maintenance	245.00	239.00	230.50
Service Planning and Customer Advocacy	12.00	11.00	13.00
Transit Programs Management	4.00	4.00	.00
Contracted Services	.00	7.00	7.00
<b>Transit</b>	<b>1,119.00</b>	<b>1,060.00</b>	<b>1,017.50</b>
<b>Total Authority</b>	<b>1,463.00</b>	<b>1,421.00</b>	<b>1,386.50</b>



## Financial Reports

The Financial Reports section provides a summary of OCTA's sources and uses; including use of prior year designations and designations in the FY 2016-17 budget.

### External Sources and Uses Summary

Sources Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
5100 Passenger Fares	54,503,091	56,535,726	49,898,610
5500 91 Express Lanes Revenue	46,570,842	41,977,061	43,482,706
6020 State Assistance	61,886,589	16,666,064	32,703,739
6030 Federal Operating Assistance Grants	81,879,017	96,887,563	209,188,742
6040 Federal Capital Assistance Grants	32,477,964	57,583,220	62,995,250
6050 Reimbursement from Other Agencies	24,410,045	33,047,689	28,156,858
6100 Property Taxes	13,293,181	12,401,715	13,426,113
6101 Taxes	466,128,361	496,267,421	492,568,476
6103 DMV Fees	2,351,264	2,687,567	2,670,798
6110 License Fees	675,147	666,078	520,250
6200 Interest Income	17,730,712	20,194,266	21,933,506
6300 Other Non-operating Revenue	12,004,693	9,368,528	11,621,763
6550 Proceeds Sale of Capital Asset	5,606,468	2,500,000	3,000,000
<b>Subtotal Revenues</b>	<b>\$ 819,517,374</b>	<b>\$ 846,782,898</b>	<b>\$ 972,166,811</b>
Use of Prior Year Designations	345,915,436	175,752,478	189,309,536
<b>Total Sources</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>
Uses Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7100 Salaries and Benefits	151,331,690	158,044,532	157,073,920
7101 LOSSAN Salaries and Benefits	0	1,663,657	1,450,107
7300 Purchased Transportation Services	84,749,105	90,370,072	90,431,458
7500 Professional Services	155,158,656	199,312,627	203,930,841
7540 Insurance Claims/Premiums	4,999,119	8,985,000	9,239,122
7600 General and Administrative	8,689,360	14,420,750	11,683,336
7700 Maintenance Parts and Fuel	19,904,658	24,976,768	15,593,111
7800 Contributions to Other Agencies	138,433,269	196,492,211	203,395,592
8111 Interest Expense	27,851,154	27,329,938	26,856,738
8112 Principal Payment On Long Term Debt	6,865,000	7,210,000	7,475,000
9000 Capital Expenditures	257,389,475	236,521,222	365,541,914
<b>Subtotal Expenses</b>	<b>\$ 855,371,486</b>	<b>\$ 965,326,777</b>	<b>\$ 1,092,671,139</b>
Designations	310,061,324	57,208,599	68,805,208
<b>Total Uses</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>



## Financial Reports (Continued)

### External Revenues and Use of Designations

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
5110 Farebox Revenue	27,722,780	25,337,759	21,328,883
5150 Pass Sales	15,284,101	14,268,892	11,977,086
5180 Coupon Sales	3,552,934	3,231,498	3,249,124
5220 Direct Route Subsidy	4,660,548	10,915,633	10,595,376
5240 Passenger Revenue Subsidy	2,971,343	2,419,200	2,419,200
5260 Miscellaneous Transit Revenue	4,017,893	3,462,744	5,028,941
5510 91 Express Lanes Revenue	36,651,720	34,470,000	35,913,025
5550 Tollroad Fee Income	9,877,236	7,507,061	7,569,681
5580 Tollroad Income Other	41,886	0	0
6020 State Assistance	61,886,589	16,666,064	32,703,739
6030 Federal Operating Assistance Grants	81,879,017	96,887,563	209,188,742
6040 Federal Capital Assistance Grants	32,477,964	57,583,220	62,995,250
6050 Other Financial Assistance	24,654,016	33,047,689	28,156,858
6100 Taxes	481,772,806	511,356,703	508,665,387
6110 Operator Licenses	675,147	666,078	520,250
6200 Interest Income	17,730,712	20,194,266	21,933,506
6310 Rental Income	2,194,518	1,295,400	1,221,128
6330 Fees and Fines	196,267	153,356	146,063
6350 Insurance Recoveries	725,721	790,000	1,457,500
6370 Miscellaneous	4,937,708	4,029,772	4,097,072
6550 Proceeds Sale of Capital Asset	5,606,468	2,500,000	3,000,000
<b>Total Revenues</b>	<b>\$ 819,517,374</b>	<b>\$ 846,782,898</b>	<b>\$ 972,166,811</b>
91 Express Lanes Pavement Improvement	0	15,500,000	22,501,359
Anaheim Canyon Station Project	699,839	124,500	180,000
Anaheim Access Road	0	0	785,000
Bond Issue FY 2013-14 Refinance	0	1,969,326	0
Bristol Street Widening Project	1,600,000	15,000,000	13,000,000
Commuter Rail Operations	22,187,606	25,831,631	26,919,000
Commuter Rail Capital Improvements	2,307,024	7,893,296	901,410
Draw down against actuarial reserves	0	0	4,163,340
Excess bond debt to M2	0	0	6,958,171
Freeway Service Patrol	988,519	2,376,755	509,819
Fullerton Stair Repairs	0	0	12,000
Fullerton Station Elevator Upgrade	30,323	1,803,000	903,000
General Administration	8,524	0	0
High Occupancy Vehicle Lane Projects	124,885	0	0
I-405, SR-55 to I-605	0	0	11,210,878
iShuttle Operating Service	2,378,597	2,736,246	2,195,960
Laguna Niguel to SJC Passing Siding (Design)	2,006,104	125,000	168,000
Laguna Niguel/Mission Viejo Station Parking	160,716	95,000	73,500
LOSSAN Slope Stabilization	175,857	187,400	119,000

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## Financial Reports (Continued)

### External Revenues and Use of Designations

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
Metrolink Capital Project Study Report	0	0	125,000
OC Metrolink Maintenance Facility	14,166,074	14,200,000	0
OC Streetcar	0	5,300,000	41,328,867
OCTAP Operations	192,813	222,471	254,503
OCTD Fixed Asset Reserves	107,293,565	17,561,406	5,268,988
Orange Transit Center Parking	0	0	10,000
Placentia Metrolink Station	0	12,262,250	19,028,000
Project O Grade Separations	0	42,524,673	24,279,595
Reserve for Close Out	4,604,736	0	0
Right of Way Management	0	0	200,000
Right of Way Administration	0	0	122,500
Right of Way Maintenance	0	0	1,910,000
Rotem Rail Cars	0	0	1,492,419
Route 73 Birch to Route 405 Connector B	87,915	0	0
SAAV Operations	4,941	0	0
San Clemente Station Lighting	0	0	10,000
SR-55/SR-73 Connector B	0	162,745	0
SR-91/SR-241 HOV/HOT	0	1,200,000	1,200,000
Stationlink Rail Feeder Service	2,009,830	1,555,835	1,803,971
Transfer to CURE	128,446,819	0	0
Transfer to MMII	28,809,000	0	0
Transfer to OCTA	24,693,000	0	0
Union Pacific Railroad Purchase	2,938,750	0	0
West County Connectors	0	6,470,944	1,025,256
Yorba Linda Smart Street Project	0	650,000	650,000
<b>Total Use of Prior Year Designations</b>	<b>\$ 345,915,436</b>	<b>\$ 175,752,478</b>	<b>\$ 189,309,536</b>
<b>Available Revenues / Use of Designations</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>

## Financial Reports (Continued)

### External Expenses and Designations

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7110 Salaries-Regular Employees	81,227,329	85,738,441	87,199,081
7150 Extra Help Employees	978,364	1,306,262	866,035
7209 Deferred Compensation	1,525,991	1,558,072	1,669,443
7210 Pensions	30,964,644	32,308,317	29,137,337
7220 Insurances	2,156,615	2,162,640	2,584,787
7240 Health Care	19,161,741	20,129,428	20,475,534
7260 Compensated Absences	11,668,749	12,293,362	12,259,126
7280 Other Benefits	3,648,257	4,211,667	4,332,684
7310 Contract Transportation	84,749,105	90,370,072	90,431,458
7510 Professional Services	109,434,273	128,644,181	125,582,625
7540 Insurance Claims Expense	4,999,119	8,985,000	9,239,122
7610 Outside Services	45,481,205	70,274,834	78,004,604
7630 Advertising Fees	243,178	393,612	343,612
7640 Utilities	2,575,782	2,741,475	2,941,493
7650 Travel, Training, and Mileage	555,420	804,838	586,480
7660 Office Expense	1,679,191	3,093,447	1,640,375
7670 Miscellaneous Expense	2,471,593	2,056,130	2,069,546
7690 Leases	2,139,370	5,721,165	4,238,451
7710 Fuels and Lubricants	9,918,542	16,303,435	9,162,996
7740 Tires and Tubes	1,956,235	2,254,612	1,929,075
7750 Maintenance Expense	8,029,881	6,418,721	4,501,040
7780 General Equipment/Structures	6,050	1,265,000	0
7790 Other Materials and Supplies	1,203,178	1,413,925	1,632,098
7820 Taxes	286,408	368,850	358,350
7830 Contributions to Other Agencies	136,205,637	193,448,131	201,612,135
8110 Debt Service	34,716,154	34,539,938	34,331,738
9010 Work In Process	0	41,431,652	43,196,652
9020 Capital Exp-Locally Funded	190,304,112	48,673,320	63,259,262
9080 Construction in Progress	67,085,363	146,416,250	259,086,000
<b>Subtotal Expenses</b>	<b>\$ 855,371,486</b>	<b>\$ 965,326,777</b>	<b>\$ 1,092,671,139</b>
ARBA Contributions	337,220	1,468,445	436,673
Assumed MMI Obligations	157,255,819	0	0
Designated for Future SR-91 Projects	23,383,654	18,272,569	21,781,898
Designated for Future MMII Projects	101,747,018	0	0
Designated for Future OCUTT Projects	0	5,978	148,959
Fixed Asset Reserve	0	37,460,660	42,142,486
Future Transit Related Projects	1,368,674	0	0
Measure M Close Out	24,158,108	0	0
Measure M Bond Debt	2,284	0	1,000
Personal Liability & Property Damage	200,075	0	4,294,141
SAAV Operations	0	947	51
Scholarships	248	0	0
STAF	3,551	0	0
Workers' Compensation	1,604,673	0	0
<b>Subtotal Designations</b>	<b>\$ 310,061,324</b>	<b>\$ 57,208,599</b>	<b>\$ 68,805,208</b>
<b>Total Uses</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>



**OCTA**





## Fund Budget Summary

The reports in the Financial Reports section showed the budgeted Sources and Uses by the type of expense or revenue. The reports on this and the following page show the same three-year information by fund.

### External Fund Level Summary - Sources

This report displays revenues and use of prior year designations summarized by fund.

### External Fund Level Summary - Uses

This report displays expenditures and designations summarized by fund.

### External Revenues and Use of Designations by Fund

This report shows the revenues and use of prior year designations summarized by fund, with each fund included within a fund group.

### External Expenses and Designations by Fund

This report shows the expenditures and designations summarized by fund, with each fund included within a fund group.

## External Fund Level Summary - Sources

Source of Funds			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
405 Express Lanes	0	0	41,578,746
91 Express Lanes	47,361,520	71,127,368	76,560,038
ARBA Trust Fund	1,341,241	2,469,349	1,447,586
Commuter and Urban Rail Endowment	54,873,093	75,841,329	64,528,529
General Fund	3,614,875	31,278,036	12,386,885
Internal Service Fund-PL and PD	303,216	457,120	4,530,441
Internal Service Fund-Workers' Compensation	625,550	755,399	1,475,297
Local Transportation Authority Measure M1	200,080,614	0	0
Local Transportation Authority Measure M2	401,138,310	435,618,160	537,494,143
Local Transportation Fund	153,588,547	165,278,314	161,027,794
Measure M - Cure	0	0	27,394,603
Measure M2 Bond Debt Service	6,459,768	6,493,553	13,449,922
Orange County Taxi Administration Program	908,903	912,395	795,792
Orange County Transit District	267,645,223	187,470,238	166,707,804
Orange County Unified Transportation Trust	275,988	89,933	158,835
Scholarship Fund	12,756	17,977	17,611
Service Authority for Abandoned Vehicles	5,066	1,000	100
Service Authority for Freeway Emergencies	6,104,858	7,740,461	5,918,810
State Transit Assistance Fund	20,996,843	20,887,347	17,214,550
Transit Development Capital Project	96,439	16,097,397	28,788,861
<b>Total Authority</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>

Fund Budget Summary (Continued)

External Fund Level Summary - Uses

Description	Use of Funds		
	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
405 Express Lanes	0	0	39,654,506
91 Express Lanes	44,755,138	59,939,339	65,863,930
ARBA Trust Fund	1,341,241	2,469,349	1,447,586
Commuter and Urban Rail Endowment	48,292,783	68,156,980	59,343,988
General Fund	91,452,544	130,537,518	108,965,815
Internal Service Fund-PL and PD	748,665	4,678,426	7,669,704
Internal Service Fund-Workers' Compensation	7,685,089	7,634,269	6,838,010
Local Transportation Authority Measure M1	17,335,977	0	0
Local Transportation Authority Measure M2	388,055,779	356,224,424	446,673,684
Local Transportation Fund	5,467,570	4,152,753	4,041,724
Measure M - Cure	128,446,819	0	27,394,603
Measure M2 Bond Debt Service	28,794,122	28,793,588	28,793,588
Orange County Taxi Administration Program	579,468	566,913	540,855
Orange County Transit District	396,876,979	310,545,634	293,834,457
Orange County Unified Transportation Trust	94,448	14,933	158,835
Scholarship Fund	12,756	17,977	17,611
Service Authority for Abandoned Vehicles	5,068	1,000	100
Service Authority for Freeway Emergencies	5,396,006	7,370,621	6,359,349
State Transit Assistance Fund	4,443	0	0
Transit Development Capital Project	87,915	41,431,652	63,878,002
<b>Total Authority</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>

**Fund Budget Summary (Continued)**

**External Revenues and Use of Designations by Fund**

Source of Funds			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<u>Administrative</u>			
ARBA Trust Fund	1,341,241	2,469,349	1,447,586
General Fund	3,614,875	31,278,036	12,386,885
Internal Service Fund-PL and PD	303,216	457,120	4,530,441
Internal Service Fund-Workers' Compensation	625,550	755,399	1,475,297
Scholarship Fund	12,756	17,977	17,611
<b>Subtotal Administrative</b>	<b>\$ 5,897,638</b>	<b>\$ 34,977,881</b>	<b>\$ 19,857,820</b>
<u>Transit</u>			
Local Transportation Fund	153,588,547	165,278,314	161,027,794
Orange County Transit District	267,645,223	187,470,238	166,707,804
State Transit Assistance Fund	20,996,843	20,887,347	17,214,550
<b>Subtotal Transit</b>	<b>\$ 442,230,613</b>	<b>\$ 373,635,899</b>	<b>\$ 344,950,148</b>
<u>Measure M2</u>			
Local Transportation Authority Measure M1	200,080,614	0	0
Local Transportation Authority Measure M2	401,138,310	435,618,160	537,494,143
Measure M - Cure	0	0	27,394,603
Measure M2 Bond Debt Service	6,459,768	6,493,553	13,449,922
<b>Subtotal Measure M2</b>	<b>\$ 607,678,692</b>	<b>\$ 442,111,713</b>	<b>\$ 578,338,668</b>
<u>Rail</u>			
Commuter and Urban Rail Endowment	54,873,093	75,841,329	64,528,529
<b>Subtotal Rail</b>	<b>\$ 54,873,093</b>	<b>\$ 75,841,329</b>	<b>\$ 64,528,529</b>
<u>Express Lanes</u>			
405 Express Lanes	0	0	41,578,746
91 Express Lanes	47,361,520	71,127,368	76,560,038
<b>Subtotal Express Lanes</b>	<b>\$ 47,361,520</b>	<b>\$ 71,127,368</b>	<b>\$ 118,138,784</b>
<u>Motorist and Taxi Services</u>			
Orange County Taxi Administration Program	908,903	912,395	795,792
Service Authority for Abandoned Vehicles	5,066	1,000	100
Service Authority for Freeway Emergencies	6,104,858	7,740,461	5,918,810
<b>Subtotal Motorist and Taxi Services</b>	<b>\$ 7,018,827</b>	<b>\$ 8,653,856</b>	<b>\$ 6,714,702</b>
<u>Capital Project</u>			
Orange County Unified Transportation Trust	275,988	89,933	158,835
Transit Development Capital Project	96,439	16,097,397	28,788,861
<b>Subtotal Capital Project</b>	<b>\$ 372,427</b>	<b>\$ 16,187,330</b>	<b>\$ 28,947,696</b>
<b>Total Authority</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>



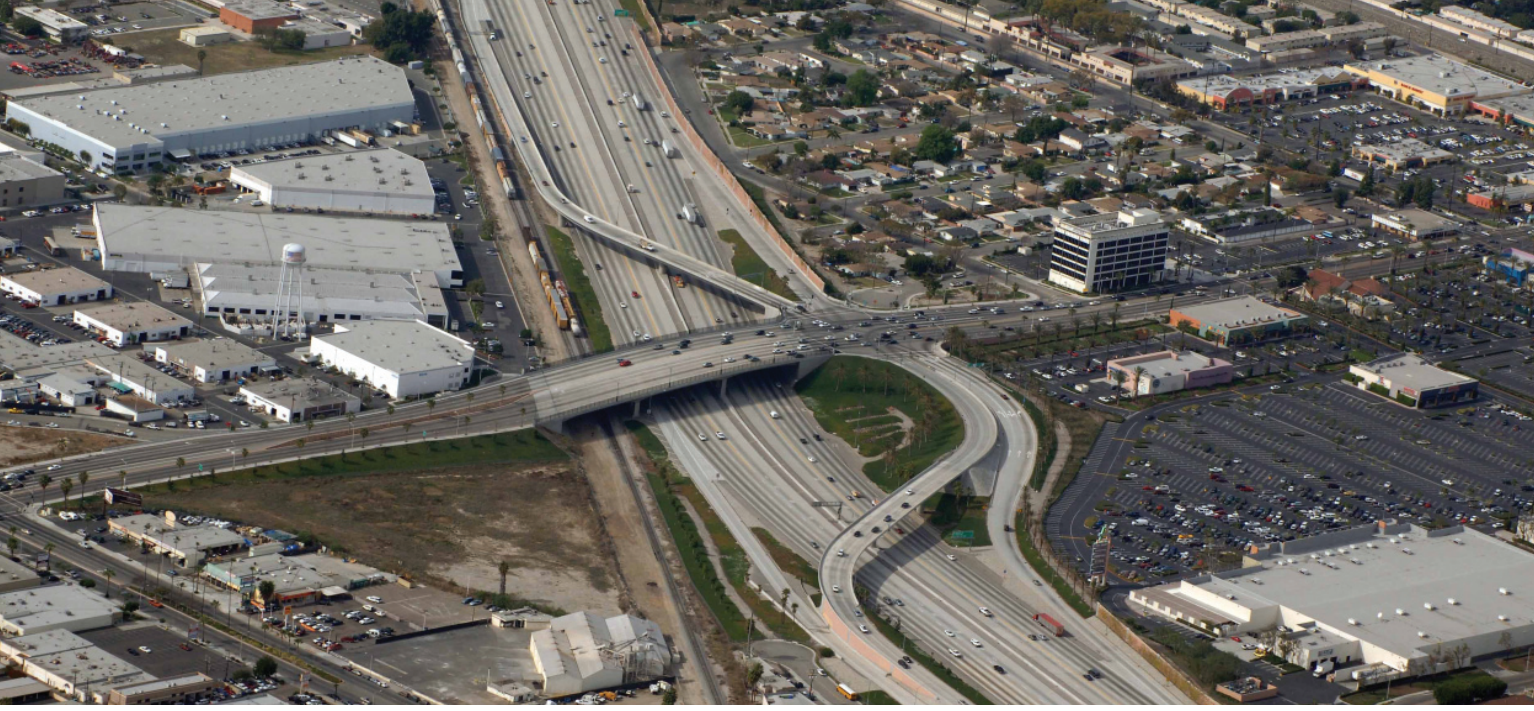
Fund Budget Summary (Continued)

External Expenses and Designations by Fund

Use of Funds			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<u>Administrative</u>			
ARBA Trust Fund	1,341,241	2,469,349	1,447,586
General Fund	91,452,544	130,537,518	108,965,815
Internal Service Fund-PL and PD	748,665	4,678,426	7,669,704
Internal Service Fund-Workers' Compensation	7,685,089	7,634,269	6,838,010
Scholarship Fund	12,756	17,977	17,611
<b>Subtotal Administrative</b>	<b>\$ 101,240,295</b>	<b>\$ 145,337,539</b>	<b>\$ 124,938,726</b>
<u>Transit</u>			
Local Transportation Fund	5,467,570	4,152,753	4,041,724
Orange County Transit District	396,876,979	310,545,634	293,834,457
State Transit Assistance Fund	4,443	0	0
<b>Subtotal Transit</b>	<b>\$ 402,348,992</b>	<b>\$ 314,698,387</b>	<b>\$ 297,876,181</b>
<u>Measure M2</u>			
Local Transportation Authority Measure M1	17,335,977	0	0
Local Transportation Authority Measure M2	388,055,779	356,224,424	446,673,684
Measure M - Cure	128,446,819	0	27,394,603
Measure M2 Bond Debt Service	28,794,122	28,793,588	28,793,588
<b>Subtotal Measure M2</b>	<b>\$ 562,632,697</b>	<b>\$ 385,018,012</b>	<b>\$ 502,861,875</b>
<u>Rail</u>			
Commuter and Urban Rail Endowment	48,292,783	68,156,980	59,343,988
<b>Subtotal Rail</b>	<b>\$ 48,292,783</b>	<b>\$ 68,156,980</b>	<b>\$ 59,343,988</b>
<u>Express Lanes</u>			
405 Express Lanes	0	0	39,654,506
91 Express Lanes	44,755,138	59,939,339	65,863,930
<b>Subtotal Express Lanes</b>	<b>\$ 44,755,138</b>	<b>\$ 59,939,339</b>	<b>\$ 105,518,436</b>
<u>Motorist and Taxi Services</u>			
Orange County Taxi Administration Program	579,468	566,913	540,855
Service Authority for Abandoned Vehicles	5,068	1,000	100
Service Authority for Freeway Emergencies	5,396,006	7,370,621	6,359,349
<b>Subtotal Motorist and Taxi Services</b>	<b>\$ 5,980,542</b>	<b>\$ 7,938,534</b>	<b>\$ 6,900,304</b>
<u>Capital Project</u>			
Orange County Unified Transportation Trust	94,448	14,933	158,835
Transit Development Capital Project	87,915	41,431,652	63,878,002
<b>Subtotal Capital Project</b>	<b>\$ 182,363</b>	<b>\$ 41,446,585</b>	<b>\$ 64,036,837</b>
<b>Total Authority</b>	<b>\$ 1,165,432,810</b>	<b>\$ 1,022,535,376</b>	<b>\$ 1,161,476,347</b>



**OCTA**



## General Fund

The OCTA General Fund contains the administrative functions for OCTA. These functions include management, finance, project delivery, procurement, human resources, government relations, planning, marketing, and outreach. Several divisions contribute to the successful completion of these responsibilities.

The Chief Executive Officer (CEO), who resides in the **Executive Office Division**, is responsible for providing management direction to all other divisions and programs within OCTA and implementing the policy directives as articulated by the Board. The CEO serves at the discretion of the Board of Directors. The CEO and Deputy CEO's primary responsibilities include development and refinement of the organizational structure of OCTA, establishing and executing strategic plans, and fostering an environment conducive to employee development.

Included in the Executive Office Division are Internal Audit, Security and Emergency Preparedness, and Clerk of the Board (COB). Internal Audit is responsible for providing an independent appraisal function to examine and evaluate OCTA's operations and activities. These reviews are provided as a service to

the Board and OCTA management to assist them in the effective discharge of their duties.

The COB is charged with preserving and accurately recording OCTA's official and historical records and making them available to the public. This division is responsible for the Board and Committee agenda processes, including preparation and distribution of agendas, ensuring these meetings are held in compliance with California open meeting laws, recording actions taken by the Board and Committees, and maintaining a comprehensive records management system supporting Board and Committee actions.

The COB also provides direct meeting and administrative support to the Board and receives legal documents served upon OCTA.

The **Government Relations Division** serves as OCTA's liaison with Members of the California State Legislature and the United States Congress. In addition, it is responsible for developing and maintaining a competitive and proactive grant funding program. These responsibilities also include oversight of OCTA's subrecipient monitoring

requirements. OCTA participates in a number of transportation-related initiatives within the two Metropolitan Planning Organizations in Southern California -- the Southern California Association of Government (SCAG) and the San Diego Association of Governments (SANDAG). These initiatives address key multicounty mobility and coordination issues including the movement of goods from the Ports of Los Angeles and Long Beach through the region including Orange County, development of regional policies for operation and management of carpool and/or managed lanes, and implementation of sub-regional programs, such as the Four Corners Study.

The **Finance and Administration Division** supports OCTA's goals and objectives through a wide range of fiduciary and administrative activities. The division analyzes fiscal issues and advises the Board in the areas of long-term financing, fund planning, annual budget, and compliance with generally accepted accounting principles. Staff works closely with federal, state, and local agencies to ensure the continued receipt of grant funding and compliance with enabling regulations. The division is responsible for contract management







and purchasing activities. The division also provides guidance for the implementation of technology, oversees facilities management, records management and a variety of other support services. In addition, the Finance and Administration Division is responsible for OCTA's investment portfolio and debt obligation, and oversees the 91 Express Lanes.

The **Human Resources and Organizational Development Division** carries the responsibility for OCTA's functions in relation to employment, compensation, benefits, risk management, training, labor and employee relations, health, safety, environmental compliance and organizational development.

The **Planning Division** is responsible for a range of activities including planning and implementing M2 improvements, planning and programming activities required by state and federal legislation, collaborating with regional transportation agencies, and securing project funding. This division coordinates the M2 Program implementation to ensure coordinated and integrated M2 Program delivery. The division also represents OCTA interests on regional issues such as goods movement,

cross-county issues, air quality programs, ensures compliance with state and federal planning mandates, and provides forecasting and technical support services for the entire agency. This division also provides the technical support necessary for implementation of SB - 375, in order to reduce greenhouse gas emissions.

The **External Affairs Division** is responsible for customer relations, community relations, media relations, and public information. This department engages the public in discussion of transportation issues in Orange County and attempts to build consensus for future transportation projects.

The primary responsibility of the **Capital Programs Division** is the oversight and implementation of capital improvement projects across all modes of transportation. Projects include freeways improvements, chokepoint and soundwall projects, and Smart Streets. Furthermore, the division enhances Orange County's rail stations and rail crossings. In addition to this primary focus, the team is responsible for many complementary transit projects and programs, such as the development and implementation of the OC Streetcar. In 2020 OCTA

will introduce Orange County's first streetcar. The OC Streetcar is a fixed guideway streetcar that will link Santa Ana Regional Transit Center to a new multimodal hub at Harbor Boulevard/Westminster Avenue in Garden Grove. Additional responsibilities include planned high-frequency Metrolink service, local transit connectors, grade crossing safety and quiet zone improvements, and development of key rail stations into gateways to regional rail. Furthermore, this division oversees various transit capital improvement projects, as well as numerous facility projects.

The **Transit Division** is one of OCTA's core business units delivering fixed-route and paratransit bus services for Orange County. In addition, it oversees the administrative services as they relate to the Motorist Services Program. They plan, direct and administer the SAFE and the OCTAP programs. Staff oversees contracted operations and maintenance as well as internal support functions and is accountable for accurate reporting of related activities.

**General Fund Sources & Uses**

**Sources Summary**

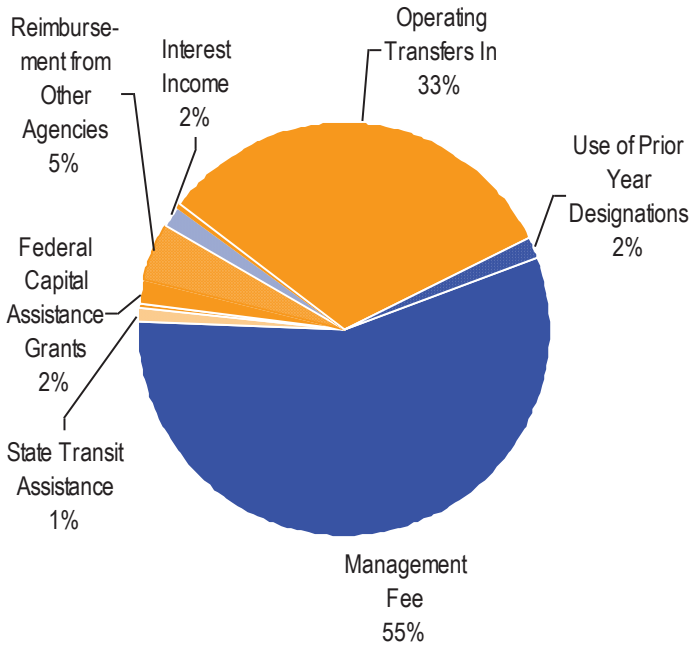
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6010 State Transit Assistance	253,740	1,593,377	1,356,675
6020 State Assistance	171,565	0	0
6030 Federal Operating Assistance Grants	1,912,482	1,494,187	354,120
6040 Federal Capital Assistance Grants	173,937	6,045,135	1,866,325
6050 Reimbursement from Other Agencies	504,456	12,937,082	4,967,057
6200 Interest Income	288,114	1,745,370	1,807,414
6300 Other Non-operating Revenue	310,581	341,941	360,038
6400 Management Fee	55,896,645	66,318,590	61,369,525
6500 Operating Transfers In	32,538,659	33,887,125	35,749,823
<b>Subtotal Revenues</b>	<b>\$ 92,050,179</b>	<b>\$ 124,362,807</b>	<b>\$ 107,830,977</b>
Use of Prior Year Designations	0	7,120,944	1,675,256
<b>Total Sources</b>	<b>\$ 92,050,179</b>	<b>\$ 131,483,751</b>	<b>\$ 109,506,233</b>

**Uses Summary**

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7100 Salaries and Benefits	44,159,131	49,446,705	50,201,828
7101 LOSSAN Salaries and Benefits	0	1,687,619	1,466,429
7300 Purchased Transportation Services	800	0	0
7500 Professional Services	11,689,699	24,535,559	17,328,995
7540 Insurance Claims/Premiums	76	0	0
7600 General and Administrative	4,577,230	9,149,502	6,416,185
7700 Maintenance Parts and Fuel	7,151	8,500	8,000
7800 Contributions to Other Agencies	6,017,786	20,991,866	16,558,586
8111 Interest Expense	8,362	0	0
9000 Capital Expenditures	1,431,836	25,664,000	17,526,210
<b>Subtotal Expenses</b>	<b>\$ 67,892,071</b>	<b>\$ 131,483,751</b>	<b>\$ 109,506,233</b>
Designations	24,158,108	0	0
<b>Total Uses</b>	<b>\$ 92,050,179</b>	<b>\$ 131,483,751</b>	<b>\$ 109,506,233</b>

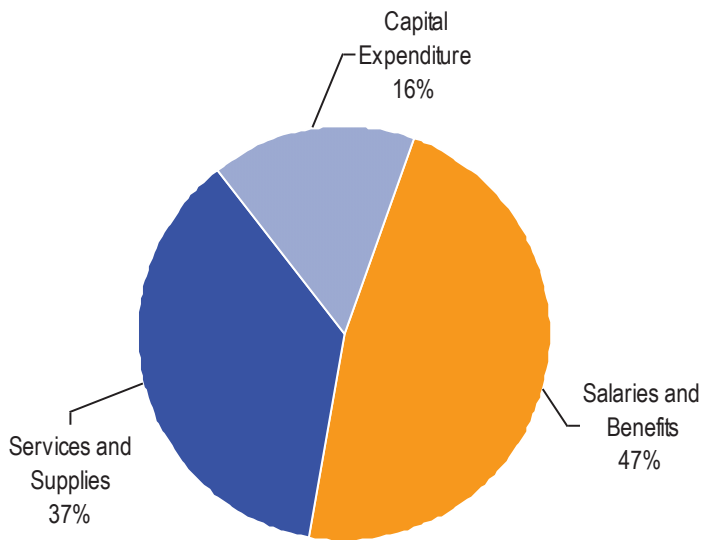
**General Fund**

**Sources**



	FY 2016-17	Amount
Management Fee		\$ 61,369,525
State Transit Assistance		1,356,675
Federal Operating Assistance Grants		354,120
Federal Capital Assistance Grants		1,866,325
Reimbursement from Other Agencies		4,967,057
Interest Income		1,807,414
Other Non-operating Revenue		360,038
Operating Transfers In		35,749,823
Use of Prior Year Designations		1,675,256
<b>Total Sources</b>		<b>\$ 109,506,233</b>

**Uses**



	FY 2016-17	Amount
Salaries and Benefits		\$ 51,668,257
Services and Supplies		40,311,766
Capital Expenditure		17,526,210
<b>Total Uses</b>		<b>\$ 109,506,233</b>

Sources and Uses less than 1% are not shown on graphs

### Additional Retirement Benefit Account (ARBA) Trust Fund

OCTA currently provides a supplemental retirement benefit known as the **Additional Retirement Benefit Account (ARBA)**. This benefit is offered to retired members of the Orange County Employees Retirement System (OCERS) in order to assist OCTA employees in maintaining health insurance coverage following their retirement from OCTA. OCTA does not provide retiree medical benefits.

The ARBA benefit was funded and administered pursuant to a 1994 Memorandum of Understanding (and its subsequent amendments) with OCERS. The ARBA benefit was originally funded through excess earnings of the retirement system and held as part of the unallocated fund balance. As the unallocated fund balance was reduced due to benefit payments and market performance,

participating agencies began contributing 0.5 percent of payroll. In April 2008, OCTA entered into a new agreement with OCERS to administer ARBA. OCTA currently funds ARBA based on biennial actuarial valuations. The most recent actuarial study recommended 0.98 percent of payroll be set aside in the FY 2016-17 budget to fund the benefit.

#### ARBA Trust Fund Sources & Uses

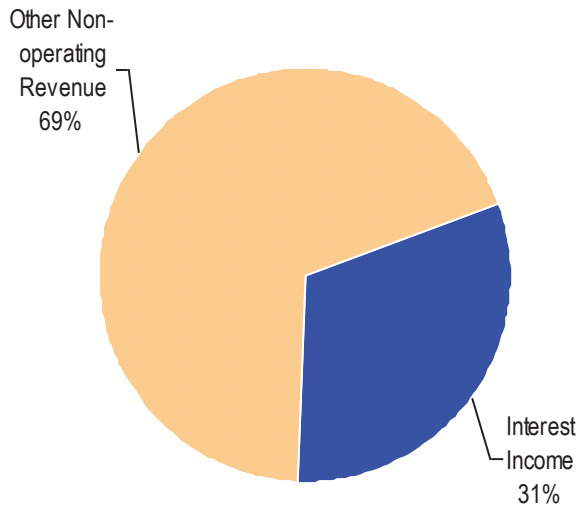
Sources Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6200 Interest Income	466,779	1,414,869	448,506
6300 Other Non-operating Revenue	874,462	1,054,480	999,080
<b>Subtotal Revenues</b>	<b>\$ 1,341,241</b>	<b>\$ 2,469,349</b>	<b>\$ 1,447,586</b>
<b>Total Sources</b>	<b>\$ 1,341,241</b>	<b>\$ 2,469,349</b>	<b>\$ 1,447,586</b>

Uses Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7800 Contributions to Other Agencies	1,004,021	1,000,904	1,010,913
<b>Subtotal Expenses</b>	<b>\$ 1,004,021</b>	<b>\$ 1,000,904</b>	<b>\$ 1,010,913</b>
Designations	337,220	1,468,445	436,673
<b>Total Uses</b>	<b>\$ 1,341,241</b>	<b>\$ 2,469,349</b>	<b>\$ 1,447,586</b>



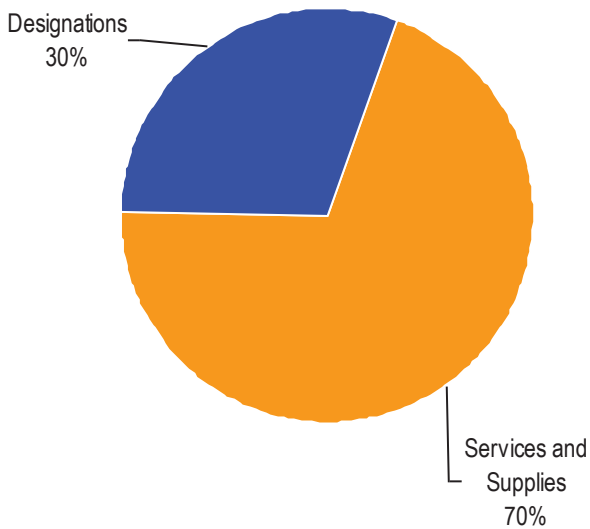
**ARBA Trust Fund**

**Sources**



	FY 2016-17	Amount
Interest Income		\$ 448,506
Other Non-operating Revenue		999,080
<b>Total Sources</b>		<b>\$ 1,447,586</b>

**Uses**



	FY 2016-17	Amount
Services and Supplies		\$ 1,010,913
Designations		436,673
<b>Total Uses</b>		<b>\$ 1,447,586</b>

Sources and Uses less than 1% are not shown on graphs

**Internal Service Fund (ISF) - Personal Liability and Property Damage (PL and PD)**

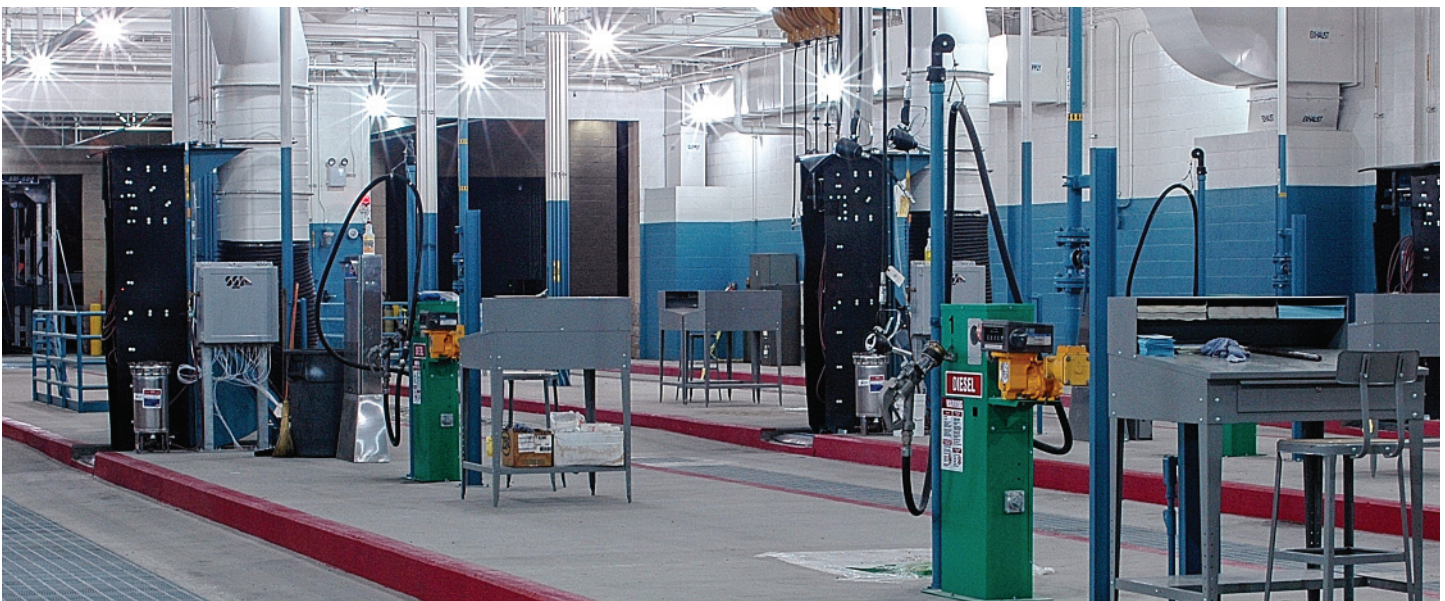
The **Personal Liability & Property Damage Fund** was established to consolidate the accounting for the revenues and expenditures associated with personal liability and property damage for the entire Authority.

The revenues recorded in these funds are comprised of charges, insurance recoveries and interest earnings. The expenses are comprised of insurance payouts, claims, and stop-loss insurance coverage.

**Internal Service Fund-PL and PD Sources & Uses**

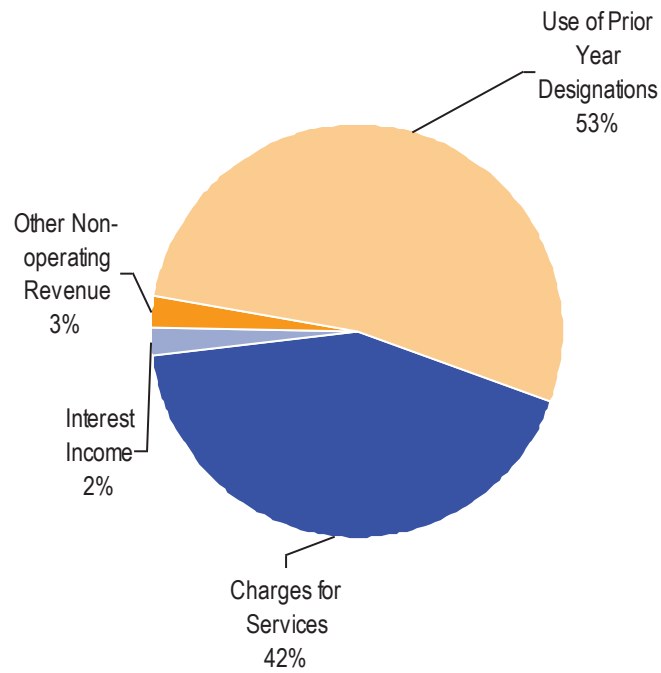
Sources Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
5300 Charges for Services	665,403	4,458,621	3,347,620
6200 Interest Income	136,366	107,120	167,101
6300 Other Non-operating Revenue	166,850	350,000	200,000
<b>Subtotal Revenues</b>	<b>\$ 968,619</b>	<b>\$ 4,915,741</b>	<b>\$ 3,714,721</b>
Use of Prior Year Designations	0	0	4,163,340
<b>Total Sources</b>	<b>\$ 968,619</b>	<b>\$ 4,915,741</b>	<b>\$ 7,878,061</b>

Uses Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7400 Overhead Allocation	219,954	237,315	208,357
7500 Professional Services	1,408,958	1,543,426	1,543,296
7540 Insurance Claims/Premiums	-904,327	3,135,000	1,832,267
7800 Contributions to Other Agencies	43,959	0	0
<b>Subtotal Expenses</b>	<b>\$ 768,544</b>	<b>\$ 4,915,741</b>	<b>\$ 3,583,920</b>
Designations	200,075	0	4,294,141
<b>Total Uses</b>	<b>\$ 968,619</b>	<b>\$ 4,915,741</b>	<b>\$ 7,878,061</b>



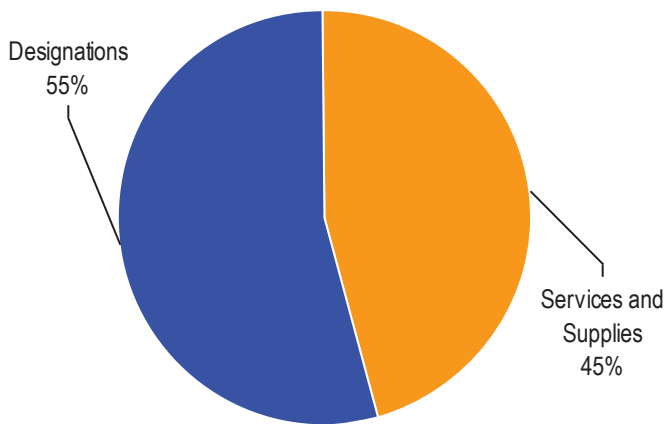
**Internal Service Fund-PL and PD**

**Sources**



	FY 2016-17	Amount
Charges for Services		\$ 3,347,620
Interest Income		167,101
Other Non-operating Revenue		200,000
Use of Prior Year Designations		4,163,340
<b>Total Sources</b>		<b>\$ 7,878,061</b>

**Uses**



	FY 2016-17	Amount
Services and Supplies		\$ 3,583,920
Designations		4,294,141
<b>Total Uses</b>		<b>\$ 7,878,061</b>

Sources and Uses less than 1% are not shown on graphs

## Internal Service Fund (ISF) - Workers' Compensation (WC)

The **Workers Compensation Fund** was established to consolidate the accounting for the revenues and expenditures associated with workers' compensation for the entire Authority.

The revenues recorded in these funds are comprised of charges, insurance recoveries and interest earnings. The expenses are comprised of insurance payouts, claims, and stop-loss insurance coverage.

### Internal Service Fund-Workers' Compensation Sources & Uses

#### Sources Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
5300 Charges for Services	7,135,764	6,978,865	5,442,379
6200 Interest Income	153,438	315,399	217,797
6300 Other Non-operating Revenue	472,112	440,000	1,257,500
<b>Subtotal Revenues</b>	<b>\$ 7,761,314</b>	<b>\$ 7,734,264</b>	<b>\$ 6,917,676</b>
<b>Total Sources</b>	<b>\$ 7,761,314</b>	<b>\$ 7,734,264</b>	<b>\$ 6,917,676</b>

#### Uses Summary

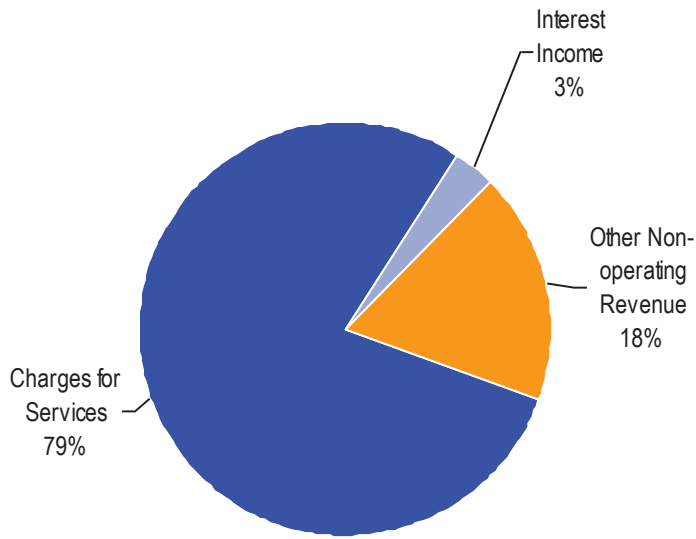
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7400 Overhead Allocation	76,225	99,995	79,666
7500 Professional Services	449,920	2,374,269	31,155
7540 Insurance Claims/Premiums	5,405,181	5,100,000	6,656,855
7800 Contributions to Other Agencies	225,315	160,000	150,000
<b>Subtotal Expenses</b>	<b>\$ 6,156,641</b>	<b>\$ 7,734,264</b>	<b>\$ 6,917,676</b>
Designations	1,604,673	0	0
<b>Total Uses</b>	<b>\$ 7,761,314</b>	<b>\$ 7,734,264</b>	<b>\$ 6,917,676</b>





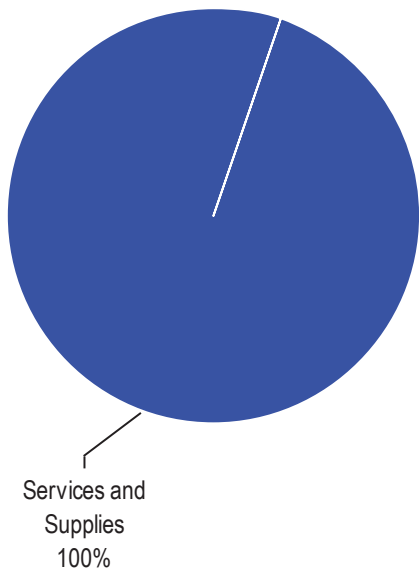
## Internal Service Fund-Workers' Compensation

### Sources



	FY 2016-17	Amount
Charges for Services		\$ 5,442,379
Interest Income		217,797
Other Non-operating Revenue		1,257,500
<b>Total Sources</b>		<b>\$ 6,917,676</b>

### Uses



	FY 2016-17	Amount
Services and Supplies		\$ 6,917,676
<b>Total Uses</b>		<b>\$ 6,917,676</b>

Sources and Uses less than 1% are not shown on graphs

## Scholarship Fund

The OCTA **Scholarship Fund** is funded through employee payroll deductions, cash contributions, and the recycling of bottles and cans. The OCTA Scholarship Fund's only fund source is employee contributions. The scholarship fund benefits college age children, grandchildren of OCTA employees and OCTA interns. To be eligible for this scholarship, students are required to write an essay as to why they want to attend college, or if applying for a second year in a row, how their previous scholarship award was utilized to benefit their education or career. The essays are judged and recipients notified; award amounts vary based on contributions and earnings in that fiscal year.



### Scholarship Fund Sources & Uses

#### Sources Summary

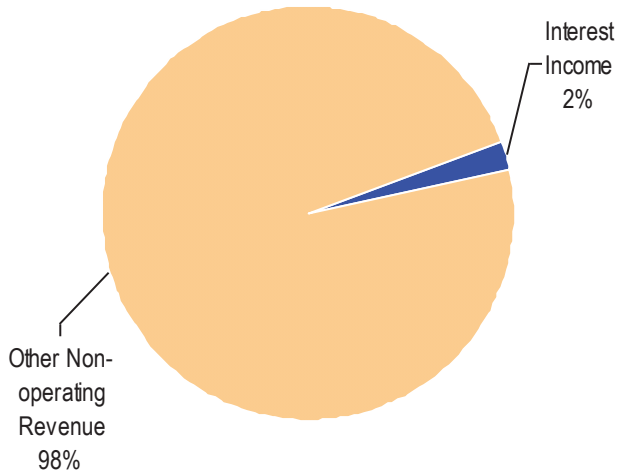
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6200 Interest Income	64	141	396
6300 Other Non-operating Revenue	12,692	17,836	17,215
<b>Subtotal Revenues</b>	<b>\$ 12,756</b>	<b>\$ 17,977</b>	<b>\$ 17,611</b>
<b>Total Sources</b>	<b>\$ 12,756</b>	<b>\$ 17,977</b>	<b>\$ 17,611</b>

#### Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7500 Professional Services	8	0	0
7800 Contributions to Other Agencies	12,500	17,977	17,611
<b>Subtotal Expenses</b>	<b>\$ 12,508</b>	<b>\$ 17,977</b>	<b>\$ 17,611</b>
Designations	248	0	0
<b>Total Uses</b>	<b>\$ 12,756</b>	<b>\$ 17,977</b>	<b>\$ 17,611</b>

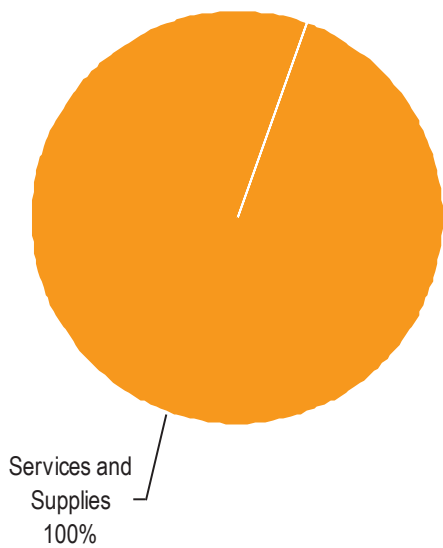
Scholarship Fund

Sources



	FY 2016-17	Amount
Interest Income		\$ 396
Other Non-operating Revenue		17,215
<b>Total Sources</b>		<b>\$ 17,611</b>

Uses



	FY 2016-17	Amount
Services and Supplies		\$ 17,611
<b>Total Uses</b>		<b>\$ 17,611</b>

Sources and Uses less than 1% are not shown on graphs



**OCTA**





**Local Transportation Fund (LTF)**

The LTF was established in 1971 through the TDA and is derived from state sales taxes that are returned to each county based on taxable sales. This ¼ cent sales tax provides funding to OCTA for a variety of purposes including regional planning, paratransit service, and fixed-route service. LTF revenues may also be used as a local match for Federal Transit Administration (FTA) grants.

Budgeted revenues received by LTF are designated for the following purposes:

*LTF Article 3 - Administration*

These revenues are made available for administration of the TDA by a Transportation Planning Agency (TPA). Since OCTA is the TPA for Orange County, OCTA oversees the administration of this fund. In FY 2016-17, OCTA is claiming \$138,600 for this function. The Orange County Auditor-Controller is also claiming \$7,671 for administration services.

*LTF Article 3 - Planning*

This funding is available for transportation planning and programming by the County Transportation Commission (CTC), as determined by TDA. OCTA is the designated CTC for Orange County and is claiming \$3,604,639 of TDA revenues for this function in FY 2016-17. An additional \$1,201,547 is being claimed by the Southern California Association of Governments (SCAG) for regional planning efforts.

*LTF Article 4 - Public Transportation Services*

These revenues are available to support public transportation systems. Funds may be used for capital, operating, and maintenance costs. Transit operators must meet farebox revenue and local support ratios to remain eligible for these funds.

OCTA oversees LTF funds allocated to Orange County. Eligible recipients are the OCTD and Laguna Beach Municipal Transit Lines. In FY 2016-17,

OCTD is claiming \$146,396,712 for providing public transit services to Orange County residents. Laguna Beach is eligible to claim \$1,094,356 in FY 2016-17 to fund public transit services within the city.

*LTF Article 4.5 - Community Transit Services*

These funds are available for the provision of community transit services, including transit services for persons with disabilities unable to use fixed-route transit services. Up to five percent of the annual LTF revenues are allotted to this service after deductions are made for administration, planning, and bicycle and pedestrian facility allocations.

OCTA oversees this fund and eligible recipients are designated as Consolidated Transportation Service Agencies (CTSA). OCTA has designated OCTD as the sole CTSA in Orange County. In FY 2016-17, OCTD is claiming \$7,762,688 for providing community transit services. These funds are provided to OCTD for community transportation and local agencies in Orange County to assist in their senior transportation programs.





Local Transportation Fund (LTF) (Continued)



Local Transportation Fund Sources & Uses

Sources Summary

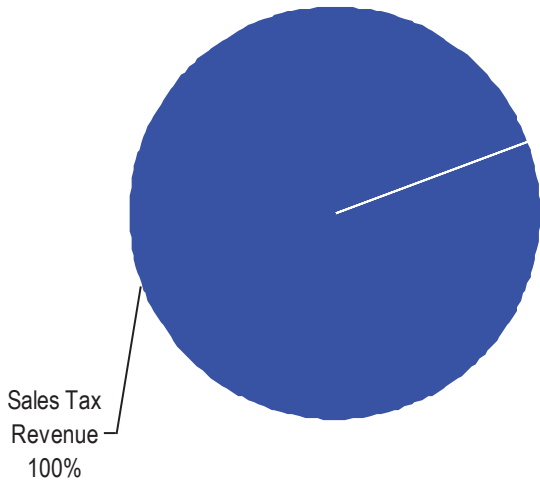
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6104 Sales Tax Revenue	153,579,306	165,253,448	161,006,154
6200 Interest Income	9,241	24,866	21,640
<b>Subtotal Revenues</b>	<b>\$ 153,588,547</b>	<b>\$ 165,278,314</b>	<b>\$ 161,027,794</b>
<b>Total Sources</b>	<b>\$ 153,588,547</b>	<b>\$ 165,278,314</b>	<b>\$ 161,027,794</b>

Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7500 Professional Services	1,927,421	1,798,010	1,751,798
7600 General and Administrative	2,973	0	0
7800 Contributions to Other Agencies	2,168,502	2,354,743	2,289,926
8200 Operating Transfers Out	148,120,977	161,125,561	156,986,070
<b>Subtotal Expenses</b>	<b>\$ 152,219,873</b>	<b>\$ 165,278,314</b>	<b>\$ 161,027,794</b>
Designations	1,368,674	0	0
<b>Total Uses</b>	<b>\$ 153,588,547</b>	<b>\$ 165,278,314</b>	<b>\$ 161,027,794</b>

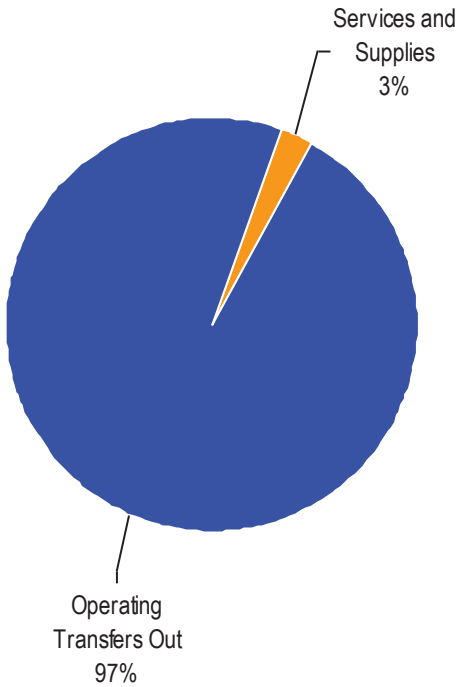
Local Transportation Fund

Sources



	FY 2016-17	Amount
Sales Tax Revenue		\$ 161,006,154
Interest Income		21,640
<b>Total Sources</b>		<b>\$ 161,027,794</b>

Uses



	FY 2016-17	Amount
Services and Supplies		\$ 4,041,724
Operating Transfers Out		156,986,070
<b>Total Uses</b>		<b>\$ 161,027,794</b>

Sources and Uses less than 1% are not shown on graphs



## Orange County Transit District (OCTD)

The **OCTD Fund** supports the administrative, operational, and capital functions of bus operations, rail feeder and paratransit bus service. The OCTD fund is designed to capture all revenue and expenses for bus related activity. The fund is presented as an enterprise activity of the OCTA.

In FY 2016-17, OCTA will directly operate approximately 968,561 revenue hours of fixed-route service, and contract an additional 635,256 hours. In FY 2016-17, OCTA anticipates 42.2 million fixed-route boardings.

The bus network serves most of the urbanized portions of Orange County with connections to Riverside, San Diego, San Bernardino, and Los Angeles Counties. The weekday span

of service is generally between 4:00 a.m. to 11:00 p.m. for Local Lines, 4:00 a.m. to midnight for Community Lines, and four local routes operate late evening service until 1:30 a.m. Peak hour headways generally vary from 8 to 30 minutes and the maximum headway is 60 minute service.

Express service includes ten peak-period weekday routes providing limited-stop, freeway-based service to major employment areas in Orange County, as well as downtown Los Angeles, Riverside, and San Bernardino Counties. OCTA's mid-size buses provide a variety of services along routes in areas where the demand does not warrant use of large buses. Many of these routes provide connector services for the Metrolink

commuter rail system (StationLink), allowing Metrolink commuters to reach employment centers. The mid-size buses also allow for the provision of community-based transit service, which supplements the local bus operations system.

The Transit Division also delivers complementary paratransit services. ACCESS is a paratransit service providing trips for persons with developmental and physical disabilities, as required by the federal Americans with Disabilities Act (ADA). ACCESS services are slated to provide approximately 503 thousand revenue hours of service and 271 thousand supplemental taxi service trips in FY 2016-17.



## Orange County Transit District Sources &amp; Uses

## Sources Summary

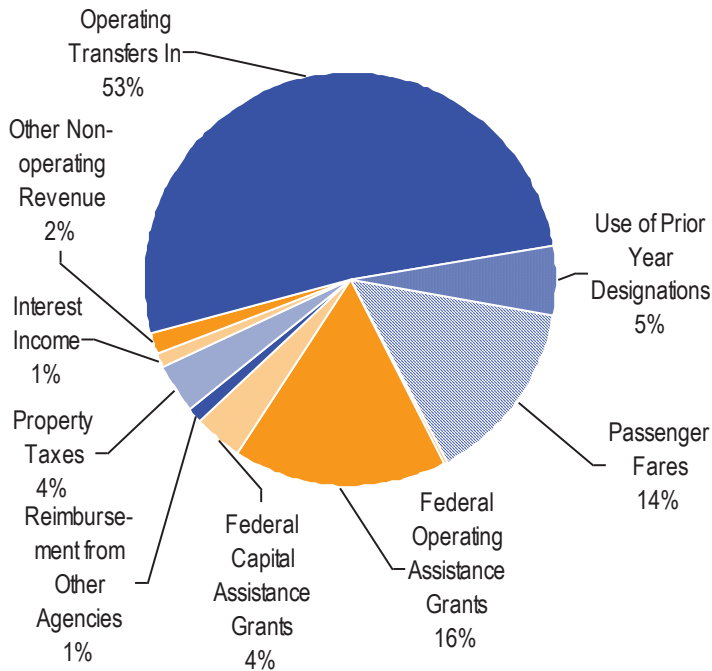
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
5100 Passenger Fares	54,503,091	56,535,726	49,898,610
6020 State Assistance	3,815,995	28,475	1,200,000
6030 Federal Operating Assistance Grants	61,570,019	69,885,376	56,880,084
6040 Federal Capital Assistance Grants	10,194,083	4,072,607	14,182,502
6050 Reimbursement from Other Agencies	5,670,811	3,944,712	3,207,000
6100 Property Taxes	13,293,181	12,401,715	13,426,113
6200 Interest Income	3,528,786	4,251,331	4,343,298
6300 Other Non-operating Revenue	6,175,692	3,788,890	5,301,209
6500 Operating Transfers In	170,799,251	183,811,609	178,418,883
<b>Subtotal Revenues</b>	<b>\$ 329,550,909</b>	<b>\$ 338,720,441</b>	<b>\$ 326,857,699</b>
Use of Prior Year Designations	108,893,565	32,561,406	18,268,988
<b>Total Sources</b>	<b>\$ 438,444,474</b>	<b>\$ 371,281,847</b>	<b>\$ 345,126,687</b>

## Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7100 Salaries and Benefits	113,795,103	115,053,332	111,821,275
7300 Purchased Transportation Services	76,665,111	81,849,572	82,166,413
7400 Overhead Allocation	32,770,061	35,251,537	30,046,332
7500 Professional Services	15,334,971	21,231,263	20,203,057
7540 Insurance Claims/Premiums	-12,055	0	0
7600 General and Administrative	4,511,075	8,898,320	8,098,446
7700 Maintenance Parts and Fuel	19,897,507	24,968,268	15,585,111
7800 Contributions to Other Agencies	2,919,813	3,644,575	3,370,065
8111 Interest Expense	11,289	0	0
8200 Operating Transfers Out	1,600,000	15,000,000	13,000,000
9000 Capital Expenditures	170,951,599	27,924,320	18,693,502
<b>Subtotal Expenses</b>	<b>\$ 438,444,474</b>	<b>\$ 333,821,187</b>	<b>\$ 302,984,201</b>
Designations	0	37,460,660	42,142,486
<b>Total Uses</b>	<b>\$ 438,444,474</b>	<b>\$ 371,281,847</b>	<b>\$ 345,126,687</b>

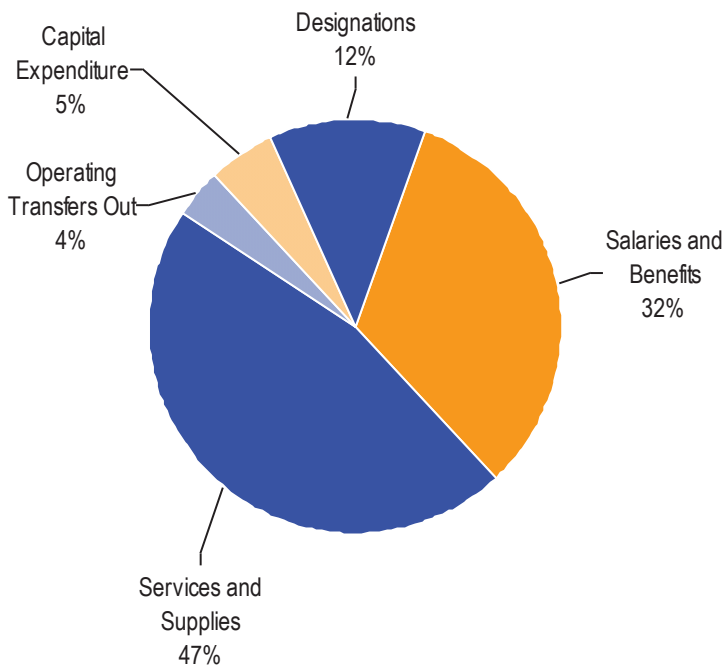
## Orange County Transit District

### Sources



	FY 2016-17	Amount
Passenger Fares		\$ 49,898,610
State Assistance		1,200,000
Federal Operating Assistance Grants		56,880,084
Federal Capital Assistance Grants		14,182,502
Reimbursement from Other Agencies		3,207,000
Property Taxes		13,426,113
Interest Income		4,343,298
Other Non-operating Revenue		5,301,209
Operating Transfers In		178,418,883
Use of Prior Year Designations		18,268,988
<b>Total Sources</b>		<b>\$ 345,126,687</b>

### Uses



	FY 2016-17	Amount
Salaries and Benefits		\$ 111,821,275
Services and Supplies		159,469,424
Operating Transfers Out		13,000,000
Capital Expenditure		18,693,502
Designations		42,142,486
<b>Total Uses</b>		<b>\$ 345,126,687</b>

Sources and Uses less than 1% are not shown on graphs



## State Transit Assistance Fund (STAF)

The **State Transit Assistance Fund (STAF)** was created by the California Legislature in 1979. The fund provides a second source of Transportation Development Act (TDA) funding for transportation planning and mass transportation purposes.

Public Transportation Account (PTA) revenues are derived from sales tax on diesel fuel. Fifty percent of all PTA revenues are apportioned to STAF.

In FY 2016-17, this is estimated to generate \$315.2 million.

In FY 2016-17 the State Controller's Office estimates it will collect and allocate \$157.6 million of STAF based on the latest available annual population estimates from the Department of Finance.

In addition, the State Controller's Office estimates it will collect and allocate

\$157.6 million of STAF based primarily on qualifying revenues from the prior fiscal year Annual Report of Financial Transactions of Transit Operators and Non-Transit Claimants under TDA.

OCTA's allocation of revenues from STAF is estimated at \$17.2 million in FY 2016-17. This amount will be transferred to the OCTD fund for bus capital related expenditures.

### State Transit Assistance Fund Sources & Uses

#### Sources Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6104 Sales Tax Revenue	20,992,400	20,887,347	17,214,550
6200 Interest Income	4,443	0	0
<b>Subtotal Revenues</b>	<b>\$ 20,996,843</b>	<b>\$ 20,887,347</b>	<b>\$ 17,214,550</b>
<b>Total Sources</b>	<b>\$ 20,996,843</b>	<b>\$ 20,887,347</b>	<b>\$ 17,214,550</b>

#### Uses Summary

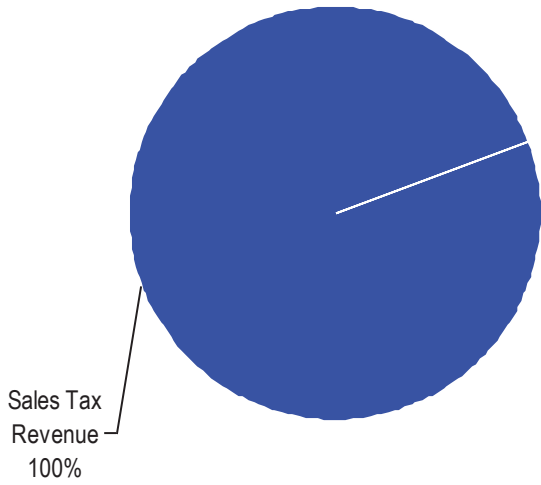
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7600 General and Administrative	698	0	0
7800 Contributions to Other Agencies	194	0	0
8200 Operating Transfers Out	20,992,400	20,887,347	17,214,550
<b>Subtotal Expenses</b>	<b>\$ 20,993,292</b>	<b>\$ 20,887,347</b>	<b>\$ 17,214,550</b>
Designations	3,551	0	0
<b>Total Uses</b>	<b>\$ 20,996,843</b>	<b>\$ 20,887,347</b>	<b>\$ 17,214,550</b>



**State Transit Assistance Fund**

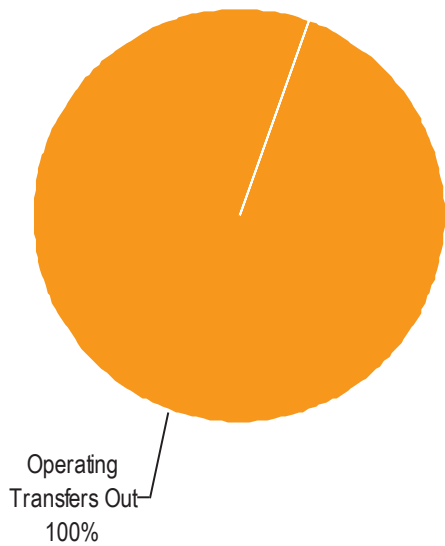
**Sources**

	FY 2016-17	Amount
Sales Tax Revenue		\$ 17,214,550
<b>Total Sources</b>		<b>\$ 17,214,550</b>



**Uses**

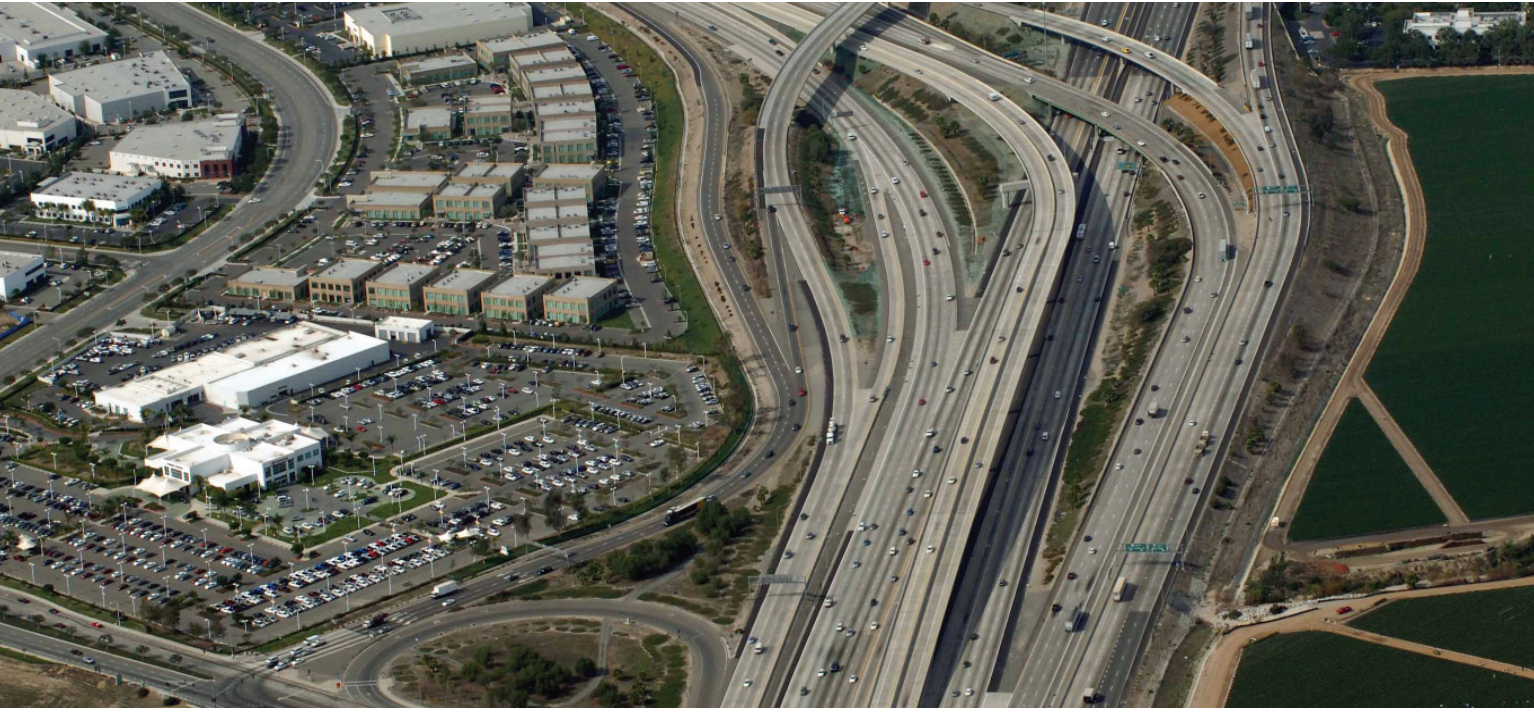
	FY 2016-17	Amount
Operating Transfers Out		\$ 17,214,550
<b>Total Uses</b>		<b>\$ 17,214,550</b>



Sources and Uses less than 1% are not shown on graphs



**OCTA**



## Local Transportation Authority (LTA) Measure M2 (M2) Fund

The original Measure M (M1) half-cent local transportation sales tax, approved by Orange County voters in November 1990, ended in April 2011. On November 7, 2006, 69.7 percent of Orange County voters approved the renewal of Measure M, also known as M2, for an additional 30 years, beginning in 2011.

Like M1, 43 percent of the net revenue from M2 will be dedicated to improving Orange County freeways, the largest portion of the 30-year transportation plan. Thirty-two percent will be used to improve Orange County's more than 6,500 lanes of aging streets and roads. The remaining 25 percent will be allocated to building and improving

rail and bus transportation in Orange County (20 percent will be allocated to fund rail transit along the Metrolink corridor, thereby enhancing the overall transit system and 5 percent for senior citizens and for establishing local bus circulators).

### Local Transportation Authority Measure M2 Sources & Uses

#### Sources Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6010 State Transit Assistance	888,803	0	0
6020 State Assistance	56,281,061	9,600,560	11,630,495
6030 Federal Operating Assistance Grants	17,501,312	4,160,000	60,500,000
6040 Federal Capital Assistance Grants	22,069,087	41,702,478	41,946,423
6050 Reimbursement from Other Agencies	9,030,286	14,710,000	16,542,319
6101 Taxes	291,556,655	310,126,626	314,347,772
6200 Interest Income	3,688,906	3,429,573	4,875,754
6300 Other Non-operating Revenue	122,200	102,000	104,040
6500 Operating Transfers In	35,267,213	13,153,000	6,958,171
<b>Subtotal Revenues</b>	<b>\$ 436,405,523</b>	<b>\$ 396,984,237</b>	<b>\$ 456,904,974</b>
Use of Prior Year Designations	0	51,786,923	87,547,340
<b>Total Sources</b>	<b>\$ 436,405,523</b>	<b>\$ 448,771,160</b>	<b>\$ 544,452,314</b>

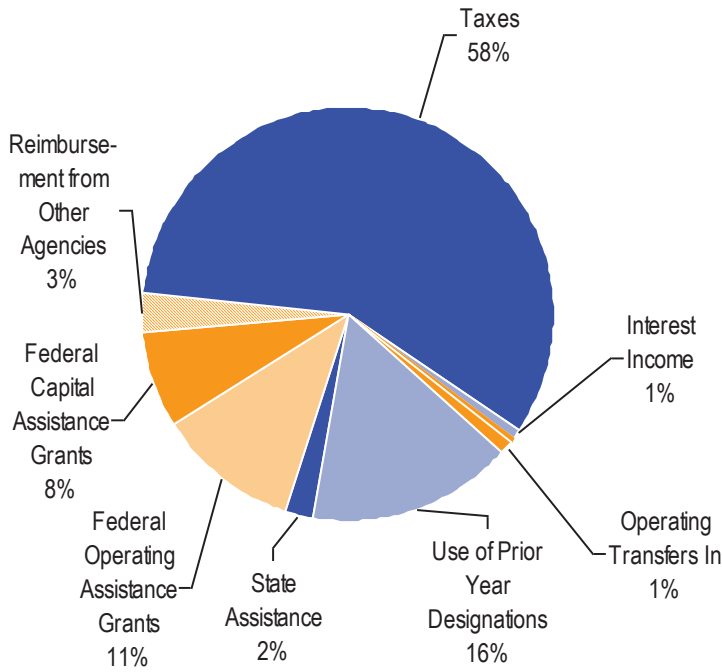
#### Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7100 Salaries and Benefits	0	20,750	1,312
7400 Overhead Allocation	16,195,609	23,649,472	17,596,134
7500 Professional Services	83,811,746	83,626,632	76,944,473
7600 General and Administrative	92,510	184,898	176,865
7800 Contributions to Other Agencies	114,304,379	154,460,894	173,525,034
8111 Interest Expense	26,034	0	0
8200 Operating Transfers Out	32,154,135	68,897,264	80,182,496
9000 Capital Expenditures	59,265,092	117,931,250	196,026,000
<b>Subtotal Expenses</b>	<b>\$ 305,849,505</b>	<b>\$ 448,771,160</b>	<b>\$ 544,452,314</b>
Designations	130,556,018	0	0
<b>Total Uses</b>	<b>\$ 436,405,523</b>	<b>\$ 448,771,160</b>	<b>\$ 544,452,314</b>



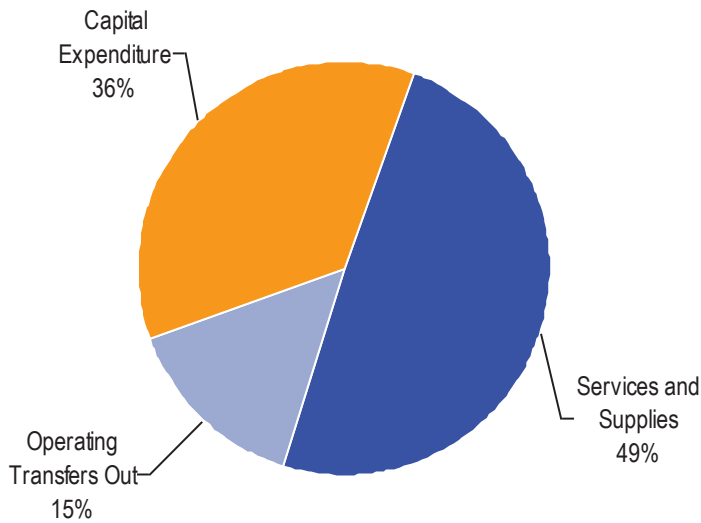
**Local Transportation Authority Measure M2**

**Sources**



FY 2016-17	Amount
State Assistance	\$ 11,630,495
Federal Operating Assistance Grants	60,500,000
Federal Capital Assistance Grants	41,946,423
Reimbursement from Other Agencies	16,542,319
Taxes	314,347,772
Interest Income	4,875,754
Other Non-operating Revenue	104,040
Operating Transfers In	6,958,171
Use of Prior Year Designations	87,547,340
<b>Total Sources</b>	<b>\$ 544,452,314</b>

**Uses**



FY 2016-17	Amount
Salaries and Benefits	\$ 1,312
Services and Supplies	268,242,506
Operating Transfers Out	80,182,496
Capital Expenditure	196,026,000
<b>Total Uses</b>	<b>\$ 544,452,314</b>

Sources and Uses less than 1% are not shown on graphs

**Measure M - CURE Fund**

With the closeout of the M1 fund at the end of fiscal year 2014-15, the OCTA Board approved the balance of M1 Transit funds be used to support future Metrolink operations. As a result, the remaining balance was moved into the **Measure M - CURE Fund**.

**Measure M - Cure Sources & Uses**

**Sources Summary**

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6030 Federal Operating Assistance Grants	0	0	15,960,000
6040 Federal Capital Assistance Grants	0	0	5,000,000
6050 Reimbursement from Other Agencies	0	0	3,290,000
6200 Interest Income	0	0	1,652,184
6500 Operating Transfers In	128,446,819	0	0
<b>Subtotal Revenues</b>	<b>\$ 128,446,819</b>	<b>\$ 0</b>	<b>\$ 25,902,184</b>
Use of Prior Year Designations	0	0	1,492,419
<b>Total Sources</b>	<b>\$ 128,446,819</b>	<b>\$ 0</b>	<b>\$ 27,394,603</b>

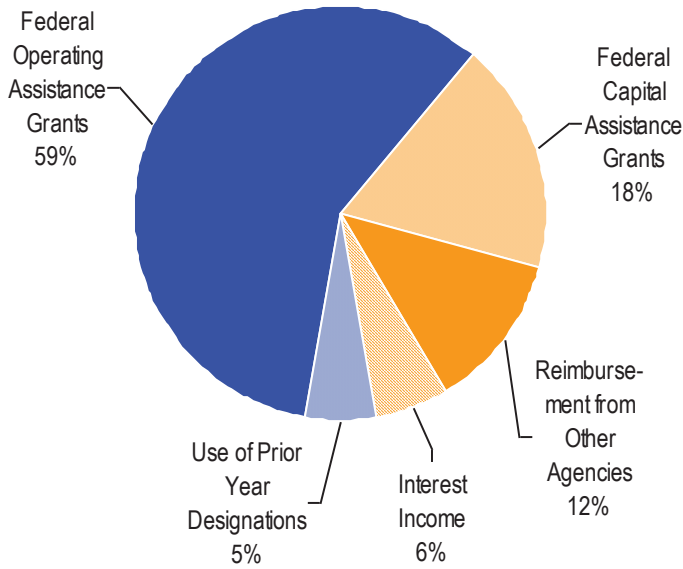
**Uses Summary**

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7500 Professional Services	0	0	535,000
7800 Contributions to Other Agencies	0	0	2,659,603
9000 Capital Expenditures	0	0	24,200,000
<b>Subtotal Expenses</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 27,394,603</b>
Designations	128,446,819	0	0
<b>Total Uses</b>	<b>\$ 128,446,819</b>	<b>\$ 0</b>	<b>\$ 27,394,603</b>



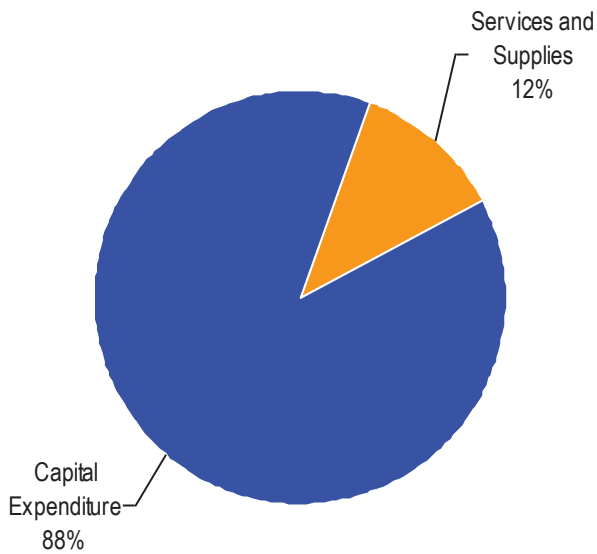
**Measure M - Cure**

**Sources**



	FY 2016-17	Amount
Federal Operating Assistance Grants		\$ 15,960,000
Federal Capital Assistance Grants		5,000,000
Reimbursement from Other Agencies		3,290,000
Interest Income		1,652,184
Use of Prior Year Designations		1,492,419
<b>Total Sources</b>		<b>\$ 27,394,603</b>

**Uses**



	FY 2016-17	Amount
Services and Supplies		\$ 3,194,603
Capital Expenditure		24,200,000
<b>Total Uses</b>		<b>\$ 27,394,603</b>

Sources and Uses less than 1% are not shown on graphs

Measure M2 (M2) Bond Debt Service Fund



The **M2 Bond Debt Service Fund** accumulates the financial resources required for the repayment of long-term debt. Funds to accommodate principal and interest payments are accumulated

and debt service transactions are recorded in this fund. Debt service funds are accounted for on a modified accrual basis of accounting. Interest earnings are recognized in the debt

service fund. This fund also accounts for the federal government payment to OCTA of a 35 percent subsidy that offsets interest expense for taxable Build America Bonds.

**Measure M2 Bond Debt Service Sources & Uses**

**Sources Summary**

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6200 Interest Income	6,459,768	6,493,553	6,491,751
6500 Operating Transfers In	28,792,567	22,300,035	22,301,837
<b>Subtotal Revenues</b>	<b>\$ 35,252,335</b>	<b>\$ 28,793,588</b>	<b>\$ 28,793,588</b>
Use of Prior Year Designations	0	0	6,958,171
<b>Total Sources</b>	<b>\$ 35,252,335</b>	<b>\$ 28,793,588</b>	<b>\$ 35,751,759</b>

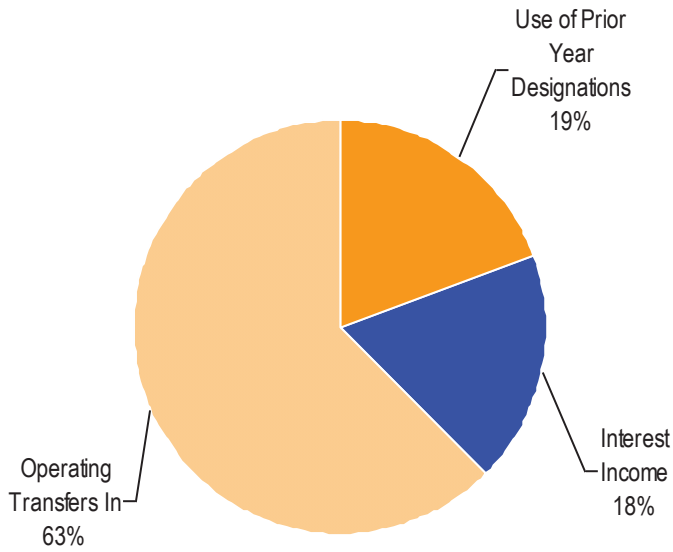
**Uses Summary**

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
8111 Interest Expense	21,926,838	21,583,588	21,317,588
8112 Principal Payment On Long Term Debt	6,865,000	7,210,000	7,475,000
8200 Operating Transfers Out	6,458,213	0	6,958,171
<b>Subtotal Expenses</b>	<b>\$ 35,250,051</b>	<b>\$ 28,793,588</b>	<b>\$ 35,750,759</b>
Designations	2,284	0	1,000
<b>Total Uses</b>	<b>\$ 35,252,335</b>	<b>\$ 28,793,588</b>	<b>\$ 35,751,759</b>



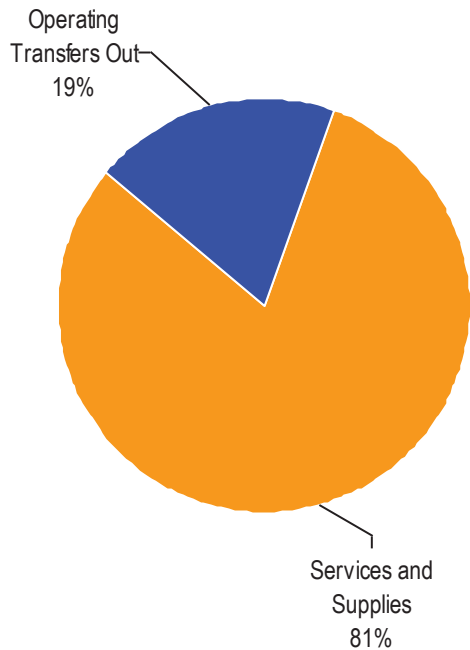
**Measure M2 Bond Debt Service**

**Sources**



	FY 2016-17	Amount
Interest Income		\$ 6,491,751
Operating Transfers In		22,301,837
Use of Prior Year Designations		6,958,171
<b>Total Sources</b>		<b>\$ 35,751,759</b>

**Uses**



	FY 2016-17	Amount
Services and Supplies		\$ 28,792,588
Operating Transfers Out		6,958,171
Designations		1,000
<b>Total Uses</b>		<b>\$ 35,751,759</b>

Sources and Uses less than 1% are not shown on graphs



**OCTA**



## Commuter and Urban Rail Endowment (CURE) Fund

The **CURE** accounts for the operation of commuter rail service and the maintenance of OCTA-owned right-of-way. Commuter rail service travels through Orange County between Los Angeles and San Diego Counties on the Orange County Line and between the cities of San Bernardino and San Juan Capistrano, on the Inland Empire-Orange County Line. Orange County commuter rail service, part of the regional Metrolink network, is

operated by the Southern California Regional Rail Authority (SCRRA), which is a joint powers authority. As one of five member agencies, OCTA Board members participate on the SCRRA Board. OCTA staff members participate on SCRRA's Technical Advisory Committee, which makes policy and operation recommendations to the SCRRA Board. OCTA also coordinates design and construction work along Orange

County's rail corridors, and coordinates all rail projects with appropriate OCTA departments, corridor cities, and other agencies impacted by necessary improvements.

The Orange County Line, Inland Empire-Orange County Line, and the 91 Line of the Commuter Rail Program are made possible by funding received from the CURE, and M2, as well as federal, state and other local sources.

### Commuter and Urban Rail Endowment Sources & Uses

#### Sources Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6020 State Assistance	422,722	2,662,000	0
6030 Federal Operating Assistance Grants	895,200	8,195,000	23,643,500
6040 Federal Capital Assistance Grants	0	5,763,000	0
6050 Reimbursement from Other Agencies	374,146	239,645	0
6200 Interest Income	719,834	1,284,039	789,852
6300 Other Non-operating Revenue	733,804	645,737	656,836
6550 Proceeds Sale of Capital Asset	2,666,668	2,500,000	3,000,000
<b>Subtotal Revenues</b>	<b>\$ 5,812,374</b>	<b>\$ 21,289,421</b>	<b>\$ 28,090,188</b>
Use of Prior Year Designations	49,060,719	54,551,908	36,438,341
<b>Total Sources</b>	<b>\$ 54,873,093</b>	<b>\$ 75,841,329</b>	<b>\$ 64,528,529</b>

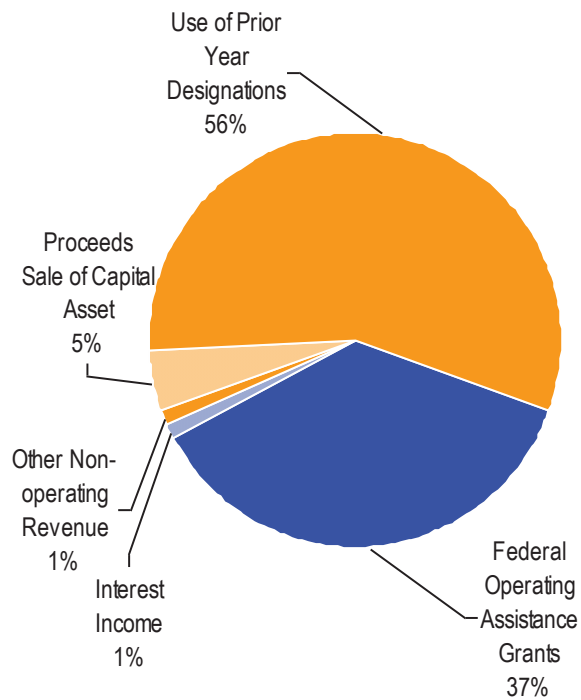
#### Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7400 Overhead Allocation	2,191,883	2,720,912	2,010,034
7500 Professional Services	28,018,724	36,484,954	34,897,408
7600 General and Administrative	575	6,526	5,580
7800 Contributions to Other Agencies	2,550,771	12,345,500	2,801,000
8200 Operating Transfers Out	4,388,427	4,963,437	3,174,507
9000 Capital Expenditures	17,722,713	19,320,000	21,640,000
<b>Subtotal Expenses</b>	<b>\$ 54,873,093</b>	<b>\$ 75,841,329</b>	<b>\$ 64,528,529</b>
<b>Total Uses</b>	<b>\$ 54,873,093</b>	<b>\$ 75,841,329</b>	<b>\$ 64,528,529</b>



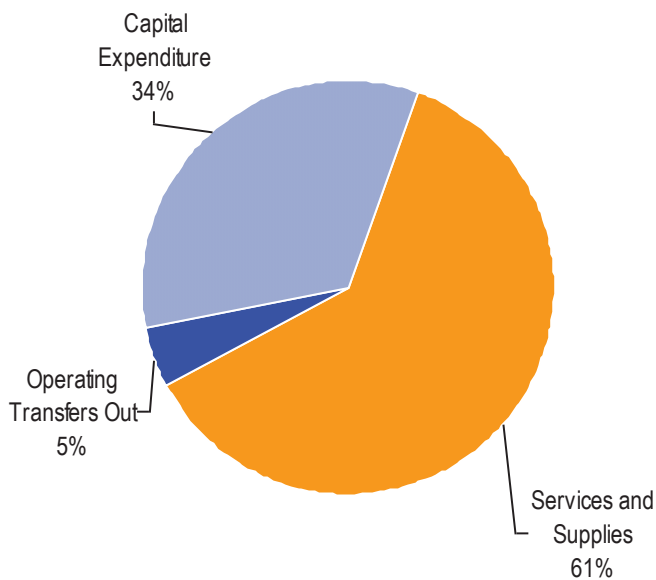
**Commuter and Urban Rail Endowment**

**Sources**



	FY 2016-17	Amount
Federal Operating Assistance Grants		\$ 23,643,500
Interest Income		789,852
Other Non-operating Revenue		656,836
Proceeds Sale of Capital Asset		3,000,000
Use of Prior Year Designations		36,438,341
<b>Total Sources</b>		<b>\$ 64,528,529</b>

**Uses**



	FY 2016-17	Amount
Services and Supplies		\$ 39,714,022
Operating Transfers Out		3,174,507
Capital Expenditure		21,640,000
<b>Total Uses</b>		<b>\$ 64,528,529</b>

Sources and Uses less than 1% are not shown on graphs



**OCTA**



## State Route 91 Express Lanes (SR-91) Fund

The **SR-91 Express Lanes** is a four-lane, ten mile toll road extending from the Orange/Riverside County line west to the SR-55. It was first authorized as one of four public-private toll road projects by the State of California Legislature in 1989. Built at a cost of \$135 million, the 91 Express Lanes opened in 1995.

The California Private Transportation Company (CPTC) was the original owner of the 91 Express Lanes. An agreement with the State of California Department of Transportation included a non-compete provision created a

1.5 mile protection zone along each side of the SR-91 Freeway. This zone prohibited improvements along the corridor and created mobility problems as the region and corresponding transportation demands continued to grow. To mitigate growing concerns over congestion, OCTA acquired the 91 Express Lanes franchise rights in January 2003 for \$207.5 million.

OCTA's acquisition of the 91 Express Lanes franchise rights and Assembly Bill 1010 (Correa) eliminated the non-compete provision, clearing the way for future enhancements along the SR-91

corridor. In September 2008, Senate Bill 1316 (Correa) authorized OCTA to assign its franchise rights, interests and obligations in the Riverside County portion to the Riverside County Transportation Commission (RCTC), thereby allowing RCTC to add two toll lanes and a regular lane in each direction on the SR-91 from the Orange County line to Interstate 15. RCTC's project will extend the 91 Express Lanes by an additional 13 miles. The bill also authorizes the terms of the franchise to expire no later than December 31, 2065.

### 91 Express Lanes Sources & Uses

#### Sources Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
5500 91 Express Lanes Revenue	36,651,720	34,470,000	35,913,025
5550 Other Fee Revenue	9,919,122	7,507,061	7,569,681
6050 Reimbursement from Other Agencies	0	1,216,250	150,000
6200 Interest Income	702,496	964,731	925,973
6300 Other Non-operating Revenue	88,182	0	0
<b>Subtotal Revenues</b>	<b>\$ 47,361,520</b>	<b>\$ 44,158,042</b>	<b>\$ 44,558,679</b>
Use of Prior Year Designations	0	26,969,326	32,001,359
<b>Total Sources</b>	<b>\$ 47,361,520</b>	<b>\$ 71,127,368</b>	<b>\$ 76,560,038</b>

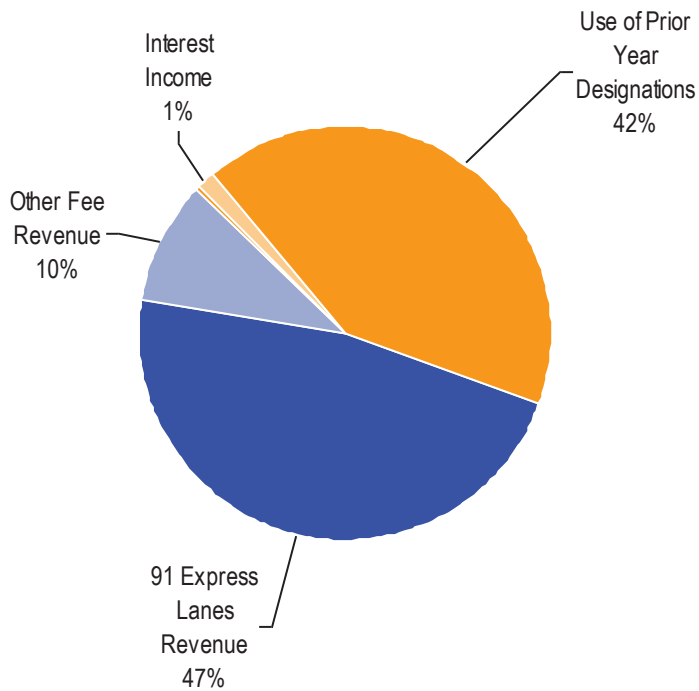
#### Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7300 Purchased Transportation Services	8,083,194	8,520,500	8,265,045
7400 Overhead Allocation	2,606,382	2,888,029	2,396,108
7500 Professional Services	5,225,497	21,627,419	26,659,594
7540 Insurance Claims/Premiums	510,244	750,000	750,000
7600 General and Administrative	414,657	758,501	443,818
7800 Contributions to Other Agencies	450,239	14,000	64,875
8111 Interest Expense	5,878,631	5,746,350	5,539,150
8200 Operating Transfers Out	0	8,300,000	8,300,000
9000 Capital Expenditures	809,022	4,250,000	2,359,550
<b>Subtotal Expenses</b>	<b>\$ 23,977,866</b>	<b>\$ 52,854,799</b>	<b>\$ 54,778,140</b>
Designations	23,383,654	18,272,569	21,781,898
<b>Total Uses</b>	<b>\$ 47,361,520</b>	<b>\$ 71,127,368</b>	<b>\$ 76,560,038</b>



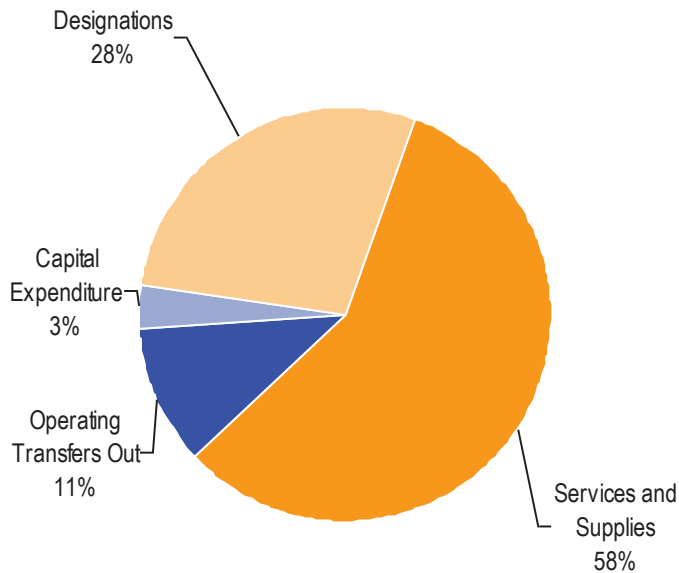
## 91 Express Lanes

### Sources



	FY 2016-17	Amount
91 Express Lanes Revenue		\$ 35,913,025
Other Fee Revenue		7,569,681
Reimbursement from Other Agencies		150,000
Interest Income		925,973
Use of Prior Year Designations		32,001,359
<b>Total Sources</b>		<b>\$ 76,560,038</b>

### Uses



	FY 2016-17	Amount
Services and Supplies		\$ 44,118,590
Operating Transfers Out		8,300,000
Capital Expenditure		2,359,550
Designations		21,781,898
<b>Total Uses</b>		<b>\$ 76,560,038</b>

Sources and Uses less than 1% are not shown on graphs

### 405 Express Lanes Fund

OCTA in cooperation with Caltrans is widening the San Diego Freeway Interstate 405 (I-405) between State Route 73 (SR-73) and Interstate 605 (I-605). The project will improve 14 miles of I-405 between the SR-73 freeway in Costa Mesa and I-605

near the L.A. County line. The project includes adding one general purpose lane in each direction from Euclid Street to I-605 and making improvements to freeway entrances, exits and bridges. It will also add one additional lane

and use the existing carpool lane to construct the **405 Express Lanes**, two lanes in each direction from SR-73 to I-605. The new express lanes will be a key component to maximizing throughput through the corridor.

#### 405 Express Lanes Sources & Uses

##### Sources Summary

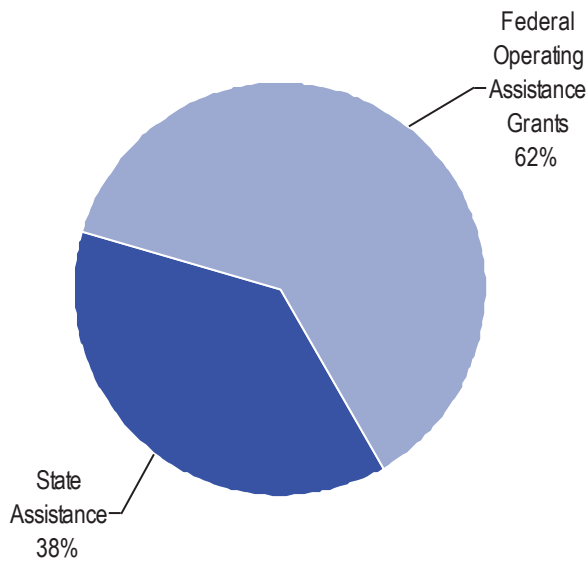
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6020 State Assistance	0	0	15,734,917
6030 Federal Operating Assistance Grants	0	0	25,843,829
<b>Subtotal Revenues</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 41,578,746</b>
<b>Total Sources</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 41,578,746</b>

##### Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7400 Overhead Allocation	0	0	1,924,240
7500 Professional Services	0	0	10,813,750
7600 General and Administrative	0	0	5,756
9000 Capital Expenditures	0	0	28,835,000
<b>Subtotal Expenses</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 41,578,746</b>
<b>Total Uses</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 41,578,746</b>

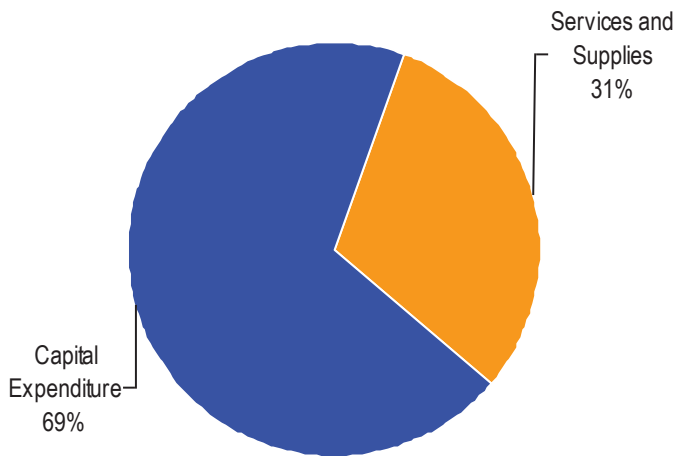
405 Express Lanes

Sources



FY 2016-17	Amount
State Assistance	\$ 15,734,917
Federal Operating Assistance Grants	25,843,829
<b>Total Sources</b>	<b>\$ 41,578,746</b>

Uses



FY 2016-17	Amount
Services and Supplies	\$ 12,743,746
Capital Expenditure	28,835,000
<b>Total Uses</b>	<b>\$ 41,578,746</b>

Sources and Uses less than 1% are not shown on graphs



**OCTA**





## Orange County Taxicab Administration Program (OCTAP) Fund

Beginning with FY 2000-01, an Enterprise Fund (Fund 34) was created in which all revenues and expenses associated with the operations of the **OCTAP** Program were captured. In this way, the OCTAP Program is to be operated as a business, meaning that program related expenses are covered by program generated revenues. Revenue includes: company permits, taxi and driver permits, administrative fines, and interest earnings.

The OCTAP staff is responsible for the management and administration of a countywide taxicab regulatory program. OCTAP staff is responsible for coordinating with the 34 participating cities and the County of Orange to ensure taxi transportation is in compliance with meeting OCTAP regulations. They also conduct background checks of drivers, inspect vehicles, issue permits, and confirm vehicle insurance requirements. The OCTAP Program provides a centralized

approach to taxicab regulation that has relieved the individual cities, as well as the County of administrative burden, thereby, eliminating duplication among the jurisdictions. It also provides a single point of contact for the cab companies and drivers resulting in significant financial savings. Rigorously monitored vehicles, combined with stricter regulations on companies and drivers, have provided both residents and visitors with improved public transportation and safety.

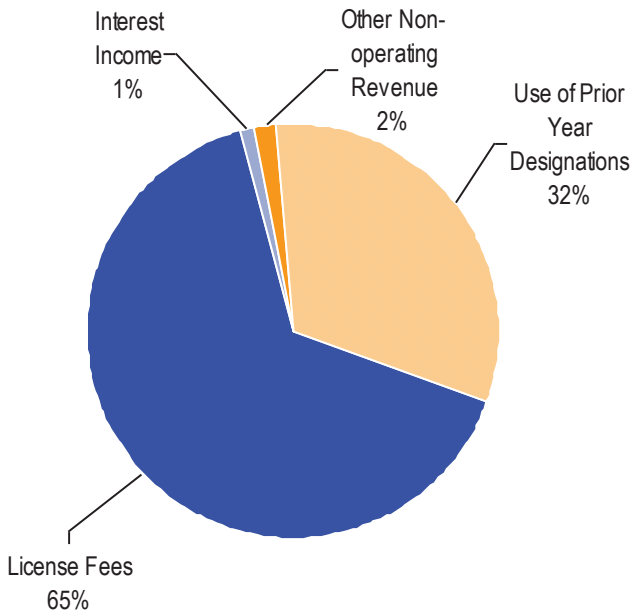
### Orange County Taxi Administration Program Sources & Uses

Sources Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6110 License Fees	675,147	666,078	520,250
6200 Interest Income	10,671	9,846	7,690
6300 Other Non-operating Revenue	30,272	14,000	13,349
<b>Subtotal Revenues</b>	<b>\$ 716,090</b>	<b>\$ 689,924</b>	<b>\$ 541,289</b>
Use of Prior Year Designations	192,813	222,471	254,503
<b>Total Sources</b>	<b>\$ 908,903</b>	<b>\$ 912,395</b>	<b>\$ 795,792</b>

Uses Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7100 Salaries and Benefits	513,220	478,648	475,562
7400 Overhead Allocation	323,337	338,905	251,254
7600 General and Administrative	72,346	94,842	68,976
<b>Subtotal Expenses</b>	<b>\$ 908,903</b>	<b>\$ 912,395</b>	<b>\$ 795,792</b>
<b>Total Uses</b>	<b>\$ 908,903</b>	<b>\$ 912,395</b>	<b>\$ 795,792</b>

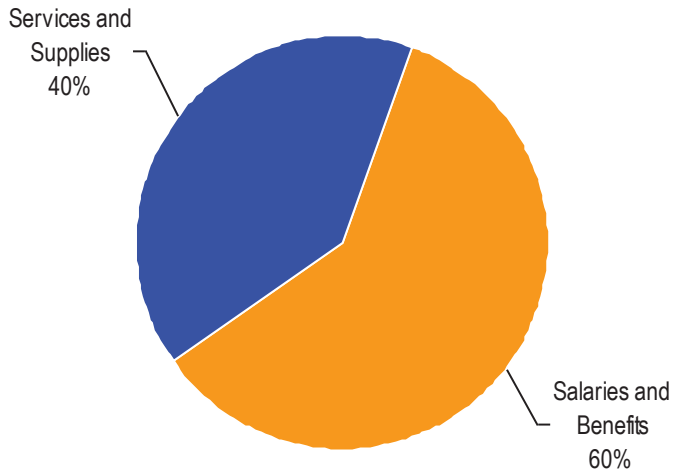
**Orange County Taxi Administration Program**

**Sources**



FY 2016-17	Amount
License Fees	\$ 520,250
Interest Income	7,690
Other Non-operating Revenue	13,349
Use of Prior Year Designations	254,503
<b>Total Sources</b>	<b>\$ 795,792</b>

**Uses**



FY 2016-17	Amount
Salaries and Benefits	\$ 475,562
Services and Supplies	320,230
<b>Total Uses</b>	<b>\$ 795,792</b>

Sources and Uses less than 1% are not shown on graphs

## Service Authority for Abandoned Vehicles (SAAV) Fund

The **SAAV Fund** finances the removal of abandoned vehicles throughout Orange County. Thirty-four cities and the County of Orange are eligible to participate in the program to abate abandoned vehicles from public and private property. The operation of the SAAV Program is made possible through Senate Bill 106 (Chapter

175, Statutes of 2001), which extends the program in 10-year increments, providing a \$1 per year assessment through motor vehicle registration.

Annual program costs are limited to the amount of revenue collected from vehicle registration fees and any interest earned. The SAAV Program

has removed hundreds of thousands of vehicles from local Orange County streets and roads over the 20 year life of the program. The SAAV Program sunset in 2012, but will continue to see activity until all of the program reserves are distributed.

### Service Authority for Abandoned Vehicles Sources & Uses

#### Sources Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6103 DMV Fees	106	1,000	100
6200 Interest Income	19	0	0
<b>Subtotal Revenues</b>	<b>\$ 125</b>	<b>\$ 1,000</b>	<b>\$ 100</b>
Use of Prior Year Designations	4,941	0	0
<b>Total Sources</b>	<b>\$ 5,066</b>	<b>\$ 1,000</b>	<b>\$ 100</b>

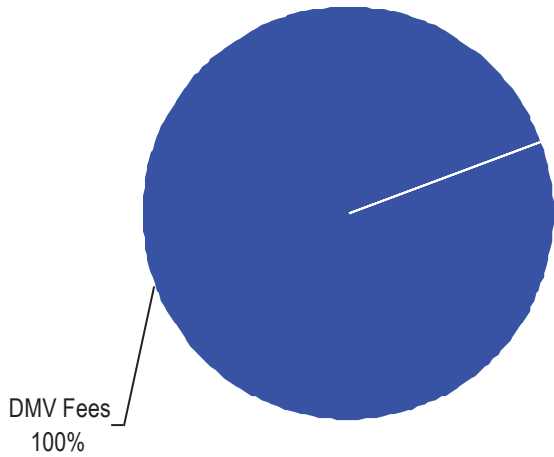
#### Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7600 General and Administrative	5,068	53	49
8200 Operating Transfers Out	-2	0	0
<b>Subtotal Expenses</b>	<b>\$ 5,066</b>	<b>\$ 53</b>	<b>\$ 49</b>
Designations	0	947	51
<b>Total Uses</b>	<b>\$ 5,066</b>	<b>\$ 1,000</b>	<b>\$ 100</b>



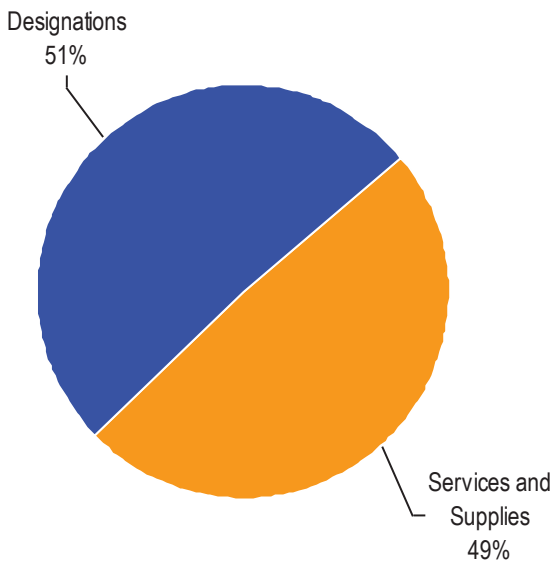
**Service Authority for Abandoned Vehicles**

**Sources**



	FY 2016-17	Amount
DMV Fees		\$ 100
<b>Total Sources</b>		<b>\$ 100</b>

**Uses**



	FY 2016-17	Amount
Services and Supplies		\$ 49
Designations		51
<b>Total Uses</b>		<b>\$ 100</b>

Sources and Uses less than 1% are not shown on graphs

## Service Authority for Freeway Emergencies (SAFE) Fund

The **SAFE** Program consists of the Freeway Service Patrol (FSP), call box, and 511 programs. The call box program consists of the freeway call box system that assists motorists requiring roadside aid. The call answering center can assist the stranded motorist by calling a friend or family member, an auto club, or the California Highway Patrol (CHP) in case of an accident, or if a tow is needed. If a call is received during peak commute hours, the call center will dispatch the FSP to help. The call box program is responsible for the maintenance and operation of a current network of 637 call boxes.

SAFE also includes the FSP in Orange County. The FSP service is operated jointly by the California Highway

Patrol, Caltrans, and OCTA. The service includes a fleet of 34 tow trucks patrolling freeways during peak commuting hours to assist stranded motorists and improve traffic flow. As congestion has increased, FSP service has expanded and includes limited mid-day service at major freeway interchanges and weekend service on Interstate 5 in south Orange County.

SAFE has also partnered with the Los Angeles County SAFE, Caltrans, CHP, and Ventura County Transportation Commission in the development of a motorist aid and traffic information system known as 511. This system offers an interactive voice response telephone feature that can provide callers with traffic speeds and travel times on state highways, help callers

plan a public transit trip, or provide information on commuter services such as carpool/vanpool, bicycling, and park and ride. The Go511.com website provides a number of features including a traffic map, transit trip planning, carpool and vanpool information, as well as information on bicycling, airports, and taxis.

The SAFE Program is funded through a \$1 per year fee collected from motor vehicle registration within the County as authorized by California Streets and Highways Code Section 2555. Additionally, SAFE receives funding from the State Highway Account through Caltrans for FSP operations. In addition, as of April 2011, M2 also provides funding for FSP operations.

### Service Authority for Freeway Emergencies Sources & Uses

#### Sources Summary

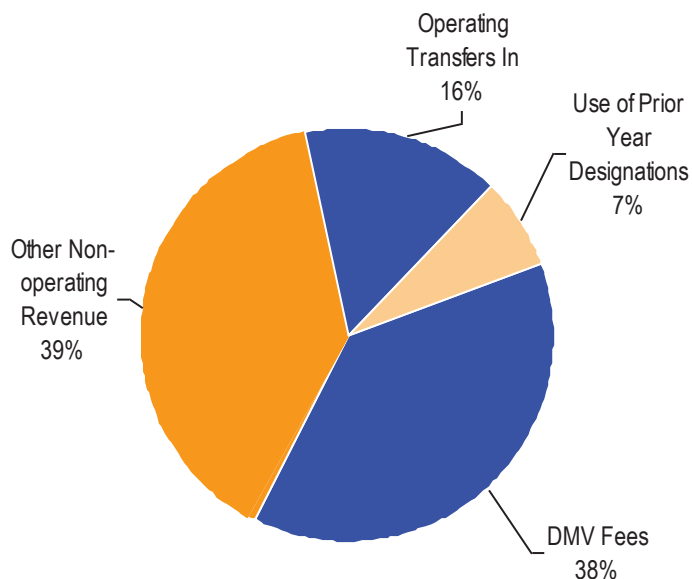
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6050 Reimbursement from Other Agencies	500	0	482
6103 DMV Fees	2,351,158	2,686,567	2,670,698
6200 Interest Income	24,776	63,495	25,315
6300 Other Non-operating Revenue	2,739,905	2,613,644	2,712,496
6500 Operating Transfers In	0	749,840	1,090,121
<b>Subtotal Revenues</b>	<b>\$ 5,116,339</b>	<b>\$ 6,113,546</b>	<b>\$ 6,499,112</b>
Use of Prior Year Designations	988,519	2,376,755	509,819
<b>Total Sources</b>	<b>\$ 6,104,858</b>	<b>\$ 8,490,301</b>	<b>\$ 7,008,931</b>

#### Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7400 Overhead Allocation	708,852	1,119,680	649,582
7500 Professional Services	4,796,630	5,213,941	5,603,553
7600 General and Administrative	590,298	891,680	755,796
7800 Contributions to Other Agencies	9,078	1,265,000	0
<b>Subtotal Expenses</b>	<b>\$ 6,104,858</b>	<b>\$ 8,490,301</b>	<b>\$ 7,008,931</b>
<b>Total Uses</b>	<b>\$ 6,104,858</b>	<b>\$ 8,490,301</b>	<b>\$ 7,008,931</b>

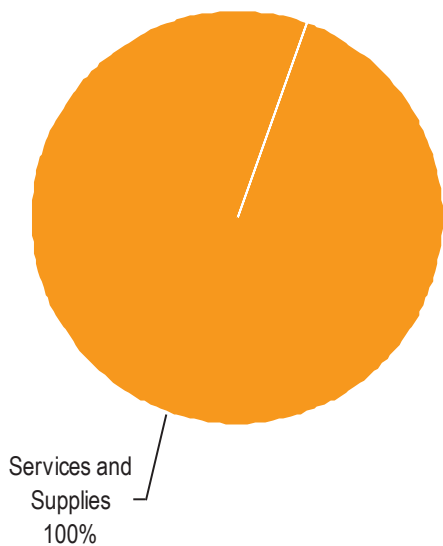
**Service Authority for Freeway Emergencies**

**Sources**



	FY 2016-17	Amount
Reimbursement from Other Agencies		\$ 482
DMV Fees		2,670,698
Interest Income		25,315
Other Non-operating Revenue		2,712,496
Operating Transfers In		1,090,121
Use of Prior Year Designations		509,819
<b>Total Sources</b>		<b>\$ 7,008,931</b>

**Uses**



	FY 2016-17	Amount
Services and Supplies		\$ 7,008,931
<b>Total Uses</b>		<b>\$ 7,008,931</b>

Sources and Uses less than 1% are not shown on graphs



**OCTA**





## Orange County Unified Transportation Trust (OCUTT) Fund

The Orange County Unified Transportation Trust (OCUTT) Fund. In 2004, OCUTT funds were earmarked by the OCTA Board for project readiness activities managed by the Planning Division. The OCUTT fund accumulates interest earned on the Transit Development Capital Projects

### Orange County Unified Transportation Trust Sources & Uses

#### Sources Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6200 Interest Income	151,103	89,933	158,835
<b>Subtotal Revenues</b>	<b>\$ 151,103</b>	<b>\$ 89,933</b>	<b>\$ 158,835</b>
Use of Prior Year Designations	124,885	0	0
<b>Total Sources</b>	<b>\$ 275,988</b>	<b>\$ 89,933</b>	<b>\$ 158,835</b>

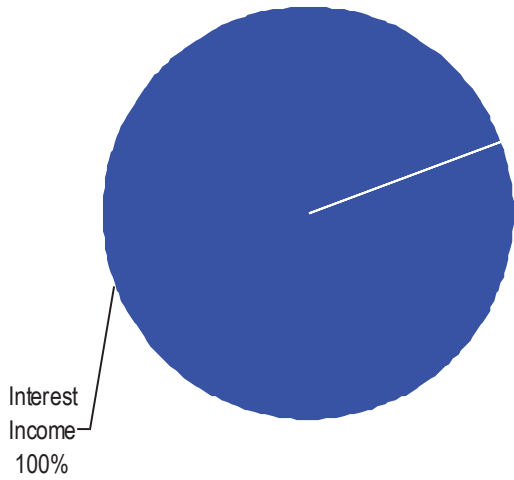
#### Uses Summary

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7500 Professional Services	94,448	8,955	9,876
8200 Operating Transfers Out	181,540	75,000	0
<b>Subtotal Expenses</b>	<b>\$ 275,988</b>	<b>\$ 83,955</b>	<b>\$ 9,876</b>
Designations	0	5,978	148,959
<b>Total Uses</b>	<b>\$ 275,988</b>	<b>\$ 89,933</b>	<b>\$ 158,835</b>



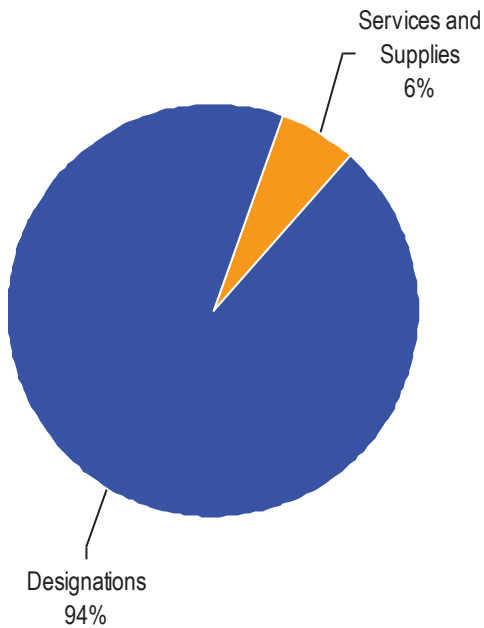
Orange County Unified Transportation Trust

Sources



	FY 2016-17	Amount
Interest Income		\$ 158,835
<b>Total Sources</b>		<b>\$ 158,835</b>

Uses



	FY 2016-17	Amount
Services and Supplies		\$ 9,876
Designations		148,959
<b>Total Uses</b>		<b>\$ 158,835</b>

Sources and Uses less than 1% are not shown on graphs

## Transit Development Capital Projects Fund

The **Transit Development Capital Projects Fund** was established to track capital projects administered by the OCTA. This fund has helped to deliver projects such as the Americans with Disabilities Act (ADA) Bus Stop modifications project. These bus stop improvements were aimed to make all bus stops ADA accessible for our

passengers. FY 2015-16 budgeted funds included right-of-way property acquisition, utility relocation, as well as engineering and design services for the OC Streetcar project. FY 2016-17 continues with planning, acquisition and construction of the project. This project will build a streetcar transportation system between the Santa

Ana Regional Transportation Center to a new transportation center in Garden Grove. The FY 2016-17 budget also includes funds for the design of a Transit Security and Operations Center.

### Transit Development Capital Project Sources & Uses

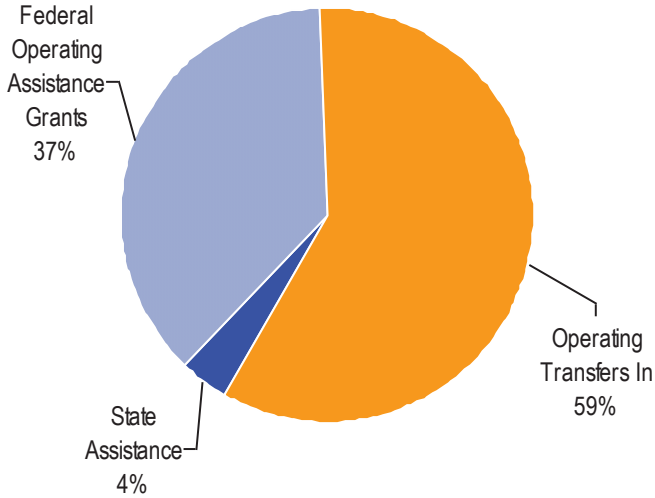
Sources Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
6020 State Assistance	0	2,781,652	2,781,652
6030 Federal Operating Assistance Grants	0	13,153,000	26,007,209
6500 Operating Transfers In	0	38,500,000	41,296,959
<b>Subtotal Revenues</b>	<b>\$ 0</b>	<b>\$ 54,434,652</b>	<b>\$ 70,085,820</b>
Use of Prior Year Designations	96,439	162,745	0
<b>Total Sources</b>	<b>\$ 96,439</b>	<b>\$ 54,597,397</b>	<b>\$ 70,085,820</b>

Uses Summary			
Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
7400 Overhead Allocation	8,524	12,745	6,207,818
7500 Professional Services	87,915	0	6,890,000
7600 General and Administrative	0	0	6,350
7800 Contributions to Other Agencies	0	0	720,000
8200 Operating Transfers Out	0	13,153,000	0
9000 Capital Expenditures	0	41,431,652	56,261,652
<b>Subtotal Expenses</b>	<b>\$ 96,439</b>	<b>\$ 54,597,397</b>	<b>\$ 70,085,820</b>



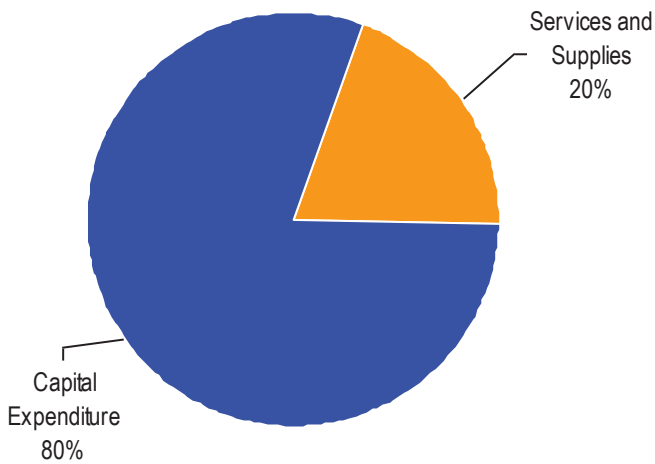
**Transit Development Capital Project**

**Sources**



	FY 2016-17	Amount
State Assistance		\$ 2,781,652
Federal Operating Assistance Grants		26,007,209
Operating Transfers In		41,296,959
<b>Total Sources</b>		<b>\$ 70,085,820</b>

**Uses**



	FY 2016-17	Amount
Services and Supplies		\$ 13,824,168
Capital Expenditure		56,261,652
<b>Total Uses</b>		<b>\$ 70,085,820</b>

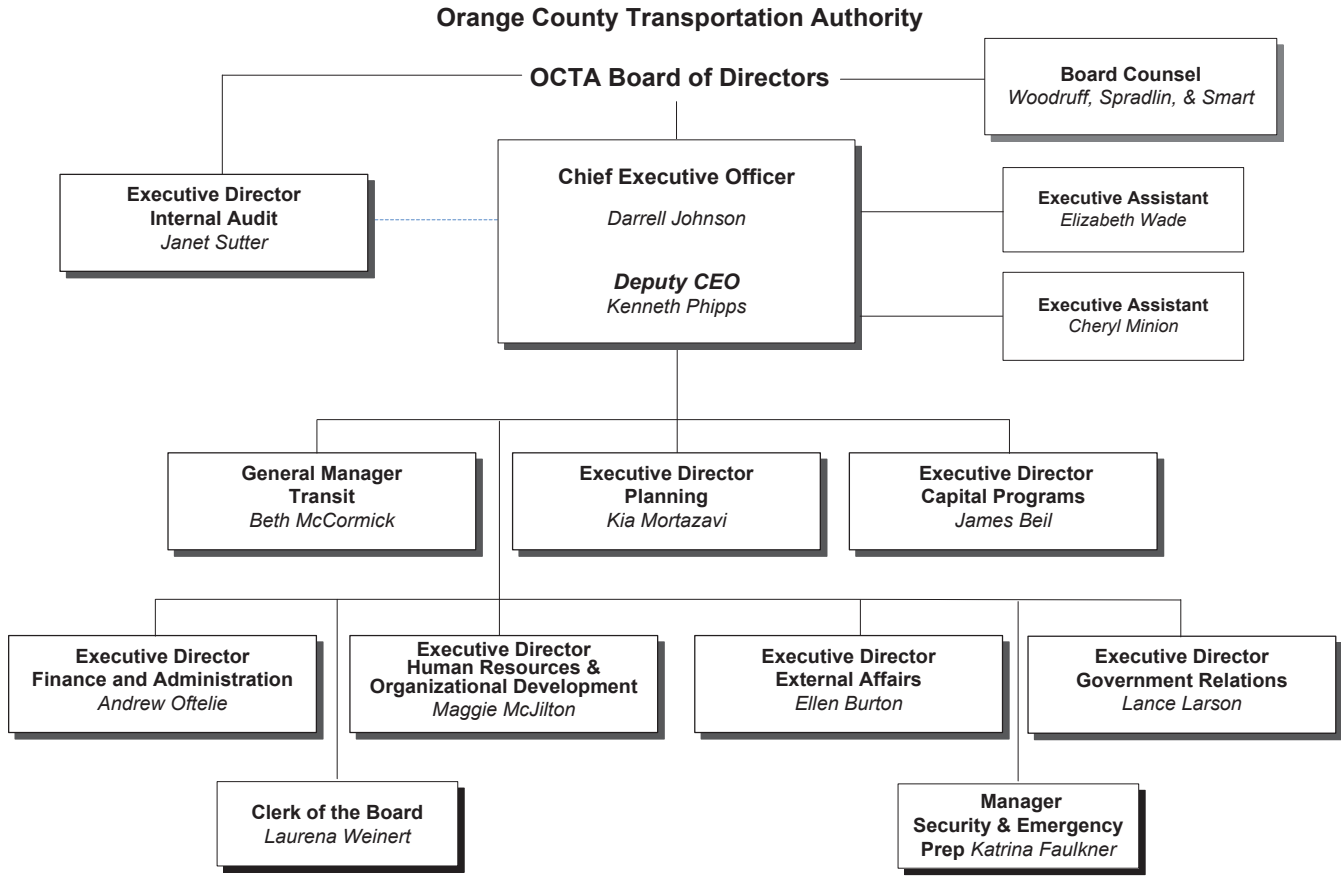
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**OCTA**



Division Overview



Division Overview

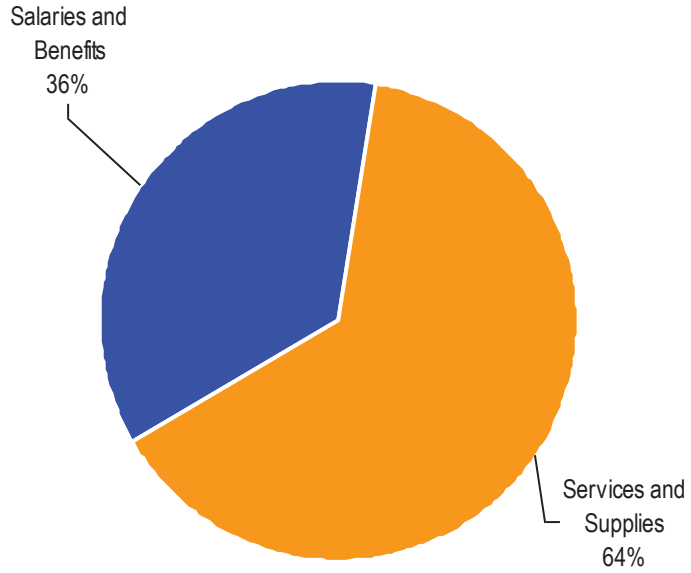
The **Executive Office Division** is comprised of four departments. The division is responsible for providing management direction to all divisions, accurately recording and preserving the OCTA's official and historical records, and the examination and evaluation of financial, administrative, and operational activities and controls.



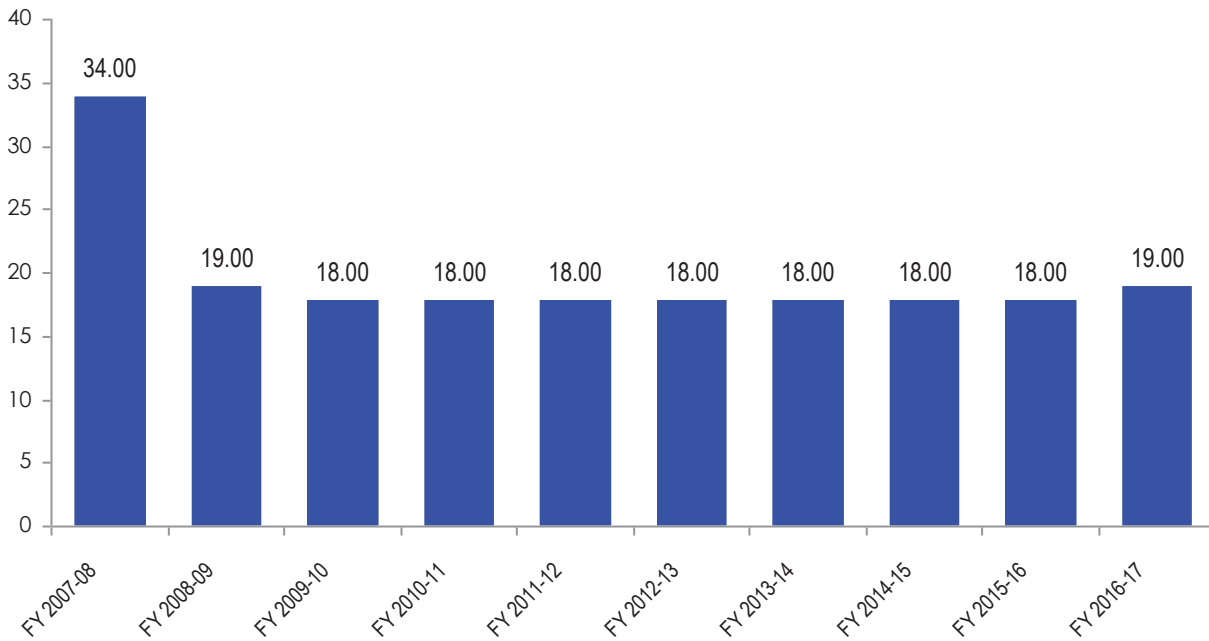


## Executive Office Division Expenses and Staffing

FY 2016-17	Amount
Salaries and Benefits	\$ 3,615,333
Services and Supplies	6,459,432
<b>Total Uses</b>	<b>\$ 10,074,765</b>



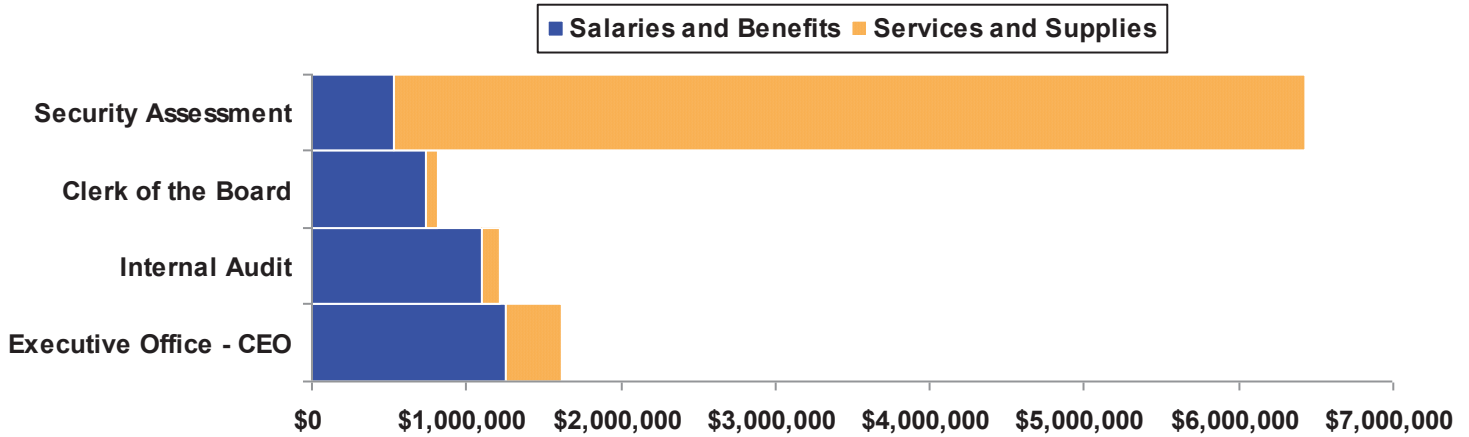
### Staffing Plan



## Executive Office Division Staffing (Continued)

Division Staffing by Department - Job Family	FY 2014-15 Budget	FY 2015-16 Budget	FY 2016-17 Budget
<u>Executive Office - CEO</u>			
Administrative Assistant	2.00	2.00	2.00
Chief Executive Officer	1.00	1.00	1.00
Deputy Executive Officer	1.00	1.00	1.00
Office Specialist	1.00	1.00	1.00
<b>Executive Office - CEO</b>	<b>5.00</b>	<b>5.00</b>	<b>5.00</b>
<u>Internal Audit</u>			
Administrative Assistant	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
Internal Auditor	3.00	3.00	3.00
Section Manager	1.00	1.00	1.00
<b>Internal Audit</b>	<b>6.00</b>	<b>6.00</b>	<b>6.00</b>
<u>Clerk of the Board</u>			
Administrative Specialist	2.00	0.00	0.00
Board Specialist	0.00	2.00	2.00
Department Manager	0.00	1.00	1.00
Director	1.00	0.00	0.00
Section Manager	1.00	1.00	1.00
<b>Clerk of the Board</b>	<b>4.00</b>	<b>4.00</b>	<b>4.00</b>
<u>Security Assessment</u>			
Department Manager	1.00	1.00	1.00
Emergency Management	1.00	1.00	1.00
Office Specialist	1.00	1.00	1.00
Security Specialist	0.00	0.00	1.00
<b>Security Assessment</b>	<b>3.00</b>	<b>3.00</b>	<b>4.00</b>
<b>Total Executive Office</b>	<b>18.00</b>	<b>18.00</b>	<b>19.00</b>

### Executive Office Division Expenses by Department and Major Object



### Executive Office Expenses by Account

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Salaries and Benefits</b>			
7110 Salaries-Regular Employees	1,651,611	1,790,514	1,942,551
7150 Extra Help Employees	93,586	109,500	107,500
7209 Deferred Compensation	90,594	96,781	43,138
7210 Pensions	646,986	711,131	641,040
7220 Insurances	51,157	52,560	65,796
7240 Health Care	308,695	260,002	281,291
7260 Compensated Absences	220,816	253,619	259,928
7270 Workers' Compensation	43,981	64,021	33,053
7280 Other Benefits	143,991	210,128	241,036
<b>Subtotal Salaries and Benefits</b>	<b>\$ 3,251,417</b>	<b>\$ 3,548,256</b>	<b>\$ 3,615,333</b>
<b>Services and Supplies</b>			
7510 Professional Services	298,431	1,720,422	544,666
7540 Insurance Claims Expense	364	0	0
7610 Outside Services	4,205,573	5,098,901	5,438,544
7650 Travel, Training, and Mileage	60,908	118,753	85,483
7660 Office Expense	9,247	13,626	14,126
7670 Miscellaneous Expense	298,837	343,899	343,613
7790 Other Materials and Supplies	33,969	42,500	33,000
<b>Subtotal Services and Supplies</b>	<b>\$ 4,907,329</b>	<b>\$ 7,338,101</b>	<b>\$ 6,459,432</b>
<b>Total Uses</b>	<b>\$ 8,158,746</b>	<b>\$ 10,886,357</b>	<b>\$ 10,074,765</b>

**Executive Office - CEO Department**

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Executive Office - CEO</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	681,669	688,658	722,400
7209 Deferred Compensation	69,913	72,280	16,058
7210 Pensions	258,141	276,076	240,669
7220 Insurances	17,489	20,365	24,580
7240 Health Care	71,623	77,564	81,924
7260 Compensated Absences	92,971	97,630	96,759
7270 Workers' Compensation	17,246	21,649	13,021
7280 Other Benefits	53,748	54,306	57,145
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,262,800</b>	<b>\$ 1,308,528</b>	<b>\$ 1,252,556</b>
<u>Services and Supplies</u>			
7510 Professional Services	2,015	11,666	11,666
7650 Travel, Training, and Mileage	28,785	26,534	23,877
7660 Office Expense	857	1,843	1,843
7670 Miscellaneous Expense	290,329	323,421	323,132
<b>Subtotal Services and Supplies</b>	<b>\$ 321,986</b>	<b>\$ 363,464</b>	<b>\$ 360,518</b>
<b>Executive Office - CEO Total</b>	<b>\$ 1,584,786</b>	<b>\$ 1,671,992</b>	<b>\$ 1,613,074</b>

The **Chief Executive Officer (CEO)** is responsible for providing management direction to all divisions and programs within OCTA and implementing the policy directives as articulated by the Board of Directors. The CEO and Deputy CEO's primary

responsibilities include development and refinement of the organizational structure of OCTA, establishing and executing strategic plans, and fostering an environment conducive to employee development.





## Internal Audit Department

The **Internal Audit Department** is responsible for examining and evaluating financial, administrative, and operational activities and controls of OCTA, supplying management personnel at all levels with information to assist in their control of the assets and operations for which they have responsibility.

The department provides a wide range of auditing services including oversight of the annual independent financial audit, performing operational audits, contract compliance audits, internal control assessments, investigations, pre-award Buy America reviews, and pre-award price reviews. The department also administers and investigates complaints received through OCTA's fraud hotline. State and Federal Triennial reviews are also coordinated by the department.



Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Internal Audit</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	572,839	588,031	629,131
7209 Deferred Compensation	11,222	11,202	14,032
7210 Pensions	227,514	234,396	208,409
7220 Insurances	15,417	17,296	21,381
7240 Health Care	71,503	73,304	84,432
7260 Compensated Absences	74,327	83,655	84,551
7270 Workers' Compensation	14,270	19,024	10,774
7280 Other Benefits	36,509	39,981	43,071
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,023,601</b>	<b>\$ 1,066,889</b>	<b>\$ 1,095,781</b>
<u>Services and Supplies</u>			
7510 Professional Services	221,200	1,166,756	100,000
7650 Travel, Training, and Mileage	8,250	18,604	12,100
7660 Office Expense	498	2,800	2,800
7670 Miscellaneous Expense	2,018	2,775	2,775
<b>Subtotal Services and Supplies</b>	<b>\$ 231,966</b>	<b>\$ 1,190,935</b>	<b>\$ 117,675</b>
<b>Internal Audit Total</b>	<b>\$ 1,255,567</b>	<b>\$ 2,257,824</b>	<b>\$ 1,213,456</b>

**Clerk of the Board Department**

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Clerk of the Board</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	258,420	280,701	297,763
7150 Extra Help Employees	92,836	93,500	93,500
7209 Deferred Compensation	7,727	8,893	6,509
7210 Pensions	105,674	108,119	95,504
7220 Insurances	13,121	8,073	10,058
7240 Health Care	138,593	64,984	62,918
7260 Compensated Absences	30,001	39,092	39,221
7270 Workers' Compensation	8,928	9,143	5,251
7280 Other Benefits	45,378	103,601	125,028
<b>Subtotal Salaries and Benefits</b>	<b>\$ 700,678</b>	<b>\$ 716,106</b>	<b>\$ 735,752</b>
<u>Services and Supplies</u>			
7540 Insurance Claims Expense	364	0	0
7610 Outside Services	6,674	31,600	24,700
7650 Travel, Training, and Mileage	23,020	53,008	31,511
7660 Office Expense	6,315	6,483	6,483
7670 Miscellaneous Expense	4,633	13,673	13,681
<b>Subtotal Services and Supplies</b>	<b>\$ 41,006</b>	<b>\$ 104,764</b>	<b>\$ 76,375</b>
<b>Clerk of the Board Total</b>	<b>\$ 741,684</b>	<b>\$ 820,870</b>	<b>\$ 812,127</b>

The **Clerk of the Board** is in charge of accurately recording and preserving the OCTA's official and historical records and making them available to the public upon request. This department is responsible for the entire Board of Directors (Board) and Committee agenda process, including preparation and distribution of agendas, ensuring public meetings are held in compliance with California open meeting laws, recording of actions taken by the Board and Committees, and maintaining a comprehensive records management system supporting Board and Committee actions.

This department is responsible for Board Members' compensation and

travel, and provides direct meeting and administrative support to the Board. The department also receives and processes public records requests, all legal documents served upon OCTA, as well as collects and processes the Statement of Economic Interests filings (Form 700). In addition, the Clerk of the Board's services cut across many areas of OCTA, providing support to all divisions to ensure that Board and Committee-related items are processed accurately and in a timely manner, following mandated compliance requirements.

As the Managing Agency for the Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency's (LOSSAN)

Board, the OCTA's Clerk of the Board's office is responsible for administrative duties related to agenda preparation and distribution, conducting public meetings, and ensuring those meetings are held in compliance with California open meeting laws. The department is also responsible for maintaining comprehensive records and minutes for LOSSAN Board and Committee meetings, and similar to OCTA, processes public records requests, legal documents served upon LOSSAN, as well as Form 700 filings.

## Security and Emergency Preparedness Department

The **Security and Emergency Preparedness Department** performs two essential functions. The security area includes physical security concerns such as: protecting employees, customers, and visitors; asset protection; threat assessment; intelligence gathering; monitoring homeland security issues and trends; and maintaining liaison with relevant agencies and other jurisdictions. The department manager oversees a contract with the Orange County Sheriff's Department (OCSD) for Transit Police Services (TPS). Under

this contract, the OCSD provides security and law enforcement services for all of OCTA's bus operations, OCTA-owned transit and operating facilities, OCTA-owned railroad right-of-way and security at OCTA Board meetings. Major projects within security include enhancement of physical security measures at OCTA bases.

Emergency Preparedness encompasses all OCTA actions to prepare for, respond to, and recover from disasters. Planning,

training OCTA personnel, exercising emergency plans and coordinating with the County of Orange Emergency Management Department are ongoing activities. Major projects in Emergency Preparedness include a progressive training and exercise program to enhance OCTA's disaster response capabilities and building organization resiliency through an aggressive Continuity of Operations Program (COOP). Many projects in both Security and Emergency Preparedness are grant funded by federal and state grants.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Security Assessment</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	138,683	233,124	293,257
7150 Extra Help Employees	750	16,000	14,000
7209 Deferred Compensation	1,732	4,406	6,539
7210 Pensions	55,657	92,540	96,458
7220 Insurances	5,130	6,826	9,777
7240 Health Care	26,976	44,150	52,017
7260 Compensated Absences	23,517	33,242	39,397
7270 Workers' Compensation	3,537	14,205	4,007
7280 Other Benefits	8,356	12,240	15,792
<b>Subtotal Salaries and Benefits</b>	<b>\$ 264,338</b>	<b>\$ 456,733</b>	<b>\$ 531,244</b>
<u>Services and Supplies</u>			
7510 Professional Services	75,216	542,000	433,000
7610 Outside Services	4,198,899	5,067,301	5,413,844
7650 Travel, Training, and Mileage	853	20,607	17,995
7660 Office Expense	1,577	2,500	3,000
7670 Miscellaneous Expense	1,857	4,030	4,025
7790 Other Materials and Supplies	33,969	42,500	33,000
<b>Subtotal Services and Supplies</b>	<b>\$ 4,312,371</b>	<b>\$ 5,678,938</b>	<b>\$ 5,904,864</b>
<b>Security Assessment Total</b>	<b>\$ 4,576,709</b>	<b>\$ 6,135,671</b>	<b>\$ 6,436,108</b>



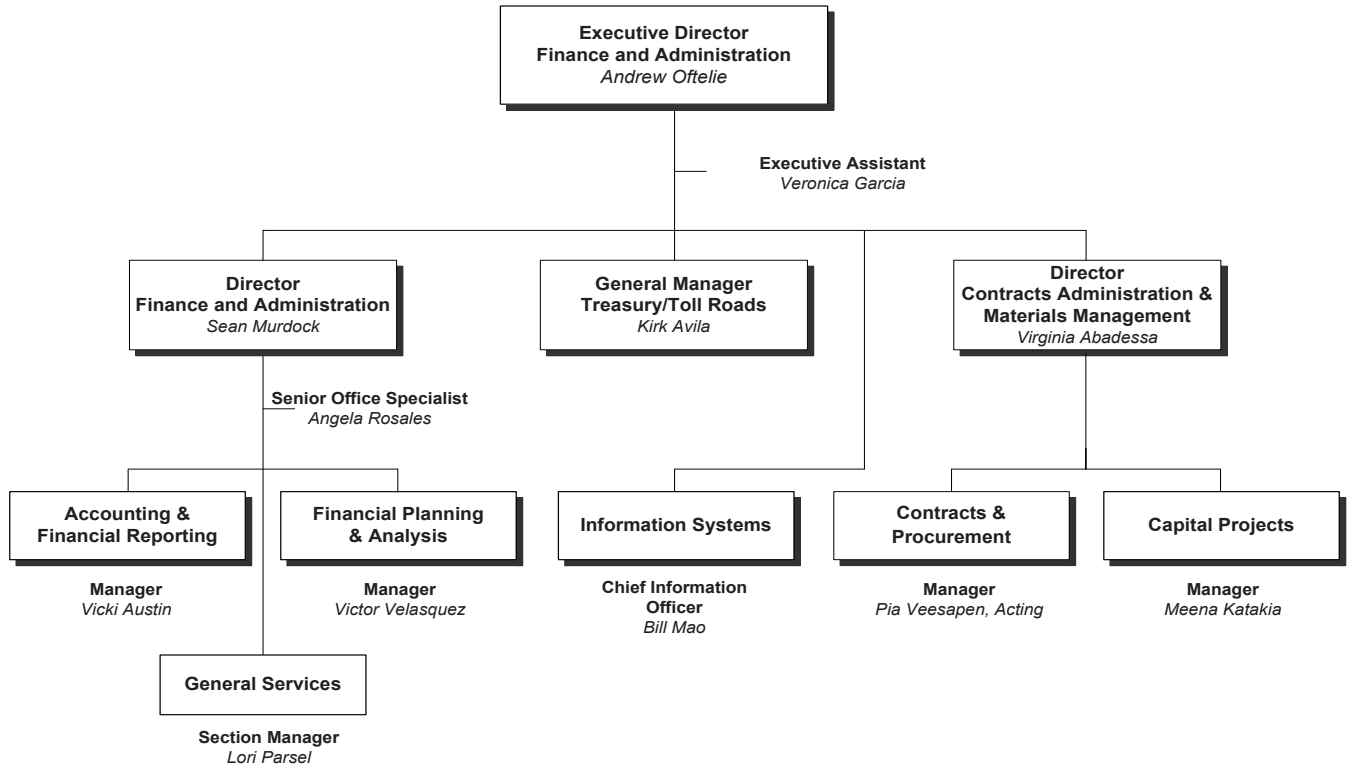
**OCTA**





## Division Overview

### Orange County Transportation Authority Finance and Administration Division



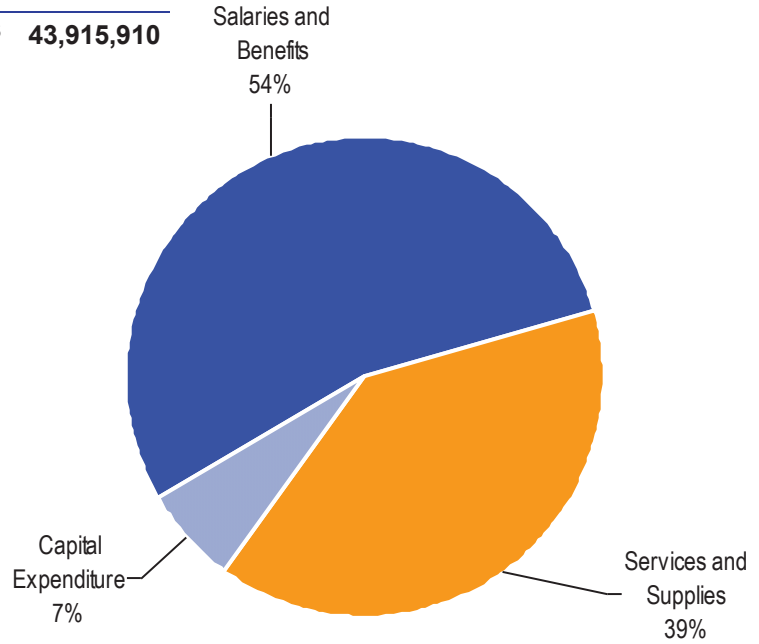
## Division Overview

The **Finance and Administration (F&A) Division** supports OCTA's goals and objectives through a wide range of fiduciary and administrative activities. This division analyzes fiscal issues and advises the Board of Directors in the areas of long-term financing, fund planning, annual budget, and compliance with generally accepted accounting standards. Staff works closely with federal, state, and local agencies to ensure the continued and successful administration of grant funding and compliance with enabling regulations. The division is responsible for contract management, purchasing, and materials management. The Information Systems Department provides guidance for the implementation of technology, while the General Services Section oversees facilities management, records management, and a variety of other support functions.

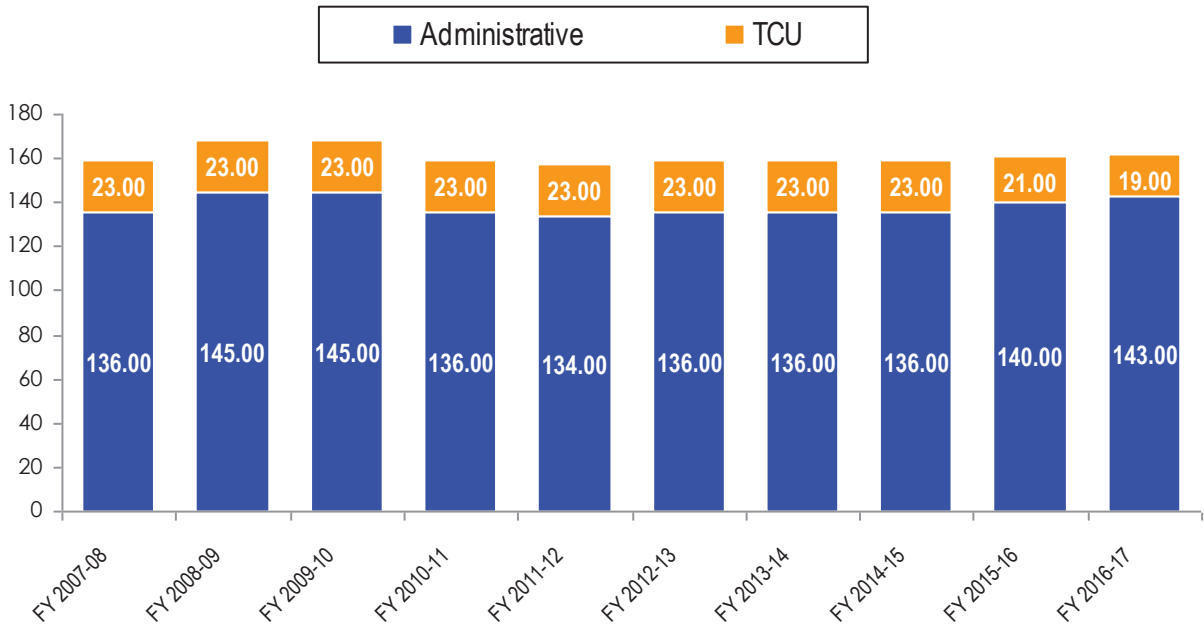


# Finance and Administration Division Expenses and Staffing

FY 2016-17	Amount
Salaries and Benefits	\$ 23,725,528
Services and Supplies	17,321,172
Capital Expenditure	2,869,210
<b>Total Uses</b>	<b>\$ 43,915,910</b>



## Staffing Plan



## Finance and Administration Division Staffing

Division Staffing by Department - Job Family	FY 2014-15 Budget	FY 2015-16 Budget	FY 2016-17 Budget
<u>Executive Director, Finance and Admin.</u>			
Administrative Assistant	2.00	2.00	2.00
Director	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
<b>Executive Director, Finance and Admin.</b>	<b>4.00</b>	<b>4.00</b>	<b>4.00</b>
<u>Accounting and Financial Reporting</u>			
Accountant	4.00	4.00	4.00
Accounting Specialist	10.00	10.00	10.00
Business Systems Analyst	1.00	1.00	1.00
Department Manager	1.00	1.00	1.00
Grants Technician	1.00	1.00	0.00
Payroll Administrator	1.00	1.00	1.00
Section Manager	5.00	5.00	5.00
Section Supervisor	1.00	1.00	0.00
<b>Accounting and Financial Reporting</b>	<b>24.00</b>	<b>24.00</b>	<b>22.00</b>
<u>Financial Planning and Analysis</u>			
Department Manager	1.00	1.00	1.00
Financial Analyst	8.00	8.00	6.00
Section Manager	3.00	3.00	2.00
<b>Financial Planning and Analysis</b>	<b>12.00</b>	<b>12.00</b>	<b>9.00</b>
<u>Grants and Revenue Management</u>			
Department Manager	0.00	0.00	1.00
Financial Analyst	0.00	0.00	2.00
Grants Technician	0.00	0.00	1.00
IS Enterprise Architect	0.00	0.00	1.00
Section Supervisor	0.00	0.00	1.00
<b>Grants and Revenue Management</b>	<b>0.00</b>	<b>0.00</b>	<b>6.00</b>
<u>Contracts Admin. and Material Management</u>			
Business Systems Analyst	1.00	1.00	1.00
Buyer	4.00	4.00	4.00
Contract Administrator	14.00	16.00	16.00
Department Manager	2.00	2.00	2.00
Director	1.00	1.00	1.00
Equipment Parts Clerk	18.00	17.00	17.00
Inventory Analyst	1.00	1.00	1.00
Materials Management Planner	0.00	1.00	1.00
Office Specialist	2.00	2.00	2.00
Secretary	1.00	1.00	1.00
Section Manager	4.00	4.00	4.00
Section Supervisor	4.00	3.00	3.00
Stockroom Clerk	5.00	4.00	2.00
Warranty Coordinator	2.00	2.00	2.00
<b>CAMM</b>	<b>59.00</b>	<b>59.00</b>	<b>57.00</b>

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**Finance and Administration Division Staffing (Continued)**

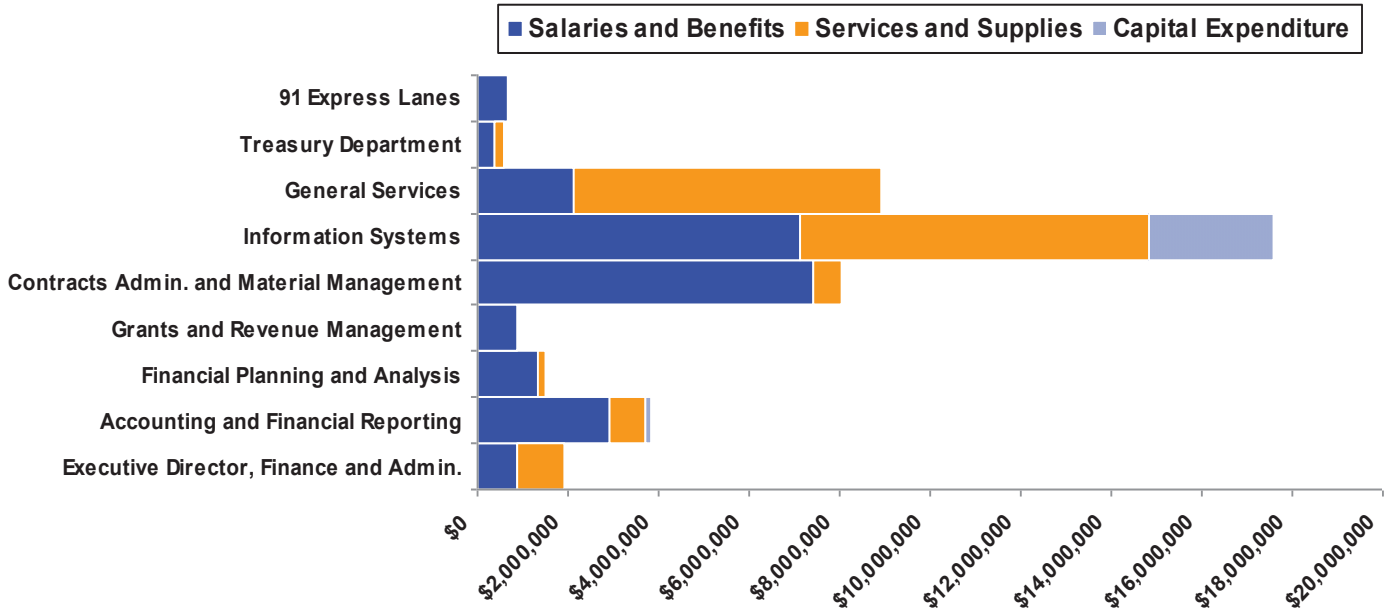
<b>Division Staffing by Department - Job Family</b>	<b>FY 2014-15 Budget</b>	<b>FY 2015-16 Budget</b>	<b>FY 2016-17 Budget</b>
<b>Information Systems</b>			
Business Intelligence Analyst	1.00	1.00	1.00
Business Systems Analyst	6.00	6.00	7.00
Data Architect	0.00	1.00	1.00
Database Administrator	1.00	1.00	1.00
Department Manager	1.00	1.00	3.00
Director	0.00	0.00	1.00
Help Desk Technician	3.00	4.00	3.00
IS Bus Strategist	1.00	1.00	1.00
IS Enterprise Architect	1.00	1.00	0.00
IS Project Manager	4.00	3.00	2.00
IS Security Analyst	2.00	2.00	1.00
IS Systems Architect	1.00	1.00	1.00
Network Analyst	2.00	2.00	2.00
Office Specialist	2.00	2.00	2.00
Programmer Analyst	2.00	2.00	2.00
Section Manager	4.00	4.00	4.00
Systems Software Analyst	5.00	5.00	5.00
Telecommunications Coordinator	1.00	1.00	1.00
Transit Project Manager	0.00	0.00	1.00
<b>Information Systems</b>	<b>37.00</b>	<b>38.00</b>	<b>39.00</b>
<b>General Services</b>			
Digital Reprographics	2.00	3.00	3.00
General Services Specialist	0.00	4.00	5.00
Intranet Specialist	2.00	1.00	1.00
Marketing Program Administrator	1.00	1.00	0.00
Office Specialist	7.00	5.00	5.00
Offset Printer	1.00	0.00	0.00
Records Management Administrator	1.00	1.00	1.00
Section Manager	2.00	2.00	2.00
Section Supervisor	2.00	2.00	3.00
<b>General Services</b>	<b>18.00</b>	<b>19.00</b>	<b>20.00</b>
<b>Treasury Department</b>			
Department Manager	1.00	1.00	1.00
Deputy Treasurer	1.00	1.00	1.00
<b>Treasury Department</b>	<b>2.00</b>	<b>2.00</b>	<b>2.00</b>
<b>91 Express Lanes</b>			
General Manager	1.00	1.00	1.00
IS Project Manager	1.00	1.00	1.00
Project Manager	1.00	1.00	1.00
<b>91 Express Lanes</b>	<b>3.00</b>	<b>3.00</b>	<b>3.00</b>
<b>Total Finance and Administration</b>	<b>159.00</b>	<b>161.00</b>	<b>162.00</b>



## Finance and Administration Division Expenses by Account

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	11,551,316	12,163,962	13,045,769
7150 Extra Help Employees	105,762	151,960	133,000
7209 Deferred Compensation	201,703	210,612	285,705
7210 Pensions	4,437,295	4,712,279	4,282,271
7220 Insurances	322,341	346,202	431,710
7240 Health Care	2,233,003	2,447,229	2,593,637
7260 Compensated Absences	1,448,366	1,715,385	1,750,770
7270 Workers' Compensation	287,413	389,374	266,174
7280 Other Benefits	766,399	767,104	936,492
<b>Subtotal Salaries and Benefits</b>	<b>\$ 21,353,598</b>	<b>\$ 22,904,107</b>	<b>\$ 23,725,528</b>
<u>Services and Supplies</u>			
7510 Professional Services	4,245,039	4,067,376	4,256,972
7540 Insurance Claims Expense	-288	0	0
7610 Outside Services	3,939,424	3,759,079	5,053,323
7630 Advertising Fees	53,764	45,612	55,612
7640 Utilities	2,427,060	2,563,859	2,786,248
7650 Travel, Training, and Mileage	122,501	162,364	129,334
7660 Office Expense	1,505,752	2,275,516	1,004,832
7670 Miscellaneous Expense	139,612	201,118	167,524
7690 Leases	1,485,999	4,925,170	3,660,427
7710 Fuels and Lubricants	3,491	3,500	3,000
7750 Maintenance Expense	-35,271	330,000	116,000
7790 Other Materials and Supplies	23,269	27,100	73,600
7830 Contributions to Other Agencies	14,631	14,100	14,300
<b>Subtotal Services and Supplies</b>	<b>\$ 13,924,983</b>	<b>\$ 18,374,794</b>	<b>\$ 17,321,172</b>
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	898,856	2,349,000	2,869,210
<b>Subtotal Capital Expenditure</b>	<b>\$ 898,856</b>	<b>\$ 2,349,000</b>	<b>\$ 2,869,210</b>
<b>Total Uses</b>	<b>\$ 36,177,437</b>	<b>\$ 43,627,901</b>	<b>\$ 43,915,910</b>

**Executive Director, Finance and Administration**



The **Executive Director of F&A** encompasses the general oversight and management of the division. The department is responsible for initiating

division-wide policy directives and the attainment of goals and objectives. The department undertakes all F&A

personnel actions and ensures compliance with personnel related policies and procedures.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Executive Director, Finance and Admin.</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	433,051	458,733	491,092
7209 Deferred Compensation	14,883	10,454	10,978
7210 Pensions	176,580	186,975	166,122
7220 Insurances	11,921	13,493	16,938
7240 Health Care	74,666	75,275	72,306
7260 Compensated Absences	53,946	65,414	66,144
7270 Workers' Compensation	11,125	10,002	8,401
7280 Other Benefits	48,170	42,444	44,873
<b>Subtotal Salaries and Benefits</b>	<b>\$ 824,342</b>	<b>\$ 862,790</b>	<b>\$ 876,854</b>
<u>Services and Supplies</u>			
7510 Professional Services	1,066,736	876,512	995,000
7650 Travel, Training, and Mileage	418	6,970	3,254
7660 Office Expense	3,846	2,500	2,500
7670 Miscellaneous Expense	7,083	10,470	8,370
7830 Contributions to Other Agencies	14,631	14,100	14,300
<b>Subtotal Services and Supplies</b>	<b>\$ 1,092,714</b>	<b>\$ 910,552</b>	<b>\$ 1,023,424</b>
<b>Executive Director, Finance and Admin. Total</b>	<b>\$ 1,917,056</b>	<b>\$ 1,773,342</b>	<b>\$ 1,900,278</b>

## Accounting and Financial Reporting

The **Accounting and Financial Reporting Department** is responsible for the general accounting, financial reporting, fixed asset accounting, grant accounting, treasury accounting, accounts payable, accounts receivable, billing, and payroll functions. The department also manages the inventory and distribution

of OCTA's bus passes as well as the processing of all bus fare collections. The General Accounting Section produces a number of annual reports and audited financial statements including the Comprehensive Annual Financial Report (CAFR), the Orange County Local Transportation Authority

(OCLTA) Financial Statements, the National Transit Database (NTD) Report, the Cost Allocation Plan, the Measure M Status Report, and the 91 Express Lanes Financial Statements.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Accounting and Financial Reporting</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,513,550	1,648,990	1,605,759
7209 Deferred Compensation	23,696	23,736	35,754
7210 Pensions	600,573	647,336	524,583
7220 Insurances	44,060	47,084	53,587
7240 Health Care	325,508	359,848	366,787
7260 Compensated Absences	201,121	234,053	215,438
7270 Workers' Compensation	37,667	52,624	31,068
7280 Other Benefits	111,382	91,755	86,355
<b>Subtotal Salaries and Benefits</b>	<b>\$ 2,857,557</b>	<b>\$ 3,105,426</b>	<b>\$ 2,919,331</b>
<u>Services and Supplies</u>			
7510 Professional Services	48,654	51,972	92,500
7610 Outside Services	447,669	492,300	521,366
7630 Advertising Fees	1,722	1,400	1,400
7650 Travel, Training, and Mileage	14,241	47,632	19,392
7660 Office Expense	127,920	151,040	139,647
7670 Miscellaneous Expense	4,905	9,410	8,797
<b>Subtotal Services and Supplies</b>	<b>\$ 645,111</b>	<b>\$ 753,754</b>	<b>\$ 783,102</b>
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	0	125,000	126,210
<b>Subtotal Capital Expenditure</b>	<b>\$ 0</b>	<b>\$ 125,000</b>	<b>\$ 126,210</b>
<b>Accounting and Financial Reporting Total</b>	<b>\$ 3,502,668</b>	<b>\$ 3,984,180</b>	<b>\$ 3,828,643</b>

## Financial Planning and Analysis

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Financial Planning and Analysis</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,031,516	998,968	752,561
7150 Extra Help Employees	0	13,000	13,000
7209 Deferred Compensation	19,993	21,354	16,823
7210 Pensions	390,379	393,675	247,295
7220 Insurances	27,250	29,283	25,521
7240 Health Care	160,514	174,251	114,315
7260 Compensated Absences	100,164	142,163	101,363
7270 Workers' Compensation	24,627	31,464	18,594
7280 Other Benefits	67,043	65,061	40,626
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,821,486</b>	<b>\$ 1,869,219</b>	<b>\$ 1,330,098</b>
<u>Services and Supplies</u>			
7510 Professional Services	162,750	171,392	177,240
7650 Travel, Training, and Mileage	7,965	8,914	5,788
7660 Office Expense	10,422	9,632	6,000
7670 Miscellaneous Expense	1,624	1,130	693
<b>Subtotal Services and Supplies</b>	<b>\$ 182,761</b>	<b>\$ 191,068</b>	<b>\$ 189,721</b>
<b>Financial Planning and Analysis Total</b>	<b>\$ 2,004,247</b>	<b>\$ 2,060,287</b>	<b>\$ 1,519,819</b>

The **Financial Planning and Analysis Department** is responsible for developing and maintaining the financial plans of OCTA. These plans include the annual budget, Comprehensive Business Plan (CBP), and fixed asset replacement planning. The department is responsible for conducting various fiscal studies, monitoring expenditures, reporting budget variances, and verifying budget authority for requisitions.





**Grants and Revenue Management**

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Grants and Revenue Management</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	0	0	471,272
7209 Deferred Compensation	0	0	10,534
7210 Pensions	0	0	154,557
7220 Insurances	0	0	16,132
7240 Health Care	0	0	92,005
7260 Compensated Absences	0	0	63,473
7270 Workers' Compensation	0	0	30,696
7280 Other Benefits	0	0	25,443
<b>Subtotal Salaries and Benefits</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 864,112</b>
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	0	0	2,358
7660 Office Expense	0	0	4,000
7670 Miscellaneous Expense	0	0	450
<b>Subtotal Services and Supplies</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 6,808</b>
<b>Grants and Revenue Management Total</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 870,920</b>

The **Grants and Revenue Management Department** is tasked with the management and administration of all federal and state grants from the point of grant award through the close-out process. The department will ensure accurate and timely receipt of all grant funds and certify OCTA meets all federal and state compliance requirements. In addition, this department will be responsible for all revenue administration, including fare policy and adjustments, fare stabilization revenue, administration of the Transportation Development Act, local sales tax revenue administration, development of the annual revenue budget, and overseeing financial audits and funding agencies' reviews pertaining to grants.





**Contracts Administration and Material Management**

The **Contracts Administration and Materials Management (Camm) Department** is responsible for contracting and purchasing all goods and services, implementing the federal Disadvantaged Business Enterprise program, stocking and issuing bus parts, implementing a parts warranty program and managing the bus

inventory. The department staff handles all procurement activity including the preparation of solicitation documents, conducting pre-proposal meetings, chairing evaluation committee meetings, negotiating contract terms and conditions, and administering the contractual aspects of the project through completion. The Materials

Management section handles all parts receiving and stocking, disposition of surplus goods and equipment, and administers OCTA's warranty program. In addition, the Camm Department is actively involved with a variety of vendor outreach activities.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Contracts Admin. and Material Management</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	3,551,162	3,964,393	4,051,095
7150 Extra Help Employees	59,441	74,000	66,000
7209 Deferred Compensation	56,571	64,203	85,478
7210 Pensions	1,311,072	1,480,974	1,320,903
7220 Insurances	99,451	107,316	129,134
7240 Health Care	739,960	852,719	883,257
7260 Compensated Absences	497,709	551,665	544,322
7270 Workers' Compensation	88,821	122,759	75,525
7280 Other Benefits	160,585	235,197	252,685
<b>Subtotal Salaries and Benefits</b>	<b>\$ 6,564,772</b>	<b>\$ 7,453,226</b>	<b>\$ 7,408,399</b>
<u>Services and Supplies</u>			
7510 Professional Services	283,681	165,000	275,000
7610 Outside Services	6,589	45,000	45,000
7630 Advertising Fees	52,042	44,212	54,212
7650 Travel, Training, and Mileage	10,010	19,432	11,827
7660 Office Expense	12,300	11,704	15,600
7670 Miscellaneous Expense	67,750	78,528	86,724
7750 Maintenance Expense	-38,360	325,000	105,000
7790 Other Materials and Supplies	753	7,600	28,600
<b>Subtotal Services and Supplies</b>	<b>\$ 394,765</b>	<b>\$ 696,476</b>	<b>\$ 621,963</b>
<b>Camm Total</b>	<b>\$ 6,959,537</b>	<b>\$ 8,149,702</b>	<b>\$ 8,030,362</b>

## Information Systems

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Information Systems</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	3,534,206	3,598,050	4,017,446
7150 Extra Help Employees	35,598	40,000	40,000
7209 Deferred Compensation	55,536	58,327	89,265
7210 Pensions	1,379,528	1,411,043	1,313,707
7220 Insurances	95,850	105,184	134,245
7240 Health Care	613,229	647,141	709,542
7260 Compensated Absences	415,849	509,647	537,862
7270 Workers' Compensation	87,107	121,575	71,883
7280 Other Benefits	163,570	197,746	224,777
<b>Subtotal Salaries and Benefits</b>	<b>\$ 6,380,473</b>	<b>\$ 6,688,713</b>	<b>\$ 7,138,727</b>
<u>Services and Supplies</u>			
7510 Professional Services	2,526,268	2,591,000	2,437,000
7610 Outside Services	2,752,523	2,738,279	3,971,457
7640 Utilities	445,869	623,160	858,748
7650 Travel, Training, and Mileage	80,572	62,164	74,177
7660 Office Expense	894,487	1,618,965	364,370
7670 Miscellaneous Expense	1,509	3,370	3,230
7750 Maintenance Expense	0	0	6,000
7790 Other Materials and Supplies	1,711	0	0
<b>Subtotal Services and Supplies</b>	<b>\$ 6,702,939</b>	<b>\$ 7,636,938</b>	<b>\$ 7,714,982</b>
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	761,299	1,954,000	2,743,000
<b>Subtotal Capital Expenditure</b>	<b>\$ 761,299</b>	<b>\$ 1,954,000</b>	<b>\$ 2,743,000</b>
<b>Information Systems Total</b>	<b>\$ 13,844,711</b>	<b>\$ 16,279,651</b>	<b>\$ 17,596,709</b>

The **Information Systems (IS) Department** manages the effective and secure delivery of computing and communication solutions to all OCTA business units. It achieves this by deploying a world class technology infrastructure and employing talented staff that strive to meet the needs of the OCTA and its customers. The value added services offered include a reliable computing and communications environment, systems and business

support, business intelligence, project management, responsive help desk and customer support, and technology training that are all sensibly used to address business problems and needs. Information Systems is also responsible for developing OCTA's Information Technology Plan. The plan establishes technology standards and long term technical investment recommendations and priorities that will keep OCTA's technology infra-

structure effective, modern, and aligned with the needs of OCTA's customers and business units. Information Systems partners with our business units to safeguard all OCTA data and ensure that we comply with all industry, state and federal data security and protection regulations and best practices.

## General Services

The **General Services Department** provides a variety of support services to OCTA, including all matters relating to lease agreements, office renovations, furniture assignment and upkeep, and acts as liaison between property management and OCTA. In addition, the General Services

Department oversees records management, mail services, reprographics, OCTA Store, and OCTA's receptionist staff. General Services is also responsible for OCTA's lost and found program and the OCTA-wide Internal Communications program, which is administered to promote com-

munications to employees and their families. The Intranet, Digital Signage, eNews, and eBlasts are the primary tools used to provide employees with up-to-date information. Recognition events and employee programs are also sponsored by this section.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>General Services</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	930,561	957,974	1,058,293
7150 Extra Help Employees	10,723	24,960	14,000
7209 Deferred Compensation	10,267	11,711	23,500
7210 Pensions	357,916	377,521	356,372
7220 Insurances	29,002	27,730	35,234
7240 Health Care	233,044	256,458	269,953
7260 Compensated Absences	131,091	135,891	141,591
7270 Workers' Compensation	24,076	33,277	19,444
7280 Other Benefits	148,762	97,534	220,255
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,875,442</b>	<b>\$ 1,923,056</b>	<b>\$ 2,138,642</b>
<u>Services and Supplies</u>			
7510 Professional Services	117,139	148,500	217,232
7540 Insurance Claims Expense	-288	0	0
7610 Outside Services	732,643	483,500	515,500
7640 Utilities	1,981,191	1,940,699	1,927,500
7650 Travel, Training, and Mileage	8,580	13,193	10,616
7660 Office Expense	380,227	385,560	367,600
7670 Miscellaneous Expense	24,621	66,100	26,600
7690 Leases	1,485,999	4,925,170	3,660,427
7710 Fuels and Lubricants	3,491	3,500	3,000
7750 Maintenance Expense	3,089	5,000	5,000
7790 Other Materials and Supplies	20,805	19,500	45,000
<b>Subtotal Services and Supplies</b>	<b>\$ 4,757,497</b>	<b>\$ 7,990,722</b>	<b>\$ 6,778,475</b>
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	137,557	270,000	0
<b>Subtotal Capital Expenditure</b>	<b>\$ 137,557</b>	<b>\$ 270,000</b>	<b>\$ 0</b>
<b>General Services Total</b>	<b>\$ 6,770,496</b>	<b>\$ 10,183,778</b>	<b>\$ 8,917,117</b>

**Treasury/Express Lanes**

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Treasury Department</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	161,144	166,625	210,566
7209 Deferred Compensation	3,438	3,619	4,706
7210 Pensions	65,929	65,714	69,056
7220 Insurances	4,742	4,836	7,390
7240 Health Care	46,360	44,346	46,604
7260 Compensated Absences	19,273	23,760	28,360
7270 Workers' Compensation	4,101	5,269	3,096
7280 Other Benefits	19,277	8,748	11,368
<b>Subtotal Salaries and Benefits</b>	<b>\$ 324,264</b>	<b>\$ 322,917</b>	<b>\$ 381,146</b>
<u>Services and Supplies</u>			
7510 Professional Services	39,811	63,000	63,000
7650 Travel, Training, and Mileage	715	4,059	1,922
7660 Office Expense	76,550	96,115	105,115
7670 Miscellaneous Expense	32,120	32,110	32,660
<b>Subtotal Services and Supplies</b>	<b>\$ 149,196</b>	<b>\$ 195,284</b>	<b>\$ 202,697</b>
<b>Treasury Department Total</b>	<b>\$ 473,460</b>	<b>\$ 518,201</b>	<b>\$ 583,843</b>

The **Treasury/Express Lanes Department** is managed by OCTA's Treasurer, who is responsible for the investment portfolio and debt obligations. The department also manages OCTA's cash flow requirements, oversees and directs the investment of cash assets, monitors the performance of investment managers, oversees the investment components of the defined contribution programs, and develops financing

strategies to support operational goals and capital programs / acquisitions. The department also works closely with bond rating agencies to maintain OCTA's strong credit ratings and to ensure that OCTA is well-received by the investment community.

The OCTA Treasurer also oversees the operations of the 91 Express Lanes, serving as the General Manager. The Toll Road staff oversees

all aspects of the State Route 91 Express Lanes toll road franchise from contracted operations and maintenance to customer service, violations processing, marketing, budgeting, and reporting. Staff also provides policy recommendations for OCTA Board consideration and serves as the key liaison with the State Route 91 Advisory Committee.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>91 Express Lanes</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	396,126	370,229	387,685
7209 Deferred Compensation	17,319	17,208	8,667
7210 Pensions	155,318	149,041	129,676
7220 Insurances	10,065	11,276	13,529
7240 Health Care	39,722	37,191	38,868
7260 Compensated Absences	29,213	52,792	52,217
7270 Workers' Compensation	9,889	12,404	7,467
7280 Other Benefits	47,610	28,619	30,110
<b>Subtotal Salaries and Benefits</b>	<b>\$ 705,262</b>	<b>\$ 678,760</b>	<b>\$ 668,219</b>
<b>91 Express Lanes Total</b>	<b>\$ 705,262</b>	<b>\$ 678,760</b>	<b>\$ 668,219</b>

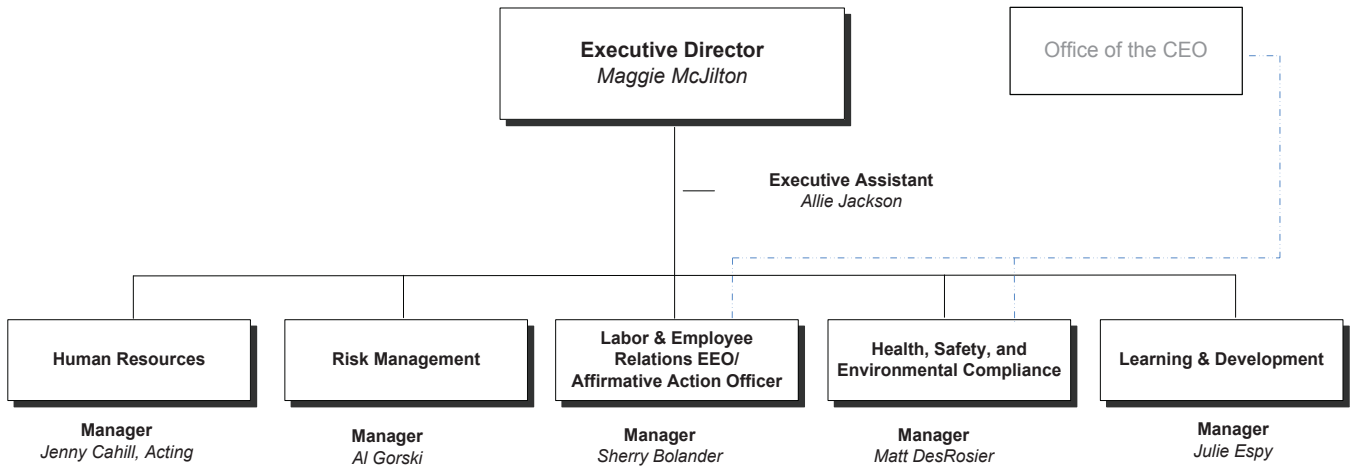




**Division Overview**

*Orange County Transportation Authority*

**Human Resources & Organizational Development Division**



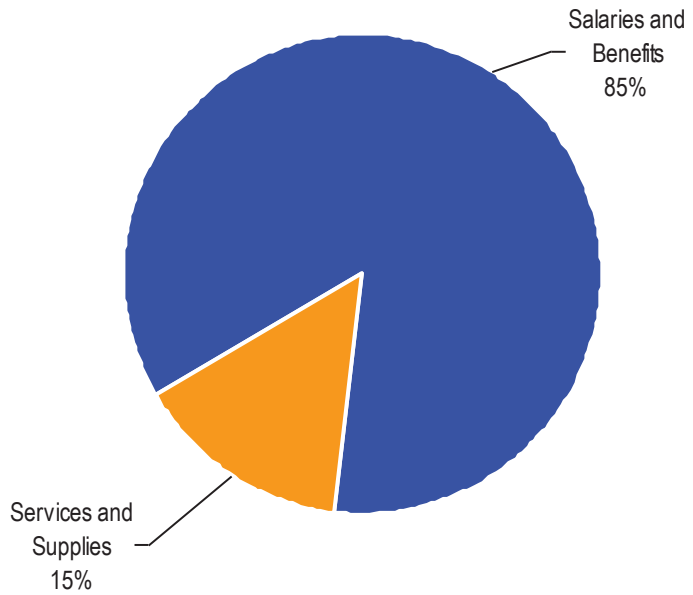
**Division Overview**

The **Human Resources and Organizational Development (HR&OD) Division** supports the Orange County Transportation Authority’s (OCTA) goals, and objectives by ensuring the development, and welfare of its employees through long-term strategic planning, and partnership. The HR&OD Division carries the responsibility for OCTA’s functions in relation to employment, compensation, benefits, risk management, training, labor, employee relations, health, safety, environmental compliance, management services, and organizational development. The following describes the primary responsibilities for each department within the HR&OD Division.

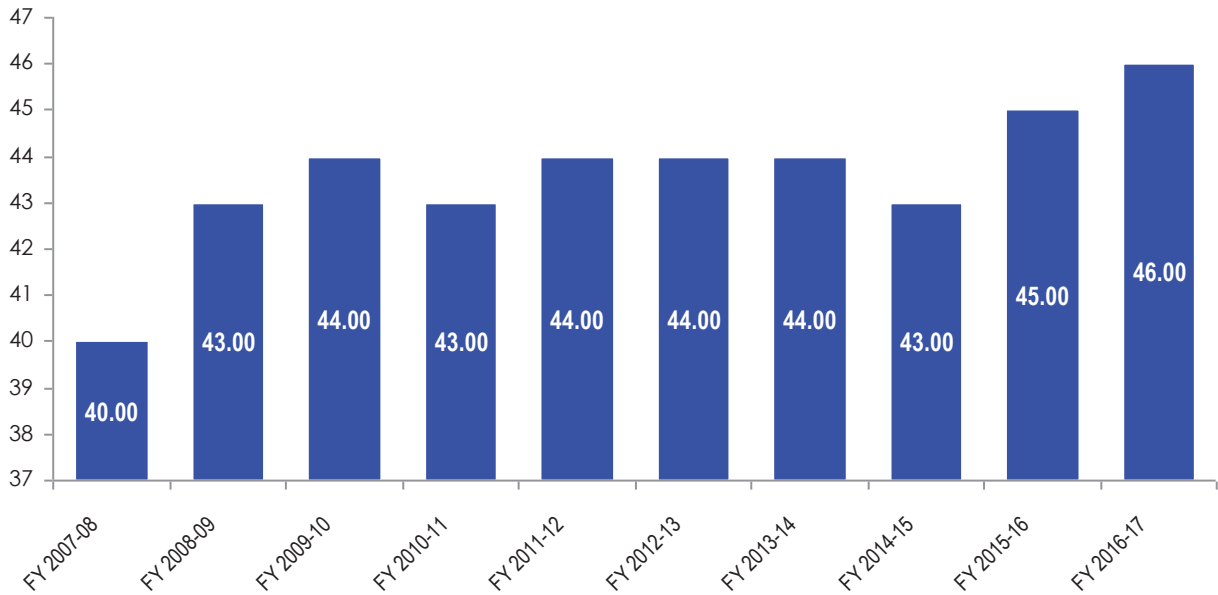


# Human Resources and Organizational Development Division Expenses and Staffing

FY 2016-17	Amount
Salaries and Benefits	\$ 6,775,715
Services and Supplies	1,168,087
<b>Total Uses</b>	<b>\$ 7,943,802</b>



## Staffing Plan



## Human Resources and Organizational Development Division Staffing

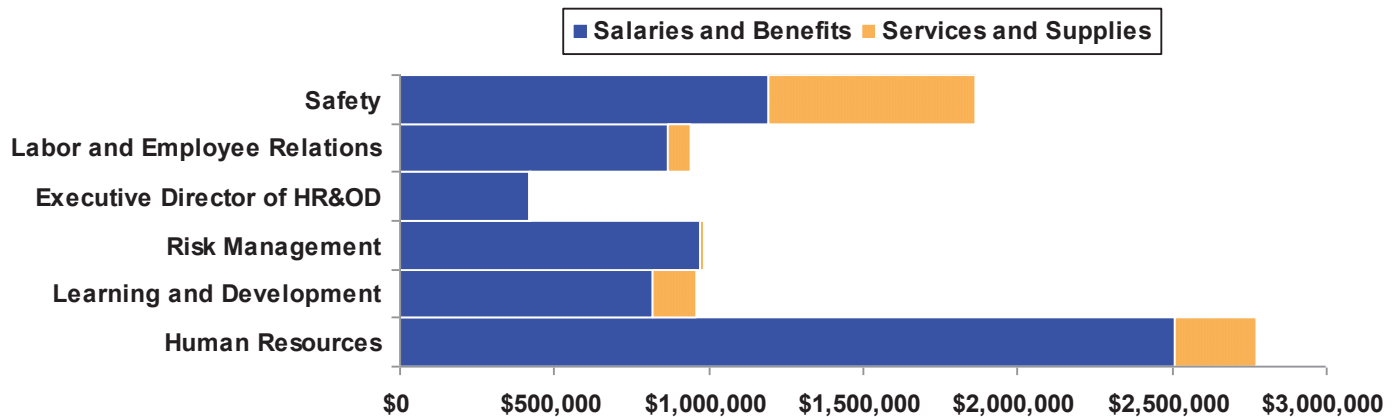
Division Staffing by Department - Job Family	FY 2014-15 Budget	FY 2015-16 Budget	FY 2016-17 Budget
<u>Human Resources</u>			
Benefit Analyst	3.00	3.00	4.00
Business Systems Analyst	1.00	1.00	1.00
Compensation Analyst	3.00	3.00	3.00
Department Manager	1.00	1.00	1.00
HR Assistant	3.00	2.00	0.00
HR Business Partner	0.00	0.00	1.00
Human Resources Representative	3.00	4.00	6.00
Office Specialist	3.00	3.00	1.00
Section Manager	2.00	2.00	2.00
<b>Human Resources</b>	<b>19.00</b>	<b>19.00</b>	<b>19.00</b>
<u>Learning and Development</u>			
Administrative Specialist	0.00	0.00	1.00
Department Manager	1.00	1.00	1.00
Learning and Development Administrator	3.00	3.00	3.00
<b>Learning and Development</b>	<b>4.00</b>	<b>4.00</b>	<b>5.00</b>
<u>Risk Management</u>			
Administrative Specialist	2.00	3.00	3.00
Claims Representative	2.00	2.00	1.00
Department Manager	1.00	1.00	1.00
Office Specialist	1.00	0.00	0.00
Section Manager	1.00	1.00	1.00
Worker's Comp Program Specialist	0.00	0.00	1.00
<b>Risk Management</b>	<b>7.00</b>	<b>7.00</b>	<b>7.00</b>
<u>Executive Director of HR&amp;OD</u>			
Administrative Assistant	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
<b>Executive Director of HR&amp;OD</b>	<b>2.00</b>	<b>2.00</b>	<b>2.00</b>
<u>Labor and Employee Relations</u>			
Administrative Specialist	1.00	1.00	1.00
Department Manager	1.00	1.00	1.00
Employee Relations Rep	3.00	3.00	3.00
Office Specialist	0.00	1.00	1.00
<b>Labor and Employee Relations</b>	<b>5.00</b>	<b>6.00</b>	<b>6.00</b>
<u>Safety</u>			
Department Manager	1.00	1.00	1.00
Rail Systems Safety Specialist	0.00	1.00	1.00
Safety, Health & Environmental Specialist	5.00	5.00	5.00
<b>Safety</b>	<b>6.00</b>	<b>7.00</b>	<b>7.00</b>
<b>Total HR&amp;OD</b>	<b>43.00</b>	<b>45.00</b>	<b>46.00</b>

## Human Resources and Organizational Development Division Expenses by Account

### Division Expenses by Account

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Salaries and Benefits</b>			
7110 Salaries-Regular Employees	2,863,087	3,547,920	3,686,348
7150 Extra Help Employees	80,740	108,000	56,000
7209 Deferred Compensation	59,184	91,613	82,363
7210 Pensions	1,114,350	1,402,372	1,211,910
7220 Insurances	84,345	102,400	124,272
7240 Health Care	693,860	706,455	740,396
7260 Compensated Absences	365,333	504,498	496,269
7270 Workers' Compensation	71,129	197,468	64,239
7280 Other Benefits	214,344	325,853	313,918
<b>Subtotal Salaries and Benefits</b>	<b>\$ 5,546,372</b>	<b>\$ 6,986,579</b>	<b>\$ 6,775,715</b>
<b>Services and Supplies</b>			
7510 Professional Services	529,725	998,262	591,369
7610 Outside Services	20,187	25,171	262,871
7630 Advertising Fees	49,705	48,000	36,000
7650 Travel, Training, and Mileage	95,973	89,335	68,154
7660 Office Expense	80,233	57,236	57,149
7670 Miscellaneous Expense	58,685	75,642	124,561
7690 Leases	6,135	3,300	3,300
7790 Other Materials and Supplies	21,298	24,683	24,683
<b>Subtotal Services and Supplies</b>	<b>\$ 861,941</b>	<b>\$ 1,321,629</b>	<b>\$ 1,168,087</b>
<b>Total Uses</b>	<b>\$ 6,408,313</b>	<b>\$ 8,308,208</b>	<b>\$ 7,943,802</b>

### Division Expenses by Department and Major Object



## Executive Director, HR&OD

The **Executive Director of HR&OD** provides top down strategic initiatives in support of the operational, financial, and long term functions of the HR&OD Division

and OCTA. The Executive Director, in concert with Board direction, aligns the divisions within OCTA for talent acquisition and management, as well

as workforce development, state and federal regulations compliance, and risk mitigation.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Executive Director of HR&amp;OD</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	83,067	278,114	242,141
7209 Deferred Compensation	5,208	33,297	5,412
7210 Pensions	39,329	112,515	79,411
7220 Insurances	3,623	8,198	8,244
7240 Health Care	27,938	44,529	34,000
7260 Compensated Absences	13,819	39,587	32,613
7270 Workers' Compensation	2,425	8,985	1,832
7280 Other Benefits	20,433	24,155	13,072
<b>Subtotal Salaries and Benefits</b>	<b>\$ 195,842</b>	<b>\$ 549,380</b>	<b>\$ 416,725</b>
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	3,644	7,403	6,629
7660 Office Expense	220	1,000	1,000
7670 Miscellaneous Expense	8	1,440	750
7790 Other Materials and Supplies	1,470	2,000	2,000
<b>Subtotal Services and Supplies</b>	<b>\$ 5,342</b>	<b>\$ 11,843</b>	<b>\$ 10,379</b>
<b>Executive Director of HR&amp;OD Total</b>	<b>\$ 201,184</b>	<b>\$ 561,223</b>	<b>\$ 427,104</b>

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Management Services</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	-1,111	0	0
7209 Deferred Compensation	-7	0	0
7210 Pensions	-213	0	0
7220 Insurances	-9	0	0
7240 Health Care	-18	0	0
7260 Compensated Absences	497	0	0
7270 Workers' Compensation	-15	0	0
<b>Subtotal Salaries and Benefits</b>	<b>\$ -876</b>	<b>\$ 0</b>	<b>\$ 0</b>
<u>Services and Supplies</u>			
7660 Office Expense	644	0	0
<b>Subtotal Services and Supplies</b>	<b>\$ 644</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b>Management Services Total</b>	<b>\$ -232</b>	<b>\$ 0</b>	<b>\$ 0</b>



## Human Resources

The **Human Resources (HR) Department** is responsible for HR planning, employment processes, administering compensation and employee benefits, as well as providing employee services. Activities include benefit programs, performance management, employee health insurance, retirement programs, recruitment and selection, wage, salary administration, job descriptions, job evaluations, and leaves of absence.

In addition to the above services, the HR Department serves as an advisor to both the internal and external customer when focusing on human resources issues. The HR Department provides strategic and professional HR service to approximately 1,387 employees.



Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Human Resources</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,087,404	1,326,807	1,375,968
7150 Extra Help Employees	11,231	28,000	14,000
7209 Deferred Compensation	12,309	14,222	30,759
7210 Pensions	392,709	521,361	451,781
7220 Insurances	30,530	38,187	46,573
7240 Health Care	385,782	305,912	294,801
7260 Compensated Absences	123,505	188,129	185,328
7270 Workers' Compensation	25,433	124,403	22,804
7280 Other Benefits	13,856	81,906	84,285
<b>Subtotal Salaries and Benefits</b>	<b>\$ 2,082,759</b>	<b>\$ 2,628,927</b>	<b>\$ 2,506,299</b>
<u>Services and Supplies</u>			
7510 Professional Services	268,952	574,893	190,000
7610 Outside Services	6,420	0	0
7630 Advertising Fees	49,705	48,000	36,000
7650 Travel, Training, and Mileage	28,811	25,735	12,925
7660 Office Expense	40,731	14,098	14,011
7670 Miscellaneous Expense	5,477	11,335	14,095
<b>Subtotal Services and Supplies</b>	<b>\$ 400,096</b>	<b>\$ 674,061</b>	<b>\$ 267,031</b>
<b>Human Resources Total</b>	<b>\$ 2,482,855</b>	<b>\$ 3,302,988</b>	<b>\$ 2,773,330</b>

## Learning and Development

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Learning and Development</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	307,931	308,497	385,046
7150 Extra Help Employees	26,790	47,000	26,000
7209 Deferred Compensation	5,309	3,418	8,602
7210 Pensions	123,963	123,231	127,960
7220 Insurances	9,532	8,791	12,872
7240 Health Care	40,491	45,014	75,662
7260 Compensated Absences	48,351	43,919	51,827
7270 Workers' Compensation	8,124	9,907	6,134
7280 Other Benefits	91,747	123,169	125,773
<b>Subtotal Salaries and Benefits</b>	<b>\$ 662,238</b>	<b>\$ 712,946</b>	<b>\$ 819,876</b>
<u>Services and Supplies</u>			
7510 Professional Services	57,932	74,000	65,000
7650 Travel, Training, and Mileage	44,330	27,429	29,069
7660 Office Expense	29,085	27,500	27,500
7670 Miscellaneous Expense	16,864	17,500	17,500
<b>Subtotal Services and Supplies</b>	<b>\$ 148,211</b>	<b>\$ 146,429</b>	<b>\$ 139,069</b>
<b>Learning and Development Total</b>	<b>\$ 810,449</b>	<b>\$ 859,375</b>	<b>\$ 958,945</b>

The **Learning and Development Department** is responsible for all learning and development activities in the talent management lifecycle, including onboarding, skills acquisition, professional development, and succession. The Learning and Development Department oversees new employee orientation, supervisory

training, management and leadership academies, succession planning, team building, business skills development, technical skills enhancement and training, and organizational development activities. The section functions as an internal consultant to other divisions, providing customized training, competency assessment,

professional development, and assistance with acquiring and building training. The section also administers OCTA's Mentor Program and the educational reimbursement program for OCTA. This department retains a strategic focus, ensuring alignment between the strategic plan and core competencies.

## Risk Management

The **Risk Management Department** is responsible for protecting OCTA's assets and property from the adverse consequences of accidental loss. The Risk Management Department evaluates and procures all appropriate forms and limits of liability for property and other related insurance coverage.

The Risk Management Department manages OCTA's self-insured liability, subrogation, Workers' Compensation Programs, as well as develops and recommends strategically focused loss control programs to reduce claims losses. The Risk Management Department is directly responsible for in-house adjusting and resolution

of all liability claims and manages a contracted third party administrator responsible for handling injured worker's compensation claims. The Risk Management Department also actively pursues reimbursement for all liability, workers' compensation losses, or damage to OCTA property caused by third parties, and pursues recovery.



Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Risk Management</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	491,863	500,867	538,282
7150 Extra Help Employees	-665	0	0
7209 Deferred Compensation	15,402	16,531	12,032
7210 Pensions	188,594	197,532	176,531
7220 Insurances	13,644	14,450	18,089
7240 Health Care	90,123	108,052	114,877
7260 Compensated Absences	41,606	71,421	72,499
7270 Workers' Compensation	11,852	15,313	10,440
7280 Other Benefits	43,348	26,297	29,058
<b>Subtotal Salaries and Benefits</b>	<b>\$ 895,767</b>	<b>\$ 950,463</b>	<b>\$ 971,808</b>
<u>Services and Supplies</u>			
7510 Professional Services	0	15,000	0
7650 Travel, Training, and Mileage	7,267	6,346	5,420
7660 Office Expense	3,195	3,588	3,588
7670 Miscellaneous Expense	1,538	1,950	1,725
<b>Subtotal Services and Supplies</b>	<b>\$ 12,000</b>	<b>\$ 26,884</b>	<b>\$ 10,733</b>
<b>Risk Management Total</b>	<b>\$ 907,767</b>	<b>\$ 977,347</b>	<b>\$ 982,541</b>



## Labor and Employee Relations



The **Labor and Employee Relations Department** is responsible for administering three collective bargaining agreements, which provide terms and conditions of employment for approximately 888 represented employees. The Labor and Employee Relations Department serves as liaison between the unions and management, reviews grievance matters during the

grievance process, prepares for and participates in grievance arbitrations and collective bargaining agreement negotiations.

The department is responsible for developing the annual Equal Employment Opportunity/Affirmative Action Plan (EEO/AAP), which is required by the Federal Transit

Administration (FTA). The department is responsible for administering the EEO Program, which prohibits discrimination and harassment in the workplace, preparing and submitting the Title VI Report to FTA, collective bargaining agreement interpretation, and providing assistance with labor and employee relations matters.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Labor and Employee Relations</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	369,440	471,297	480,039
7150 Extra Help Employees	22,863	0	0
7209 Deferred Compensation	11,272	13,719	10,697
7210 Pensions	159,581	185,279	156,942
7220 Insurances	11,676	13,758	16,202
7240 Health Care	67,513	102,555	104,041
7260 Compensated Absences	61,482	66,994	64,456
7270 Workers' Compensation	9,927	18,294	11,241
7280 Other Benefits	25,367	26,264	25,836
<b>Subtotal Salaries and Benefits</b>	<b>\$ 739,121</b>	<b>\$ 898,160</b>	<b>\$ 869,454</b>
<u>Services and Supplies</u>			
7510 Professional Services	17,610	36,000	38,000
7610 Outside Services	6,643	10,500	11,000
7650 Travel, Training, and Mileage	3,016	6,300	5,826
7660 Office Expense	2,259	6,000	6,000
7670 Miscellaneous Expense	10,873	12,015	11,755
<b>Subtotal Services and Supplies</b>	<b>\$ 40,401</b>	<b>\$ 70,815</b>	<b>\$ 72,581</b>
<b>Labor and Employee Relations Total</b>	<b>\$ 779,522</b>	<b>\$ 968,975</b>	<b>\$ 942,035</b>

## Safety

The **Health, Safety, and Environmental Compliance (HS&EC) Department** is responsible for ensuring OCTA is compliant with all applicable health, safety and environmental standards, codes, and regulations. The professional staff of the department

develops and implements authority -wide employee, fleet, and system safety programs.

The HSEC Department will continue to support all administrative, operations, and capital programs through health, safety, and environmental compliance

program management, to include planned inspections, accident and incident investigations, hazard identification and resolution, regulatory agency interface, and compliance program development and implementation.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Safety</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	524,493	662,338	664,872
7150 Extra Help Employees	20,521	33,000	16,000
7209 Deferred Compensation	9,691	10,426	14,861
7210 Pensions	210,387	262,454	219,285
7220 Insurances	15,349	19,016	22,292
7240 Health Care	82,031	100,393	117,015
7260 Compensated Absences	76,073	94,448	89,546
7270 Workers' Compensation	13,383	20,566	11,788
7280 Other Benefits	19,593	44,062	35,894
<b>Subtotal Salaries and Benefits</b>	<b>\$ 971,521</b>	<b>\$ 1,246,703</b>	<b>\$ 1,191,553</b>
<u>Services and Supplies</u>			
7510 Professional Services	185,231	298,369	298,369
7610 Outside Services	7,124	14,671	251,871
7650 Travel, Training, and Mileage	8,905	16,122	8,285
7660 Office Expense	4,099	5,050	5,050
7670 Miscellaneous Expense	23,925	31,402	78,736
7690 Leases	6,135	3,300	3,300
7790 Other Materials and Supplies	19,828	22,683	22,683
<b>Subtotal Services and Supplies</b>	<b>\$ 255,247</b>	<b>\$ 391,597</b>	<b>\$ 668,294</b>
<b>Safety Total</b>	<b>\$ 1,226,768</b>	<b>\$ 1,638,300</b>	<b>\$ 1,859,847</b>



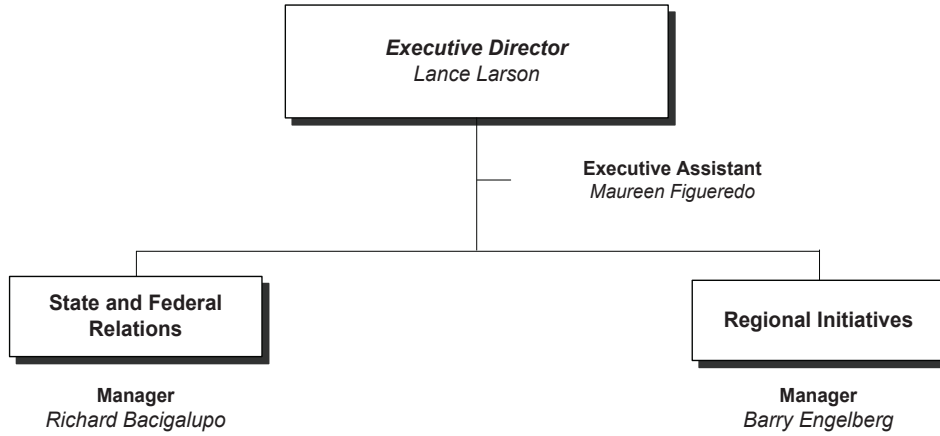


**OCTA**



### Division Overview

## Orange County Transportation Authority Government Relations Division



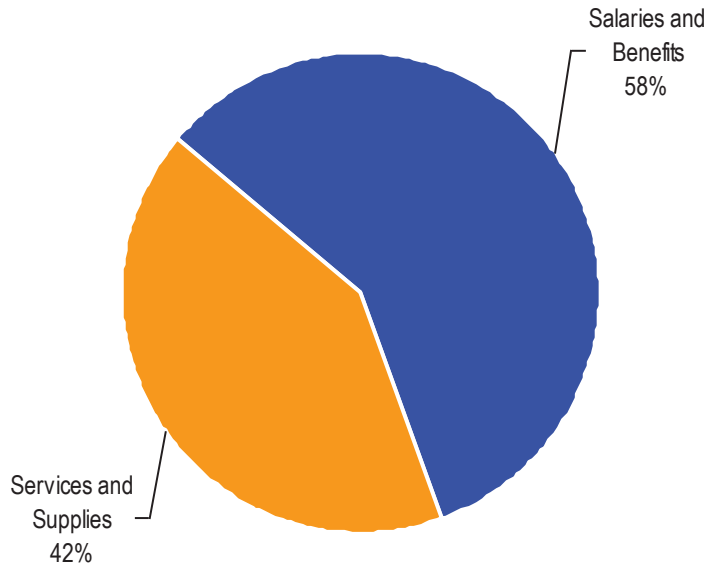
### Division Overview

The Government Relations Division serves as OCTA's liaison with members of the California State Legislature, the United States Congress, and regional elected officials. In addition, the division is responsible for developing, maintaining and monitoring a competitive and proactive grant funding program, including sub-recipient monitoring.

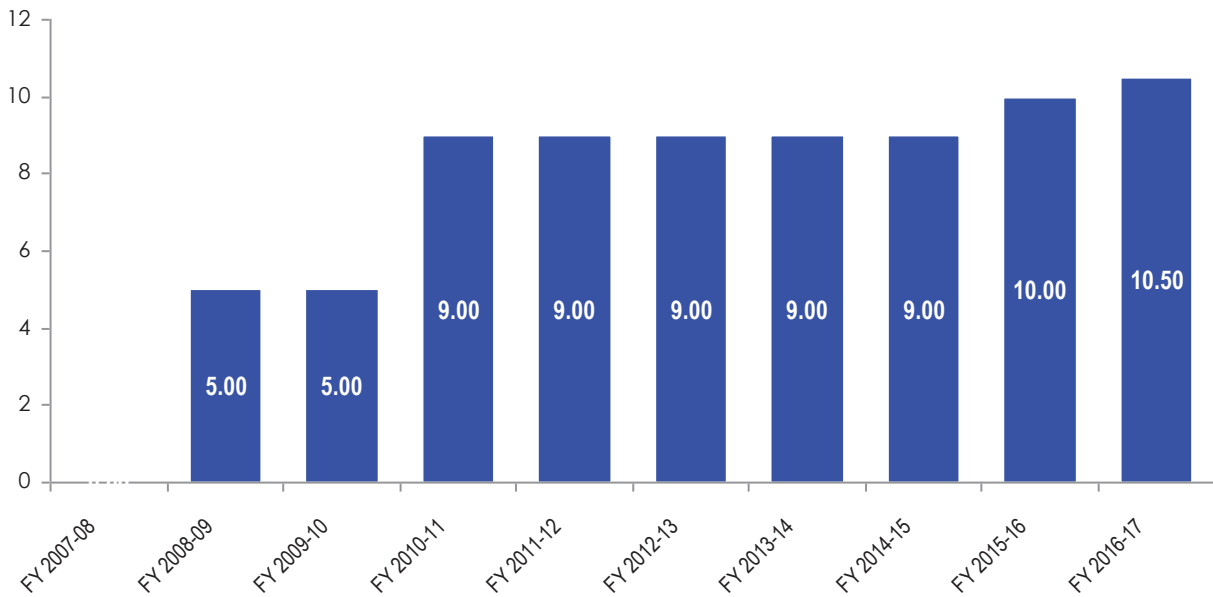


## Government Relations Division Expenses and Staffing

FY 2016-17	Amount
Salaries and Benefits	\$ 1,933,343
Services and Supplies	1,374,181
<b>Total Uses</b>	<b>\$ 3,307,524</b>



### Staffing Plan





**Government Relations Division Staffing**



Division Staffing by Department - Job Family	FY 2014-15 Budget	FY 2015-16 Budget	FY 2016-17 Budget
<u>Executive Director, Government Relations</u>			
Administrative Assistant	1.00	1.00	1.00
Department Manager	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
Government Relations Representative	4.00	4.00	4.50
Program Manager	1.00	1.00	1.00
Section Manager	0.00	1.00	1.00
Transportation Analyst	1.00	1.00	1.00
<b>Executive Director, Government Relations</b>	<b>9.00</b>	<b>10.00</b>	<b>10.50</b>
<b>Total Government Relations</b>	<b>9.00</b>	<b>10.00</b>	<b>10.50</b>

The **Executive Director of Government Relations** is responsible for providing management direction to federal, state, and regional government relations, as well as the Grants Department, while developing programs within OCTA and implementing the policy directives as articulated by the Board of Directors. The Executive Director's primary responsibilities include protecting and advancing OCTA's interests at the federal, state, and regional levels, establishing and executing strategic plan initiatives, providing grant development and management, and fostering an environment conducive to employee development. The Executive Director and staff actively seek OCTA Executive Management and OCTA Board Member participation where appropriate in advancing its mission.

The **State and Federal Relations Department** serves as OCTA's liaison with members of the California State Legislature and the United States Congress. The department is responsible for securing state and federal funding, influencing legislative and regulatory actions, and assisting in the development and execution of the OCTA Board of Directors approved legislative agendas for Sacramento and Washington D.C. Following the adoption of the annual state and federal legislative platforms, the department works to promote transportation needs, funding priorities, and policies that enable OCTA to provide the most advantageous mix of programs and services to fit the needs of the county and maximize the return of state and federal funding to OCTA. The department works with state and

federal agencies, state and national advocacy groups, transit operators, environmental advocates, labor leaders, business advocacy groups, and other industry stakeholders to advance policies, programs, industry-wide legislative and regulatory actions that benefit Orange County.

The **Grants** section is responsible for developing and maintaining a competitive and proactive grant funding program that is responsive to the needs of the OCTA. These efforts include maximizing feasible funding opportunities from all grant resources, promoting the favorable formulation of grant-related legislation and rule making, and serving as the OCTA's primary point of contact with funding agencies. To ensure the responsible use of federal funds, the department

## Government Relations Division Expenses by Account

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Salaries and Benefits</b>			
7110 Salaries-Regular Employees	926,260	988,913	1,073,500
7150 Extra Help Employees	12,329	59,500	28,000
7209 Deferred Compensation	40,618	42,028	23,996
7210 Pensions	376,319	396,057	356,822
7220 Insurances	25,082	29,108	36,697
7240 Health Care	129,284	152,835	183,200
7260 Compensated Absences	112,600	140,874	144,582
7270 Workers' Compensation	23,272	33,968	19,411
7280 Other Benefits	71,357	61,247	67,135
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,717,121</b>	<b>\$ 1,904,530</b>	<b>\$ 1,933,343</b>
<b>Services and Supplies</b>			
7510 Professional Services	912,448	622,000	1,291,000
7610 Outside Services	3,411	1,536	1,536
7650 Travel, Training, and Mileage	50,263	44,162	37,590
7660 Office Expense	2,383	8,446	8,375
7670 Miscellaneous Expense	39,541	35,020	34,920
7790 Other Materials and Supplies	149	760	760
<b>Subtotal Services and Supplies</b>	<b>\$ 1,008,195</b>	<b>\$ 711,924</b>	<b>\$ 1,374,181</b>
<b>Total Uses</b>	<b>\$ 2,725,316</b>	<b>\$ 2,616,454</b>	<b>\$ 3,307,524</b>

assists the OCTA's implementing divisions in monitoring their subrecipients and conducts compliance reviews of the Authority's subgrantees to ensure FTA grant rules and regulations are met.

The **Regional Initiatives Department** serves as the liaison between OCTA and Orange County cities, the County of Orange, and Southern California's regional stakeholders. Working with all Orange County local jurisdictions and regional partners, this function coordinates the integration of OCTA policies and projects from the Long Range Transportation Plan (LRTP) with Los Angeles, Riverside, San

Bernardino, Ventura, Imperial, and San Diego Counties. The department is also tasked with involving OCTA Executive Management and OCTA Board Members in events of interest to OCTA.

OCTA participates in a number of transportation-related initiatives within the two Metropolitan Planning Organizations in Southern California, the Southern California Association of Governments and the San Diego Association of Governments. These initiatives address key multicounty mobility and coordination issues including the movement of goods from the Ports of Los Angeles and Long

Beach through the region including Orange County. The objective is to ensure intercounty cooperation on proposals transportation facilities and advocacy for Orange County interests and priorities.

The Regional Initiatives Department closely collaborates on OCTA's state and federal initiatives, helping to facilitate, promote, develop, and implement OCTA's priorities, programs, projects, and services. The success of this effort is tied to constant communication with Orange County agencies as they consider various transportation issues locally.

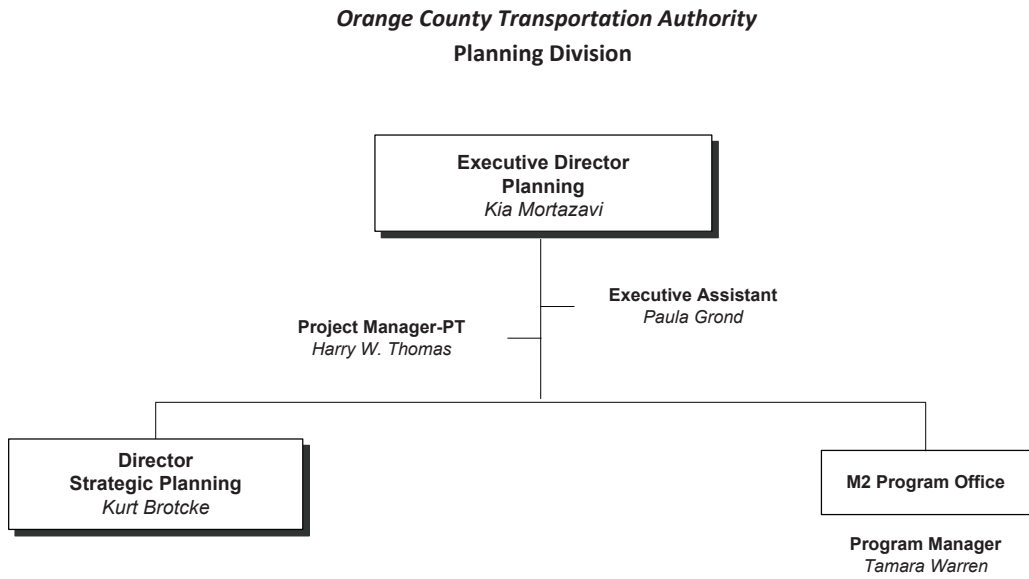


**OCTA**





Division Overview



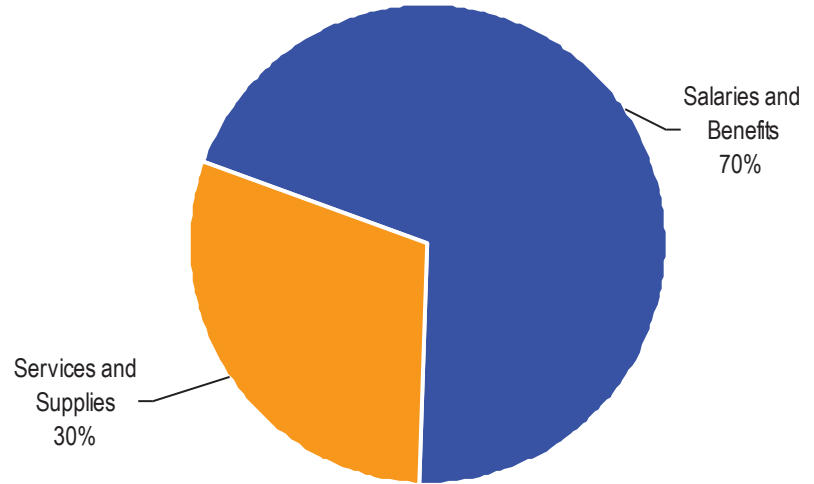
Division Overview

OCTA's **Planning Division** is responsible for developing future transportation solutions and securing funding for transportation improvements in collaboration with local and regional transportation agencies, while ensuring adherence to Board of Directors policies and direction, Measure M2 (M2) requirements and compliance with state and federal mandates. Underpinning this work effort is the stated mission of the Planning Division: to provide planning and programming for transportation initiatives that meet the mobility needs of Orange County, consistent with the OCTA Strategic Plan.

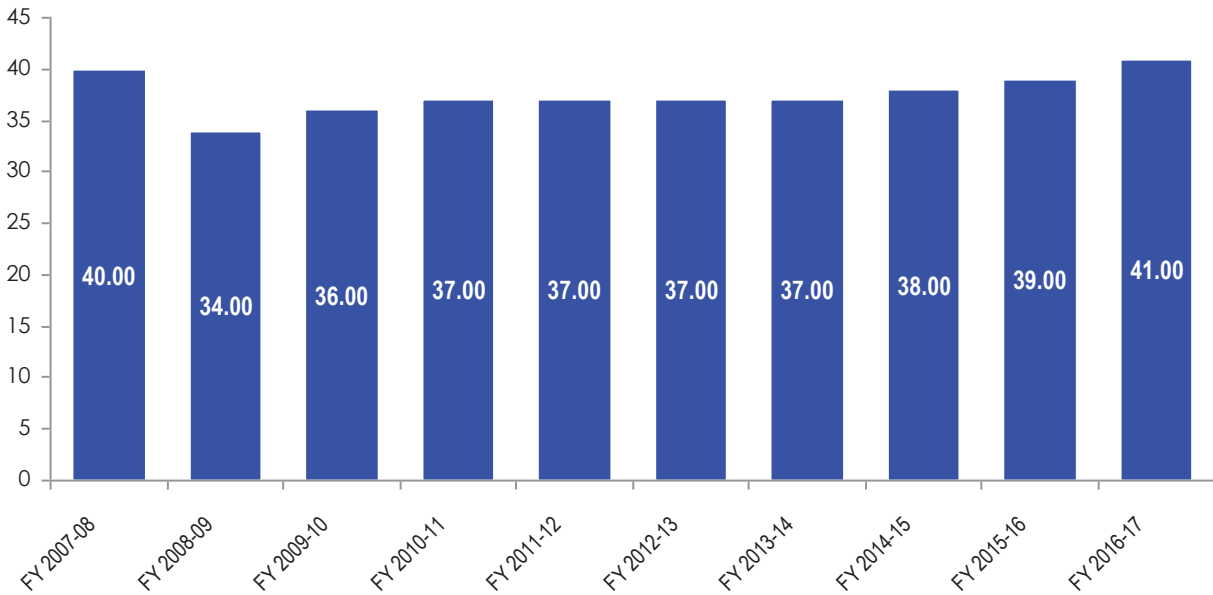


## Planning Division Expenses and Staffing

FY 2016-17	Amount
Salaries and Benefits	\$ 6,598,788
Services and Supplies	2,811,827
<b>Total Uses</b>	<b>\$ 9,410,615</b>



### Staffing Plan



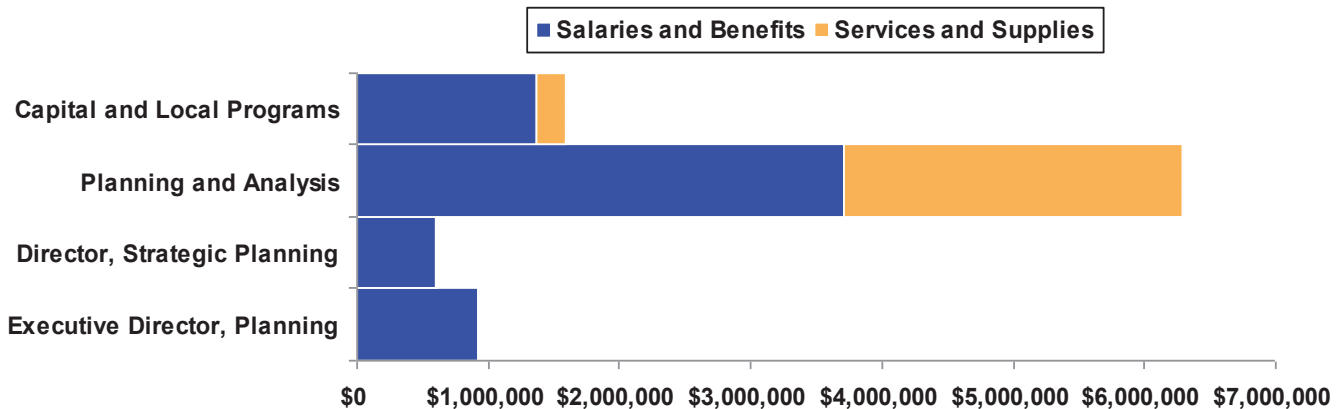
## Planning Division Staffing

Division Staffing by Department - Job Family	FY 2014-15 Budget	FY 2015-16 Budget	FY 2016-17 Budget
<u>Executive Director, Planning</u>			
Administrative Assistant	1.00	1.00	1.00
Department Manager	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
Program Management Analyst	1.00	2.00	2.00
<b>Executive Director, Planning</b>	<b>4.00</b>	<b>5.00</b>	<b>5.00</b>
<u>Director, Strategic Planning</u>			
Administrative Assistant	1.00	1.00	1.00
Director	1.00	1.00	1.00
Project Manager	1.00	1.00	1.00
Strategic Plan Officer	1.00	1.00	0.00
<b>Director, Strategic Planning</b>	<b>4.00</b>	<b>4.00</b>	<b>3.00</b>
<u>Planning and Analysis</u>			
Business Unit Analyst	0.00	0.00	0.50
Department Manager	1.00	1.00	1.00
Program Manager	0.00	1.00	1.00
Project Manager	3.00	3.00	3.00
Section Manager	4.00	3.00	3.00
Strategic Plan Officer	0.00	0.00	1.00
Transportation Analyst	13.00	13.00	13.50
<b>Planning and Analysis</b>	<b>21.00</b>	<b>21.00</b>	<b>23.00</b>
<u>Capital and Local Programs</u>			
Department Manager	1.00	1.00	1.00
Office Specialist	1.00	1.00	1.00
Section Manager	3.00	3.00	3.00
Transportation Analyst	4.00	4.00	4.00
Transportation Funding Specialist	0.00	0.00	1.00
<b>Capital and Local Programs</b>	<b>9.00</b>	<b>9.00</b>	<b>10.00</b>
<b>Total Planning</b>	<b>38.00</b>	<b>39.00</b>	<b>41.00</b>

## Planning Division Expenses by Account

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Salaries and Benefits</b>			
7110 Salaries-Regular Employees	3,188,283	3,385,685	3,685,674
7150 Extra Help Employees	106,339	151,795	108,000
7209 Deferred Compensation	52,872	50,854	82,365
7210 Pensions	1,132,811	1,347,379	1,219,193
7220 Insurances	91,929	98,903	124,166
7240 Health Care	455,091	529,704	595,111
7260 Compensated Absences	363,076	482,784	496,277
7270 Workers' Compensation	79,498	106,452	68,216
7280 Other Benefits	164,279	209,150	219,786
<b>Subtotal Salaries and Benefits</b>	<b>\$ 5,634,178</b>	<b>\$ 6,362,706</b>	<b>\$ 6,598,788</b>
<b>Services and Supplies</b>			
7510 Professional Services	623,428	3,717,076	2,760,000
7650 Travel, Training, and Mileage	30,944	43,027	28,214
7660 Office Expense	11,945	13,615	10,950
7670 Miscellaneous Expense	8,601	16,375	12,663
7790 Other Materials and Supplies	28,630	0	0
7830 Contributions to Other Agencies	0	70,000	0
<b>Subtotal Services and Supplies</b>	<b>\$ 703,548</b>	<b>\$ 3,860,093</b>	<b>\$ 2,811,827</b>
<b>Total Uses</b>	<b>\$ 6,337,726</b>	<b>\$ 10,222,799</b>	<b>\$ 9,410,615</b>

## Division Expenses by Department and Major Object





**Executive Director, Planning**



Planning

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Executive Director, Planning</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	449,180	503,113	513,662
7150 Extra Help Employees	33,946	14,000	14,000
7209 Deferred Compensation	15,945	17,554	11,460
7210 Pensions	142,947	201,973	171,188
7220 Insurances	13,032	14,949	17,547
7240 Health Care	56,265	77,577	64,980
7260 Compensated Absences	43,210	71,743	69,049
7270 Workers' Compensation	11,722	17,641	15,707
7280 Other Benefits	36,907	35,593	36,857
<b>Subtotal Salaries and Benefits</b>	<b>\$ 803,154</b>	<b>\$ 954,143</b>	<b>\$ 914,450</b>
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	1,666	621	220
7660 Office Expense	63	250	0
7670 Miscellaneous Expense	683	2,270	0
<b>Subtotal Services and Supplies</b>	<b>\$ 2,412</b>	<b>\$ 3,141</b>	<b>\$ 220</b>
<b>Executive Director, Planning Total</b>	<b>\$ 805,566</b>	<b>\$ 957,284</b>	<b>\$ 914,670</b>

The **Executive Director of Planning** sets the direction for, and leads the Planning, Programming, and Program Management efforts, as well as coordinates supporting activities with other OCTA divisions and external parties.

interdivisional communications of the M2 Transportation Investment Plan and Ordinance No. 3. The PMO leads the implementation of safeguard measures called for in the Ordinance including the preparation of quarterly reports to the Board, Triennial Performance Assessments, and Ten-Year Comprehensive reviews. While multiple organizational units

within OCTA carry out the various activities related to M2 including finance, delivery, and accountability, the PMO is charged with the responsibility to assess, facilitate, and provide direction as needed to ensure OCTA is successful in meeting the expectations of the public.

The **Program Management Office (PMO)** ensures seamless, effective,

## Director, Strategic Planning

The **Strategic Planning Department** identifies major new projects and programs and recommends funding for their implementation. This involves broad-scale information gathering, problem definition, alternatives development and evaluation, and an emphasis on the future implications of present decisions. In addition to planning for freeways, streets and roads, transit, bikeway, and environmental initiatives, this department provides analytic support for the overall agency. Strategic Planning recommends the long-range vision for mobility for OCTA. This allows OCTA to plan projects (transit line, highway projects, or street or bikeway projects) that consider possible locations, timing, modes, and fund sources. The Strategic Planning Department also recommends direction, plans, and monitors the implementation of the OCTA Strategic Plan, as well as supporting the development and implementation of Board Chairman Initiatives and CEO Initiatives and Action Plan.

The **Long-Range Planning and Corridor Studies Section** is responsible for long-range regional transportation planning efforts and developing transportation project concepts (from inception through preliminary engineering) for specific corridors and subareas of the county. This includes coordination with stakeholders to develop priorities for transportation infrastructure improvements, as well as completion of necessary environmental and technical tasks to qualify specific projects for local, state, and federal funds. The section's major work activities include:

- Developing and maintaining OCTA's Long-Range Transportation Plan (LRTP) - OCTA's vision for Orange County's transportation system.
- Working with Southern California Association of Governments (SCAG) on the development of the Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS) to ensure that OCTA's projects and policies

are incorporated; and allow OCTA to address regional issues such as AB-32 and SB-375.

- Coordinating with local/regional, state, and federal agencies on air quality monitoring and air quality conformity issues, consistent with the Clean Air Act.
- Coordinating with local/regional, state, and federal agencies on highway and multimodal corridor planning studies.
- Ensuring regional (multi-county) plans are consistent with OCTA policies and promoting consideration of intercounty connections.
- Coordinating with the Orange County Council of Governments and SCAG on the SCS and other regional issues.
- Preparing conceptual engineering and planning studies - including the California Department of Transportation's Project Study Report/Project Development Support documents for subsequent policy decisions and project development phases.
- Managing the Master Plan of

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Director, Strategic Planning</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	286,514	458,885	342,886
7150 Extra Help Employees	0	12,800	0
7209 Deferred Compensation	10,484	13,460	7,665
7210 Pensions	66,722	184,485	114,985
7220 Insurances	8,941	13,527	11,837
7240 Health Care	33,758	42,468	42,067
7260 Compensated Absences	27,295	65,435	46,184
7270 Workers' Compensation	7,209	11,924	5,440
7280 Other Benefits	33,943	33,272	27,692
<b>Subtotal Salaries and Benefits</b>	<b>\$ 474,866</b>	<b>\$ 836,256</b>	<b>\$ 598,756</b>
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	8,136	9,730	4,071
7660 Office Expense	6,562	10,825	10,750
7670 Miscellaneous Expense	893	930	1,130
<b>Subtotal Services and Supplies</b>	<b>\$ 15,591</b>	<b>\$ 21,485</b>	<b>\$ 15,951</b>
<b>Director, Strategic Planning Total</b>	<b>\$ 490,457</b>	<b>\$ 857,741</b>	<b>\$ 614,707</b>

## Planning and Analysis

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Planning and Analysis</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,855,833	1,769,479	2,081,975
7150 Extra Help Employees	27,531	61,000	62,000
7209 Deferred Compensation	20,935	16,192	46,539
7210 Pensions	698,418	700,139	685,120
7220 Insurances	51,248	51,468	69,702
7240 Health Care	256,737	289,674	339,586
7260 Compensated Absences	220,569	252,320	280,414
7270 Workers' Compensation	45,261	53,060	34,043
7280 Other Benefits	69,957	102,901	114,902
<b>Subtotal Salaries and Benefits</b>	<b>\$ 3,246,489</b>	<b>\$ 3,296,233</b>	<b>\$ 3,714,281</b>
<u>Services and Supplies</u>			
7510 Professional Services	498,255	3,483,076	2,555,000
7650 Travel, Training, and Mileage	9,858	19,835	13,992
7660 Office Expense	4,011	1,500	0
7670 Miscellaneous Expense	6,375	10,215	8,405
7790 Other Materials and Supplies	28,630	0	0
7830 Contributions to Other Agencies	0	70,000	0
<b>Subtotal Services and Supplies</b>	<b>\$ 547,129</b>	<b>\$ 3,584,626</b>	<b>\$ 2,577,397</b>
<b>Planning and Analysis Total</b>	<b>\$ 3,793,618</b>	<b>\$ 6,880,859</b>	<b>\$ 6,291,678</b>

Arterial Highways (MPAH) Program to promote an integrated countywide arterial highway system that accommodates the needs of all users.

- Administering the Congestion Management Program, including conducting biennial traffic counts and reporting to local/regional, state, and federal agencies.
- Performing extensive review of environmental documents to ensure the OCTA's policies, programs, and projects are incorporated into local, state, and regional planning activities.

The **Transit and Non-Motorized Planning Section** develops plans and strategies for near-term transit service improvements, as well as regional bikeway and pedestrian needs. In support of fixed-route transit, this Section is responsible for developing and updating the Short-Range Transit

Plan and Bus Capital Plans. In support of non-motorized transportation, the Section conducts regional bikeway studies and beginning in FY 2014-15, this section has begun analysis of regional pedestrian issues. The Section also prepares the related corridor planning, project definition studies, and implementation plans for the above mentioned efforts. This group works with outside transit agencies, transit advocacy, bikeway and pedestrian stakeholders, and local jurisdictions.

The **Project Development and Environmental Programs Section** leads the implementation of the M2 Freeway Environmental Mitigation Program and Environmental Cleanup Program. This Section also prepares conceptual engineering and planning studies and provides technical environmental expertise and support services to comply with state and federal environmental laws.

The Freeway Environmental Mitigation Program's goals and objectives are to facilitate streamlining the biological resources permitting process for the M2 freeway projects through early acquisitions and habitat restoration of open-space properties that possess habitats similar to those impacted by the freeway projects. These efforts are conducted in collaboration with state and federal resources. This section also oversees the M2 Environmental Cleanup Program to supplement efforts that address impacts of urban runoff on the water quality of Orange County's coast, bays, and waterways.

The **Strategic Initiatives section** develops and oversees the OCTA Strategic Plan, the annual Board Initiatives, as well as the annual CEO Initiatives and Action Plan. The Section works with all OCTA divisions on their annual plans and performance metrics that support OCTA's Strategic

## Capital and Local Programs

Plan, and provides regular reports to management and the Board.

The **Regional Modeling and Traffic Operations Section** uses analytical tools to simulate the “real world” transportation system and assess the benefits and impacts of potential transportation solutions. Computer models are used to predict future travel patterns in response to changes in the transportation system, regional development, and demographics. The section is also responsible for implementing multi-jurisdictional regional traffic signal synchronization projects. Important aspects of this responsibility involve leading the implementation of multi-agency signal synchronization efforts and oversight of the M2 competitive grants for the Regional Traffic Signal Synchronization Program.

The **Geographic Information Systems (GIS) Section** employs information technology to deliver analytical maps and information products to support the Planning Division and numerous other business functions throughout OCTA. In addition to maps and information products, the GIS Section automates and streamlines repetitive and time-consuming data analysis business processes. This leads to the creation of planning and monitoring products that are not otherwise available. GIS maintains the official inventory of the MPAH, supports M2 programs such as the Freeway Environmental Mitigation Program, active transportation, and traffic signal synchronization projects, as well as provides support to other major OCTA functions including Transit Operations, Marketing and Outreach Departments, and other

functional areas by providing timely access to customized technical data and information products.

The **State/Federal Funding Programs section** identifies projects through the transportation planning process, and programs state and federal funds to maximize their use to implement highways, rail, bus, road, and active transportation projects. This process leads to a commitment of state and federal transportation funds over a multi-year period to particular projects and phases of implementation. Once funds are committed, the programming function works with the other OCTA divisions to ensure that the projects are delivered consistent with commitments to the scope and schedule of the project, officially permitted uses, timely use of funds, and regulatory matters. This section plays the lead

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Capital and Local Programs</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	596,756	654,208	747,151
7150 Extra Help Employees	44,862	63,995	32,000
7209 Deferred Compensation	5,508	3,648	16,701
7210 Pensions	224,724	260,782	247,900
7220 Insurances	18,708	18,959	25,080
7240 Health Care	108,331	119,985	148,478
7260 Compensated Absences	72,002	93,286	100,630
7270 Workers' Compensation	15,306	23,827	13,026
7280 Other Benefits	23,472	37,384	40,335
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,109,669</b>	<b>\$ 1,276,074</b>	<b>\$ 1,371,301</b>
<u>Services and Supplies</u>			
7510 Professional Services	125,173	234,000	205,000
7650 Travel, Training, and Mileage	11,284	12,841	9,931
7660 Office Expense	1,309	1,040	200
7670 Miscellaneous Expense	650	2,960	3,128
<b>Subtotal Services and Supplies</b>	<b>\$ 138,416</b>	<b>\$ 250,841</b>	<b>\$ 218,259</b>
<b>Capital and Local Programs Total</b>	<b>\$ 1,248,085</b>	<b>\$ 1,526,915</b>	<b>\$ 1,589,560</b>



## Capital and Local Programs (Continued)

role in identifying, pursuing, and securing new state and federal funds such as Cap and Trade funds.

Another primary function of the department is administration of state and federal transportation funding programs through the Federal Transportation Improvement Program, submittal of grant applications, and acting as the Regional Transportation Planning Agency and liaison to the California Transportation Commission.

The **Measure M Local Programs section** develops, implements, and administers the M2 grant programs for streets and roads, Transit extensions to Metrolink, Community-Based Transit/Circulators, Transit stop amenities, and assists in the administration of Water Quality grants. Activities include the commitment of local transportation sales tax funds to competitively-selected projects. Once funds are committed, the section ensures projects are delivered consistent with the approved scope and schedule of the project. This effort includes reviewing initial eligibility requirements prior to award of funds, and reviews projects after completion to ensure funds were appropriately expended. Lastly, this section is responsible for ensuring that local jurisdictions meet eligibility requirements for M2 funding as required by Ordinance No. 3.



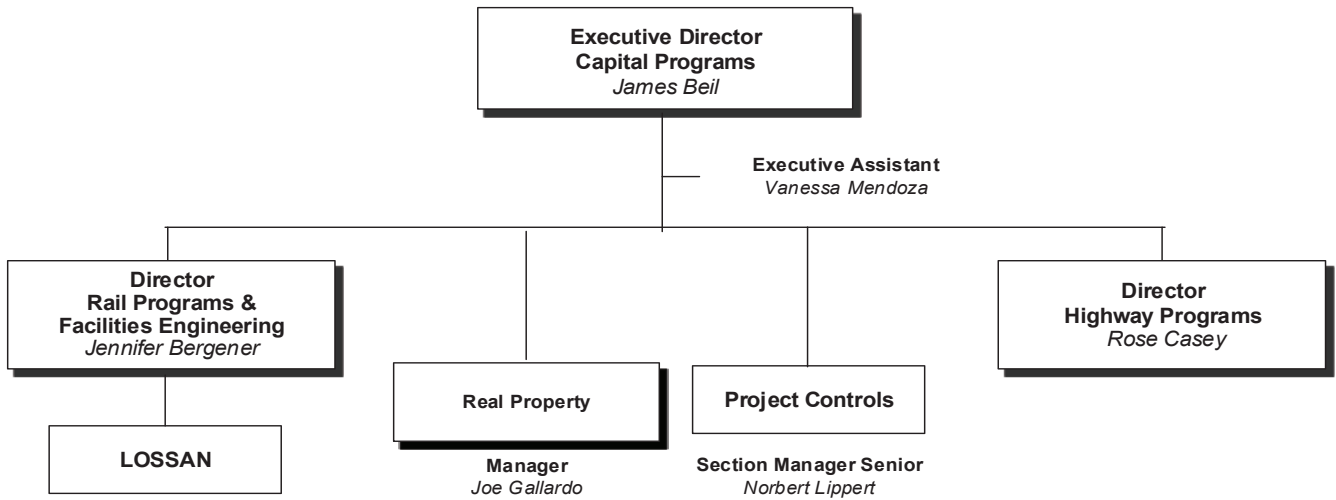




**Division Overview**

*Orange County Transportation Authority*

**Capital Programs Division**



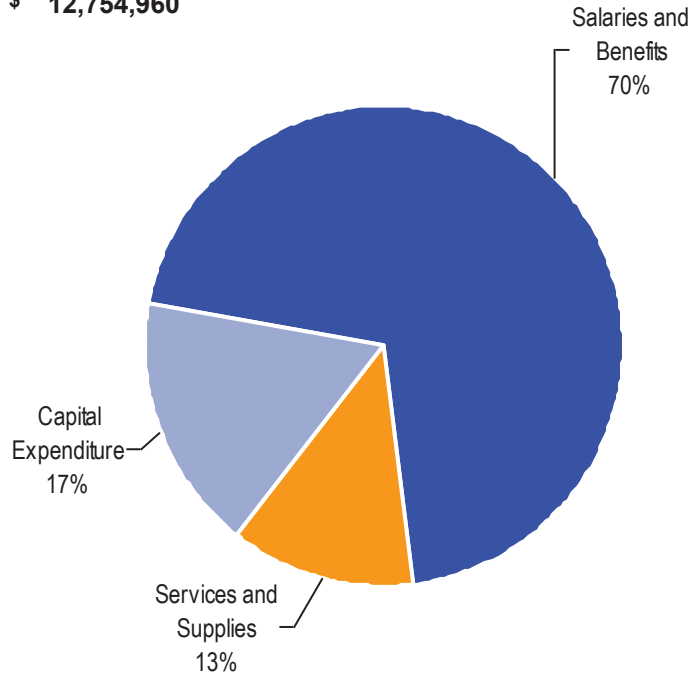
**Division Overview**

The **Capital Programs Division** is responsible for implementing OCTA's highway projects, railroad grade separation projects, rail capital improvement projects, bus and transit facility improvements, and real estate services. The program of projects managed by the division includes Measure M and other state and federal funded projects. The division is responsible for project development activities from the initial preliminary engineering and environmental phase through construction completion. In addition to developing a variety of capital improvement projects, the division is also responsible for OCTA owned transit and rail right-of-way management and leasing, and improving and expanding passenger rail service in Orange County in cooperation with the Southern California Regional Rail Authority and LOSSAN Joint Powers Authority.

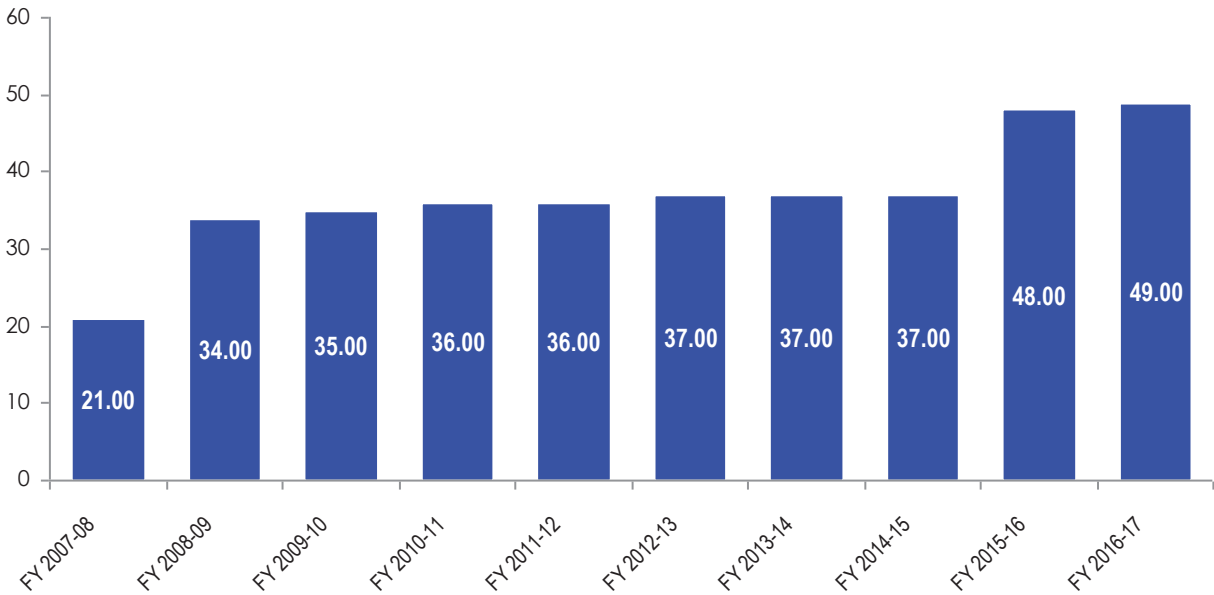


# Capital Programs Division Expenses and Staffing

FY 2016-17	Amount
Salaries and Benefits	\$ 8,954,793
Services and Supplies	1,607,167
Capital Expenditure	2,193,000
<b>Total Uses</b>	<b>\$ 12,754,960</b>



## Staffing Plan



**Capital Programs Division Staffing**

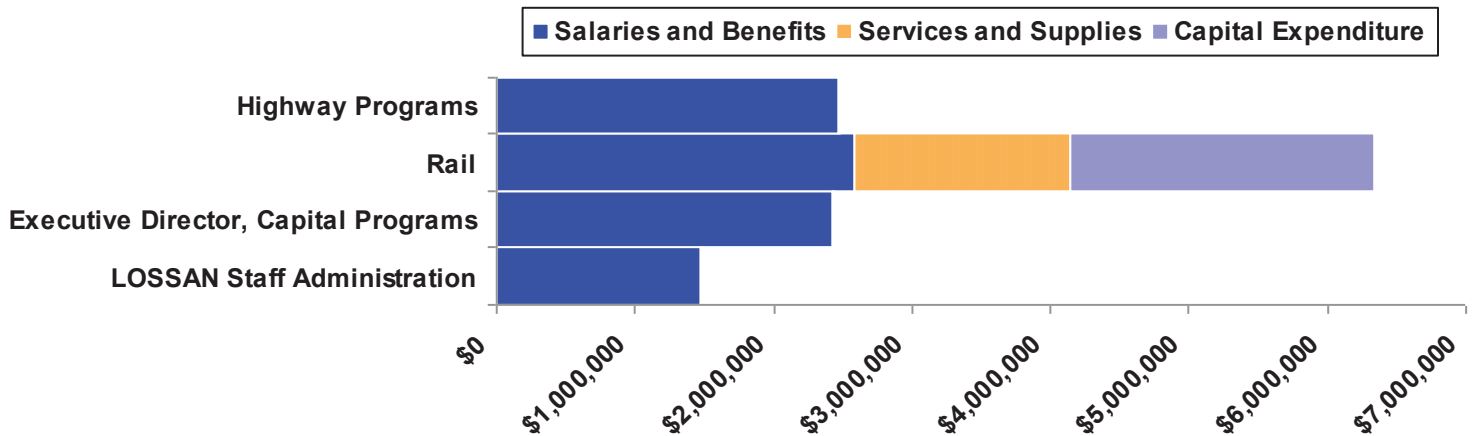
<b>Division Staffing by Department - Job Family</b>	<b>FY 2014-15 Budget</b>	<b>FY 2015-16 Budget</b>	<b>FY 2016-17 Budget</b>
<u>LOSSAN Staff Administration</u>			
LOSSAN Deputy Managing Director	0.00	1.00	1.00
LOSSAN Director	0.00	1.00	1.00
LOSSAN Executive Administrative Assistant	0.00	1.00	1.00
LOSSAN Finance and Administration Manager	0.00	1.00	0.00
LOSSAN Marketing and Communications Officer	0.00	1.00	1.00
LOSSAN Marketing Specialist	0.00	1.00	1.00
LOSSAN Mechanical Compliance Officer	0.00	1.00	1.00
LOSSAN Operations Compliance and Safety Manager	0.00	1.00	1.00
LOSSAN Transportation Analyst	0.00	1.00	1.00
LOSSAN Section Manager	0.00	0.00	1.00
<b>LOSSAN Staff Administration</b>	<b>0.00</b>	<b>9.00</b>	<b>9.00</b>
<u>Executive Director, Capital Programs</u>			
Administrative Assistant	1.00	1.00	1.00
Department Manager	2.00	2.00	1.00
Executive Director	1.00	1.00	1.00
Program Manager	1.00	1.00	1.00
Project Controls Analyst	4.00	4.00	4.00
Real Property Agent	5.00	5.00	6.00
<b>Executive Director, Capital Programs</b>	<b>14.00</b>	<b>14.00</b>	<b>14.00</b>
<u>Rail</u>			
Civil Engineer	1.00	2.00	2.00
Department Manager	2.00	2.00	3.00
Director	1.00	1.00	1.00
Project Manager	3.00	4.00	4.00
Rail Right-of-Way Administrator	1.00	1.00	1.00
Secretary	1.00	1.00	1.00
Section Manager	1.00	1.00	1.00
Transportation Analyst	1.00	1.00	1.00
<b>Rail</b>	<b>11.00</b>	<b>13.00</b>	<b>14.00</b>
<u>Highway Programs</u>			
Director	1.00	1.00	1.00
Office Specialist	1.00	1.00	1.00
Program Manager	4.00	4.00	4.00
Project Manager	5.00	5.00	5.00
Secretary	1.00	1.00	1.00
<b>Highway Programs</b>	<b>12.00</b>	<b>12.00</b>	<b>12.00</b>
<b>Total Capital Programs</b>	<b>37.00</b>	<b>48.00</b>	<b>49.00</b>



## Capital Programs Division Expenses

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Salaries and Benefits</b>			
7110 Salaries-Regular Employees	3,673,786	4,915,537	5,050,871
7150 Extra Help Employees	40,077	59,000	67,100
7209 Deferred Compensation	57,091	61,073	112,793
7210 Pensions	1,429,673	1,948,326	1,664,958
7220 Insurances	98,340	142,513	169,569
7240 Health Care	557,638	755,077	819,236
7260 Compensated Absences	498,866	700,365	679,617
7270 Workers' Compensation	90,595	150,827	90,637
7280 Other Benefits	140,828	289,306	300,012
<b>Subtotal Salaries and Benefits</b>	<b>\$ 6,586,894</b>	<b>\$ 9,022,024</b>	<b>\$ 8,954,793</b>
<b>Services and Supplies</b>			
7510 Professional Services	198,726	562,500	422,500
7610 Outside Services	453,959	400,000	1,021,900
7650 Travel, Training, and Mileage	17,427	57,944	36,252
7660 Office Expense	6,859	21,977	29,261
7670 Miscellaneous Expense	6,998	13,773	17,334
7690 Leases	127,811	77,891	79,920
<b>Subtotal Services and Supplies</b>	<b>\$ 811,780</b>	<b>\$ 1,134,085</b>	<b>\$ 1,607,167</b>
<b>Capital Expenditure</b>			
9020 Capital Exp-Locally Funded	2,901,194	2,934,000	2,193,000
<b>Subtotal Capital Expenditure</b>	<b>\$ 2,901,194</b>	<b>\$ 2,934,000</b>	<b>\$ 2,193,000</b>
<b>Total Uses</b>	<b>\$ 10,299,868</b>	<b>\$ 13,090,109</b>	<b>\$ 12,754,960</b>

### Division Expenses by Department and Major Object



**Executive Director, Capital Programs**

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Executive Director, Capital Programs</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,265,092	1,373,177	1,369,523
7150 Extra Help Employees	6,310	13,000	13,000
7209 Deferred Compensation	16,234	15,477	30,501
7210 Pensions	503,785	543,497	450,526
7220 Insurances	34,650	40,126	46,420
7240 Health Care	192,842	214,577	222,831
7260 Compensated Absences	155,588	195,241	183,784
7270 Workers' Compensation	31,270	41,040	25,903
7280 Other Benefits	80,667	81,064	82,846
<b>Subtotal Salaries and Benefits</b>	<b>\$ 2,286,438</b>	<b>\$ 2,517,199</b>	<b>\$ 2,425,334</b>
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	6,063	12,505	6,014
7660 Office Expense	2,268	7,986	4,870
7670 Miscellaneous Expense	2,110	2,898	2,875
<b>Subtotal Services and Supplies</b>	<b>\$ 10,441</b>	<b>\$ 23,389</b>	<b>\$ 13,759</b>
<b>Executive Director, Capital Programs Total</b>	<b>\$ 2,296,879</b>	<b>\$ 2,540,588</b>	<b>\$ 2,439,093</b>

The **Executive Director of Capital Programs** has the responsibility of ensuring that all of OCTA's highway and rail improvements are delivered in concert with board direction. The Capital Programs Division is organized around three functional areas to carry out its responsibilities and Capital Program's critical tasks through Rail, Highway Programs, and LOSSAN Staff Administration.



## Rail

The **Rail Department** is primarily responsible for sustaining, improving, and expanding operations of Orange County's rail system by providing coordinated Metrolink rail service that supports and matches the growth and development patterns of the county and region. In addition, the division is responsible for many complementary transit projects and programs such as the development and implementation of an efficient rail transit system

using OCTA owned railroad right-of-way in Orange County. This includes sustaining existing operations, planned expanded-frequency Metrolink service, local transit connectors, grade separations, grade crossing safety improvements which allow local agencies to establish railroad quiet zones, and development of key rail stations into gateways to regional rail.

The primary functions of the Rail Department include the following: (1) rail capital project delivery; (2) local initiatives; (3) coordination of the development of high-speed rail in Orange County; (4) rail operations and service planning; (5) transit facility capital projects.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Rail</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,054,119	1,271,768	1,483,216
7150 Extra Help Employees	26,427	30,000	22,500
7209 Deferred Compensation	18,334	24,715	33,156
7210 Pensions	403,278	505,718	489,823
7220 Insurances	28,694	36,598	49,694
7240 Health Care	148,399	185,165	197,817
7260 Compensated Absences	153,269	181,348	199,771
7270 Workers' Compensation	26,297	45,987	23,472
7280 Other Benefits	28,063	79,848	89,315
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,886,880</b>	<b>\$ 2,361,147</b>	<b>\$ 2,588,764</b>
<u>Services and Supplies</u>			
7510 Professional Services	182,479	487,500	422,500
7610 Outside Services	453,959	400,000	1,015,000
7650 Travel, Training, and Mileage	7,243	35,020	21,984
7660 Office Expense	2,353	8,301	9,501
7670 Miscellaneous Expense	2,916	6,355	7,585
7690 Leases	127,811	77,891	79,920
<b>Subtotal Services and Supplies</b>	<b>\$ 776,761</b>	<b>\$ 1,015,067</b>	<b>\$ 1,556,490</b>
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	2,901,194	2,934,000	2,193,000
<b>Subtotal Capital Expenditure</b>	<b>\$ 2,901,194</b>	<b>\$ 2,934,000</b>	<b>\$ 2,193,000</b>
<b>Rail Total</b>	<b>\$ 5,564,835</b>	<b>\$ 6,310,214</b>	<b>\$ 6,338,254</b>

## Highway Programs

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Highway Programs</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,354,575	1,329,499	1,398,858
7150 Extra Help Employees	7,340	16,000	16,000
7209 Deferred Compensation	22,523	20,881	31,269
7210 Pensions	522,610	527,959	461,898
7220 Insurances	34,996	37,985	46,377
7240 Health Care	216,397	215,335	221,812
7260 Compensated Absences	190,009	189,580	188,411
7270 Workers' Compensation	33,028	39,838	24,940
7280 Other Benefits	32,098	78,982	84,701
<b>Subtotal Salaries and Benefits</b>	<b>\$ 2,413,576</b>	<b>\$ 2,456,059</b>	<b>\$ 2,474,266</b>
<u>Services and Supplies</u>			
7510 Professional Services	16,247	75,000	0
7650 Travel, Training, and Mileage	4,121	10,419	4,971
7660 Office Expense	2,238	5,690	5,190
7670 Miscellaneous Expense	1,972	4,520	3,074
<b>Subtotal Services and Supplies</b>	<b>\$ 24,578</b>	<b>\$ 95,629</b>	<b>\$ 13,235</b>
<b>Highway Programs Total</b>	<b>\$ 2,438,154</b>	<b>\$ 2,551,688</b>	<b>\$ 2,487,501</b>

**Highway Programs** is responsible for planning, tracking, and reporting on the implementation of the overall countywide freeway improvement program. The program of projects can also include other major construction projects such as rail grade separation projects and others that are deemed to be regionally significant. This takes the form of consolidated progress and status reports that present information on the currently active projects as well as the program's overall cost and funding status.

Highway Programs staff manage the development of individual freeway, rail grade separation and rail station projects, and monitors work progress to ensure adherence to project budgets and schedules. The group works closely with the Strategic Planning Department on funding requirements,

procures and manages the services of private consultants and contractors for services, and coordinates with external and public agencies. Highway Programs also develops and manages cooperative agreements with outside agencies and works closely with OCTA's External Affairs Division.

Day-to-day project management tasks may include, developing scenarios for financing, segmenting corridors into individual projects to fit sequencing and funding plans, sizing projects to encourage competitive construction bids, balancing the use of consultants and Caltrans staff for OCTA's project development and construction management efforts, and balancing construction impacts on the overall freeway system caused by multiple projects.

Highway Programs handles OCTA's right-of-way and real property activity, regardless of mode. This includes real estate appraisal and right-of-way acquisition, relocation assistance, property leases, encroachment, and licensing agreements, property and utility management, and maintenance such as weed abatement and graffiti removal. The ongoing maintenance of the Pacific Electric right-of-way which is owned by OCTA, and the interim property management and maintenance of environmental mitigation parcels purchased by OCTA are both performed by this department.

The Highway Programs Department has two primary responsibilities: (1) to provide overall management of the program of projects; and (2) to manage the implementation of individual projects.



**LOSSAN Staff Administration**

OCTA was selected to serve as the managing agency for the **Los Angeles – San Diego – San Luis Obispo (LOSSAN)** Rail Corridor Agency (Agency) in August 2013. Following execution of the Interagency Transfer Agreement (ITA) between the LOSSAN Agency and the State of California in July 2015, the LOSSAN Agency assumed full administrative responsibility for management of the Pacific Surfliner intercity rail service. The LOSSAN Agency is administered by dedicated OCTA staff. These positions are funded through the ITA by the State of California.

The LOSSAN Agency is a joint powers authority originally formed in 1989 that works to increase ridership, revenue, capacity, reliability, coordination and safety on the rail corridor between San Diego, Los Angeles and San Luis Obispo. It is governed by an 11-member Board of Directors composed of officials representing rail owners, operators, and planning agencies along the rail corridor. The 351-mile LOSSAN rail corridor travels through a six-county coastal region in Southern California and is the second busiest intercity passenger rail corridor



in the United States. The LOSSAN corridor includes 41 stations and more than 150 daily passenger trains, with an annual ridership of more than 2.8 million on Amtrak operated Pacific Surfliner intercity trains and 5 million on Metrolink and COASTER commuter trains.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>LOSSAN Staff Administration</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	0	941,093	799,274
7150 Extra Help Employees	0	0	15,600
7209 Deferred Compensation	0	0	17,867
7210 Pensions	0	371,152	262,711
7220 Insurances	0	27,804	27,078
7240 Health Care	0	140,000	176,776
7260 Compensated Absences	0	134,196	107,651
7270 Workers' Compensation	0	23,962	16,322
7280 Other Benefits	0	49,412	43,150
<b>Subtotal Salaries and Benefits</b>	<b>\$ 0</b>	<b>\$ 1,687,619</b>	<b>\$ 1,466,429</b>



**OCTA**

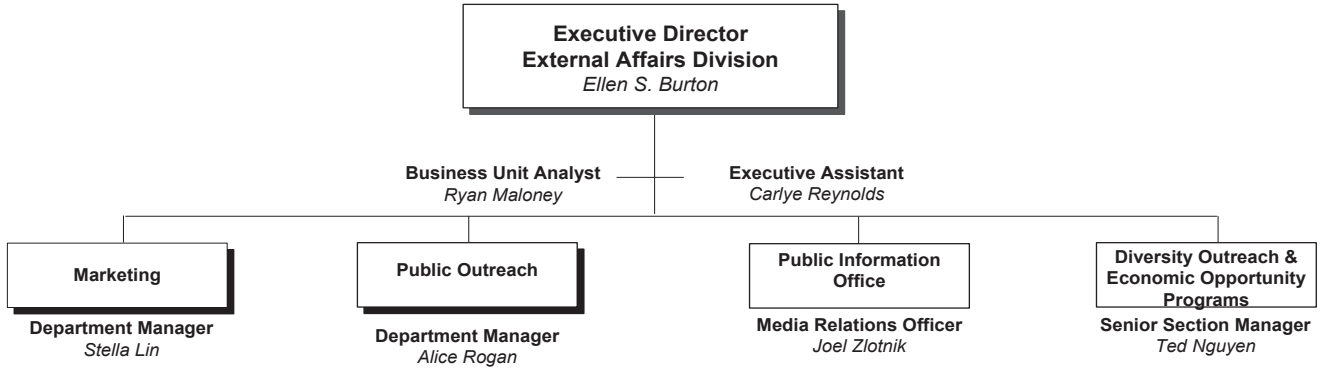




### Division Overview

#### Orange County Transportation Authority

#### External Affairs Division



### Division Overview

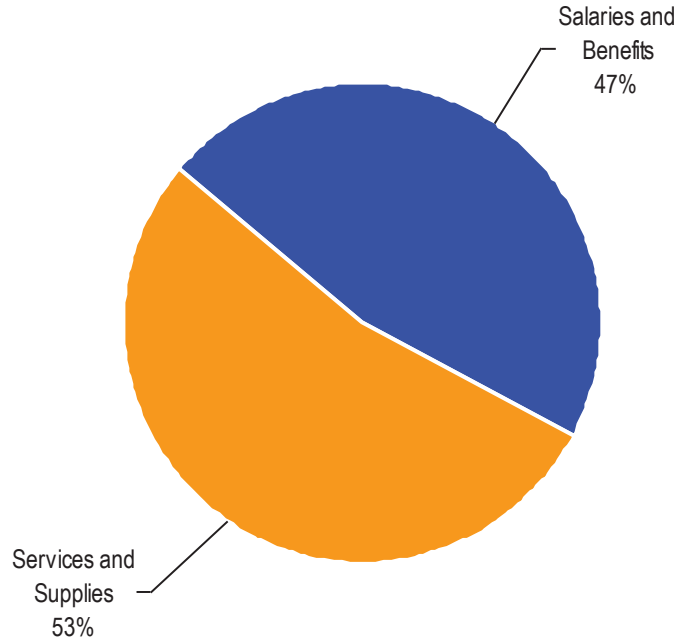
The **External Affairs Division** supports the OCTA's goals and objectives through a wide range of communications, marketing, media relations and community outreach programs.



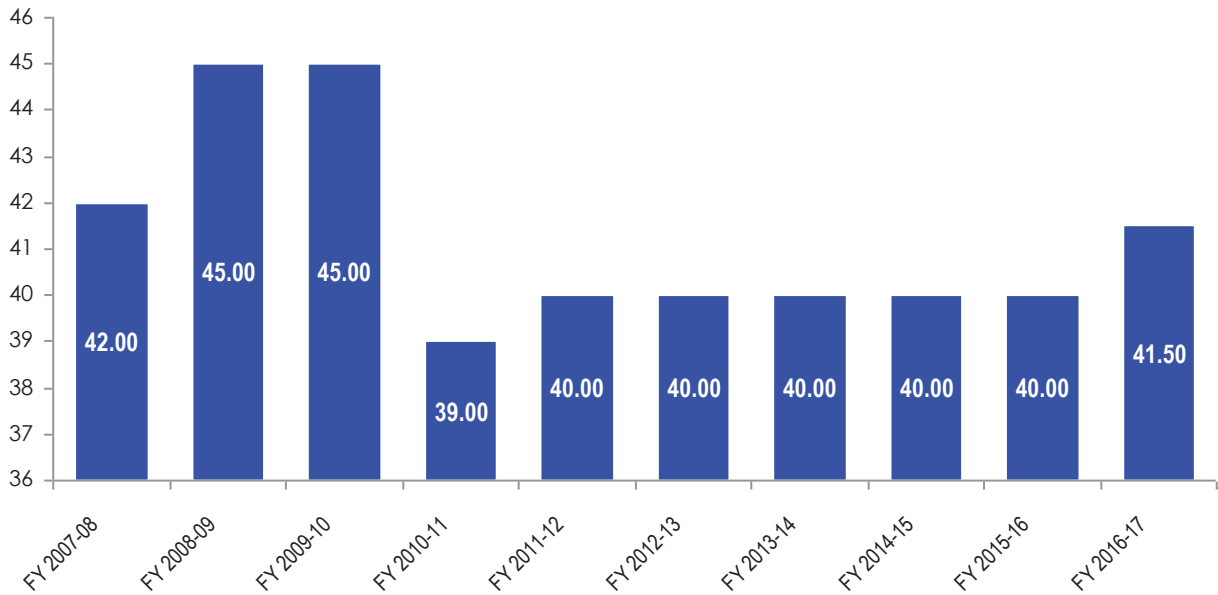


## External Affairs Division Expenses and Staffing

FY 2016-17	Amount
Salaries and Benefits	\$ 5,854,674
Services and Supplies	6,699,262
<b>Total Uses</b>	<b>\$ 12,553,936</b>



### Staffing Plan



**External Affairs Division Staffing**

<b>Division Staffing by Department - Job Family</b>	<b>FY 2014-15 Budget</b>	<b>FY 2015-16 Budget</b>	<b>FY 2016-17 Budget</b>
<u>Executive Director, External Affairs</u>			
Administrative Assistant	1.00	1.00	1.00
Business Unit Analyst	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
<b>Executive Director, External Affairs</b>	<b>3.00</b>	<b>3.00</b>	<b>3.00</b>
<u>Marketing &amp; Customer Engagement</u>			
Community Relations Specialist	0.00	0.00	1.00
Department Manager	1.00	1.00	1.00
External Affairs Administrator	1.00	1.00	1.00
Marketing Program Administrator	1.00	1.00	1.00
Marketing Specialist	2.00	2.00	1.00
Public Information Specialist	2.00	4.00	4.00
Section Manager	1.00	2.00	2.00
Web Developer	2.00	2.00	2.00
<b>Marketing &amp; Customer Engagement</b>	<b>10.00</b>	<b>13.00</b>	<b>13.00</b>
<u>OCTD Marketing &amp; Engagement</u>			
Customer Relations Representative	3.00	1.00	1.00
Customer Relations Specialist	2.00	2.00	2.00
Marketing Specialist	2.00	2.00	2.00
Section Manager	1.00	1.00	1.00
<b>OCTD Marketing &amp; Engagement</b>	<b>8.00</b>	<b>6.00</b>	<b>6.00</b>
<u>Public Outreach</u>			
Community Relations Officer	2.00	4.00	4.00
Community Relations Specialist	4.00	3.00	4.00
Department Manager	1.00	1.00	1.00
Marketing Program Administrator	0.00	1.00	1.00
Media Relations	2.00	1.00	1.00
Section Manager	1.00	1.00	1.00
<b>Public Outreach</b>	<b>10.00</b>	<b>11.00</b>	<b>12.00</b>
<u>Public Information Office</u>			
Community Relations Specialist	0.00	1.00	0.00
Marketing Specialist	0.00	0.00	1.00
Media Relations	0.00	0.00	0.50
Section Manager	0.00	1.00	0.00
Strategic Communications Coordinator	0.00	1.00	1.00
Strategic Communications Manager	0.00	0.00	1.00
<b>Public Information Office</b>	<b>0.00</b>	<b>3.00</b>	<b>3.50</b>

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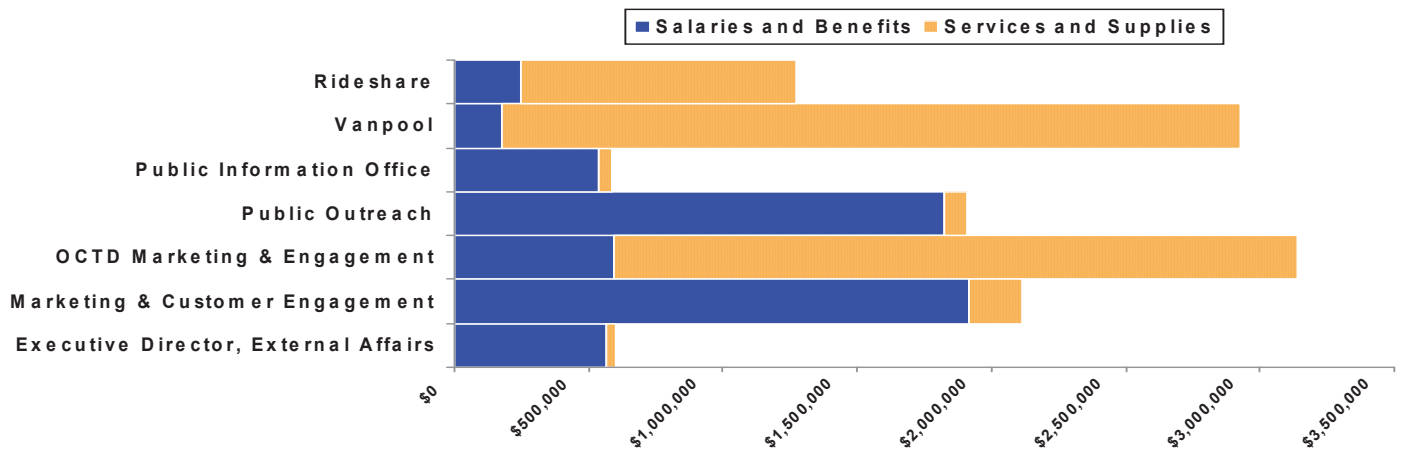
**External Affairs Division Staffing (Continued)**

<b>Division Staffing by Department - Job Family</b>	<b>FY 2014-15 Budget</b>	<b>FY 2015-16 Budget</b>	<b>FY 2016-17 Budget</b>
<u>Vanpool</u>			
Marketing Specialist	1.00	1.00	1.00
Office Specialist	1.00	1.00	1.00
<b>Vanpool</b>	<b>2.00</b>	<b>2.00</b>	<b>2.00</b>
<u>Rideshare</u>			
Marketing Program Administrator	1.00	1.00	1.00
Section Manager	1.00	0.00	0.00
Strategic Communications Coordinator	1.00	1.00	1.00
<b>Rideshare</b>	<b>3.00</b>	<b>2.00</b>	<b>2.00</b>
<u>Strategic Communications</u>			
Community Relations Officer	1.00	0.00	0.00
Marketing Program Administrator	1.00	0.00	0.00
Section Manager	1.00	0.00	0.00
Strategic Communications Coordinator	1.00	0.00	0.00
<b>Strategic Communications</b>	<b>4.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Total External Affairs</b>	<b>40.00</b>	<b>40.00</b>	<b>41.50</b>

External Affairs Division Expenses

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Salaries and Benefits</b>			
7110 Salaries-Regular Employees	2,680,765	2,937,921	3,240,997
7150 Extra Help Employees	102,651	153,400	96,000
7209 Deferred Compensation	42,861	47,349	71,875
7210 Pensions	1,017,763	1,156,012	1,061,525
7220 Insurances	83,485	84,461	107,963
7240 Health Care	479,543	550,902	602,148
7260 Compensated Absences	374,529	414,803	433,083
7270 Workers' Compensation	67,008	92,473	57,305
7280 Other Benefits	88,503	165,306	183,778
<b>Subtotal Salaries and Benefits</b>	<b>\$ 4,937,108</b>	<b>\$ 5,602,627</b>	<b>\$ 5,854,674</b>
<b>Services and Supplies</b>			
7310 Contract Transportation	2,101,480	2,410,322	2,583,320
7510 Professional Services	3,081,895	3,402,000	3,425,900
7610 Outside Services	270,736	180,000	159,450
7630 Advertising Fees	84,969	230,000	230,000
7650 Travel, Training, and Mileage	16,129	21,520	15,957
7660 Office Expense	208,629	220,577	217,500
7670 Miscellaneous Expense	24,596	34,708	29,635
7750 Maintenance Expense	6,101	2,000	0
7790 Other Materials and Supplies	8,155	10,000	7,500
7830 Contributions to Other Agencies	30,000	30,000	30,000
<b>Subtotal Services and Supplies</b>	<b>\$ 5,832,690</b>	<b>\$ 6,541,127</b>	<b>\$ 6,699,262</b>
<b>Capital Expenditure</b>			
9020 Capital Exp-Locally Funded	532,980	0	0
<b>Subtotal Capital Expenditure</b>	<b>\$ 532,980</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b>Total Uses</b>	<b>\$ 11,302,778</b>	<b>\$ 12,143,754</b>	<b>\$ 12,553,936</b>

Division Expenses by Department and Major Object





## Executive Director, External Affairs

The **Executive Director of External Affairs** reports to the CEO and is responsible for development and implementation of the annual work program and coordination of supporting activities within other OCTA divisions.

Reporting directly to the Executive Director are four work units: marketing and customer engagement department, public outreach department, public information office, and diversity and economic opportunity outreach sections. The roles and responsibilities of the various work units within the division are summarized on the following pages.



Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Executive Director, External Affairs</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	275,086	305,866	321,572
7209 Deferred Compensation	10,207	10,538	7,154
7210 Pensions	110,875	121,685	107,503
7220 Insurances	7,875	8,932	10,966
7240 Health Care	40,522	43,503	38,054
7260 Compensated Absences	46,419	42,904	43,110
7270 Workers' Compensation	7,280	10,008	8,245
7280 Other Benefits	27,468	24,976	26,461
<b>Subtotal Salaries and Benefits</b>	<b>\$ 525,732</b>	<b>\$ 568,412</b>	<b>\$ 563,065</b>
<u>Services and Supplies</u>			
7610 Outside Services	11,433	0	0
7650 Travel, Training, and Mileage	483	1,244	852
7660 Office Expense	33,119	28,577	29,000
7670 Miscellaneous Expense	2,756	9,840	5,960
<b>Subtotal Services and Supplies</b>	<b>\$ 47,791</b>	<b>\$ 39,661</b>	<b>\$ 35,812</b>
<b>Executive Director, External Affairs Total</b>	<b>\$ 573,523</b>	<b>\$ 608,073</b>	<b>\$ 598,877</b>

## Marketing & Customer Engagement

The **Marketing and Customer Engagement Department** is responsible for creating awareness and building usage of OCTA services and programs. These initiatives include digital communications (the OCTA website, mobile communications, Text4Next, and other e-communications), creative support services, the vanpool, bicycle and rideshare programs, customer relations, and pass sales.

The Marketing Programs section creates awareness and promotes usage of OCTA services including bus, Metrolink, 91 Express Lanes, and motorist services. Staff also administers the bus advertising revenue contract. This section provides outreach to schools, senior centers, and community events. The goal is to raise awareness, teach people “how to ride” bus / rail transit, and increase ridership.

The Customer Engagement section is OCTA’s customer advocacy group, providing customer feedback for OCTA bus and ACCESS service. Customer relations staff oversees the operation of the outsourced telephone information center which assists customers with trip planning and provides general information to bus riders seven days a week, 365 days a year and handles more than 690,000 calls per year. This section administers OCTA’s pass

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Marketing &amp; Customer Engagement</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	839,863	980,535	1,051,709
7150 Extra Help Employees	27,475	42,000	42,000
7209 Deferred Compensation	15,147	16,897	23,285
7210 Pensions	324,419	384,337	343,207
7220 Insurances	23,943	28,068	34,825
7240 Health Care	180,715	204,351	206,921
7260 Compensated Absences	120,338	138,396	140,300
7270 Workers' Compensation	20,730	33,366	18,497
7280 Other Benefits	25,952	50,955	56,238
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,578,582</b>	<b>\$ 1,878,905</b>	<b>\$ 1,916,982</b>
<u>Services and Supplies</u>			
7510 Professional Services	211,428	275,000	125,000
7630 Advertising Fees	16,953	30,000	30,000
7650 Travel, Training, and Mileage	6,637	6,175	5,489
7660 Office Expense	11,833	18,000	25,500
7670 Miscellaneous Expense	9,315	4,678	5,510
7790 Other Materials and Supplies	4,136	5,000	2,500
<b>Subtotal Services and Supplies</b>	<b>\$ 260,302</b>	<b>\$ 338,853</b>	<b>\$ 193,999</b>
<b>Marketing &amp; Customer Engagement Total</b>	<b>\$ 1,838,884</b>	<b>\$ 2,217,758</b>	<b>\$ 2,110,981</b>

## OCTD Marketing & Customer Engagement

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>OCTD Marketing &amp; Engagement</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	313,320	304,176	331,877
7209 Deferred Compensation	2,982	2,605	7,195
7210 Pensions	108,168	116,018	105,560
7220 Insurances	10,819	8,830	11,006
7240 Health Care	45,221	55,292	69,965
7260 Compensated Absences	35,352	41,948	43,352
7270 Workers' Compensation	7,314	7,616	6,626
7280 Other Benefits	5,676	16,645	17,376
<b>Subtotal Salaries and Benefits</b>	<b>\$ 528,852</b>	<b>\$ 553,130</b>	<b>\$ 592,957</b>
<u>Services and Supplies</u>			
7510 Professional Services	1,736,866	1,812,000	2,155,900
7610 Outside Services	107,752	89,500	92,500
7630 Advertising Fees	68,016	130,000	130,000
7650 Travel, Training, and Mileage	1,582	2,938	1,675
7660 Office Expense	160,779	170,500	163,000
7670 Miscellaneous Expense	0	1,235	500
7750 Maintenance Expense	5,530	2,000	0
7790 Other Materials and Supplies	4,019	5,000	5,000
<b>Subtotal Services and Supplies</b>	<b>\$ 2,084,544</b>	<b>\$ 2,213,173</b>	<b>\$ 2,548,575</b>
<b>OCTD Marketing &amp; Engagement Total</b>	<b>\$ 2,613,396</b>	<b>\$ 2,766,303</b>	<b>\$ 3,141,532</b>

sales program which includes 179 retail outlets and more than 80 social service agencies. Staff also gathers customer feedback through customer roundtables and the Special Needs in Transit Advisory committee.

Digital Communications and Creative Services staff provide technical expertise and tools to support OCTA communication and marketing goals. Staff provides online public information via OCTA's website, mobile devices, emails, and social media to engage customers and the community in a cost-effective way. In addition, this section writes, designs, and produces public information materials in support of OCTA's internal, corporate, and service communication programs.





**Public Outreach**

The **Public Outreach Department** focuses on public communications in support of all phases of capital project development and construction to support the M2 M2020 plan. Staff implements public outreach and involvement programs to inform and advance the development of transportation projects, working with stakeholders to ensure that the planning and environmental review process reflects a diverse range of positions, opinions, and concerns.

During construction phases, staff conducts community outreach and public awareness programs to keep the public informed and create opportunities for problem-solving to help projects move forward. This section handles Measure M reporting, public awareness assessments, Citizen / Other committee staffing (Taxpayers Oversight, Citizen Advisory, and Environmental / Water Quality committees), transportation planning study outreach, and customer and constituent research.

The **Diversity and Economic Opportunity Outreach** section provides outreach support and expertise for OCTA's procurement processions, including Disadvantaged Business Enterprise compliance and new vendor orientation. Staff assists other departments and divisions in order to communicate effectively to all of the diverse stakeholder audiences and customers of OCTA's programs and services.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Public Outreach</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	781,795	876,811	997,936
7150 Extra Help Employees	44,431	69,000	27,000
7209 Deferred Compensation	8,576	12,324	22,217
7210 Pensions	301,356	346,810	327,256
7220 Insurances	24,574	24,936	33,117
7240 Health Care	129,989	184,573	208,317
7260 Compensated Absences	114,879	124,457	133,873
7270 Workers' Compensation	19,762	28,132	16,410
7280 Other Benefits	16,002	48,024	54,660
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,441,364</b>	<b>\$ 1,715,067</b>	<b>\$ 1,820,786</b>
<u>Services and Supplies</u>			
7510 Professional Services	138,280	105,000	40,000
7610 Outside Services	107,310	25,500	28,550
7650 Travel, Training, and Mileage	6,903	9,113	7,018
7660 Office Expense	2,512	3,500	0
7670 Miscellaneous Expense	11,278	18,210	15,420
7750 Maintenance Expense	571	0	0
<b>Subtotal Services and Supplies</b>	<b>\$ 266,854</b>	<b>\$ 161,323</b>	<b>\$ 90,988</b>
<b>Public Outreach Total</b>	<b>\$ 1,708,218</b>	<b>\$ 1,876,390</b>	<b>\$ 1,911,774</b>



**Public Information Office**

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Public Information Office</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	0	254,993	308,827
7150 Extra Help Employees	0	28,400	13,000
7209 Deferred Compensation	0	3,984	6,903
7210 Pensions	0	101,631	102,348
7220 Insurances	0	7,373	10,324
7240 Health Care	0	25,289	34,210
7260 Compensated Absences	0	36,362	41,595
7270 Workers' Compensation	0	7,861	4,418
7280 Other Benefits	0	13,388	16,675
<b>Subtotal Salaries and Benefits</b>	<b>\$ 0</b>	<b>\$ 479,281</b>	<b>\$ 538,300</b>
<u>Services and Supplies</u>			
7510 Professional Services	0	10,000	10,000
7610 Outside Services	0	50,000	38,400
7650 Travel, Training, and Mileage	0	2,050	923
7670 Miscellaneous Expense	0	745	1,670
<b>Subtotal Services and Supplies</b>	<b>\$ 0</b>	<b>\$ 62,795</b>	<b>\$ 50,993</b>
<b>Public Information Office Total</b>	<b>\$ 0</b>	<b>\$ 542,076</b>	<b>\$ 589,293</b>

The **Public Information Office** develops public information programs. In addition to issuing news releases, updating online media communications, and fulfilling media requests for information, staff works strategically and creatively to gain consistent, clear and fair media coverage of OCTA policies, programs, promotions, and services. Staff regularly files press releases, organizes media briefings

and roundtables, arranges tours and schedules interviews and filming sessions. The public information office is responsible for OCTA speaker's bureau, corporate communications such as annual reports, Board Briefing Book, and factsheets.

The **Transportation Demand Management** Marketing staff conduct community outreach and provides

rideshare services to employers, employees, and colleges to encourage usage of alternatives to single occupant vehicle travel. This includes increasing awareness of active transportation options, including safety and education programs. In addition, staff markets and administers OCTA's growing vanpool and station van programs.



**Vanpool/Rideshare**

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Vanpool</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	89,335	89,374	94,150
7209 Deferred Compensation	770	593	2,105
7210 Pensions	30,239	35,248	30,877
7220 Insurances	3,141	2,591	3,112
7240 Health Care	19,405	28,164	24,281
7260 Compensated Absences	9,145	12,746	12,680
7270 Workers' Compensation	2,057	2,082	1,553
7280 Other Benefits	0	4,693	5,084
<b>Subtotal Salaries and Benefits</b>	<b>\$ 154,092</b>	<b>\$ 175,491</b>	<b>\$ 173,842</b>
<u>Services and Supplies</u>			
7310 Contract Transportation	2,100,680	2,410,322	2,583,320
7510 Professional Services	114,595	250,000	170,000
7610 Outside Services	33,339	0	0
<b>Subtotal Services and Supplies</b>	<b>\$ 2,248,614</b>	<b>\$ 2,660,322</b>	<b>\$ 2,753,320</b>
<b>Vanpool Total</b>	<b>\$ 2,402,706</b>	<b>\$ 2,835,813</b>	<b>\$ 2,927,162</b>

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Rideshare</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	82,686	126,166	134,926
7150 Extra Help Employees	9,856	14,000	14,000
7209 Deferred Compensation	0	408	3,016
7210 Pensions	25,843	50,283	44,774
7220 Insurances	3,740	3,731	4,613
7240 Health Care	7,997	9,730	20,400
7260 Compensated Absences	7,286	17,990	18,173
7270 Workers' Compensation	2,061	3,408	1,556
7280 Other Benefits	0	6,625	7,284
<b>Subtotal Salaries and Benefits</b>	<b>\$ 139,469</b>	<b>\$ 232,341</b>	<b>\$ 248,742</b>
<u>Services and Supplies</u>			
7310 Contract Transportation	800	0	0
7510 Professional Services	837,285	950,000	925,000
7610 Outside Services	3,119	15,000	0
7630 Advertising Fees	0	70,000	70,000
7670 Miscellaneous Expense	70	0	575
7830 Contributions to Other Agencies	30,000	30,000	30,000
<b>Subtotal Services and Supplies</b>	<b>\$ 871,274</b>	<b>\$ 1,065,000</b>	<b>\$ 1,025,575</b>
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	532,980	0	0
<b>Subtotal Capital Expenditure</b>	<b>\$ 532,980</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b>Rideshare Total</b>	<b>\$ 1,543,723</b>	<b>\$ 1,297,341</b>	<b>\$ 1,274,317</b>





Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Strategic Communications</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	298,680	0	0
7150 Extra Help Employees	20,889	0	0
7209 Deferred Compensation	5,179	0	0
7210 Pensions	116,863	0	0
7220 Insurances	9,393	0	0
7240 Health Care	55,694	0	0
7260 Compensated Absences	41,110	0	0
7270 Workers' Compensation	7,804	0	0
7280 Other Benefits	13,405	0	0
<b>Subtotal Salaries and Benefits</b>	<b>\$ 569,017</b>	<b>\$ 0</b>	<b>\$ 0</b>
<u>Services and Supplies</u>			
7510 Professional Services	43,441	0	0
7610 Outside Services	7,783	0	0
7650 Travel, Training, and Mileage	524	0	0
7660 Office Expense	386	0	0
7670 Miscellaneous Expense	1,177	0	0
<b>Subtotal Services and Supplies</b>	<b>\$ 53,311</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b>Strategic Communications Total</b>	<b>\$ 622,328</b>	<b>\$ 0</b>	<b>\$ 0</b>



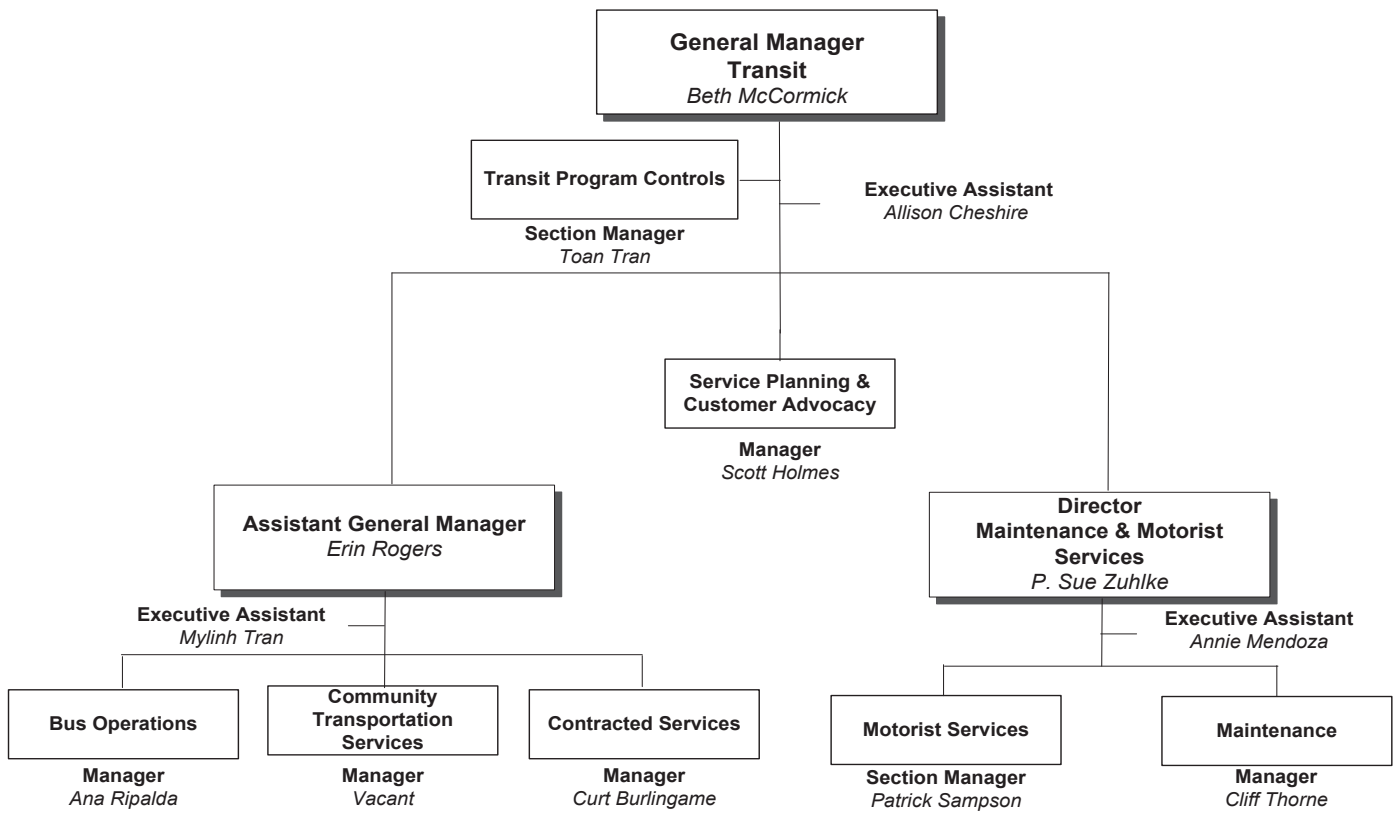
**OCTA**





Division Overview

Orange County Transportation Authority  
Transit Division



Division Overview

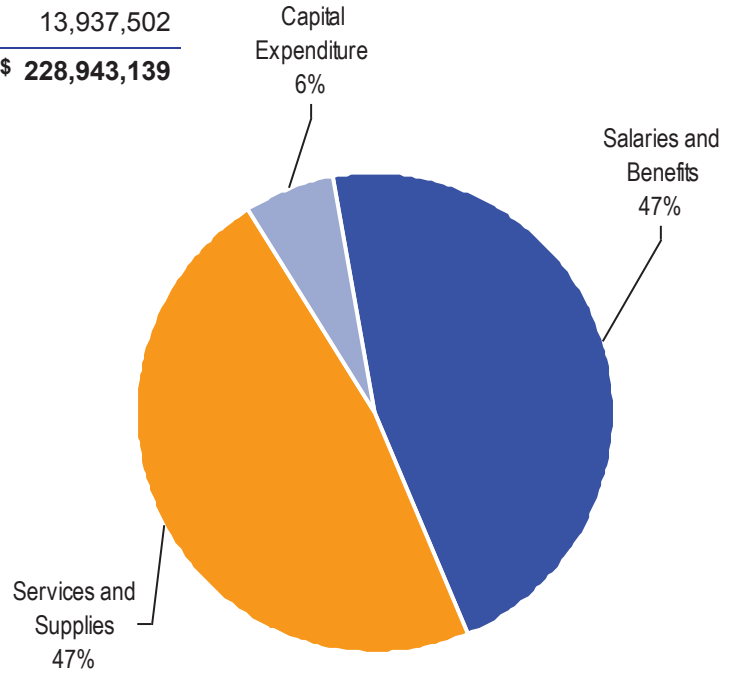
The Transit Division is one of OCTA's core business units delivering fixed-route and paratransit bus services and motorist services for the citizens and visitors of Orange County (OC). Fixed-route service includes local fixed-route, community fixed-route, express, StationLink (rail feeder), and special shuttle services. Paratransit bus services consist of ACCESS service, the complementary paratransit service required by the American's with Disabilities Act (ADA), and alternative programs providing service to seniors and persons with disabilities. Motorist services include the Service Authority for Freeway Emergencies (SAFE) and the Orange County Taxi Administration Program (OCTAP). The Transit Division is responsible for the implementation, monitoring, and performance of all of the transit and motorist services. This requires teamwork and cooperation

within the division and with all other OCTA divisions, consistent with the division's mission statement, "To provide the public with safe, clean, reliable and efficient transit services through teamwork and cooperation." To accomplish this mission, performance metrics are closely monitored that measure system safety, courtesy and reliability. The purpose of the following is to describe the office of the general manager, the divisional departments, and the primary functions performed within the division.

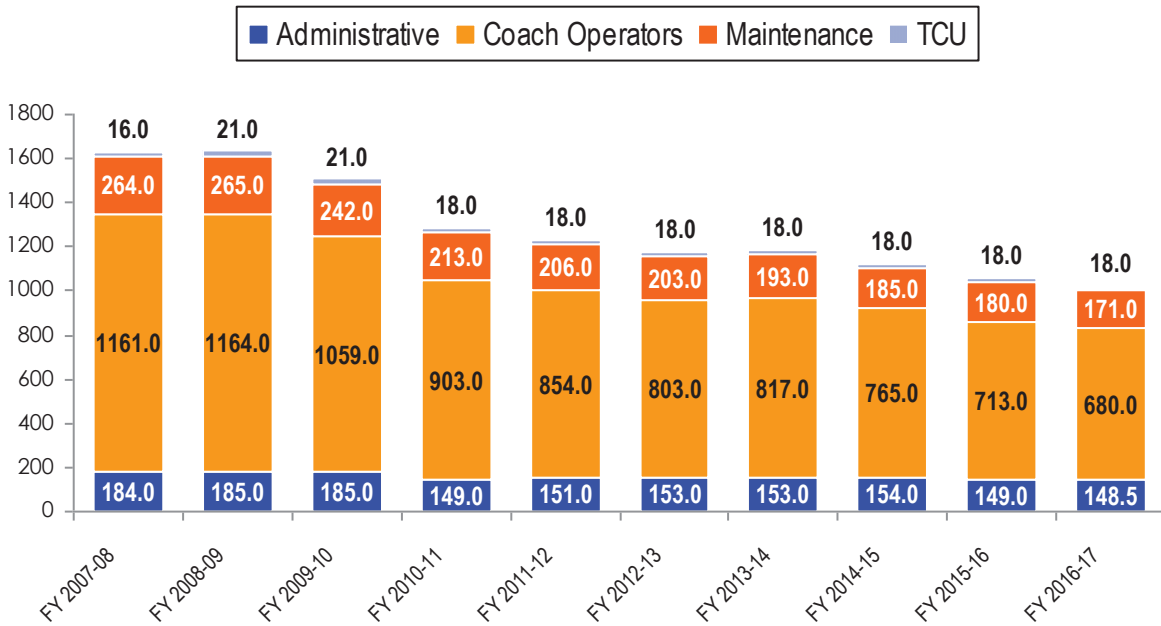


# Transit Division Expenses and Staffing

FY 2016-17	Amount
Salaries and Benefits	\$ 106,506,920
Services and Supplies	108,498,717
Capital Expenditure	13,937,502
<b>Total Uses</b>	<b>\$ 228,943,139</b>



## Staffing Plan



Transit Division Staffing



Division Staffing by Department - Job Family	FY 2014-15 Budget	FY 2015-16 Budget	FY 2016-17 Budget
<u>O.C. Taxicab Administration Program</u>			
Code Administrator	3.00	2.00	2.00
Deputy Executive Officer	1.00	1.00	1.00
Office Specialist	1.00	1.00	1.00
<b>O.C. Taxicab Administration Program</b>	<b>5.00</b>	<b>4.00</b>	<b>4.00</b>
<u>Motorist Services</u>			
Business Unit Analyst	1.00	1.00	1.00
Department Manager	0.00	1.00	1.00
Director	1.00	1.00	1.00
Secretary	0.00	1.00	1.00
Section Manager	1.00	0.00	0.00
<b>Motorist Services</b>	<b>3.00</b>	<b>4.00</b>	<b>4.00</b>
<u>General Manager Transit</u>			
Administrative Assistant	1.00	1.00	1.00
Assistant General Manager	1.00	1.00	1.00
Business Unit Analyst	1.00	1.00	1.00
General Manager	1.00	1.00	1.00
Section Manager	1.00	1.00	1.00
Transportation Analyst	0.00	0.00	1.00
<b>General Manager Transit</b>	<b>5.00</b>	<b>5.00</b>	<b>6.00</b>

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**Transit Division Staffing (Continued)**

<b>Division Staffing by Department - Job Family</b>	<b>FY 2014-15 Budget</b>	<b>FY 2015-16 Budget</b>	<b>FY 2016-17 Budget</b>
<u>Bus Operations</u>			
Administrative Assistant	0.00	0.00	1.00
Base Manager	4.00	4.00	4.00
Coach Operator	765.00	713.00	680.00
Department Manager	1.00	1.00	1.00
Field Supervisor	15.00	15.00	15.00
Instructor	4.00	4.00	4.00
Office Specialist	6.00	6.00	6.50
Radio Dispatcher	10.00	10.00	9.00
Secretary	1.00	1.00	0.00
Section Manager	2.00	2.00	2.00
Section Supervisor	8.00	8.00	8.00
Transportation Analyst	1.00	1.00	0.00
Window Dispatcher	16.00	15.00	15.00
<b>Bus Operations</b>	<b>833.00</b>	<b>780.00</b>	<b>745.50</b>
<u>Maintenance</u>			
Automotive Mechanic	5.00	5.00	5.00
Base Manager	3.00	3.00	3.00
Business Unit Analyst	1.00	1.00	1.00
Certified Journeyman Mechanic	107.00	102.00	95.00
Department Manager	1.00	1.00	1.00
Facilities Maintenance Supervisor	0.00	0.00	2.00
Facilities Technician	18.00	18.00	18.00
Fleet Analyst	7.00	5.00	5.00
Journeyman Electronic Technician	14.00	14.00	14.00
Machinist	2.00	2.00	2.00
Maintenance Instructor	3.00	2.00	2.00
Maintenance Supervisor	15.00	16.00	16.00
Mechanic	7.00	11.00	11.00
Office Specialist	5.00	5.00	5.50
Section Manager	5.00	6.00	6.00
Section Supervisor	2.00	2.00	0.00
Service Worker	50.00	46.00	44.00
<b>Maintenance</b>	<b>245.00</b>	<b>239.00</b>	<b>230.50</b>

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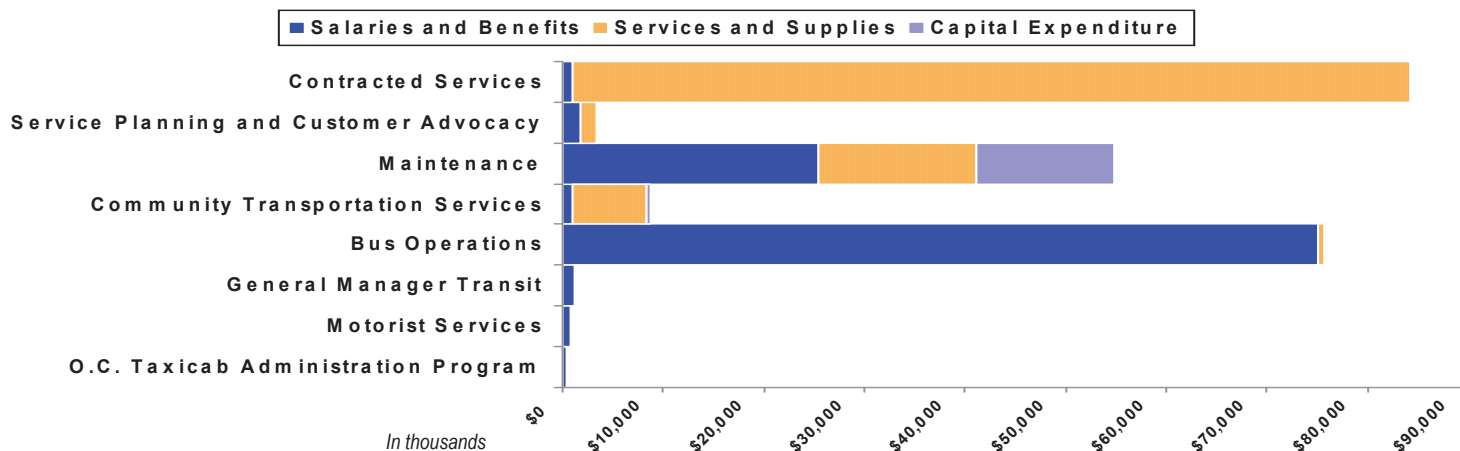
**Transit Division Staffing (Continued)**

Division Staffing by Department - Job Family	FY 2014-15 Budget	FY 2015-16 Budget	FY 2016-17 Budget
<u>Community Transportation Services</u>			
Administrative Specialist	1.00	1.00	1.00
Community Transportation Coordinator	0.00	0.00	1.00
Department Manager	2.00	1.00	1.00
Maint Field Administrator	3.00	0.00	0.00
Office Specialist	2.00	2.00	2.50
Section Manager	2.00	1.00	1.00
Section Supervisor	1.00	1.00	1.00
Transportation Analyst	1.00	0.00	0.00
<b>Community Transportation Services</b>	<b>12.00</b>	<b>6.00</b>	<b>7.50</b>
<u>Service Planning and Customer Advocacy</u>			
Department Manager	1.00	1.00	1.00
Office Specialist	0.00	0.00	1.00
Operations Analyst	1.00	0.00	0.00
Project Manager	0.00	0.00	1.00
Schedule Analyst	4.00	4.00	4.00
Schedule Checker	2.00	2.00	2.00
Section Manager	2.00	2.00	2.00
Stops & Zones Analyst	1.00	1.00	1.00
Stops & Zones Planner	1.00	1.00	1.00
<b>Svc. Planning and Cust. Advocacy</b>	<b>12.00</b>	<b>11.00</b>	<b>13.00</b>
<u>Transit Programs Management</u>			
Department Manager	1.00	1.00	0.00
Project Manager	1.00	1.00	0.00
Section Manager	1.00	1.00	0.00
Transit Project Manager	1.00	1.00	0.00
<b>Transit Programs Management</b>	<b>4.00</b>	<b>4.00</b>	<b>0.00</b>
<u>Contracted Services</u>			
Department Manager	0.00	1.00	1.00
Maint Field Administrator	0.00	4.00	4.00
Section Manager	0.00	2.00	2.00
<b>Contracted Services</b>	<b>0.00</b>	<b>7.00</b>	<b>7.00</b>
<b>Total Transit</b>	<b>1,119.00</b>	<b>1,060.00</b>	<b>1,017.50</b>

## Transit Division Expenses

Description	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Salaries and Benefits</b>			
7110 Salaries-Regular Employees	54,692,221	56,007,989	55,473,371
7150 Extra Help Employees	436,880	493,107	270,435
7209 Deferred Compensation	981,068	957,762	967,208
7210 Pensions	20,094,786	20,634,011	18,698,306
7220 Insurances	1,397,475	1,306,493	1,524,614
7240 Health Care	14,303,965	14,727,224	14,660,515
7260 Compensated Absences	8,108,834	8,081,034	7,998,600
7270 Workers' Compensation	6,472,868	5,944,282	4,843,344
7280 Other Benefits	2,058,541	2,183,573	2,070,527
<b>Subtotal Salaries and Benefits</b>	<b>\$ 108,546,638</b>	<b>\$ 110,335,475</b>	<b>\$ 106,506,920</b>
<b>Services and Supplies</b>			
7310 Contract Transportation	73,613,993	79,439,250	79,583,093
7510 Professional Services	1,142,918	2,290,017	1,143,489
7540 Insurance Claims Expense	-12,055	0	0
7610 Outside Services	6,239,835	9,535,447	7,288,089
7640 Utilities	2,894	12,700	0
7650 Travel, Training, and Mileage	118,766	179,003	112,167
7660 Office Expense	-238,125	259,434	157,747
7670 Miscellaneous Expense	208,131	242,679	185,702
7690 Leases	219,814	219,804	219,804
7710 Fuels and Lubricants	9,915,051	16,299,935	9,159,996
7740 Tires and Tubes	1,956,235	2,254,612	1,929,075
7750 Maintenance Expense	8,059,051	6,086,721	4,385,040
7790 Other Materials and Supplies	1,047,830	1,242,282	1,427,955
7820 Taxes	52,987	350	350
7830 Contributions to Other Agencies	2,453,727	3,158,194	2,906,210
<b>Subtotal Services and Supplies</b>	<b>\$ 104,781,052</b>	<b>\$ 121,220,428</b>	<b>\$ 108,498,717</b>
<b>Capital Expenditure</b>			
9020 Capital Exp-Locally Funded	168,037,198	24,990,320	13,937,502
<b>Subtotal Capital Expenditure</b>	<b>\$ 168,037,198</b>	<b>\$ 24,990,320</b>	<b>\$ 13,937,502</b>
<b>Total Uses</b>	<b>\$ 381,364,888</b>	<b>\$ 256,546,223</b>	<b>\$ 228,943,139</b>

## Division Expenses by Department and Major Object



## General Manager, Transit

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>General Manager Transit</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	522,779	556,027	623,531
7150 Extra Help Employees	13,301	14,000	6,500
7209 Deferred Compensation	19,578	20,332	13,921
7210 Pensions	215,160	225,556	209,539
7220 Insurances	14,992	16,393	21,200
7240 Health Care	64,276	70,768	89,084
7260 Compensated Absences	87,137	79,173	83,876
7270 Workers' Compensation	13,718	19,298	10,359
7280 Other Benefits	36,386	50,403	51,980
<b>Subtotal Salaries and Benefits</b>	<b>\$ 987,327</b>	<b>\$ 1,051,950</b>	<b>\$ 1,109,990</b>
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	22,588	15,145	14,672
7660 Office Expense	4,582	6,300	6,300
7670 Miscellaneous Expense	11,828	16,354	17,834
<b>Subtotal Services and Supplies</b>	<b>\$ 38,998</b>	<b>\$ 37,799</b>	<b>\$ 38,806</b>
<b>General Manager Transit Total</b>	<b>\$ 1,026,325</b>	<b>\$ 1,089,749</b>	<b>\$ 1,148,796</b>

The **Transit Division General Manager** and Assistant General Manager are responsible for the day-to-day management of OCTA's transit services, encompassing the planning, operations, and maintenance functions. These management positions are also accountable for reporting the division's financial and operational performance to the Chief Executive Officer and the Board of Directors. The General Manager and Assistant General Manager play a major role in leading OCTA's most publicly recognized service including the development and implementation of strategies to improve the operation of the transit system. Other responsibilities include budget and financial reporting, operations performance monitoring, oversight of transit capital projects, strategic planning, managing

the coach operator and maintenance collective bargaining units, and organizational development.

**The Transit Program Controls** section supports the Transit Division by preparing independent and value-added financial and administrative analysis. Staff conducts research, analyzes operational data, and manages projects in the Transit Division. A key role of this unit is to ensure that all projects and contracts in the division are delivered and completed on time and in compliance with the terms of the agreements. This unit is responsible for coach operator manpower planning, preparing and reporting the Transit Division's performance measurements, developing and tracking the division budget, preparing the National Transit

Database (NTD) monthly and annual reporting, and other special projects.

The **Motorist Services Department** plans, directs, and administers services included in the Service Authority for Freeway Emergencies (SAFE) and the Orange County Taxi Administration Program (OCTAP). SAFE operates the Freeway Service Patrol (FSP) program, the call box system, and the 511 motorist aid traveler information system. OCTAP permits and regulates the taxicab industry for the County of Orange and its 34 cities and is funded through company, vehicle, and driver permit fees. For these programs, the Motorist Services Department personnel ensure that management and operational controls and resources are in place to effectively and efficiently implement these programs.



O.C. Taxicab Administration Program/Motorist Services

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>O.C. Taxicab Administration Program</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	246,064	247,405	252,898
7209 Deferred Compensation	2,428	2,902	5,541
7210 Pensions	93,733	93,629	81,299
7220 Insurances	7,760	7,037	8,366
7240 Health Care	87,449	73,828	77,005
7260 Compensated Absences	37,318	33,855	33,388
7270 Workers' Compensation	6,098	6,577	3,683
7280 Other Benefits	11,350	13,415	13,382
<b>Subtotal Salaries and Benefits</b>	<b>\$ 492,200</b>	<b>\$ 478,648</b>	<b>\$ 475,562</b>
<b>O.C. Taxicab Administration Program Total</b>	<b>\$ 492,200</b>	<b>\$ 478,648</b>	<b>\$ 475,562</b>
<b>Motorist Services</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	295,360	401,691	401,065
7209 Deferred Compensation	12,072	17,241	8,946
7210 Pensions	124,528	160,555	133,773
7220 Insurances	8,437	12,119	13,682
7240 Health Care	51,986	76,399	77,648
7260 Compensated Absences	57,448	56,958	53,899
7270 Workers' Compensation	7,878	14,853	7,931
7280 Other Benefits	24,351	30,150	30,783
<b>Subtotal Salaries and Benefits</b>	<b>\$ 582,060</b>	<b>\$ 769,966</b>	<b>\$ 727,727</b>
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	119	862	0
7660 Office Expense	95	2,000	0
7670 Miscellaneous Expense	154	755	0
<b>Subtotal Services and Supplies</b>	<b>\$ 368</b>	<b>\$ 3,617</b>	<b>\$ 0</b>
<b>Motorist Services Total</b>	<b>\$ 582,428</b>	<b>\$ 773,583</b>	<b>\$ 727,727</b>

## Bus Operations

The **Bus Operations Department** manages the delivery of bus service for OCTA's countywide fixed-route bus system from two facilities located in the cities of Garden Grove and Santa Ana. Each operations base includes a staff of professional managers, assistant managers, supervisors, window dispatchers, and extra board administrators to support service delivery. The primary function of the operating base is to ensure that all scheduled bus service is delivered in a quality manner. This work begins with the window dispatchers who are responsible for ensuring that all daily work assignments are covered. The base staff is responsible for oversight of coach operator performance including safety, courtesy, and reliability. Other responsibilities include ensuring that all coach operators comply with local, state, and federal laws, and the administration of established work rules and

the collective bargaining agreement. The Bus Operations Department also includes support functions such as Central Communications, Field Operations, and Operations Training.

The **Central Communications** section maintains a wireless communications link to all in-service buses to provide real-time service management, prevent or address service disruptions, and maintain the ability to respond to emergencies quickly. Central Communications staff also coordinates in-vehicle communications for Field Operations, Maintenance, and Transit Police Services, and serves as a central source for problem resolution. In addition, the section is considered part of the first responders' team on behalf of OCTA for any major emergency or disaster event in Orange County following the National Incident Management System (NIMS).

**Field Operations** is responsible for actively managing the bus service on the street. Field supervisors ensure that customer service and safety standards are achieved and service disruptions are minimized. Other responsibilities include coach operator mentoring and coaching, accident investigation, detour implementation, and conducting field evaluations of services, facilities, and bus stops.

The **Operations Training** section is responsible for training coach operators, conducting training campaigns at bases, retraining operators, and conducting the Annual Required Training (ART) for veteran coach operators. The training staff has played a key role in aligning the training programs with OCTA's "Customers First" philosophy and conducting corresponding customer service training.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Bus Operations</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	39,026,327	38,922,466	38,716,478
7150 Extra Help Employees	297,882	325,202	223,658
7209 Deferred Compensation	814,979	782,412	802,891
7210 Pensions	13,942,802	14,214,660	12,952,254
7220 Insurances	976,808	893,943	1,026,814
7240 Health Care	10,508,564	10,783,330	10,649,784
7260 Compensated Absences	5,672,659	5,546,129	5,513,897
7270 Workers' Compensation	5,392,251	4,899,977	4,157,640
7280 Other Benefits	1,087,588	1,128,012	1,087,133
<b>Subtotal Salaries and Benefits</b>	<b>\$ 77,719,860</b>	<b>\$ 77,496,131</b>	<b>\$ 75,130,549</b>
<u>Services and Supplies</u>			
7510 Professional Services	33,596	35,000	25,000
7540 Insurance Claims Expense	-14,552	0	0
7610 Outside Services	39,815	279,869	311,347
7650 Travel, Training, and Mileage	29,131	28,762	23,391
7660 Office Expense	47,209	54,472	51,472
7670 Miscellaneous Expense	48,048	48,356	48,356
7750 Maintenance Expense	53	0	0
7790 Other Materials and Supplies	28,182	271,255	29,685
<b>Subtotal Services and Supplies</b>	<b>\$ 211,482</b>	<b>\$ 717,714</b>	<b>\$ 489,251</b>
<b>Bus Operations Total</b>	<b>\$ 77,931,342</b>	<b>\$ 78,213,845</b>	<b>\$ 75,619,800</b>

## Maintenance

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Maintenance</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	12,491,060	13,714,020	13,421,361
7150 Extra Help Employees	31,842	32,500	8,000
7209 Deferred Compensation	82,595	88,924	90,799
7210 Pensions	4,904,941	5,091,959	4,657,339
7220 Insurances	326,858	313,929	385,562
7240 Health Care	3,246,490	3,339,978	3,376,160
7260 Compensated Absences	1,979,847	2,060,081	2,041,730
7270 Workers' Compensation	999,390	936,445	626,431
7280 Other Benefits	756,277	836,975	778,301
<b>Subtotal Salaries and Benefits</b>	<b>\$ 24,819,300</b>	<b>\$ 26,414,811</b>	<b>\$ 25,385,683</b>
<u>Services and Supplies</u>			
7510 Professional Services	306,486	1,342,448	127,240
7540 Insurance Claims Expense	2,497	0	0
7610 Outside Services	4,338,000	6,746,463	5,502,908
7650 Travel, Training, and Mileage	43,937	93,545	61,635
7660 Office Expense	50,754	138,063	72,509
7670 Miscellaneous Expense	107,161	137,996	80,424
7690 Leases	10	0	0
7710 Fuels and Lubricants	5,062,456	8,106,899	3,608,876
7740 Tires and Tubes	993,083	1,117,563	965,347
7750 Maintenance Expense	7,288,062	5,876,721	4,385,040
7790 Other Materials and Supplies	932,070	946,027	959,628
7820 Taxes	52,976	350	350
<b>Subtotal Services and Supplies</b>	<b>\$ 19,177,492</b>	<b>\$ 24,506,075</b>	<b>\$ 15,763,957</b>
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	167,312,570	20,225,485	13,587,502
<b>Subtotal Capital Expenditure</b>	<b>\$ 167,312,570</b>	<b>\$ 20,225,485</b>	<b>\$ 13,587,502</b>
<b>Maintenance Total</b>	<b>\$ 211,309,362</b>	<b>\$ 71,146,371</b>	<b>\$ 54,737,142</b>

The **Maintenance Department** is responsible for providing and maintaining a multitude of items, including the directly operated fixed-route revenue and non-revenue fleets, as well as associated operations and maintenance facilities. In addition, the department is responsible for heavy maintenance and electronics support for directly operated and contractor operated revenue fleets, and procurement of all OCTA rolling stock. The department consists of five sections, which include: two Maintenance Base Operations, Maintenance Resource

Management (MRM), Transit Technical Services (TTS), Maintenance Training, and Facilities Maintenance.

The department performs routine maintenance on an active fleet of revenue vehicles consisting of 40-foot liquefied natural gas (LNG) buses, 40-foot compressed natural gas (CNG) buses, 60-foot diesel articulated buses, 60-foot CNG buses, and heavy maintenance for directly operated and contract operated fixed-route vehicles. In addition to the revenue fleet, the department also maintains

non-revenue support vehicles (approximately 230 miscellaneous equipment, cars, trucks, and vans), and a contingency fleet of 51 buses.

Maintenance Base Operations has two vehicle maintenance facilities located in the cities of Garden Grove and Santa Ana which provide preventive maintenance, servicing, fueling, fare collection, and bus cleaning functions. The Garden Grove and Santa Ana bases operate 24 hours a day, seven days a week. In addition to vehicle maintenance activities, the Garden

## Maintenance (Continued)

Grove Base includes the Maintenance Training group, and the Santa Ana Base houses TTS and the specialty shops, including the body shop, upholstery shop, rebuild shop, machine shop, electronics, and the automotive shop.

Maintenance Resources Management is comprised of three functional units: Fleet Analysis, Maintenance Administration, and Contract Support Management. Staff in this section is responsible for managing the systems that track, schedule, and report all OCTA vehicle maintenance activities; movement of all vehicles between bases; and disposal of assets. Staff conducts research and analysis on fleet performance, manages the department budget, and prepares reports to track monthly maintenance performance indicators and vendor compliance.

Transit Technical Services includes a variety of maintenance support functions including engineering and quality assurance and controls; fleet document control; environmental compliance and reporting; and vehicle design changes and implementation. This section provides expertise in the areas of: air quality, alternative fuels, bus rehabilitation, diagnosis and resolution of equipment issues, and the purchase and implementation of new technology and equipment. In addition, the staff provides quality assurance during all phases of vehicle acquisition including both in-plant and on-site acceptance, fleet inspections, and warranty assistance for fleet defects.

Maintenance Training provides maintenance personnel with up-to-date information, state-of-the-art training,

and quality support to increase the performance of the OCTA Maintenance Department. The Maintenance Training section provides continuous review of curriculum and technological advances in the transit vehicle industry, updating the training courses as appropriate. In addition, this group oversees the Maintenance Apprentice Program.

Facilities Maintenance performs all maintenance for OCTA-owned properties, buildings, and equipment, including five operating bases (Anaheim, Garden Grove, Santa Ana, Irvine Sand Canyon, and Irvine Construction Circle), six transit centers, and two OCTA park-and-ride centers.





## Contracted Services

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Contracted Services</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	0	555,760	571,822
7209 Deferred Compensation	0	7,496	12,782
7210 Pensions	0	219,180	187,532
7220 Insurances	0	15,435	19,317
7240 Health Care	0	83,147	102,177
7260 Compensated Absences	0	79,247	77,018
7270 Workers' Compensation	0	16,284	10,454
7280 Other Benefits	0	35,670	30,871
<b>Subtotal Salaries and Benefits</b>	<b>\$ 0</b>	<b>\$ 1,012,219</b>	<b>\$ 1,011,973</b>
<u>Services and Supplies</u>			
7310 Contract Transportation	0	74,809,478	74,250,512
7510 Professional Services	0	64,980	0
7610 Outside Services	0	1,075,963	464,701
7650 Travel, Training, and Mileage	0	7,285	3,346
7660 Office Expense	0	6,233	20,700
7670 Miscellaneous Expense	0	35,600	35,600
7690 Leases	219,804	219,804	219,804
7710 Fuels and Lubricants	-3,792	8,193,036	5,513,691
7740 Tires and Tubes	0	1,137,049	943,916
7750 Maintenance Expense	0	200,000	0
7830 Contributions to Other Agencies	0	1,697,227	1,695,192
<b>Subtotal Services and Supplies</b>	<b>\$ 216,012</b>	<b>\$ 87,446,655</b>	<b>\$ 83,147,462</b>
<b>Contracted Services Total</b>	<b>\$ 216,012</b>	<b>\$ 88,458,874</b>	<b>\$ 84,159,435</b>

The **Contracted Services (CS) Department** is responsible for contract transportation oversight. Oversight of contract operations includes monitoring vendor performance to effectively deliver transit services including ACCESS, OCTA's complementary paratransit service required by the ADA; contracted

fixed-route, including express bus service and the StationLink rail feeder service which provides the connection between Metrolink commuter trains and employment centers; and the Same-Day Taxi Program for ADA-eligible passengers. The CS staff provides direct oversight of contractor performance to ensure OCTA's

operating and vehicle maintenance standards are achieved and maintained per contract guidelines and OCTA standards. Contracted services are operated out of three OCTA facilities, with fixed route service operated from Anaheim and Irvine Sand Canyon and ACCESS service from Irvine Construction Circle.

## Service Planning and Customer Advocacy

The **Service Planning and Customer Advocacy Department** is comprised of three functional areas: Service Planning and Scheduling, Customer Advocacy, and Stops and Zones. The primary tasks of Service Planning and Scheduling are to create bus schedules, determine vehicle requirements, and develop coach operator work assignments. The department also participates in market studies, manages the service change process, is responsible for frequency, span, and coverage of service, applies service goals and guidelines, and monitors bus system performance.

The Customer Advocacy function is designed to represent the interests of the agency's internal and external customers as part of the Transit Division's decision making process. All department staff members are customer advocates and work to improve communication, understanding, and comprehensive decision making by acting as problem solvers that facilitate travel throughout Orange County.

The Stops and Zones function is responsible for establishing new bus stops and maintaining the agency's

6,200 plus bus stop locations. The section provides expertise to city traffic engineers, planners, architects, and developers regarding the safe placement of bus stops, appropriate transit and passenger amenities, and ADA mandated accessibility issues. Staff also reviews street improvement projects, environmental impact reports submitted by various agencies, and maintains the county's bus stop database on a daily basis.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Service Planning and Customer Advocacy</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	753,893	780,730	974,220
7150 Extra Help Employees	77,778	98,875	32,277
7209 Deferred Compensation	17,408	19,974	20,884
7210 Pensions	292,696	300,334	308,235
7220 Insurances	26,314	23,344	32,350
7240 Health Care	119,160	119,870	152,045
7260 Compensated Absences	103,058	107,251	125,830
7270 Workers' Compensation	21,105	24,842	17,886
7280 Other Benefits	79,545	42,377	50,435
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,490,957</b>	<b>\$ 1,517,597</b>	<b>\$ 1,714,162</b>
<u>Services and Supplies</u>			
7510 Professional Services	259,385	261,589	264,249
7610 Outside Services	474,760	538,879	968,704
7650 Travel, Training, and Mileage	5,575	6,543	4,282
7660 Office Expense	426	500	500
7670 Miscellaneous Expense	452	460	460
7790 Other Materials and Supplies	20,591	25,000	438,642
<b>Subtotal Services and Supplies</b>	<b>\$ 761,189</b>	<b>\$ 832,971</b>	<b>\$ 1,676,837</b>
<b>Svc. Planning and Cust. Advocacy Total</b>	<b>\$ 2,252,146</b>	<b>\$ 2,350,568</b>	<b>\$ 3,390,999</b>

## Community Transportation Services

The **Community Transportation Services (CTS) Department** administers the certification process for ACCESS, OCTA's complementary paratransit service, as required under the Americans with Disabilities Act (ADA). Under a successful effort to develop community partnerships, the department also works with cities, the Orange County Office on Aging, the

Regional Center of Orange County, adult day healthcare programs, and private non-profit programs to implement alternative transportation services in the community. CTS staff also provides oversight of transit programs receiving federal grant funding for services for seniors, persons with disabilities, and persons of low income. In addition, CTS staff

is responsible for developing and updating the Orange County Public Transit-Human Services Coordinated Transportation Plan which identifies needs and gaps in special needs transportation service, recommends priority strategies to address the needs, and includes an inventory of special needs transportation resources.

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Community Transportation Services</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	922,358	399,227	511,996
7150 Extra Help Employees	16,077	22,530	0
7209 Deferred Compensation	18,723	7,496	11,444
7210 Pensions	348,104	158,292	168,335
7220 Insurances	24,832	11,743	17,323
7240 Health Care	148,373	101,161	136,612
7260 Compensated Absences	114,067	56,929	68,962
7270 Workers' Compensation	21,760	13,958	8,960
7280 Other Benefits	42,895	20,960	27,642
<b>Subtotal Salaries and Benefits</b>	<b>\$ 1,657,189</b>	<b>\$ 792,296</b>	<b>\$ 951,274</b>
<u>Services and Supplies</u>			
7310 Contract Transportation	73,613,993	4,629,772	5,332,581
7510 Professional Services	538,551	586,000	727,000
7610 Outside Services	581,675	20,000	40,429
7650 Travel, Training, and Mileage	6,793	5,950	4,841
7660 Office Expense	-342,812	30,766	6,266
7670 Miscellaneous Expense	39,945	2,798	3,028
7710 Fuels and Lubricants	4,856,387	0	37,429
7740 Tires and Tubes	963,152	0	19,812
7750 Maintenance Expense	765,354	0	0
7820 Taxes	11	0	0
7830 Contributions to Other Agencies	2,453,727	1,460,967	1,211,018
<b>Subtotal Services and Supplies</b>	<b>\$ 83,476,776</b>	<b>\$ 6,736,253</b>	<b>\$ 7,382,404</b>
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	500,958	28,475	350,000
<b>Subtotal Capital Expenditure</b>	<b>\$ 500,958</b>	<b>\$ 28,475</b>	<b>\$ 350,000</b>
<b>Community Transportation Services Total</b>	<b>\$ 85,634,923</b>	<b>\$ 7,557,024</b>	<b>\$ 8,683,678</b>

## Transit Programs Management

Expenses	FY 2014-15 Actuals	FY 2015-16 Budget	FY 2016-17 Budget
<b>Transit Programs Management</b>			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	433,534	430,663	0
7209 Deferred Compensation	13,219	10,985	0
7210 Pensions	173,071	169,846	0
7220 Insurances	11,252	12,550	0
7240 Health Care	77,918	78,743	0
7260 Compensated Absences	58,161	61,411	0
7270 Workers' Compensation	10,685	12,048	0
7280 Other Benefits	20,149	25,611	0
<b>Subtotal Salaries and Benefits</b>	<b>\$ 797,989</b>	<b>\$ 801,857</b>	<b>\$ 0</b>
<u>Services and Supplies</u>			
7510 Professional Services	4,900	0	0
7610 Outside Services	805,585	874,273	0
7640 Utilities	2,894	12,700	0
7650 Travel, Training, and Mileage	8,481	20,911	0
7660 Office Expense	1,621	21,100	0
7670 Miscellaneous Expense	328	360	0
7750 Maintenance Expense	5,582	10,000	0
7790 Other Materials and Supplies	49,495	0	0
<b>Subtotal Services and Supplies</b>	<b>\$ 878,886</b>	<b>\$ 939,344</b>	<b>\$ 0</b>
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	223,670	4,736,360	0
<b>Subtotal Capital Expenditure</b>	<b>\$ 223,670</b>	<b>\$ 4,736,360</b>	<b>\$ 0</b>
<b>Transit Programs Management Total</b>	<b>\$ 1,900,545</b>	<b>\$ 6,477,561</b>	<b>\$ 0</b>





## Fund Descriptions

### General Fund

The General Fund supports the non-transit administrative functions of OCTA. It provides the administrative functions for OCTA, including management direction, financial and accounting services, treasury management, design and implementation of the Orange County transportation system, personnel management, and communications with various OCTA constituencies. These services are allocated to OCTA's operating funds through a cost allocation methodology approved by the Federal Transit Administration (FTA).

### Local Transportation Fund (LTF)

The LTF was established in 1971 through the TDA and is derived from a one-quarter percent state sales tax collected in Orange County. LTF revenues are used only for public transit and provide funding for a variety of transportation services including regional transportation planning, bus stop improvements, fixed-route bus operations, and paratransit services.

### Orange County Unified Transportation Trust (OCUTT) Fund

The OCUTT fund was established with interest earnings from LTF revenues. This fund was nearly depleted in December 1995 when, as part of the TDA Diversion Financial Recovery Plan, the Board approved the transfer of \$34.4 million in OCUTT funds to fund future bus operations. Currently, OCUTT accumulates fund balance from interest earned on the Capital Projects fund.

### Service Authority for Freeway Emergencies (SAFE) Fund

The SAFE program is responsible for the maintenance and operation of more than 585 call boxes on Orange County freeways. This fund also includes the Freeway Service Patrol (FSP) program that consists of a fleet of tow

trucks dedicated to assisting stranded motorists during peak travel hours. The operation of the SAFE program is funded by a \$1 per year assessment on motor vehicle registration.

### Service Authority for Abandoned Vehicles (SAAV) Fund

All 34 cities and the County of Orange participate in abating unsightly and potentially dangerous abandoned vehicles from public and private property. The SAAV program was funded through a \$1 per year assessment on motor vehicle registration. The SAAV program ended in 2012, but will continue to see activity until all of the program reserves are distributed.

### State Transit Assistance (STAF) Fund

The STAF, created by the California Legislature in 1979, provides a second source of Transportation Development Act funding for transportation planning and mass transportation purposes. STA fund revenues are derived from sales tax on diesel fuel. These revenues may be used for capital and operating expenditures related to public transportation.

### LTA Measure M2 (M2)

The LTA fund incorporates all activities associated with the Measure M2 ordinance approved in November 2006. The ordinance extended the already established one-half percent sales tax to fund transportation-related projects. The M2 ordinance will cover a 30-year period beginning April 1, 2011 to March 31, 2041. All sales tax revenues, bond proceeds, interest earnings, and project expenditures beginning 2007 to 2041 are accounted for in this fund.

### Measure M - CURE Fund

With the closeout of the M1 fund at the end of fiscal year 2015, a portion of the remaining balance was moved into the

Measure M - CURE Fund. This refers to OCTA's long-term operating fund for Metrolink commuter rail services

### Orange County Transit District (OCTD) Fund

The OCTD Fund is an enterprise fund that supports the administrative, operational, and capital functions of the fixed-route, rail feeder, express, and paratransit bus service.

### Orange County Taxi Administration Program (OCTAP)

The OCTAP Fund is an enterprise fund that accounts for license fees, driver permits, and inspection of taxicab vehicles. OCTAP was established as an enterprise fund to ensure that program-related expenses are covered by program generated revenues.

### Express Lanes Fund

The Express Lanes Fund supports the 91 Express Lanes & 405 Express Lanes. The 91 Express Lanes is an enterprise fund that supports the operational and capital functions of the 91 Express Lanes. The 405 Express Lanes section supports the express lane portion of the I-405 improvement project.

### Internal Service Funds

The Internal Service Funds were established to account for the costs of OCTA benefits and insurance programs. There are two internal service funds which record all applicable revenues and expenditures associated with Personal Liability and Property Damage (PL&PD), and Workers' Compensation.

### OCTD Capital Projects Fund

The OCTD Capital Projects Fund was established to track federally funded capital projects administered by OCTA in which OCTD is the grantee or legal recipient.

## Fund Descriptions (continued)

### Measure M2 Bond Debt Service Fund

The M2 Bond Debt Service Fund accumulates the financial resources required for the repayment of long-term debt. Funds to accommodate principal and interest payments are accumulated and debt service transactions are recorded in this fund.

retirement system and held as part of the unallocated fund balance. As the unallocated fund balance was reduced due to benefit payments and market performance, participating agencies began contributing 0.5 percent, then later 1.0 percent of payroll. OCTA continues to allocate internally 1.0 percent of payroll to fund the benefit.

### Commuter Rail Endowment (CURE) Fund

The Commuter Rail Endowment funds the OCTA's participation in Metrolink's Orange County Line, the Inland Empire-Orange County Line (IEOC Line), and the Riverside-Fullerton-Los Angeles Line.

### Scholarship Fund

Every year in September, OCTA staff can sign up to donate money to this fund. This money is used to give scholarships to staff's family for college costs. To receive money from this fund, students must write an essay as to why they want to attend college. The essays are judged and winners are awarded according to how much is collected in that fiscal year.

### Additional Retiree Benefit Account (ARBA)

The OCTA currently provides a supplemental retirement benefit known as the Additional Retiree Benefit Account (ARBA). This benefit is offered to retired members of the Orange County Employees Retirement System (OCERS) in order to assist career OCTA employees in maintaining health insurance coverage following their retirement from OCTA service. The OCTA does not provide retiree medical benefits. The ARBA benefit has been funded and administered pursuant to a 1994 Memorandum of Understanding with OCERS and its subsequent amendments (collectively, the ARBA Agreement). The ARBA benefit was originally funded through excess earnings of the

## Glossary

**Amended Budget:** The approved budget as amended by the Board of Directors through the course of a fiscal year.

**Appropriation:** Legal authorization to make expenditures and to incur obligations for specific purposes. An appropriation is usually limited in amount and to the time when it may be expended.

**Approved Budget:** The official budget as approved by the Board of Directors.

**Budget:** A plan of financial operations comprised of estimated expenditures for a given period (one fiscal year) and the proposed means of financing the expenditures (through revenues and reserves).

**Capital Expenditure:** Outlay for vehicles, equipment and tools with a total cost of greater than \$5,000 and an initial useful life in excess of one year.

**Construction Capital Expenditure:** Outlay for the construction or purchase of a facility that is expected to provide service for a considerable period.

**Contracted Service:** Services rendered in support of OCTA operations and activities by external parties. These are generally based upon formal contracts or purchase orders.

**Debt Service Fund:** A fund established for the payment of interest and principal on all debt.

**Department:** An organizational subgroup of a division.

**Designation:** Funds put aside in the current year for future year operational expenses.

**Division:** A major organizational group with overall management responsibility for an operation or a group of related operations within a functional area.

**Encumbrance:** The commitment of appropriated funds to purchase goods or services. At OCTA, encumbrances are defined by a specific scope of work, typically firm fixed price contracts and purchase orders for non-inventory goods.

**Expenditures:** Decreases in net financial resources. Expenditures include current operating and capital expenses that require the current or future use of net current assets, debt service, and capital outlays.

**Expenses:** Decreases in net total assets. Expenses represent the total cost of operations during a period regardless of the timing of related expenditures.

**External Budget:** The legally approved budget net of inter-fund transfers. Those amounts in the budget representing transfers and inter-fund reimbursements are subtracted from the legally adopted budget amount.

**Farebox Revenue:** Fares received from passengers boarding OCTA's fixed-route and paratransit bus service.

**Fiscal Year:** A 12-month period to which the annual budget applies and at the end of which a government determines its financial position, the results of its operations, and adopts a budget for the coming year. OCTA's fiscal year is from July 1 to June 30.

**Full-Time Equivalent (FTE):** The conversion of full-time and part-time employee hours to an equivalent of a full-time position. For example: one person working half time would count as 0.5 FTE.

**Fund Balance:** A term used to express the equity (assets minus liabilities) of governmental fund and fiduciary fund types.

**Fund:** A fund is an independent fiscal and accounting entity. A fund has self-balancing accounts, recording resources, related liabilities,

obligations, reserves, and equities segregated for the purpose of carrying out specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations.

**General Fund:** The General Fund is the general operating fund of OCTA. All general tax revenues and other receipts that are not allocated by law or contractual agreement to some other fund are accounted for in this fund. Expenditures of this fund include the general operating expenses and other costs that are not paid through other funds.

**Generally Accepted Accounting Principles (GAAP):** Uniform minimum standards for financial accounting and reporting. They govern the form and content of the basic financial statements of an entity. GAAP encompasses the conventions, rules, and procedures necessary to define accepted accounting practices at a particular time. They include not only broad guidelines of general application, but also detailed practices and procedures. GAAP provides a standard by which to measure financial presentations.

**Internal Budget:** The legally adopted budget including all inter-fund transfers.

**Internal Service Fund:** Internal Service Funds account for the revenues and expenditures associated with employee health care programs, the public liability and property damage program, and the workers' compensation program.

**Modified Accrual Basis:** The accrual basis of accounting where revenues are recognized when they become both "measurable" and "available" to finance expenditures of the current period. All governmental funds and agency funds are accounted for using the modified accrual basis of accounting.

**Object Code:** The classification of expenditures in terms of what is bought



## Glossary (continued)

and paid for grouped into major object codes by subject.

**Objective:** A simply stated readily measurable statement of aim or expected accomplishment within the fiscal year. A good statement of objective should imply a specific standard of performance for a given program.

**Operating Budget:** A budget, which focuses on every day, operating activities and programs.

**Operating Transfers:** Legally authorized transfers from a fund receiving revenue to the fund through which the resources are to be expended.

**Proposed Budget:** A budget in its preliminary preparation stage prior to review and adoption by the Board of Directors.

**Revenue:** Monies that OCTA receives as income such as sales taxes, farebox revenue, fees from specific services, receipts from other governments, fines, grants and interest income.

**Salary and Benefit Expenses:** Compensation paid to or on behalf of OCTA employees for salaries and wages, overtime, and benefits.

**Taxes:** Compulsory charges levied by a government for financing services performed for the common benefit. This term does not include specific charges made against particular persons or property for current or permanent benefits such as special assessments. Neither does the term include charges for services rendered only to those paying such charges as, for example, user charges.

**Use of Prior Year Designations:** Funds set aside in prior years to be used on current year operational expenses.

## Gann Appropriation Limit

In November 1979 the voters of the State of California approved Proposition 4, commonly known as the Gann Initiative. The Proposition created Article XIII B of the State Constitution, placing limits on the amount of revenue that can be spent by public agencies from the “proceeds of taxes.” Proposition 4 became effective for Fiscal Year 1980-81, but the formula for calculating the limits was based on FY 1978-79 (base year) revenues.

In 1980, the State Legislature added Section 9710 to the Government Code, providing that the governing body of each local jurisdiction must establish, by resolution, an appropriations limit for the following year. The appropriation limit for any fiscal year is equal to the previous year’s limit adjusted for population changes and changes in the California per capita personal income.

The Local Transportation Authority (LTA or Measure M2) and the OCTA General Fund representing

the functions of the Orange County Transportation Commission (OCTC), now a part of OCTA, are subject to the requirements of Article XIII B. Both agencies receive tax revenues, the LTA from the ½ cent local sales tax and the OCTA General Fund from ¼ cent State sales tax allocations for administration and planning and programming of the Local Transportation Fund (LTF), which is exempt from the Gann limits on the spending of certain tax revenues. Appropriation limits are calculated for and applied to both legal entities and are reviewed as part of OCTA’s annual financial audit.

In accordance with the requirements of the Article XIII B implementing legislation, the Board of Directors voted to approve OCTA Resolution No. 2016-026 and LTA Resolution No. 2016-025 on June 13, 2016, establishing appropriations limits for the OCTA General Fund at \$10,618,727 and the Local Transportation Authority (LTA or Measure M2 Fund) at \$1,604,785,013 respectively. The total amount authorized to be expended

by the OCTA General Fund and LTA Fund from tax proceeds and interest from tax proceeds is \$4,040,363 and \$319,223,527 respectively. Both appropriations fall within the limits set by the Gann Initiative.

Based on historic trends and future projections, it appears that the OCTA’s and LTA’s use of the proceeds of taxes (as defined by Article XIII B) will continue to fall below the Gann appropriations limits. The projected gap between the OCTA’s projected use of “proceeds of taxes” and the Gann appropriations limits remains significant over the next decade.

The resolutions and calculations for the FY 2016-17 appropriation limits are on the following pages.

**RESOLUTION OF THE  
ORANGE COUNTY TRANSPORTATION AUTHORITY - GENERAL FUND  
ESTABLISHING APPROPRIATIONS LIMIT FOR  
FISCAL YEAR 2016-17**

**WHEREAS**, Article XIII B of the California Constitution and Sections 7900 through 7913 of the California Government Code require the establishment of an appropriations limit; and

**WHEREAS**, appropriations limits are applicable to funds received from the proceeds of taxes and interest earned on such proceeds.

**NOW, THEREFORE, BE IT RESOLVED** as follows:

1. The Orange County Transportation Authority/General Fund hereby determines that pursuant to Section 7902b of the California Government Code, the appropriations limit for the Orange County Transportation Authority/General Fund for Fiscal Year 2016-17 is \$10,618,727.
2. The total amount authorized to be expended by the Orange County Transportation Authority/General Fund during Fiscal Year 2016-17 from the proceeds of taxes, including interest earned from the investment of the proceeds of taxes, is \$4,040,363.
3. The appropriations limit for Fiscal Year 2016-17 exceeds proceeds of taxes for Fiscal Year 2016-17 by \$6,578,364.

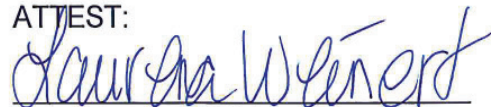
**ADOPTED, SIGNED AND APPROVED this 13th day of June 2016.**


**AYES:** Chair Donchak, Vice Chairman Hennessey, and Directors Bartlett, Do, Jones, Katapodis, Miller, Murray, Pulido, Shaw, Spitzer, Steel, Tait, and Winterbottom

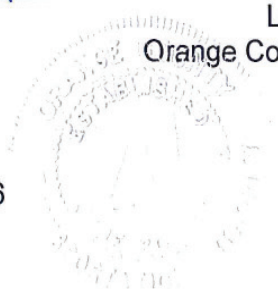
**NOES:** None

**ABSENT:** Directors Lalloway, Nelson, and Ury

**ATTEST:**

  
 \_\_\_\_\_  
 Laurna Weinert  
 Clerk of the Board

  
 \_\_\_\_\_  
 Lori Donchak, Chair  
 Orange County Transportation Authority



OCTA Resolution No. 2016-026

**RESOLUTION OF THE  
ORANGE COUNTY LOCAL TRANSPORTATION AUTHORITY/MEASURE M2  
ESTABLISHING APPROPRIATIONS LIMIT FOR  
FISCAL YEAR 2016-17**

**WHEREAS**, Article XIII B of the California constitution and Sections 7900 through 7913 of the California Government Code require the establishment of an appropriations limit; and

**WHEREAS**, appropriations limits are applicable to funds received from the proceeds of taxes and interest earned on such proceeds.

**NOW, THEREFORE, BE IT RESOLVED** as follows:

1. The Orange County Local Transportation Authority/Measure M2 hereby determines that pursuant to Section 7902b of the California Government Code, the appropriations limit for the Orange County Local Transportation Authority/Measure M2 for Fiscal Year 2016-17 is \$1,604,785,013.
2. The total amount authorized to be expended by the Orange County Local Transportation Authority/Measure M2 during the Fiscal Year 2016-17 from the proceeds of taxes, including interest earned from the investment of the proceeds of taxes, is \$319,223,527.
3. The appropriations limit for Fiscal Year 2016-17 exceeds proceeds of taxes for Fiscal Year 2016-17 by \$1,285,561,486.

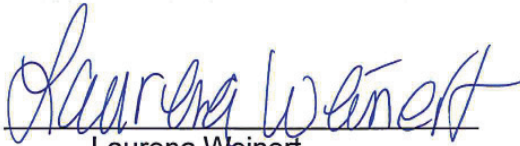
**ADOPTED, SIGNED AND APPROVED this 13th day of June 2016.**

**AYES:** Chair Donchak, Vice Chairman Hennessey, and Directors Bartlett, Do, Jones, Katapodis, Miller, Murray, Pulido, Shaw, Spitzer, Steel, Tait, and Winterbottom

**NOES:** None

**ABSENT:** Directors Lalloway, Nelson, and Ury

**ATTEST:**

  
 Laurena Weinert  
 Clerk of the Board

  
 Lori Donchak, Chair  
 Orange County Local Transportation Authority

OCLTA Resolution No. 2016-025



**RESOLUTION OF THE BOARD OF DIRECTORS FOR  
THE ORANGE COUNTY TRANSPORTATION AUTHORITY  
APPROVING AN OPERATING AND CAPITAL BUDGET  
FISCAL YEAR 2016-17**

**WHEREAS**, the Chief Executive Officer and staff have prepared and presented to the Board of Directors a proposed operating and capital budget in the amount of \$1,161.5 million for Fiscal Year 2016-17;

**WHEREAS**, said Chief Executive Officer and staff did conduct a public workshop before the Board of Directors on May 9, 2016, in the Board Chambers, at which time the proposed budget was considered;

**WHEREAS**, a public hearing was conducted on June 13, 2016, at which the public was invited to express its views and objections to said budget; and;

**WHEREAS**, the original of said proposed budget will be revised to reflect each and all of the amendments, changes, and modifications which the Board of Directors, up to the time of the approval of this resolution, believes should be made in said proposed budget as so submitted and to correct any non-substantive errors or omissions.

**NOW, THEREFORE BE IT RESOLVED**, by the Board of Directors of the Orange County Transportation Authority as follows:

1. The operating and capital budget of the Orange County Transportation Authority and all affiliated agencies for the Fiscal Year July 1, 2016 through June 30, 2017, is hereby approved, a copy of which is on file with the Clerk of the Board.
2. The Clerk of the Board shall certify to the passage and approval of this resolution, and it shall thereupon be in full force and effect.

**ADOPTED, SIGNED AND APPROVED this 13th day of June 2016.**

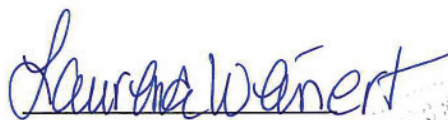
**AYES:** Chair Donchak, Vice Chairman Hennessey, and Directors Bartlett, Do, Jones, Katapodis, Miller, Murray, Pulido, Shaw, Spitzer, Steel, Tait, and Winterbottom

**NOES:** None

**ABSTAIN:** None

**ABSENT:** Directors Lalloway, Nelson, and Ury

**ATTEST:**



Laurena Weinert  
Clerk of the Board



Lori Donchak, Chair  
Orange County Transportation Authority

# Map of Orange County



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## Budget Calendar and Controls

### Budget Calendar

Every year, OCTA develops its staffing, operating, and capital plans for the upcoming fiscal year. The product of this effort is an approved fiscal year budget. The budget outlines the expected funding sources and expenditures that represent OCTA's year long commitment to transportation projects and services.

Altogether, budget preparation takes approximately seven months. Work typically begins with revenue projections in December and culminates in June with a Public Hearing and Board approval of the budget. The following outlines the major steps and timeframe involved:

**December**—Preliminary revenue estimates are projected, budget targets are given to divisions, and budget system training materials are prepared. Classes on the fiscal year budget assumptions and the use of the budget system are conducted.

**January**—Appropriation plans are submitted by each division and reviewed to ensure conformance with established budget targets (set by Executive Management), and consistent with the CBP.

**February & March**—Projected revenues are refined and compared to estimated expenditures to ensure a balanced budget. Budget requests are further reviewed by an internal budget committee appointed by the Chief Executive Officer (CEO), consisting of the Deputy CEO, Executive Director of Finance and Administration, and Executive Director of Human Resources and Organizational Development. A comprehensive presentation of the proposed expenditure plan is reviewed with Executive Management. Under the direction of the CEO, Financial Planning & Analysis (FP&A) prepares the proposed budget and accompanying documents.

**April & May**—The proposed budget is distributed to Board Committee

Members, Executive Management, and members of the press and public. Staff conducts a Budget Workshop with the Board. Executive management and FP&A staff meet individually with Board Members as necessary. FP&A staff attends each standing committee meeting during this period to further review and explain budget details. FP&A staff ensures that the public hearing on the budget is properly noticed in area newspapers.

**June**—The Board conducts a Public Hearing relating to the proposed budget. After public comments have occurred, the public hearing is closed. Traditionally, the Board approves the budget immediately following the public hearing. The Gann Appropriations Limit is prepared and submitted to the Board for approval. FP&A staff prepares the approved budget documents for distribution by the beginning of July.

### Budget Controls

OCTA maintains budget control through the formal adoption of an operating budget for the general, special revenue, enterprise, internal service, capital projects, debt service, and trust funds. The operating budget is prepared in conformity with generally accepted accounting principles except certain multi-year contracts for which the entire amount of the contract is budgeted and encumbered in the year of execution. The approved budget can be amended by the Board to alter both appropriations and estimated revenues as unforeseen circumstances arise. Division and department heads are authorized to approve appropriation transfers within major objects. Major objects are defined as Salaries & Benefits, Services & Supplies, and Capital. Appropriation transfers between major objects require Board approval. Accordingly, the legal level of budgetary control at which expenditures cannot exceed appropriations for budgeted funds, is at the major object level. With the exception of accounts that have been

encumbered, appropriations lapse at year-end.

OCTA is prohibited from employing more full-time equivalent (FTE) positions than were approved by the Board. Before they can be filled, staff positions must be approved by the Board during the annual budget process or in a separate budget amendment. The Board approves positions at the "Job Family" level. Positions can be filled at any salary grade within an approved "Job Family," following an analysis by Human Resources. "Job Family" refers to a group of titles which have similar work content at varying levels of responsibility. For example: Financial Analyst, Associate; Financial Analyst; Financial Analyst, Senior; and Financial Analyst, Principal represent the "Financial Analyst" Job Family. Positions can be filled outside of the Job Family as long as the filled position is at or below the salary grade budgeted.

### Financial Reporting

OCTA accounts for its operations by using separate funds to manage and report financial activities. The General Fund finances most administrative and planning functions. Enterprise funds are used to account for operation of the Orange County Transit District, 91 Express Lanes, and Orange County Taxicab Administration Program. Special Revenue and Capital Project Funds are used to account for revenue sources restricted by regulation or Board policy. Expendable trust funds account for money set-aside in special accounts by the Board to subsidize such services as bus operations.

Following approval, the budget is incorporated into the accounting system, where the budget is compared with actual performance throughout the fiscal year. The budget is an evolving document that will change as economic and business conditions warrant. Changes to the budget will take the form of budget transfers or Board approved amendments.



## Budget Format and Debt Policy

Once the budget is adopted by the Board, the budget team tracks the performance of the actuals in comparison to the approved budget and reports the progress to Executive Management and to the Board on a quarterly basis.

### Budget Format

The fiscal year FY 2016-17 budget is presented in three documents. The primary document, the "Orange County Transportation Authority's FY 2016-17 Budget," is organized with an Executive Summary, Financial Reports, Fund Budgets, Division Budgets, and an Appendix. Detailed justifications for line item controlled services and capital/fixed assets are provided in two additional volumes.

#### Executive Summary

The Executive Summary discusses OCTA's strategic planning framework and short-term economic and regional factors. This section provides a brief overview of each program and service provided by the OCTA, with the current year accomplishments and next year's budgetary goals highlighted.

#### Financial Reports

This section details a balanced budget and the financial viability of the OCTA on an external budget reporting basis. The external fund reports do not include activity related to interfund transfers or allocated management fees.

#### Fund Budgets

This section includes each of OCTA's funds organized by fund group. A brief narrative of the fund is provided along with the sources and uses.

#### Division Budgets

OCTA's divisions are outlined as follows:

- Division Organization chart
- Division staffing summary
- A brief narrative of the division's primary responsibilities
- List of division accomplishments for the current

fiscal year and goals for the upcoming fiscal year

- Total division staffing by department and job family
- Division and department expenses

#### Appendix

The appendix includes a brief description of OCTA's funds along with a glossary of key terms. An overview of the budget development process, methodology, policies, economic and legislative issues facing OCTA is included, as well as the GANN appropriations, Budget Resolution and Orange County profile.

### OCTA's Debt Policy

OCTA's Treasurer is responsible for the sale of debt for the specific OCTA entities that are legally authorized to issue and guarantee debt: Orange County Local Transportation Authority, Orange County Transit District, Service Authority for Freeway Emergencies, and the 91 Express Lanes. OCTA's main objectives in the sale of debt are to:

- Obtain the lowest possible cost of funds for each of OCTA's borrowing programs,
- Obtain the highest possible credit ratings that allow sufficient flexibility,
- Minimize risk exposure to variable rate debt and/or derivatives, and
- Maintain the required secondary market disclosure with the rating agencies, institutional, and retail investors.

OCTA's Comprehensive Debt Management Policy contains the policies and the procedures that govern all debt sales. All participants performing services on OCTA's debt sales must comply with the policies and procedures and are expected to consistently perform at a level which provides maximum benefit to OCTA. The Treasurer, after consultation with and approval by OCTA's Finance and Administration Committee,

reserves the right to remove any participant from an OCTA transaction or underwriting pool at any time for sub-standard performance or failure to abide by OCTA's Comprehensive Debt Management Policy. The Treasurer actively manages all phases of each financing. All decisions related to each transaction are subject to the Treasurer's approval.

In order to obtain more details related to OCTA's Comprehensive Debt Management Policy, contact OCTA's Treasury Department:

Kirk Avila  
Treasurer  
kavila@octa.net

### Basis of Accounting

OCTA's accounting records are maintained in full accordance with Generally Accepted Accounting Principles (GAAP) as established by the Government Accounting Standards Board. The basis for budgeting is also in accordance with GAAP except for certain multi-year contracts, for which the entire amount of the contract is budgeted and encumbered in the year of execution.

All governmental funds use the modified accrual basis of accounting. Under the modified accrual basis of accounting, revenues are recognized when susceptible to accrual (e.g., when they become both measurable and available). "Measurable" means the amount of the transaction can be determined and "available" means collectible within the current period or soon enough thereafter to be used to pay liabilities of the current period. Expenditures are recorded when the related fund liability is incurred.

Principal and interest on general long-term debt are recorded when payment is due.

Those revenues susceptible to accrual are sales taxes collected and held by the state at year-end on behalf of OCTA, intergovernmental revenues,



## Budget Format and Debt Policy (Continued)

interest revenue, and fines and fees. Property taxes are considered available if they are collected within 60 days after year-end.

In applying the "susceptible to accrual" concept to intergovernmental revenues, there are essentially two types of revenues. In one, monies must be expended on the specific purpose or project before any amounts will be paid to OCTA; therefore, revenues are recognized based upon the expenditures incurred. In the other, monies are virtually unrestricted and are usually revocable only for failure to comply with prescribed compliance requirements. These resources are reflected as revenues at the time of receipt or earlier if the susceptible-to-accrual criterion is met.

# California Society of Municipal Finance Officers

*Certificate of Award*

## Operating Budget Excellence Award Fiscal Year 2015-2016

Presented to the

### Orange County Transportation Authority

For meeting the criteria established to achieve the Operating Budget Excellence Award.

February 23, 2016



*Jesse Takahashi*

Jesse Takahashi  
CSMFO President

*Michael Gomez*

Michael Gomez, Chair  
Professional Standards and  
Recognition Committee

*Dedicated Excellence in Municipal Financial Reporting*





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