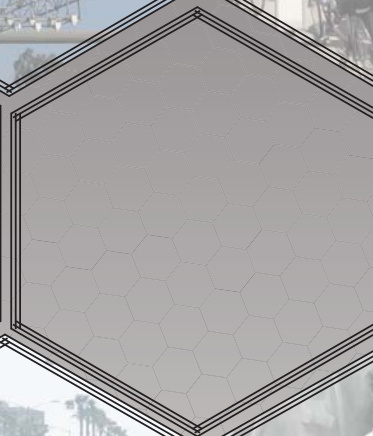


ORANGE COUNTY TRANSPORTATION AUTHORITY

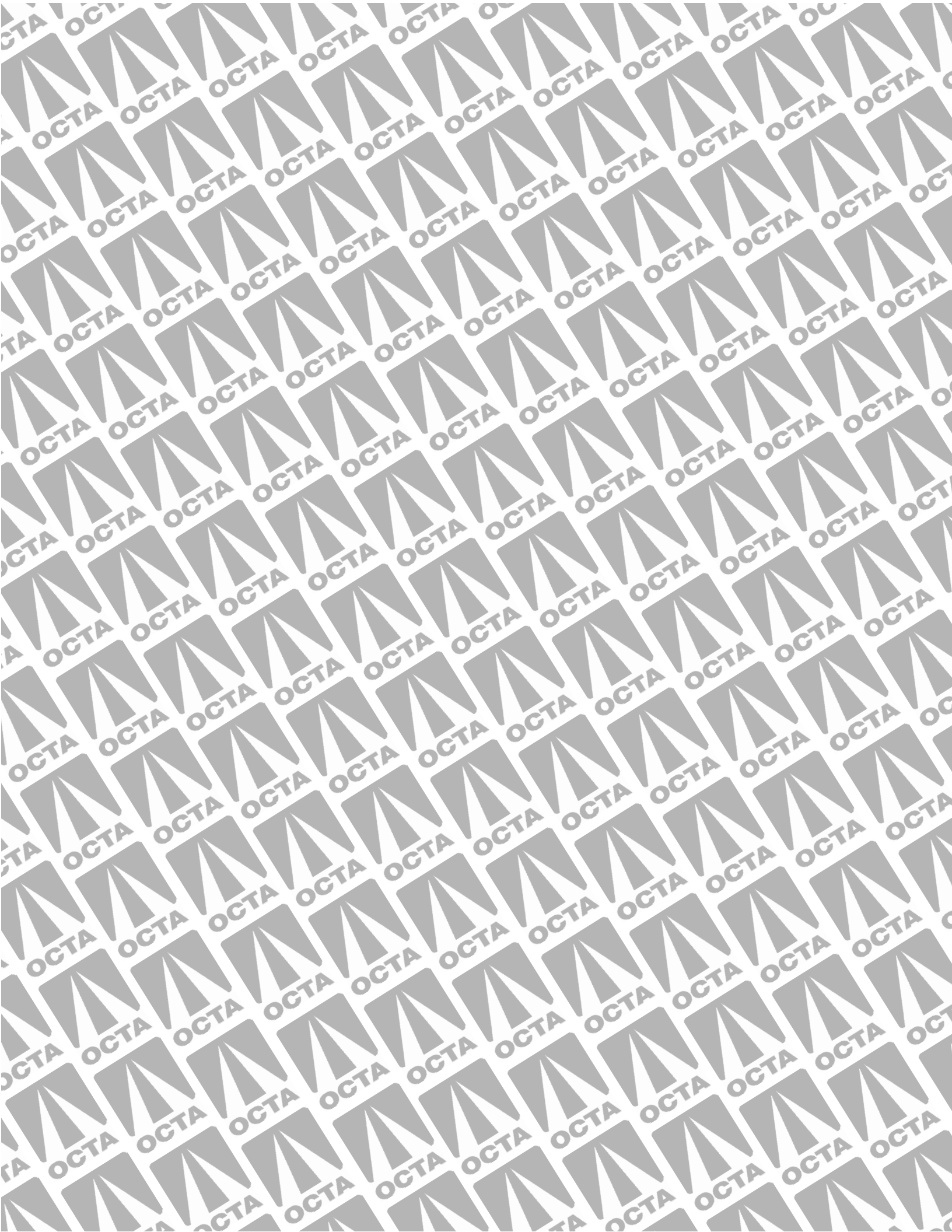


APPROVED BUDGET

FISCAL YEAR
2012-13



OCTA



May 14, 2012

Chair Paul Glaab and Members of the OCTA Board of Directors:

Under your policy direction, I present to you the Fiscal Year 2012-13 Budget for the Orange County Transportation Authority (OCTA). This \$1.1 billion budget has been developed consistent with the assumptions and goals of OCTA's Strategic Plan and Comprehensive Business Plan. This balanced budget is a result of OCTA's ongoing effort to deliver long-term sustainable transportation solutions for the residents of Orange County while remaining a responsible steward of limited taxpayer dollars.

The Fiscal Year 2012-13 budget reflects a multi-year effort by OCTA staff and Board of Directors to effectively manage OCTA programs and services through the recent recession. The result of these efforts is financial stability across OCTA programs and services, which has provided OCTA the opportunity to make strategic improvements to programs and services. I am pleased to report that this budget anticipates adding 23,000 revenue hours to bus service levels. The additional service hours will increase bus service frequency in high demand corridors to begin to address passenger demand and on-time performance. The budget also includes increased Metrolink service to support both weekday and weekend service in Orange County.

OCTA remains committed to controlling costs. Growth in General Fund related expenditures remained tightly controlled by Executive Management, and the plan to contract additional fixed route service commensurate with coach operator attrition will continue, with approximately 86,000 revenue hours to be converted during the fiscal year.

OCTA will continue to honor the commitment made to the residents of Orange County when they passed Measure M. Approximately \$580 million in combined Measure M1 and Measure M2 funds are budgeted for projects to improve transportation within the County. These funds will pay for improvements to freeways and streets and roads throughout the County, as well as fund rail and transit programs.

The Fiscal Year 2012-13 budget demonstrates OCTA's continued commitment to developing and delivering transportation solutions to enhance quality of life and keep Orange County moving, while remaining a responsible steward of taxpayer dollars.

Sincerely,

A handwritten signature in black ink, appearing to read "Will Kempton", followed by a horizontal line extending to the right.

Will Kempton
Chief Executive Officer

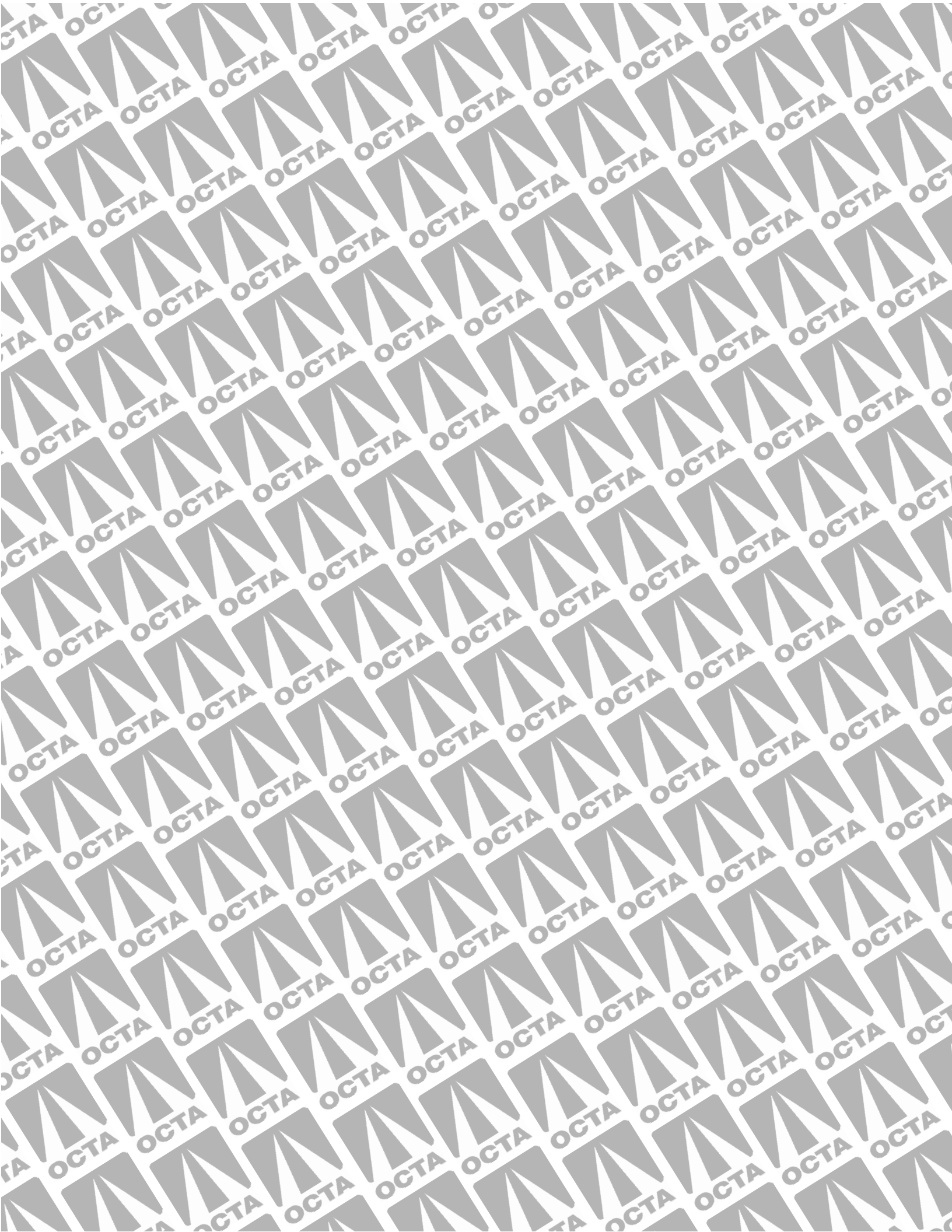


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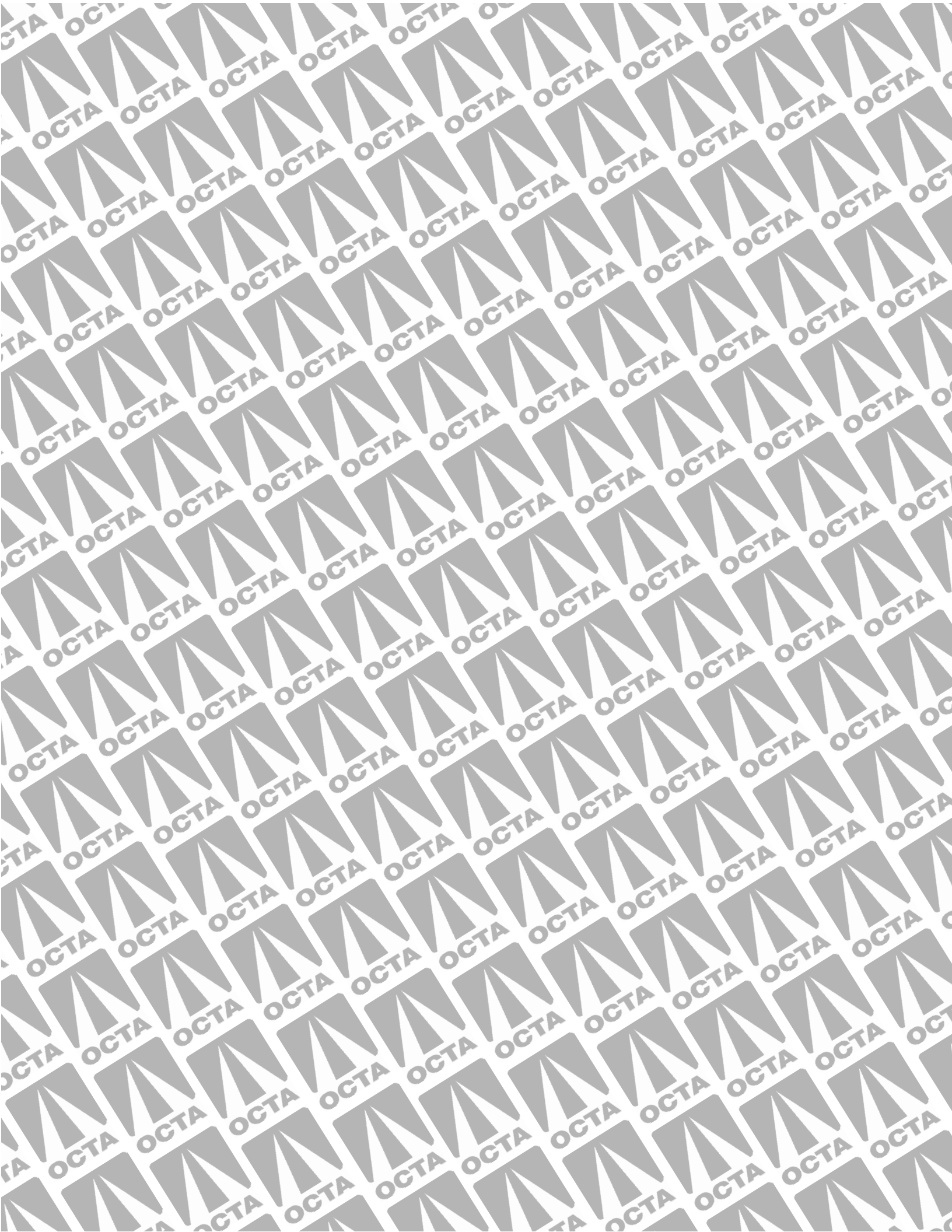
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OCTA Board of Directors

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

Paul Glaab
Chairman
Mayor
City of Laguna Niguel



Gregory T. Winterbottom
Vice Chairman
Public Member



Jerry Amante
Director
Council Member
City of Tustin



Patricia Bates
Director
Supervisor, District 5
County of Orange



Don Bankhead
Director
Council Member
City of Fullerton



Bill Campbell
Director
Supervisor, District 3
County of Orange



Carolyn V. Cavecche
Director
Mayor
City of Orange



Larry Crandall
Director
Council Member
City of Fountain Valley



William J. Dalton
Director
Mayor
City of Garden Grove



Lorri Galloway
Director
Council Member
City of Anaheim



Don Hansen
Director
Mayor
City of Huntington Beach



Michael Hennessey
Director
Public Member



Peter Herzog
Director
Council Member
City of Lake Forest



John Moorlach
Director
Supervisor, District 2
County of Orange



Shawn Nelson
Director
Supervisor, District 4
County of Orange



Janet Nguyen
Director
Supervisor, District 1
County of Orange

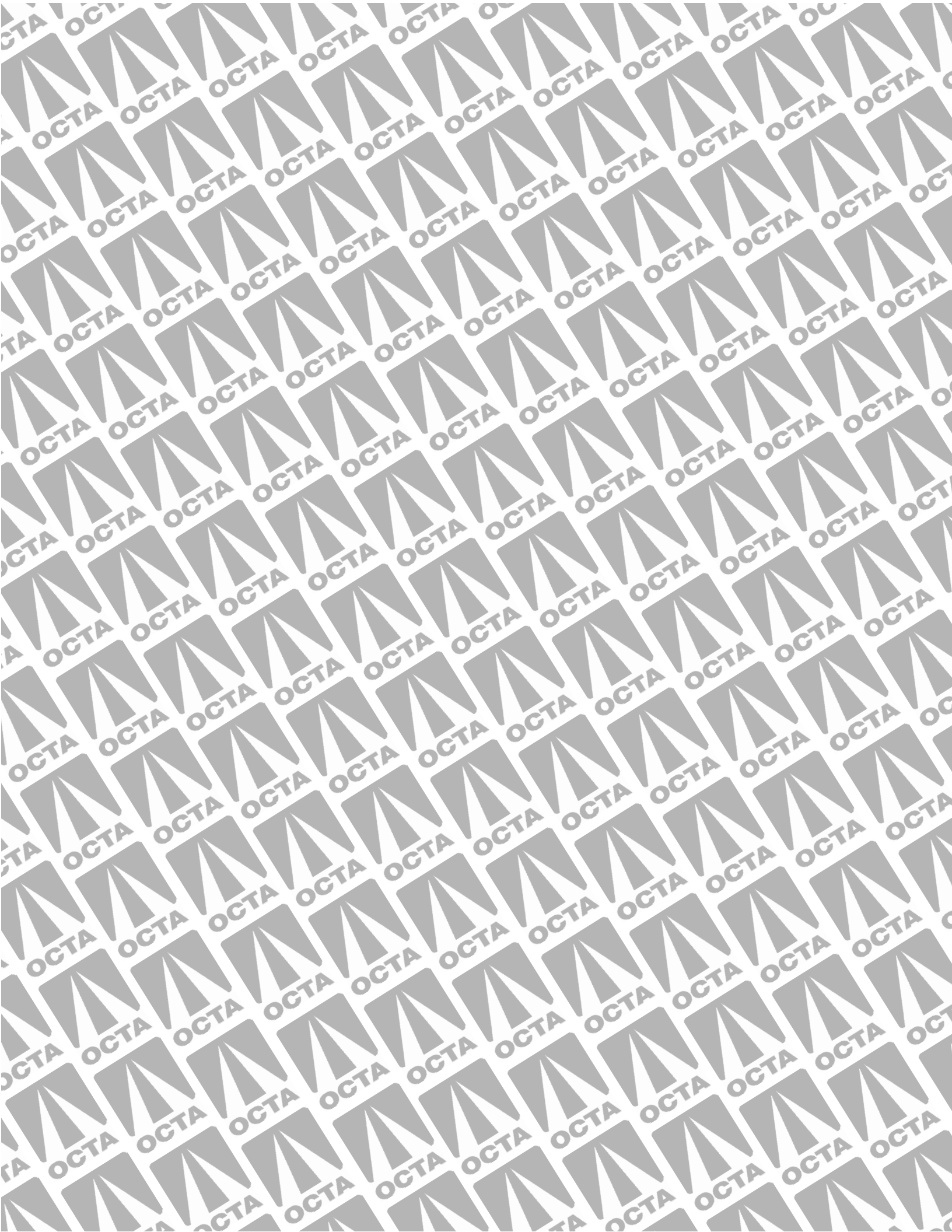


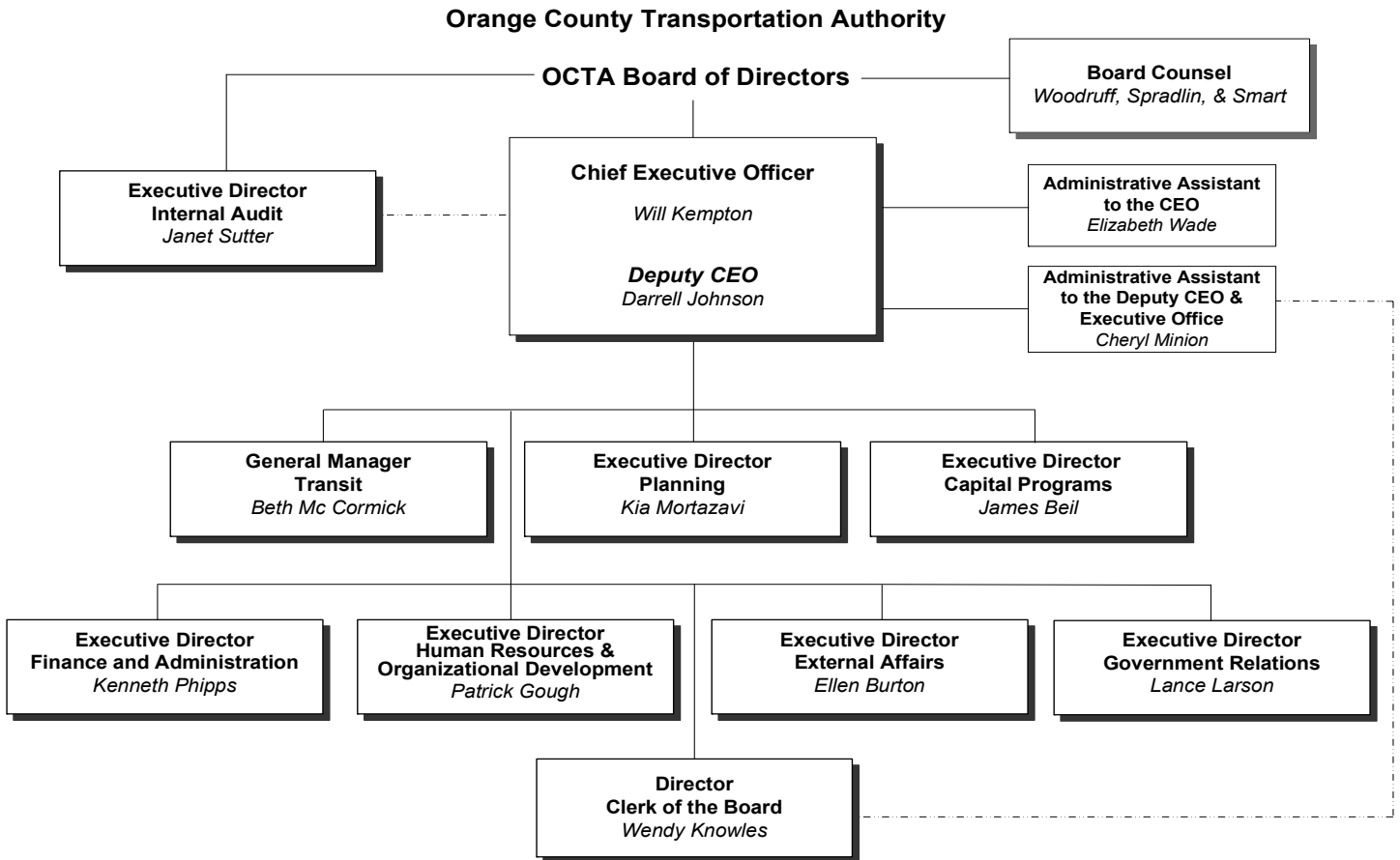
Miguel A. Pulido
Director
Mayor
City of Santa Ana

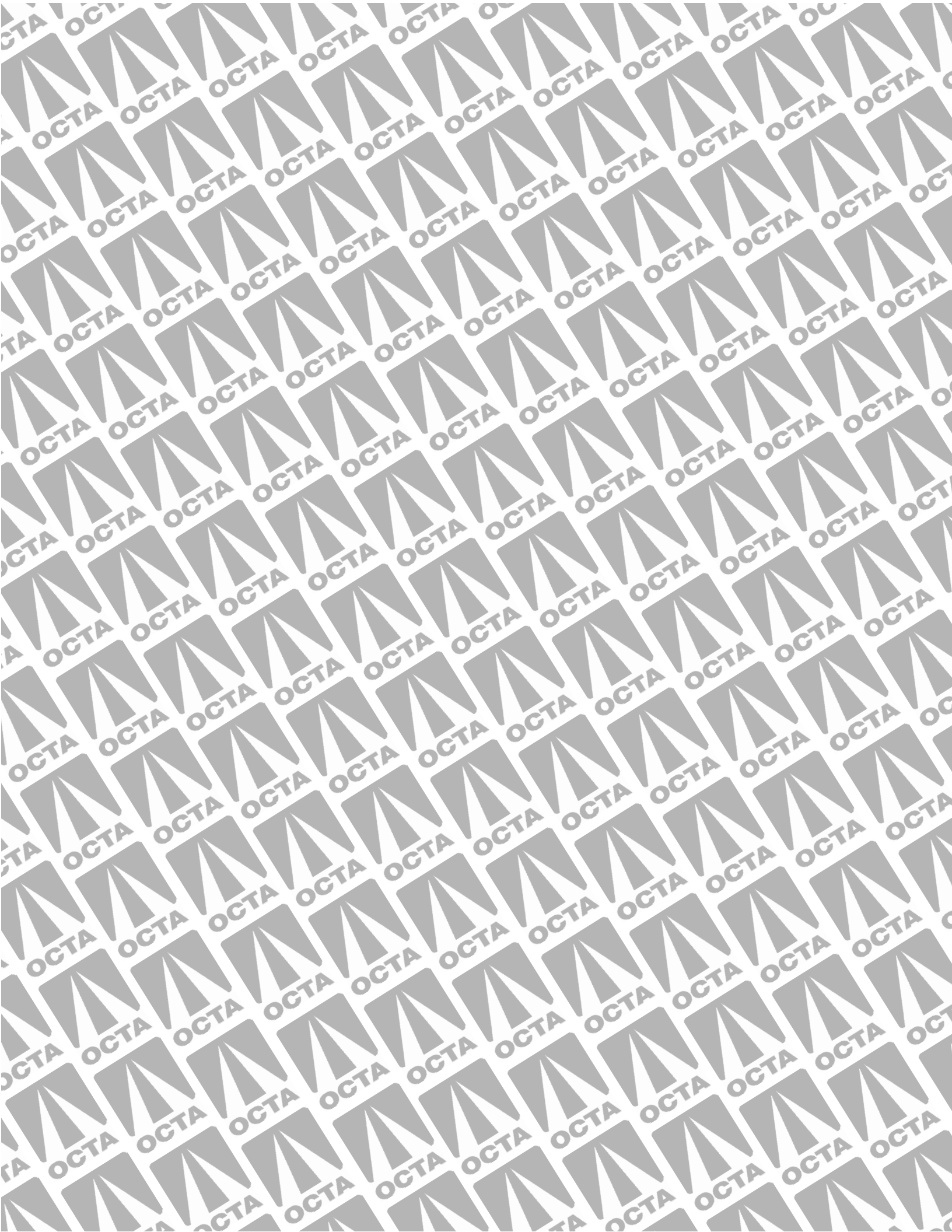


Brent Green
Governor's Ex-officio Member
Interim Director,
Caltrans District 12



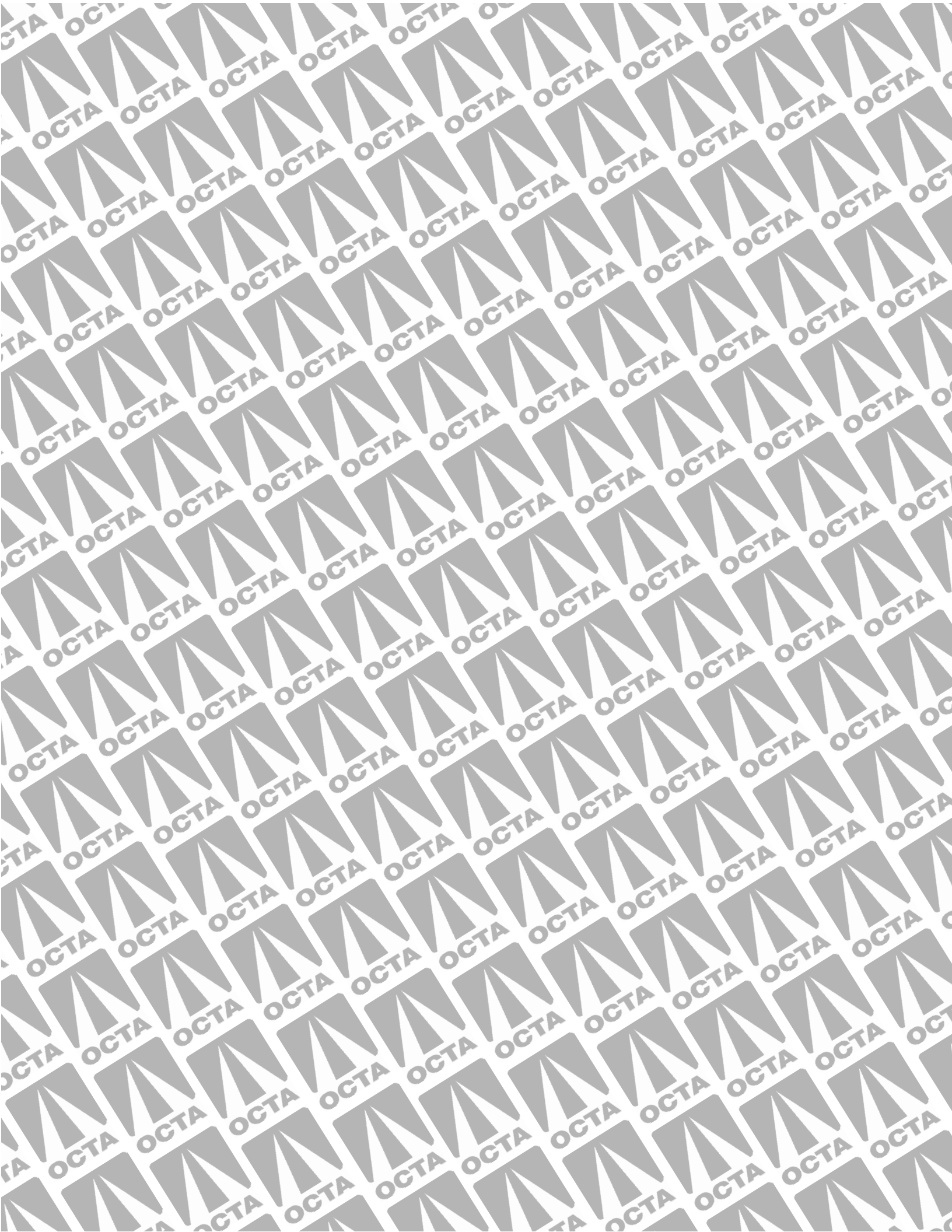








EXECUTIVE SUMMARY



Organization

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 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 and staff work in close partnership with related agencies from all levels of government as the county's advocate for transportation improvements and on-going 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

To provide Orange County residents with the highest quality transportation programs and services, OCTA is committed to its organizational vision and mission statement. It also operates within the framework of its goals and values.

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.

Vision

Provide an integrated and balanced transportation system that supports the diverse travel needs and reflects the character of Orange County.

Mission

Develop and deliver transportation solutions to enhance quality of life and keep Orange County moving.

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.

Chair's Strategic Initiatives

In concert with OCTA's Vision, Mission and Goals, the Chairman of the Board has laid out nine strategic initiatives to achieve throughout the calendar year. (*Next page*)

CHAIRMAN PAUL GLAAB'S



9 STRATEGIC INITIATIVES FOR 2012



1 IMPROVE PASSENGER RAIL SERVICE

- Expand first and last mile options.
- Enhance passenger rail stations and amenities.
- Advocate for legislative policies supporting local control along the LOSSAN corridor.



2 CREATE RIDERSHIP PROGRAMS

- Explore Metrolink market potential.
- Assess bus and rail customer satisfaction.
- Develop marketing programs to stimulate trial use of bus and rail transit.



3 EXPEDITE CAPITAL PROJECT DELIVERY

- Develop a funding strategy to fast-track M2 implementation.
- Ensure public safety and timely movement of goods and traffic by advancing the OC Bridges program.



4 BUILD COLLABORATIVE RELATIONSHIPS

- Participate in regional planning efforts.
- Create collaborative relationships with agencies that affect and influence transportation in Orange County.



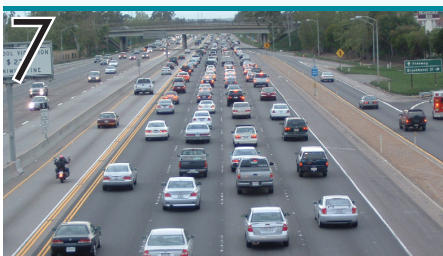
5 TAKE ADVANTAGE OF FUNDING OPPORTUNITIES

- Participate in federal reauthorization.
- Augment traditional revenues with federal, state and local grants.
- Advance Breaking Down Barriers initiative.



6 OPTIMIZE STREET AND BIKEWAY NETWORKS

- Develop bicycle plans and initiate a call for projects.
- Invest in streets and roads capacity and signal synchronization.



7 SELECT I-405 LOCALLY PREFERRED STRATEGY

- Create a dialog related to project funding alternatives.
- Discuss public-private partnerships and project delivery options.



8 SUPPORT SUSTAINABILITY INITIATIVES

- Implement M2 freeway and water quality environmental programs.
- Emphasize sustainability and environmental stewardship in projects and operations.



9 ENHANCE EFFICIENCY AND EFFECTIVENESS

- Analyze long-term options for the OCTA headquarters.
- Maximize human capital potential.
- Adopt a balanced budget that includes cost containment strategies.

Reader's Guide

The purpose of the Reader's Guide is to provide the reader with a general overview of the budget process and to offer a simple guideline to navigate through the budget document.

Budget Preparation

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 in December with revenue projections and culminates in June with a Public Hearing and Board approval of the budget. The following outlines the major steps and dates involved:

December—Preliminary revenue estimates are projected, budget targets are given to divisions, and budget system training materials are prepared.

January—Staff training manuals are distributed and training sessions are conducted. Appropriation plans are submitted by each division and subject to successive internal review to ensure conformance with established budget targets set by Executive Management.

February & March—Projected revenues are refined and compared to estimated expenditures to ensure a balance budget. Budget requests are further reviewed by an internal budget committee appointed by the Chief Executive Officer (CEO), consisting of the Deputy CEO, the Executive Director of Finance and Administration, and the 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 of Directors (BOD). 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 BOD 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 BOD 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 BOD 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 Outlay. Appropriation transfers between major objects require Board approval. Accordingly, the legal level of budgetary control, that is the level that 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 BOD. Before they can be filled, staff positions must be approved by the BOD during the annual budget process or in a separate budget amendment. The BOD 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, the 91 Express Lanes, and the Orange County Taxicab Administration Program. Special Revenue and Capital Project Funds are used to account for revenue sources restricted by regulation or Board policy.

Reader's Guide (continued)

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. The quarterly budget analysis process conducted by staff ensures the budget is on track and accurately reflects Board approved activities, projects, and programs.

Budget Format

The fiscal year 2012-13 budget is presented in three documents. The primary document, the "Orange County Transportation Authority's Fiscal Year 2012-13 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 provides a macro view of the annual budget, with the Chairman's initiatives and OCTA's vision, mission, goals and values. An overview of the budget development process, methodology, policies, economic and legislative issues facing OCTA is included. Furthermore, this section provides a brief overview of each program and service provided by the OCTA. These programs include Measure M, Bus, 91 Express Lanes, Rail, and Motorist and Taxi Services.

Financial Reports

This section details a balanced budget and the financial viability of the OCTA on both an external and internal 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 included along with the sources and uses, revenues and reserves, and expenses and designations.

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 by job family
- Division and department expenses

Appendix

The appendix includes a brief description of OCTA's funds along with a glossary of key terms.

Financial Planning Policy

The OCTA has established a set of financial policies to guide the agency in prudently managing taxpayer's dollars in an effort to deliver a variety of transportation programs and services.

In an effort to ensure the long-term stability of OCTA's transportation programs and services, the OCTA developed the Comprehensive Business Plan (CBP) which is a financially constrained 20-year blueprint that utilizes conservative economic assumptions.

The CBP encapsulates OCTA's programs and outlines their goals and objectives, as articulated by the BOD. 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 business plan is an evolving document that is updated annually in response to the ever-changing social, political, and economic environment. The CBP also lays the foundation for the annual budget development process.

In order to achieve OCTA's long-term goals, the budget team begins the budget development process by forecasting revenues utilizing the assumptions derived from the CBP. In addition, all budget requests are reviewed and analyzed to confirm they are in line with the CBP and within available funding levels to produce a balanced budget. 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.

Reader's Guide (continued)**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: OCLTA, OCTD, SAFE, 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.

This 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 substandard 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/General Manager of 91 Express Lanes
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 (GASB). 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, inter-governmental revenues, 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 inter-governmental 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.

Fiscal Year (FY) 2012-13 Budget Overview

Local Bus

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 that is 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 Local Transportation Fund ¼ cent sales tax, state funding, and passenger fares.

In the next year, it is anticipated that sales tax will increase by 6.3 percent, and State Transit Assistance (STA) will be received from the State of California. In addition, the Comprehensive Business Plan calls for a fare increase to take place in February 2013 which is necessary to ensure OCTA maintains the minimum mandated 20 percent farebox recovery ratio required for receipt of Transportation Development Act funds. It is also assumed that Federal formula grant Section 5307 funding will remain at current levels, which is consistent with the current continuing resolution.

It is anticipated that staff will recommend a small increase to current service levels (23,000 revenue hours) in the FY 2012-13 budget to allow for targeted increases in bus service frequency in high-demand corridors to address passenger demand and on-time performance. In addition, the plan to contract additional fixed-route service commensurate with coach operator attrition will continue with approximately 89,125 revenue hours of directly operated service being converted to contracted service during the fiscal year. By the end of the fiscal year, approximately 25 percent of the fixed-route service will be contracted out. A critical component to maintaining existing service levels is the continuation of STA funding. OCTA expects to receive approximately \$21.8 million in STA funding next budget year.

ACCESS

The ACCESS program provides complementary transit service to persons with disabilities as required by the Americans with Disabilities Act (ADA). Historically, service levels were increasing at double-digits rates and consuming a significant portion of the transit budget resources. The Paratransit Growth Management Strategies implemented in 2005 have helped mitigate increasing service levels. To address significant cost increases, new efforts are being implemented to adjust the service delivery model by implementing a pilot taxi trip program and other strategies that are recommended from the Transit System Study. OCTA also continues its focus on developing community partnerships to provide alternative transportation options for seniors and persons with dis-

abilities. For FY 2012-13, OCTA plans to deliver 495,089 revenue vehicle hours of primary ADA ACCESS service. The number of ADA taxi trips will increase from 171,000 to approximately 190,000 trips during the fiscal year. In addition, nearly 213,000 adult and senior services trips for eligible riders will be delivered in partnership with participating agencies which helps to contain overall ACCESS costs.

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 provide a convenient option for riders traveling as far as Riverside, Los Angeles, and parts of South Orange County.

Go Local Program/Transit Extensions to Metrolink

With two-thirds of Orange County's jobs and population within a four-mile radius of the county's 11 Metrolink stations, OCTA is making a significant investment in the Metrolink service. In February 2006, the OCTA Board of Directors approved the Go Local program to help broaden the reach of the Metrolink system by providing a link between stations and major destinations. The program is a competitive process in which local jurisdictions take the lead in defining, planning, and implementing transit extensions that branch from Metrolink stations to outlying communities and activity centers. The role of OCTA is to provide expertise in transit operations and federal funding processes and coordinate city efforts to ensure the local extensions connect seamlessly with the countywide transit network.

The Go Local Program was programmed with \$30 million of Measure M1 (M1) funds to initiate the program. All 34 Orange County cities received a \$100,000 grant for a total use of \$3.4 million to study possible transit extensions linking major activity and employment centers with a Metrolink station. Cities then developed the proposed projects with detailed planning and alternatives analysis. Initial concepts were approved to move forward by the OCTA Board of Directors in 2008 based on factors including their regional benefits, local funding commitment and ability to link a Metrolink station with cities' major population centers.

Bus and Shuttle

Service planning for the bus and shuttle projects was completed March 2011. Through the planning efforts, 35 concepts emerged and were evaluated as part of OCTA's Transit System Study to determine how they could integrate and complement service already provided by OCTA. A call for projects was released in March 2012 and pending board approval, projects are anticipated to be awarded funds for FY 2012-13.

Fiscal Year (FY) 2012-13 Budget Overview (continued)**Fixed-Guideways**

The cities of Anaheim and the joint Santa Ana and Garden Grove proposals for fixed-guideway projects were each awarded \$5.9 million in May 2008 to complete an alternatives analysis and state and federal environmental clearance as part of the program. The environmental phase for the Santa Ana/Garden Grove project is expected to be complete by early 2013. The environmental phase for the Anaheim project is expected to be complete in late 2013. Projects were awarded additional funding in November 2010 through federal grant funds and Measure M2 (M2) funding to complete necessary engineering work. Projects are being developed consistent with Federal Transit Administration New/Small Starts planning requirements to ensure eligibility for such funding sources.

It is anticipated that the fixed-guideway projects will require substantial funding beyond what the current M2 revenue allocation provides. The Cities have taken measures to re-evaluate the scope of the projects in an effort to reduce the capital costs. Current preliminary estimates for the two projects total approximately \$535 million.

Expenditures would occur between FY 2010-11 and FY 2017-18 and it is anticipated that rubber tire alternatives will also compete for the same funds. \$1.4 million is budgeted for detailed planning, alternatives analysis, conceptual engineering, and state and federal environmental clearance for the Anaheim and Santa Ana/Garden Grove fixed-guideway projects FY 2012-13. \$2.5 million is budgeted for project development and preliminary engineering for the Anaheim and Santa Ana/Garden Grove fixed-guideway projects in FY 2012-13. Go Local Transit Extensions to Metrolink has a total project amount of \$5.2 million budgeted in FY 2012-13.

Senior Mobility Program

Authorized by the OCTA Board of Directors 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.

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, 25 cities and four non-profit agencies, including Abrazar, Inc., Jewish Federation and Family Services of Orange County, the Korean American Senior Association of Orange County, and the Vietnamese Community of Orange County have chosen to participate in the SMP.

Participating cities include: Anaheim, Brea, Buena Park,

Costa Mesa, Cypress, Fullerton, Garden Grove, Huntington Beach, Irvine, Laguna Hills, Laguna Niguel, Laguna Woods, La Habra, Lake Forest, Newport Beach, Orange, Placentia, Rancho Santa Margarita, San Clemente, Santa Ana, Seal Beach, Stanton, Tustin, Westminster and Yorba Linda.

The SMP is funded with one percent of M2 net revenues under Project U. Funding for the four non-profit SMP participants comes from Transit Development Act Article 4.5. The allocations have been determined based on criteria and requirements for the SMP adopted by the OCTA.

Jobs Access Reverse Commute (JARC) and New Freedom Program

The Federal Transit Administration (FTA) provides funding for transportation programs to serve persons of low income, seniors and persons with disabilities under the Section 5316 Job Access Reverse Commute (JARC) and Section 5317 New Freedom programs. Nearly \$7.3 million in JARC and New Freedom funding was awarded to 12 programs in June 2009. In fall 2011, \$4.3 million was awarded to extend these programs through 2013, and a competitive application process concluded with the OCTA Board of Directors awarding nearly \$4.7 million in JARC and New Freedom funding to five additional programs.

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 Valley, County of Orange/Office on Aging, Dayle McIntosh Center, Irvine Unified School District, Jewish Family Services of Orange County, North Orange County Community College District, Orange County Transportation Authority, St. Anselm's Cross Cultural Community Center, University of California, Irvine, Vietnamese Community of Orange County and Women Helping Women.

Under both 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 expenditures.

Metrolink Commuter Rail Service

The Metrolink Commuter Rail service is operated as a Joint Powers Authority (JPA) by the Southern California Regional Rail Authority (SCRRA). The JPA is comprised of the following five member agencies: Ventura, Los Angeles, San

Fiscal Year (FY) 2012-13 Budget Overview (continued)

Bernardino, Riverside, and Orange. Each of the participating agencies contributes a proportional subsidy to SCRRA for operating the Metrolink service along their respective rail lines. There are three lines which serve Orange County and provide a total of 48 trains each weekday, serving eleven city-owned Orange County stations, carrying an average of more than 14,000 daily passengers.

Metrolink Service Expansion Plan

In November 2005, the OCTA adopted the Metrolink Service Expansion Program (MSEP) to operate additional train service between the Fullerton Transportation Center and Laguna Niguel/Mission Viejo Metrolink Station. OCTA continues to invest in rolling stock and rail infrastructure improvements required to operate the service. This budget includes \$16 million for rolling stock and \$10.9 million for the Grade Crossings and Quiet Zones program.

The primary focus of the MSEP is the implementation of additional train service between the Laguna Niguel/Mission Viejo and Fullerton stations along the OC Line. The number of weekday train trips along the OC Line has increased from 19 trips per day to 25 when new service was added in the summer of 2011. The new service altered the perception of the OC Line, allowing it to serve not only as the long and short distance commuter service, but also as a viable intracounty transportation alternative linking Laguna Niguel, Irvine, Tustin, Santa Ana, Orange, Anaheim and Fullerton.

In an effort to promote this service and improve connectivity between bus and rail service in Orange County, the Board approved a promotional intra-county transit pass valid for travel on all OCTA local bus and Metrolink service in Orange County. The new intra-county pass will be valid on local bus routes as well as Metrolink trains operating between the 11 Orange County Metrolink stations from Buena Park to San Clemente. Implementation of this pass is intended to encourage new ridership and augment fare revenue.

OC Bridges Program

OCTA is working to improve traffic flow and safety on our streets by building a series of bridges – both underpasses and overpasses – to separate car traffic from trains. These improvements are comprised of seven railroad grade separation projects along the Orangethorpe railroad corridor in the cities of Anaheim, Fullerton, and Placentia. Project locations include underpasses at Raymond Avenue, State College Boulevard, Placentia Avenue, and Kraemer Boulevard, and overheads at Orangethorpe Avenue, Tustin Avenue/Rose Drive, and Lakeview Avenue. The total approved funding for all seven projects is \$590 million with the program construction

beginning mid 2011 and extending through 2016. The FY 2012-13 budget includes \$102 million in expenditures to advance this effort.

Grade Crossing Safety Enhancements

As part of a planned increase in passenger and freight traffic on the three rail lines in Orange County, a renewed focus was placed on at-grade rail-highway crossing enhancements. The program covers 50 crossings on the OCTA-owned right-of-way known as the Orange and Olive subdivision. The program focuses on the safety improvements such as: constructing new medians to deter vehicles from driving around the lower gates, adding new crossing gate arm to deter motorist from crossing the tracks when a train is passing, upgrading traffic signals to eliminate danger of vehicle stalling on the tracks, constructing pedestrian swing gates and railing and complying with the ADA requirements to deter pedestrians from trespassing and crossing the tracks illegally. The total approved funding for this project is \$93 million and the program construction is substantially complete as of December 2011 with project close-out activities currently underway. The FY 2012-13 budget includes \$10.9 million in planned expenditure related to the Grade Crossing Safety Enhancements program.

Measure M1 (M1)

The original M1 ordinance was passed by the voters of Orange County back in 1990. This ordinance was a 20 year program for local transportation improvements funded by a half cent sales tax ending in March 2011. The sales tax was allocated with 43 percent dedicated to improve freeways, 32 percent to local streets & roads, and 25 percent for transit projects. Since its inception, M1 has kept its promise expending over \$4 billion. The freeway improvements have been the cornerstone of the M1 program responsible for delivering the reconfiguration of the El Toro Y where the Santa Ana Freeway (I-5) and the San Diego Freeway (I-405) meet. In addition, M1 provided much needed improvements on the Riverside (SR-91), Orange (SR-57), Costa Mesa (SR-55) and the I-5 freeways. In 2007, the Garden Grove Freeway (SR-22) Improvement Project reached a milestone with the opening of new lanes, including the county's first continuous access high occupancy vehicle lanes, from the SR-55 to Valley View Street. A design-build project located in the heart of Orange County, the SR-22 project modernized and increased capacity on the county's key east-west corridor.

Orange County cities have benefited from receiving 21 percent of M1 funds for local streets and roads. These funds represent approximately 50 percent of the money used by the cities to cover the costs to fix potholes, coordinate traffic

Fiscal Year (FY) 2012-13 Budget Overview (continued)

signals, and repair and maintain streets through a competitive process. At the conclusion of the ordinance, more than \$1 billion in local street improvements will have been delivered. M1 has also devoted 11 percent of funds to making major arterials streets such as Beach Boulevard, Katella Avenue and Imperial Highway, work more efficiently as “Smart Streets” with more lanes, dedicated turn lanes, coordinated signals and better functioning intersections.

In addition, M1 has contributed funds to pay for the Metrolink commuter rail services, and the OCTA Board of Directors approved the expansion plan for Metrolink service. Furthermore, the transit component of the M1 has also provided bus fare discounts for seniors and persons with disabilities. As M1 comes to a successful conclusion, OCTA will continue delivering transportation improvements to Orange County with the beginning of M2.

Measure M2 (M2)

On November 7, 2006, the voters of Orange County chose to continue 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.

Early Action Plan

In August 2007, the OCTA Board of Directors approved the M2 Early Action Plan (EAP). The goal of the plan was to advance M2 projects during FY 2006-07 through FY 2011-12 prior to commencement of sales tax collections. A financial plan to provide funding for these projects was adopted by the OCTA Board of Directors on November 9, 2007, and \$400 million in tax exempt commercial paper was secured. Despite an economic recession that has led to an approximate 40 percent reduction in program revenue, OCTA made significant progress implementing the plan through aggressively seeking additional grant funding and a competitive construction market. With the EAP more than halfway complete, the Board also approved a Capital Action Plan to further expand the scope of the EAP in July 2010.

Capital Action Plan

The Capital Action Plan (CAP) has increased the scope of the EAP to include other priority OCTA capital projects. These projects will include freeway improvement projects, transit capital projects, and rail transit projects. These and other critical capital projects will now be captured in a more comprehensive capital program document that will ensure coordinated project delivery, and decision making with respect

to resource management, funding and procedures.

Plan of Finance

In November 2010, the Board of Directors approved the issuance and sale of M2 sales tax revenue bonds to fund various program expenditures over the next three years. The bond proceeds were used to repay \$75 million of the outstanding tax-exempt commercial paper program and funded approximately \$268 million in project expenditures.

The Freeway Program received \$53 million in bond proceeds for Freeway Environmental Mitigation expenditures. Another \$95 million was allocated for Grade Separation expenditures within the Streets and Roads Program. The Transit Program received \$120 million to fund expenditures related to High Frequency Metrolink Service, Metrolink Gateways, and Transit Extensions to Metrolink.

Proposition 1B

In November 2006, California voters approved Proposition 1B, which provides \$19.9 billion to enhance transportation infrastructure statewide. There are several funding components contained within the Proposition 1B that will benefit OCTA on a formula basis and help support many future capital projects. The funding elements in the proposition include the Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA) \$3.6 billion, Transit System Safety, Security and Disaster Response Account Program (TSSSDRA) \$600 million, the Corridor Mobility Improvement Account (CMIA) \$4.5 billion, and Transportation Corridor Improvement Fund (TCIF), which contains \$2 billion in funding. Additional funding elements in the proposition include State-Local Partnership Programs (SLPP) \$1 billion and Traffic Signal Synchronization Program (TSLP) \$250 million.

Freeway Projects*West County Connectors*

In November 2006, OCTA successfully completed the first phase of the Garden Grove Freeway (SR-22) Improvement Project. This SR-22 Design-Build Project spans across 12 miles of freeway from the SR-55 freeway to the I-405 freeway, and is a vital east-west route linking five major freeways and several arterial corridors in central Orange County.

With the first phase complete, OCTA began the second phase known as the West County Connectors in FY 2007-08. This phase of the project spans a distance of 2.5 miles through the communities of Garden Grove, Westminster, Seal Beach, Rossmoor, Los Alamitos, and Leisure World. The West County Connectors project will extend the carpool

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lanes from the SR-22/Valley View Street Interchange to the San Diego (I-405) and San Gabriel (I-605) freeways, add high occupancy vehicles (HOV) direct connectors between SR-22/I-405/I-605 freeways, reconstruct the Valley View Street and Seal Beach Boulevard bridges, add soundwalls, and additional landscaping and hardscape elements. The FY 2012-13 budget includes \$10 million in expenditures related to the West County Connectors Project primarily for construction management, city support services, right-of-way capital, and outreach. The project cost is expected to be \$277 million (in 2011 dollars), with the design and construction funded using \$87 million in Congestion Mitigation and Air Quality (CMAQ), \$135 million in Corridor Mobility Improvement Act (CMIA) dollars, \$50 million from the American Recovery and Reinvestment Act of 2009, and \$5 million in local funds.

Orange Freeway (SR-57) — Northbound

In an effort to improve traffic flow along the northern section of the SR-57, OCTA, in cooperation with Caltrans, will add a northbound lane from north of the Riverside Freeway (SR-91) near Orangethorpe Avenue in the City of Placentia and Lambert Road in the City of Brea, as well as between Katella Avenue and Lincoln Avenue in Anaheim. These improvements will reduce congestion and increase traffic flow. The project will be delivered in two segments 1) Orangethorpe Avenue to Yorba Linda Blvd and Yorba Linda Blvd to Lambert; 2) Katella Avenue to Lincoln Avenue. For FY 2012-13 the construction and project management is anticipated to be \$3.5 million. Right-of-Way (ROW) support services, design and outreach will total \$5.8 million. Furthermore, there is \$6.5 million for improvements to the Lambert interchange and addition of a northbound truck climbing lane between Lambert and Tonner Canyon Road related to Orangewood Avenue to Katella Avenue and Lambert-Tonner Canyon. The total project cost is estimated at \$258.7 million, with funding provided with Corridor Mobility Improvement Account (CMIA) Program funds and Measure M2 funds.

SR-91 Freeway

OCTA has various improvement projects taking place along the SR-91 Freeway including:

- 1) the segment between the I-5 to the SR-57, which will provide an additional general purpose lane on the SR-91 westbound direction and make operational improvements to corresponding on-and-off ramps, project completion is scheduled for December 2015;
- 2) the segment between Tustin Avenue and SR-55 interchange, which will add a westbound auxiliary lane

beginning at the northbound SR-55 to westbound SR-91 connector through the Tustin Avenue interchange. The project is intended to relieve weaving congestion in this section. Project completion is scheduled for June 2015;

- 3) the segment between SR-55 to the SR-241/East of Weir Canyon, which will provide additional general purpose lane on the SR-91 eastbound and westbound directions and project completion is scheduled for January 2013; Furthermore, the segment between SR-241 and the Chino Valley Freeway (SR-71), was complete in FY 2010-11 and provides an additional general purpose lane on the SR-91 eastbound direction.

OCTA is working closely with Caltrans to meet these planned objectives. This fiscal year, OCTA plans to invest over \$17 million for the plans, estimates and specifications, surveying, right-of-way capital, project development, construction and construction management, and planning studies to continue efforts in relieving congestions along the SR-91 corridor.

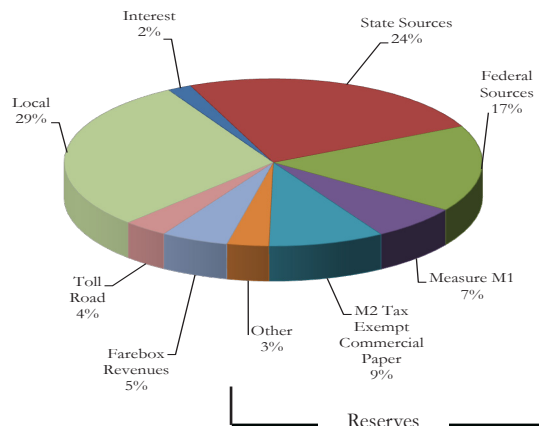
Environmental Mitigation Program

A minimum of 5 percent of the M2 Freeway Program budget will be available, subject to a master agreement, to provide for comprehensive, rather than piecemeal, mitigation of the environmental impacts of freeway improvements. This freeway program is formally called the Mitigation and Resource Projection Program. Using a proactive, innovative approach, the master agreement negotiated between state and federal resource agencies and the OCTA will provide higher-value environmental benefits such as habitat protection, wildlife corridors and resource preservation in exchange for streamlined project approvals for the freeway program as a whole. Freeway projects also will be planned, designed, and constructed with consideration for their aesthetic, historic, and environmental impacts on nearby properties and communities using such elements as parkway-style designs, locally native landscaping, sound reduction, and aesthetic treatments that complement the surroundings. The FY 2012-13 budget includes \$17.2 million for property acquisition, funding restoration projects, interim management, and start-up costs.

Fiscal Year (FY) 2012-13 Budget Overview (continued)

Sources of Funds

Total sources of funds are a combination of \$870.7 million in revenue and the planned use of \$204.1 million in reserves for a total of \$1,074.8 million. The proceeding discussion highlights each funding source within these categories.



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 \$55.9 million in FY 2012-13.

Local Sources

It is anticipated that OCTA will receive \$316.5 million from local sources in FY 2012-13. The majority of the local sources come from the 1/2 cent sales tax receipts collected by the M2 ordinance (\$267.2 million). Additional local sources include gas tax revenues, property tax, advertising revenue, and contributions for projects from local jurisdictions.

Interest Income

It is projected that OCTA will earn \$20 million in interest income on its investment portfolio in FY 2012-13. The majority of funds available for investment are earmarked for M1 projects, M2 projects, Metrolink Service Expansion Program capital improvements, and Measure M2 Bond Debt Service which is the interest earnings associated to Build America Bonds. Interest earnings are projected at a conservative earnings rate of 1.5 percent.

State Sources

It is expected that \$261.6 million will be received from state sources in FY 2012-13. The one-quarter cent Transportation

Development Act (TDA) sales tax (\$142.6 million) and the State Transit Assistance Fund (STAF) (\$21.8 million), represent the two main revenue sources that help to finance the operations and administration of the bus program.

State sources also include \$7.1 million in Proposition 116 funds and \$49.4 million in Proposition 1B funds. The Proposition 116 funds will be used primarily for the grade crossing and quiet zone program close out, audible warning system (AWS), and the construction management of an undercrossing at Sand Canyon Avenue in the City of Irvine. Proposition 1B funds will also be used for the Measure M2 regional capacity grant payments, construction of seven railroad grade separations as part of the OC Bridges Program, construction of the Sand Canyon Avenue grade separation, rolling stock associated with the MSEP, and design, construction, and management services for the Placentia Metrolink Station. The balance of State sources will be utilized for various transit projects.

Federal Sources

Federal grant funds are allocated on a formula and competitive basis for various capital projects. OCTA anticipates receiving \$179.6 million from federal sources in FY 2012-13. Of this amount, \$85.3 million is comprised of federal operating assistance grants associated with bus operations, capital cost of contracting and other transit program initiatives. Also included in the budget is \$57.8 million of federal grants to fund the grade separation projects. The balance of federal grants will fund projects such as the Placentia Metrolink Station, I-5 related freeway projects, Irvine Transportation Center Master Plan, and LOSSAN Slope stabilization and rail related projects.

Toll Revenues

As owner of the 91 Express Lanes, OCTA collects toll revenue and transponder fees. Toll revenues are estimated at \$37.1 million for FY 2012-13, which includes toll road fee income projected at \$6.9 million.

Reserves

In prior years, OCTA has set aside revenue for future capital and service requirements. OCTA will utilize \$204.1 million of these funds as a planned use of reserves in FY 2012-13. A draw on M1 cash reserve balance of \$73.3 million is planned to fund grant payments to local jurisdictions for projects awarded competitively, the I-5 Gateway project, the Metrolink Service Expansion Plan, station improvements, and the Anaheim Regional Transportation Intermodal Center project. \$96 million will be drawn from M2 Build America Bonds to advance Capital Action Plan projects. In addition, \$32.9 million of reserves will be utilized from the Commuter and

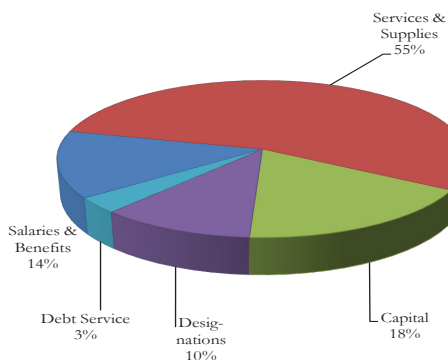
Executive Summary

Fiscal Year (FY) 2012-13 Budget Overview (continued)

Urban Endowment (CURE) to cover Metrolink operations and capital improvements. \$1.8 million in additional reserves will be drawn to fund the Service Authority for Abandoned Vehicles program, Article 3 Bikeway and Pedestrian facilities, and fixed asset purchases.

Uses of Funds

The expenditures projected for FY 2012-13 are expected to reach \$1,074.8 million, with \$116.3 million designated for future use. Appropriations are allocated in five categories and summarized below.



Salaries & Benefits

This category includes the cost for salaries and employee benefits. \$147.9 million will be expended in this category which represents a 0.4 percent or \$0.1 million increase over the FY 2011-12 expenditures. Growth in the salary and benefit budget is relatively flat due to the reduction in budgeted headcount from 1,567 to 1,518. The reductions include 51 Coach Operator positions. These reductions are consistent with the plan to contract additional service commensurate with coach operator attrition.

Services & Supplies

These items include appropriations for the purchase of services (e.g., engineering, design, legal, and audit services) and supplies (e.g., fuel, office supplies, training, and travel). Total budgeted services and supplies for FY 2012-13 is \$586.1 million with \$300 million related to contributions to other agencies for the M2 Local Fair Share, Anaheim Regional Transportation Intermodal Center, M2 Regional Capacity Program grant payments, Environmental Mitigation Program, Metrolink Service Expansion program and on-going operations, M1 Turnback and Combined Transportation Funding program, MSEF, and Rolling Stock

Debt Service

Debt service requirements for FY 2012-13 will be \$35.2 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, interest, and related costs.

Capital & Fixed Assets

This category of expenses includes all capital equipment purchases (\$5,000 minimum and an initial useful life in excess of one year), vehicle procurements, freeway and capital construction projects, and right-of-way acquisitions totaling \$189.1 million. The majority of the capital investments will be made in the following projects: grade separation projects, environmental mitigation, SR-57 Northbound Freeway projects, SR-91 Freeway projects, and construction of the Placentia Metrolink Station.

Designation of Funds

Funds in this category are set-aside for future use. The FY 2012-13 has \$116.3 million in designations, of which \$62.1 million is M2 sales tax to be used for future Capital Action Plan projects. \$39.6 million will be designated for future bus purchases. \$11.9 million in toll revenue will be set aside for the future SR-91 capital projects. A breakdown of the sources and uses of funds is provided on the proceeding page.

External Sources and Uses Summary*

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5100 Passenger Fares	50,706,288	50,722,116	55,854,528
5300 Charges for Services	0	908,164	165,885
5500 Tollroad Revenue	41,837,482	41,813,159	37,080,222
6010 State Transit Assistance	-26,736	6,964,174	2,519,057
6020 State Assistance	20,388,987	55,973,000	56,552,658
6030 Federal Operating Assistance Grants	79,284,271	79,333,309	85,298,523
6040 Federal Capital Assistance Grants	3,745,179	128,109,590	94,323,089
6050 Reimbursement from Other Agencies	8,667,274	27,303,516	13,570,271
6055 Gas Tax Exchange	23,000,004	23,000,004	23,000,004
6100 Property Taxes	10,736,088	11,018,167	11,018,167
6110 License Fees	649,651	597,381	676,581
6200 Interest Income	28,766,043	12,886,344	19,968,323
6300 Other Non-operating Revenue/Expense	13,527,813	12,412,158	11,826,108
6550 Proceeds Sale of Capital Asset	4,300	536,674	0
6900 Bond Proceeds	358,593,306	0	0
9200 Non-Proprietary Fund Account	345,436,297	417,007,736	458,803,784
Subtotal Revenues	\$ 985,316,247	\$ 868,585,492	\$ 870,657,200
Use of Reserves	201,467,863	236,699,722	204,124,573
Total Sources	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773
Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7100 Wages, Salaries and Benefits	141,118,216	147,338,289	147,959,778
7300 Purchased Transportation Services	58,800,589	70,361,685	74,643,046
7500 Professional Services	105,408,738	138,151,762	160,324,542
7540 Insurance Claims/Premiums	7,376,854	11,072,542	13,294,230
7600 General and Administrative	10,987,978	12,708,347	13,418,472
7700 Maintenance Parts and Fuel	17,811,806	21,913,832	24,464,447
7800 Contributions to Other Agencies	219,604,169	321,762,807	299,977,597
8111 Interest Expense	18,398,204	29,245,861	28,835,411
8112 Principal Payment On Long Term Debt	82,795,000	0	6,410,000
8240 Transfers to Outside Agencies	120,681,544	226,452,716	189,115,424
Subtotal Expenses	\$ 782,983,098	\$ 979,007,841	\$ 958,442,947
Designations	403,801,012	126,277,373	116,338,826
Total Uses	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773

*Interfund transfers and management fees excluded. These revenues / expenses represent the internal transfer of funds and do not reflect expenditures made outside the Authority.

Executive Summary

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 below highlights the FY 2012-13 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	System Total
Service Provided	Vehicle Hours (VH)	1,325,748	409,423	577,066				2,312,237
	Vehicle Miles (VM)	17,360,933	6,944,055	9,194,550				33,499,538
	Revenue Hours (RVH)	1,229,406	323,468	495,089				2,047,963
	Revenue Miles (RVM)	14,795,427	4,721,657	7,507,406				27,024,490
Passenger Usage	Boardings	47,537,013	4,359,763	1,029,634	190,000	56,063	212,707	53,385,180
	Boardings per VH	35.86	10.65	1.78				23.09
	Boardings per VM	2.74	0.63	0.11				1.59
	Boardings per RVH	38.67	13.48	2.08				26.07
	Boardings per RVM	0.31	1.08	7.29				0.51
Operating Costs	Costs	\$175,055,240	\$36,144,661	\$45,041,648	\$7,417,707	\$480,460	\$3,392,932	\$267,532,648
	Cost per VH	\$132.04	\$88.28	\$78.05				\$115.70
	Cost per VM	\$10.08	\$5.21	\$4.90				\$7.99
	Cost per RVH	\$142.39	\$111.74	\$90.98				\$130.63
	Cost per RVM	\$11.83	\$7.66	\$6.00				\$9.90
	Cost per Boarding	\$3.68	\$8.29	\$43.75	\$39.04	\$8.57	\$15.95	\$5.01
Fare Revenues	Revenue	\$46,013,399	\$5,108,783	\$4,870,963				\$55,993,145
	Revenue per VH	\$34.71	\$12.48	\$8.44				\$24.22
	Revenue per VM	\$2.65	\$0.74	\$0.53				\$1.67
	Revenue per RVH	\$37.43	\$15.79	\$9.84				\$27.34
	Revenue per RVM	\$3.11	\$1.08	\$0.65				\$2.07
	Revenue per Boarding	\$0.97	\$1.17	\$4.73				\$1.05
Farebox Recovery Ratio		26.29%	14.13%	10.81%				20.93%
* Taxi Service and Special Agency passenger usage and related metrics are reported in terms of trips.								

Note: Farebox recovery ratio is used to determine the amount of costs that are recovered from passenger fares. 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.

Legislative Issues

Throughout the year, staff monitors the progress of legislation and proposed regulations that may affect state or federal transportation revenues and policies. Through staff analysis and Board directed advocacy, OCTA seeks to influence the outcome of pending legislation, budget and funding requests, and regulatory proposals. The issues listed below are those that, at this time, may have the greatest potential impact on OCTA.

State Activities

While previous adopted budgets devastated state support for transit operations, mid-year budget actions in fiscal year 2010-11 restored funding for transit operations and protected other sources of transportation funding. This funding is further protected by Proposition 22 (2010) and ratified under the requirements of Proposition 26 (2010). With the requirements of AB 32 (Chapter 488, Statutes of 2006) and SB 375 (Chapter 728, Statutes of 2008), related to reduction of greenhouse gas emissions, in full effect, maintaining this funding is vital to ensure the successful implementation of these efforts. As the state continues to grapple with ongoing deficits, OCTA will need to be vigilant about protecting these critical funding sources for our operations.

Infrastructure Bonds

With the state of the credit market, the implementation of the Proposition 1B (2006) and other bond programs such as Proposition 116 (1990) and Proposition 1A (2008) will need to be monitored closely to ensure that the state's funding and bond issuance challenges do not impact project delivery. OCTA will also advocate to support transportation bonds as a priority in any future state bond sales. Lastly, it is critically important to support efforts to provide flexibility in project implementation, allowing local agencies to partner in new and unique ways with the state to continue to move projects forward.

Implementation of Environmental Regulations

As the state moves forward with the implementation of AB 32 and SB 375, ongoing sources of funding for implementation will need to be considered and implemented. In addition, consistent with OCTA's federal efforts, at the state level, OCTA will look for ways to expedite project delivery and reduce barriers to implementation. Lastly, as the state moves forward with future regulatory efforts for transportation, OCTA will advocate for regulations that are evaluated to ensure they are both technologically and economically feasible.

Project Delivery

OCTA will need to continue to support efforts to maintain alternative project delivery authority such as public private

partnerships, design-build authority, construction manager/general contract authority, and other innovative project delivery methods to ensure successful implementation and continued availability for use in the future.

Los Angeles-San Diego-San Luis Obispo (LOSSAN)

OCTA will work with its regional partners to improve passenger rail services on the LOSSAN corridor through the development of a joint powers authority to local administer intercity rail service currently administered by the California Department of Transportation (Caltrans). A key priority for this effort will be to maintain state funding for intercity rail.

Federal Activities

In fiscal year 2012-13, OCTA will focus on the passage of transportation reauthorization legislation, annual appropriations for highway and transit infrastructure, homeland security, as well as a permanent continuation of the alternative fuel tax credit. OCTA will also continue developing valuable relationships with key congressional transportation leaders in the 112th Congress and upcoming 113th Congress in order to continue strengthening relationships with the Orange County and California delegations in Congress.

The recent economic crisis has generated opportunities to gain support for breaking down the barriers to rapid project implementation as a means of creating needed jobs in the economy. In this regard, OCTA will support federal legislative and regulatory actions which accelerate funding for transportation infrastructure projects and thereby create additional jobs and economic activity in Orange County.

Congress is attempting to pass a new authorization of the federal surface transportation bill to succeed the SAFETEA-LU, which expired on September 30, 2009, and has now been continued until June 30, 2012. A reauthorization until September 30, 2013, called Moving Ahead for Progress in the 21st Century, has passed the Senate and is being conferenced with a shorter term House reauthorization bill. SAFETEA-LU included a significant level of funding for OCTA and authorized funding for critical highway and transit projects. OCTA will advocate that any new reauthorization bill contain a stable, reliable and predictable level of funding which returns a fair share of gas tax revenues to Orange County. There are also a number of vital infrastructure projects that continue to require authorization to address specific highway, rail, and transit needs throughout the county and Southern California region. OCTA will continue to seek authorization and funding for key transportation projects of regional and national significance, including improvements to the I-405 and Go Local Fixed Guideway New Starts in

Executive Summary

Legislative Issues (continued)

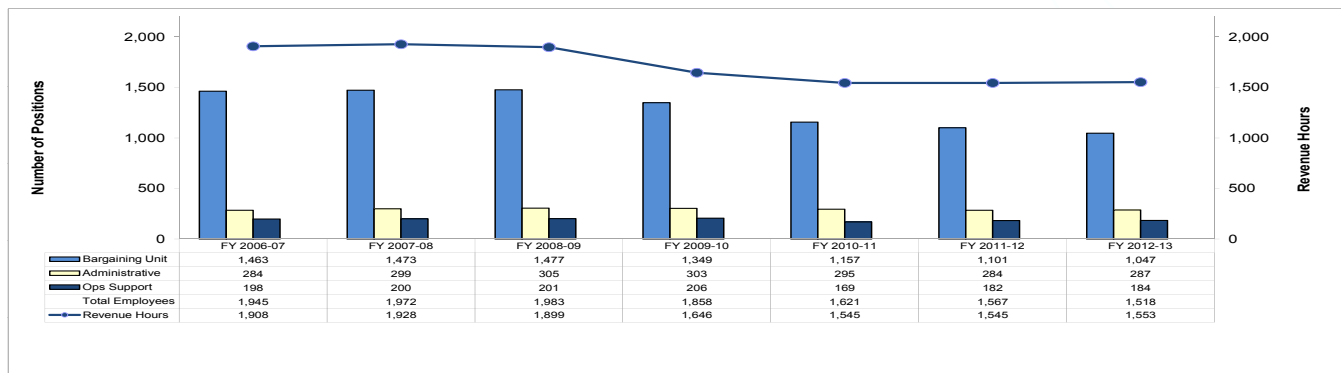
Anaheim and Santa Ana. Each of these projects will benefit the entire Southern California region. OCTA intends to provide over 50 percent of funding from state, local and private sources. These efforts are intended to return a fair share of federal tax revenues to Orange County for projects with a strong local match of funds.

Staffing Plan

OCTA's historical staffing and revenue vehicle hours (RVH) is presented on the chart below. OCTA's staffing levels has been decreasing proportionately with the reductions in revenue vehicle hours caused by the economic recession of 2007. During the recession, OCTA began experiencing a significant decrease in sales tax revenue, state transit assistance, and passenger fares. In an effort to deliver a sustainable level of service, the OCTA Board implemented an aggressive service reduction plan in 2008 that led to 20 percent less fixed route service. Since this time, revenue vehicle hours decreased from 1.93 million to 1.55 million. As a result the union and admin-

istrative positions have been right-sized appropriately. For FY 2012-13, the total headcount has decreased by a net amount of 49 positions over previous years levels. The 49 is the result of the following personnel actions:

- Coach Operator reductions (-51)
- Maintenance position reductions (-3)
- New Administrative positions (+5)
 - ◊ Program Manager to support the I-405 Freeway project
 - ◊ Contract Administrator, Principal to support the I-405 project procurement efforts
 - ◊ Business Computing Solutions Specialist, Senior to support the HASTUS software upgrade implementation
 - ◊ Transit Project Manager II to support implementation of all Transit technical projects
 - ◊ Emergency Management Specialist, Senior to support the Threat Assessment and Transit Security Initiatives.



Department Staffing

Division / Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Executive Office</u>			
Executive Office - CEO	4	5	5
Internal Audit	6	6	6
Clerk of the Board	5	4	4
Subtotal Executive Office	15	15	15
<u>Finance & Administration</u>			
Executive Director, Finance & Admin	4	4	4
Accounting and Financial Reporting	24	24	24
Financial Planning and Analysis	12	12	12
Contracts Administration & Material Management	60	58	59
Information Systems	36	36	37
General Services	18	18	18
Treasury Department	2	2	2
Tollroad	3	3	3
Subtotal Finance & Administration	159	157	159
<u>External Affairs</u>			
Executive Director, External Affairs	4	3	3
Marketing	11	11	11
Customer Relations	14	0	0
OCTD Marketing	1	8	8
Public Communications	8	10	10
Vanpool	0	3	3
Rideshare	1	1	1
Strategic Communications	0	4	4
Subtotal External Affairs	39	40	40
<u>Human Resources & Organizational Development</u>			
Human Resources	19	19	19
Training and Development	4	4	4
Risk Management	7	7	7
Workforce Development	2	3	2
Labor & Employee Relations	5	5	5
Management Services	0	0	1
Safety	6	6	6
Subtotal Human Resources & Organizational	43	44	44

Continued next page...

Executive Summary

Department Staffing

Division / Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Transit</u>			
O.C. Taxicab Administration Program	4	4	4
Motorist Services	2	3	3
Executive Director, Bus Operations	3	3	3
Bus Operations	973	923	871
Community Transportation Services	10	11	12
Maintenance	276	266	263
Service Planning and Customer Advocacy	9	12	12
Transit Programs Management	5	5	6
Security Assessment	1	2	3
Subtotal Transit	1,283	1,229	1,177
<u>Government Relations</u>			
Director, Government Relations	9	9	9
Subtotal Government Relations	9	9	9
<u>Planning</u>			
Executive Director, Planning	2	3	3
Director, Strategic Planning	4	4	4
Planning and Analysis	22	21	21
Capital and Local Programs	9	9	9
Subtotal Planning	37	37	37
<u>Capital Programs</u>			
Executive Director, Capital Programs	8	8	8
Rail	11	11	11
Highway Programs	17	17	18
Subtotal Capital Programs	36	36	37
Total Authority	1,621	1,567	1,518

Fiscal Year 2011-12 Accomplishment Highlights

The Orange County Transportation Authority was able to accomplish many important goals during FY 2011-12. The OCTA is proud to have honored its commitment to the citizens of Orange County as set forth in the following achievements:

- Awarded \$56 million in funds to 46 regional capacity projects that will help highway gap closures.
- Expanded Metrolink rail service to include six new trains on weekdays and expanded seasonal service on weekends during the summer.
- Preserved five properties totaling 945 acres of wilderness habitat through OCTA's Freeway Environmental Mitigation Program. This effort will conserve and restore Orange County's natural habitat while planning for current and future transportation needs.
- Completed and the Board approved the OCTA Strategic Plan in February 2011.
- Provided real-time on-line public access to the Board meetings through OCTA's website.
- Completed first ever submission of audit work for consideration of award to the Association of Local Government Auditors – results.
- Managed a billion dollar fixed income portfolio which included the monitoring of six private sector investment managers.
- Restructured Measure M2 commercial paper program and secured a new Letter of Credit facility.
- Adopted the OCTA's 2012 Investment Policy.
- Received a rating upgrade to "AA+" by Fitch Ratings for the M2 program.
- Outperformed the Merrill Lynch 1-3 Year Treasury Index by 48 basis points.
- Executed a Cooperative Agreement with Riverside County Transportation Commission regarding the extension of the 91 Express Lanes into Riverside County.
- Earned the GFOA Certificate of Achievement for Excellence in Financial Reporting for the FY 2009-10 Comprehensive Annual Financial Report.
- Won the "Achievement of Excellence in Procurement" award sponsored by the National Purchasing Institute.
- Implemented a new collective bargaining agreement with TCU employees and named first TCU employee as "Employee of the Month."
- Completed ten large business application upgrades and seven business unit required enhancements to OCTA's mission critical systems. Completed pilot implementation of virtual desktops that proved its feasibility.
- Implemented new security upgrades at bases.
- Prepared the FY 2012-13 Annual Budget without an unplanned use of reserves, which is also consistent with the Comprehensive Business Plan and Board approved goals, policies and procedures.
- Maximized OCTA's revenues by effectively administering all revenue programs (5307 grant program, 5309 grant program, TDA, Property Tax, etc.)
- Earned the Certificate of Achievement for Excellence in Budgeting from the California Society of Municipal Finance Officers for the FY 2011-12 Annual Budget.
- HS&EC designed, developed, and implemented the "Field Response to Onboard Methane Alarm or Leak" policy. Activities involved facilitating Table Top Exercises, providing Hazardous Waste Operations and Emergency Response (HAZWOPER), and First Aid training, as well as evaluating field drills to verify understanding and implementation success.
- Completed OCTA's first ever Greenhouse Gas (GHG) Emissions Inventory study. The purpose of the study was to identify and inventory the carbon footprint and global warming impacts associated with OCTA's operations and activities. The project not only strengthens OCTA's reputation as being an environmentally mindful organization, but also demonstrated the true global impact OCTA's activities have on displacing greenhouse gasses.
- The HR Department Benefits Section saved the organization approximately \$300,000 by creating a new healthcare strategy. The HR Department created a Health Care Advisory Committee (HAC) and through collaborative decision-making, provided a variety of health care options for the employees while saving OCTA significant costs.
- Completed several Title VI Program components including: Conducted 68 Title VI training sessions for coach operators providing an overview of customer rights under Title VI and the role of coach operators.
- Developed and conducted a workshop for non-transit agency sub-recipients such as, Job Access and Reserve Commute (JARC), New Freedom, and 5307 Grants, as a proactive approach, in response to the Federal Transit Administration's (FTA) proposed circular for the new requirements to be included in the triennial Title VI Plan submission.
- The Risk Management Department enhanced OCTA's insurance program coverage to properly protect OCTA property, liability, workers' compensation, crime, cyber liability, as well as the 91 Express Lanes Toll Road infrastructure and operations at a 20% or \$286,736 reduction in premium.
- New workers' compensation claims in FY 2011-12

Fiscal Year 2011-12 Accomplishment Highlights (continued)

- represent the lowest number of on-the-job injuries in OCTA history, with the lowest pending claim files, litigation, and reserves since FY 2003-04.
- Recovered over \$150,000 in OCTA property and workers' compensation losses caused by others.
 - The OCTA Strategic Plan was approved by the OCTA Board of Directors in February 2011.
 - Successfully extended the alternative fuel tax credit until end of calendar year 2011, saving OCTA approximately \$4 million annually.
 - Ensured that the funding streams provided by the state for transit, highways, and local streets and roads were protected by working to secure their reenactment to comply with the terms of Propositions 22 and 26, passed in November 2010.
 - Completed the Transit System Study and prepared a bus capital plan to help prioritize future capital investments.
 - Completed five signal synchronization projects along the Orangethorpe Avenue, Edinger Avenue, Harbor Boulevard, Bristol Street, and Westminster Avenue corridors involving over 400 intersections. In addition, awarded \$7.8 million dollars in M2 grants to local agencies to complete other signal synchronization projects.
 - Programmed \$230 million in State Transportation Improvement Program funding for a \$355 million program of projects, and successfully allocated or obligated more than \$215 million in state and federal funds.
 - Completed M2 eligibility process for local agencies and awarded \$45 million of M2 grants to widen streets, and improved intersection and signal synchronization.
 - Awarded \$2.86 million of funding to install storm drain filters, and completed a regional study to guide the implementation of the M2 Water Quality Program.
 - Issued first Bicycle Corridor Improvement Program Call for Projects for \$9 million of project funding.
 - Completed design of the remaining five grade separation projects along the Orangethorpe railroad corridor.
 - Completed construction of the Avenida Vaquero and El Camino Real soundwall projects along Interstate 5 in San Clemente and one landscape project on Interstate 5.
 - Completed construction of the M2 Rail-Highway Grade Crossing Safety Enhancement and Quiet Zone project.
 - Completed construction of the Tustin Station parking structure.
 - Completed construction of the Fullerton Station parking structure.
 - Completed construction of Video Surveillance Systems at three Metrolink Stations.
 - Completed design and advertised the ARTIC for construction.
 - Completed two phases of an OCTAP technology project allowing Code Administrators to conduct electronic vehicle inspections both at OCTAP and in the field, reducing processing time and accumulation of paper files.
 - Safety – met standard of no more than one accident per 100,000 miles. Continued to work with Safety and Risk Management to improve overall safety record and safety programs.
 - Implemented special event service to the Orange County Fair based on a successful Mobile Source Air Pollution Reduction Review Committee (MSRC) grant proposal that was developed in the spring and developed MSRC grant proposal to expand the Orange County Fair Express during the 2012 Fair Season. Implemented special event Metrolink connecting shuttle bus service to Ducks home games between Anaheim Metrolink Station and Honda Center.
 - Completed ACCESS customer satisfaction survey and received 88 percent overall satisfaction rating.
 - Completed and submitted the FY 2010-11 NTD Report.

Fiscal Year 2012-13 Goals & Objectives

Each year, divisions are challenged to identify goals and objectives attainable in the following fiscal year. The FY 2012-2013 Budget has identified and committed the necessary financial and operational resources to meet the following goals:

- Assist the Taxpayers Oversight Committee Audit Subcommittee in developing audit procedures for the Measure M2 Local Fair Share and Project U programs and conduct the first city reviews.
- Prepare scope of work, procure a qualified, independent consultant, and coordinate performance of the State Triennial Review for fiscal years 2010, 2011, and 2012.
- Develop a Plan of Finance that addresses the financing needs of the M2020 Plan.
- Outperform the Merrill Lynch 1-3 Year Treasury Index for the short-term portfolio and the customized Treasury benchmark for the bond proceeds portfolio.
- Finalize a three-party cooperative agreement with RCTC and Cofiroute USA to provide operational and management services for the 91 Express Lanes.
- Earn the GFOA Certificate of Excellence in Financial Reporting for the FY 2010-11 CAFR.
- Complete the FY 2011-12 CAFR that includes audited financial statements earning an unqualified audit opinion.

Fiscal Year 2012-13 Goals & Objectives (continued)

- Redesign and update the CAMM NET.
- Complete the Radio Project and ensure full functionality of the Business Intelligence features of its database.
- Secure Board approval of the FY 2012-13 Comprehensive Business Plan.
- Secure Board approval of the FY 2013-14 Annual Budget without an unplanned use of reserves, which is also consistent with the FY 2012-13 Comprehensive Business Plan and Board approved goals, policies, and procedures.
- Maximize OCTA's revenues by effectively administering all revenue programs (5307 grant program, 5309 grant program, TDA, Property Tax, etc.)
- Earn the Certificate of Achievement for Excellence in Budgeting from the California Society of Municipal Finance Officers for the FY 2012-13 Annual Budget.
- Continue to provide workplace harassment and discrimination prevention training to all employees and to track compliance with AB 1825.
- Develop and submit the annual Equal Employment Opportunity/Affirmative Action Plan (EEO/AAP) as required by the Federal Transit Administration (FTA).
- Advocate for transportation reauthorization legislation which provides a stable and reliable source of multi-year funding, and provides a fair share of funding to Orange County.
- Advocate for programs and policies that allow OCTA to deliver its projects and services, maintaining local control to ensure that services are delivered in the most efficient and effective manner.
- Complete two freeway planning studies on the I-405 and SR-91 corridors and initiate three new conceptual planning studies including: I-605 Access; High-Occupancy Vehicle System Management Performance Plan.
- Complete five signal synchronization projects and begin work on seven other signal synchronization projects.
- Complete M2 FY 2012-13 eligibility process for local agencies and award M2 grants for regional capacity and signal synchronization projects.
- Develop and seek Board approval of M2020 Plan for expediting M2 project and program delivery.
- Complete final design of two freeway HOV projects on Interstate 5 in San Clemente.
- Begin construction of the State Route 91 (WB), Interstate 5 to State Route 57 project.
- Complete construction of the State Route 91, State Route 55 to State Route 241 project.
- Complete project study reports on five LOSSAN corridor grade separations.
- Finalize environmental analysis and design of Anaheim Canyon station.
- Expand Metrolink service in Orange County through

the addition of two peak Metrolink trains on the Inland Empire-Orange County line and four new midday intra-county trains between Laguna Niguel/Mission Viejo and Fullerton, as well as four new weekend trips on the Orange County Line.

- Maintain an average of 15,000 miles between road calls.
- Complete procurement to replace 30 non-revenue vehicles used to support coach operator shift changes.
- Develop final guidelines and priorities for the M2 Project W Safe Stops program.
- Complete implementation of ITMS radio communications upgrade.
- Complete a Continuity of Operations plan for OCTA.

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.

Thirty-four cities are within Orange County, which together with county unincorporated areas have a current population of nearly 3.1 million. Over the next 25 years, the population in Orange County is forecast to increase by 14 percent. It is projected that the population will increase to nearly 3.5 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. Beginning with nine leased vehicles, Orange County's public bus service grew steadily through the 1970's and 1980's. 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 existing Measure M sales tax. This Measure M renewal will allow OCTA to continue making transportation improvements that benefit the local economy.

Economic & Financial Condition

The State of California continues to see high rates of unemployment, and Orange County is no exception. Orange County's unemployment rate of 8.0 percent in February 2012 is an improvement over the 9.1 percent unemployment rate in March 2011. Orange County is faring better than the State of California, which stands at 11.4 percent in February 2012.

The real estate sector continues to show some improvement for 2012. Low interest rates and lower home prices continue to have a positive effect on the market. According to Chapman University, building permits are forecasted to increase by 12.5 percent in 2012 and 15.7 percent in 2013. It is important to note that while the forecasts seem high, the current levels are very low, so even small positive changes in the number of housing permits translate to high percentage changes.

The estimated sales tax growth rate for FY 2012-13 is 6.3%. This blended rate is based on forecasts from Chapman University, California State University, Fullerton, and University of California, Los Angeles.

Furthermore, OCTA is seeing additional indicators that suggest the economy is stabilizing. A few examples include the reinstatement of the State Transit Assistance Fund, back to back job gains during the first quarter, and the allocation of Proposition 1B and 116 funds by the California Transportation Commission.

Map of Orange County



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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 approved OCTA Resolution No. 2012-30 and LTA Resolution No. 2011-31 on June 11, 2012, establishing appropriations limits for the OCTA General Fund at \$8,913,630 and the Local Transportation Authority (LTA or Measure M2 Fund) at \$1,347,113,474 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 \$3,294,621 and \$271,058,423, 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 2012-13 appropriation limits are on the following pages:

**RESOLUTION OF THE
ORANGE COUNTY TRANSPORTATION AUTHORITY - GENERAL FUND
ESTABLISHING APPROPRIATIONS LIMITATIONS FOR
FISCAL YEAR 2012-13**

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 2012-13 is \$8,913,630.
2. The total amount authorized to be expended by the Orange County Transportation Authority/General Fund during Fiscal Year 2012-13 from the proceeds of taxes, including interest earned from the investment of the proceeds of taxes, is \$3,294,621.
3. The appropriations limit for Fiscal Year 2012-13 exceeds proceeds of taxes for Fiscal Year 2012-13 by \$5,619,008.


ADOPTED, SIGNED, AND APPROVED this 11th day of June 2012.

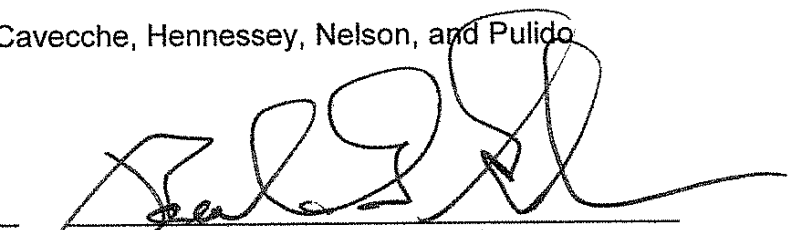
AYES: Chairman Glaab, Vice Chairman Winterbottom, Directors Amante, Bates, Campbell, Crandall, Dalton, Galloway, Hansen, Herzog, Moorlach, and Nguyen

NOES:

ABSENT: Directors Bankhead, Cavecche, Hennessey, Nelson, and Pulido

ATTEST:


Wendy Knowles
Clerk of the Board


Paul Glaab, Chair
Orange County Transportation Authority

Executive Summary

RESOLUTION OF THE ORANGE COUNTY LOCAL TRANSPORTATION AUTHORITY/MEASURE M2 ESTABLISHING APPROPRIATIONS LIMITATION FOR FISCAL YEAR 2012-13

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/Renewed Measure M for Fiscal Year 2012-13 is \$1,347,113,474
2. The total amount authorized to be expended by the Orange County Local Transportation Authority/Measure M2 during the Fiscal Year 2012-13 from the proceeds of taxes, including interest earned from the investment of the proceeds of taxes, is \$271,058,423.
3. The appropriations limit for Fiscal Year 2012-13 exceeds proceeds of taxes for Fiscal Year 2012-13 by \$1,076,055,051.

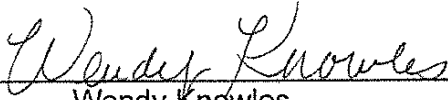
ADOPTED SIGNED AND APPROVED this 11th day of June 2012.

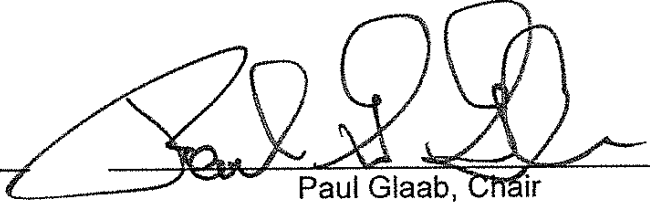
AYES: Chairman Glaab, Vice Chairman Winterbottom, Directors Amante, Bates, Campbell, Crandall, Dalton, Galloway, Hansen, Herzog, Moorlach, and Nguyen

NOES:

ABSENT: Directors Bankhead, Cavecche, Hennessey, Nelson, and Pulido

ATTEST:


Wendy Knowles
Clerk of the Board


Paul Glaab, Chair
Orange County Local Transportation Authority

**RESOLUTION OF THE BOARD OF DIRECTORS FOR
THE ORANGE COUNTY TRANSPORTATION AUTHORITY
APPROVING AN OPERATING AND CAPITAL BUDGET
FISCAL YEAR 2012-13**

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 \$1.1 billion for Fiscal Year 2012-13;

WHEREAS, said Chief Executive Officer and staff did conduct a public workshop before the Board of Directors on May 14, 2012, in the Board Chambers, at which time the proposed budget was considered;

WHEREAS, a public hearing was conducted on June 11, 2012, 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, 2012 through June 30, 2013, 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 11th day of June 2012.

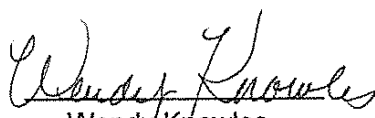
AYES: Chairman Glaab, Vice Chairman Winterbottom, Directors Amante, Bates, Campbell, Crandall, Dalton, Galloway, Hansen, Herzog, Moorlach, and Nguyen


NOES:

ABSTAIN:

ABSENT: Directors Bankhead, Cavecche, Hennessey, Nelson, and Pulido

ATTEST:


Wendy Knowles
Clerk of the Board


Paul Glaab, Chairman
Orange County Transportation Authority

California Society of Municipal Finance Officers

Certificate of Award

*Excellence in Operating Budget
Fiscal Year 2011-2012*

Presented to the

Orange County Transportation Authority

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

February 29, 2012



Scott Johnson

Scott Johnson
CSMFO President

Chu Thai

Chu Thai, Chair
Professional Standards and
Recognition Committee

Dedicated Excellence in Municipal Financial Reporting

California Society of Municipal Finance Officers

Certificate of Award

*Excellence in Public Communications
Fiscal Year 2011-2012*

Presented to the

Orange County Transportation Authority

For meeting the criteria established to achieve the Excellence in Public Communications in the .

February 29, 2012



Scott Johnson

Scott Johnson
CSMFO President

Chu Thai

Chu Thai, Chair
Professional Standards and
Recognition Committee

Dedicated Excellence in Municipal Financial Reporting



OCTA Fast Facts



Orange County Transportation Authority

The Orange County Transportation Authority (OCTA) began in 1991 with the consolidation of seven separate transportation agencies. OCTA is the county's primary transportation agency and enhances the quality of life in Orange County by delivering safer, faster and more efficient transportation solutions.

An 18-member Board of Directors governs OCTA. The Board consists of 5 county supervisors, 10 city members, 2 public members and the Caltrans District 12 Director as a non-voting member.

OCTA Programs & Services

Measure M: OCTA administered Measure M1 (M1), a package of transportation improvements promised to voters in 1990 when they approved a special half-cent sales tax. Under M1, 43 percent of funds went to improve freeways, 32 percent to improve streets and roads, and 25 percent for bus and rail services. M1 expires in 2011. On November 7, 2006, Orange County voters approved the Measure M2 Plan (M2), ensuring transportation improvements for another 30 years to 2041. M2 will devote 43 percent of funds to freeway projects, 32 percent to street and road projects, and 25 percent to transit projects.

Bus System: OCTA operates buses in a 798 square-mile area serving more than 3 million residents. OCTA provides local, community, rail connector, express and paratransit services.

Freeways: OCTA assists with planning and funding for all Orange County freeway improvements. The Santa Ana Freeway (I-5) Gateway Project began construction in 2006. This four-year project widened the

remaining two miles of the I-5 in Orange County from the Riverside Freeway (SR-91) to the Los Angeles County line. The I-5 Gateway Project was the final link in the original Measure M's ambitious freeway improvement program.

M2 will bring more freeway improvements to Orange County. The M2 Early Action Plan has begun with improvements slated for the Orange Freeway (SR-57), Riverside Freeway (SR-91), Interstate 405 (I-405) and additional segments of the I-5.

Streets and Roads: OCTA administers a variety of funding programs for cities to widen streets, improve intersections, coordinate signals and rehabilitate pavement. OCTA also administers regional street and road improvement projects.

Planning: OCTA conducts long range planning to improve travel in Orange County. As part of this planning, OCTA will initiate a Major Investment Study (MIS). The goal of the MIS is to determine a recommended "locally preferred strategy" (LPS). When approved by the OCTA Board of Directors, the LPS will help guide transit, street and freeway enhancements and address travel demand.

Commuter Rail: OCTA plans, funds and administers Metrolink rail service in Orange County. OCTA's three Metrolink lines — the Orange County Line, the Inland Empire-Orange County Line and the 91 Line — have more than 14,000 boardings each weekday.

Share the Ride: OCTA has a number of commuting options to help you get to work faster, easier and cheaper, with less stress and with less impact on the environment. OCTA can help you travel by bus, Metrolink rail or the 91 Express Lanes. OCTA offers carpool matching and can help commuter groups form vanpools for travel to Orange County work sites. OCTA's Share the Ride program also helps employers discover new ways to retain employees and increase productivity.

Motorist Services: Through the Service Authority for Freeway Emergencies (SAFE), OCTA administers, installs and maintains all motorist aid call boxes in Orange County and provides competitively bid, contracted tow truck service for motorists with disabled vehicles with the Freeway Service Patrol (FSP). OCTA also administers the Service Authority for Abandoned Vehicles (SAAV), which removes abandoned vehicles from Orange County streets and roads.

OCTAP: OCTA operates the Orange County Taxi Administration Program (OCTAP). OCTAP issues taxi business, driver and vehicle permits on behalf of the County and its 34 cities.

91 Express Lanes: OCTA also owns and operates the four-lane, 10-mile toll road from the Orange/Riverside County line west to the SR-55. The 91 Express Lanes helps drivers save time on their daily drive.



Measure M1 Fast Facts



Orange County's Half-Cent Sales Tax



Measure M1 delivered
transportation solutions

Promises Made, Promises Kept

Measure M (M1) was a 20-year package of transportation improvement projects promised to voters in 1990 when they approved a special half-cent sales tax. The M1 program devoted 75 percent of funds to freeway and street transportation solutions and 25 percent to bus and rail services. M1 included more than a dozen safeguards to ensure the program was delivered as promised. Collection of the M1 sales tax expired on March 31, 2011.

Freeways

Freeway improvement was the cornerstone of the M1 program. M1 delivered the reconfiguration of the El Toro Y where I-5 and the San Diego Freeway (I-405) meet, and the Riverside (SR-91), Orange (SR-57), Costa Mesa (SR-55), Santa Ana/San Diego (I-5) and Garden Grove (SR-22) freeway widenings.

The I-5 Gateway Project, begun in 2006, is now complete. The widening of the Santa Ana Freeway through Buena Park was the last major freeway improvement project under M1. With the completion of the I-5 Gateway Project, the overhaul of the I-5 from the Los Angeles County line to San Juan Capistrano also was completed.

Streets and Roads

Local streets received 21 percent of M1 funds. M1 accounted for approximately 50 percent of the money cities use to fix potholes, coordinate traffic signals and repair and maintain streets. Cities received these funds through a formula based on population, sales tax and street miles, and through a competitive process in which cities submit proposals for improvement projects.

M1 also devoted 11 percent of funds to making major arterial streets, such as Beach Boulevard, Katella Avenue and Imperial Highway, work more efficiently as "Smart Streets" with more lanes, dedicated turn lanes, coordinated signals and better functioning intersections.

Transit

M1 helped fund the Metrolink Service Expansion Plan to bring more frequent weekday train service between Fullerton and Laguna Niguel/Mission Viejo. Since 1991, bus fares have been discounted for seniors and persons with disabilities thanks to M1.

Extending Measure M

On November 7, 2006, nearly 70 percent of Orange County voters approved the extension of Measure M for another 30 years. The Renewed Measure M Plan (M2) will ensure transportation improvements to 2041. M2, like the original Measure M Plan, will devote 43 percent of funds to freeway projects, 32 percent to street and road projects, and 25 percent to transit projects.

More Information

For an overview of M2, a list of projects, quarterly and annual reports, visit www.octa.net/M2.

Projects Completed

FREEWAY PROJECTS

- I-5 (I-405 to I-605)
- I-5 (I-5/I-405 to San Juan Capistrano)
- I-5/I-405 Interchange (El Toro Y)
- SR-55 (I-5 to SR-91)
- SR-57 (I-5 to Lambert Road)
- SR-91 (Riverside County line to Los Angeles County line)
- SR-22 (SR-55 to Valley View Street)

REGIONAL STREET & ROAD PROJECTS

- Smart Streets
- Regionally Significant Interchanges
- Intersection Improvement Program
- Traffic Signal Coordination
- Transportation Systems Management and Transportation Demand Management

LOCAL STREET & ROAD PROJECTS

- Master Plan of Arterial Highway Improvements
- Streets & Roads Maintenance and Road Improvements
- Growth Management Area Improvements

TRANSIT PROJECTS

- Pacific Electric Right of Way
- LOSSAN Intercity Rail Program
- LOSSAN Commuter Rail
- Riverside Commuter Rail
- High-Technology Advanced Rail Transit
- Elderly & Handicapped Fare Stabilization
- Transitways



Measure M2 Fast Facts



Continuing Orange County's Transportation Investment



Voting for Improvements

On November 7, 2006, nearly 70 percent of Orange County voters extended the Measure M one-half cent sales tax for transportation improvements. Measure M2, administered by the Orange County Transportation Authority (OCTA), will provide almost \$15 billion* to improve transportation in Orange County over a 30-year period beginning in spring 2011.

The Measure M2 Transportation Investment Plan (M2) is designed to reduce traffic congestion and enhance overall mobility. Improvements in the plan include upgrading most freeways, fixing major freeway interchanges and maintaining streets and roads. Other benefits will be synchronizing traffic signals countywide, continuing to grow our rail transit system, and protecting our environment from the street runoff that pollutes Orange County waterways and beaches.

As with the Measure M1 program, taxpayer safeguards will assure the M2 program is delivered as promised.

Freeways

Orange County freeways will receive 43 percent of net revenues. Relieving congestion on the Riverside/Artesia Freeway (SR-91) is the centerpiece of the freeway program. Other projects include improving Interstate 5 (I-5) in south Orange County and the San Diego Freeway (I-405) in west Orange County.

Streets and Roads

Orange County has more than 7,300 lane miles of streets and roads, many in need of repair and rehabilitation. M2 will allocate 32 percent of net revenues to streets and roads. These funds will help fix potholes, improve intersections, synchronize traffic signals countywide, and make the existing network of streets and roads safer and more efficient.

Transit

Of the M2 net revenues, 25 percent will be allocated to improve Orange County's rail and bus service. These funds will be used to add transit extensions to the Metrolink corridor, reduce bus fares for senior citizens and persons with disabilities, and to establish local bus circulators.

Environmental Programs

Under M2, approximately \$299.2 million* will be available to mitigate the environmental impacts of freeway improvements. A Master Agreement between OCTA and state and federal resource agencies will provide higher-value environmental benefits such as habitat protection, wildlife corridors and resource preservation in exchange for streamlined project approvals for the freeway program as a whole. Approximately \$299.8 million* is also available under the Environmental Cleanup Program to implement water quality improvement projects.

Early Action Plan

In August 2007, the OCTA Board of Directors approved and released an M2 Early Action Plan covering the years 2007 to 2012. Under this plan, the SR-91 Eastbound Lane Addition Project was completed in December 2010, adding a new lane to the eastbound Riverside Freeway (SR-91) between the Eastern Toll Road (SR-241) in east Orange County and the Corona Expressway (SR-71) in west Riverside County to reduce traffic congestion. Construction began on a second Early Action Project in January 2011 on the Orange Freeway (SR-57) to add a northbound lane from north of the SR-91 near Orangethorpe Avenue in Placentia to Lambert Road in Brea.

More Information

For more information on M2, a detailed list of projects, quarterly and annual reports, visit www.octa.net/M2.

*Dollars in year of expenditures per February 2011 forecast



Bus Transit Fast Facts



About OCTA's Countywide Fixed-Route Bus System



Orange County's first bus system began in 1972 with five leased buses. Known as the Orange County Transit District (OCTD), the system transported nearly 1 million passengers during the 1972-1973 fiscal year. Today, the Orange County Transportation Authority (OCTA) operates a countywide network of local, community, rail-connector and express routes.

Every weekday OCTA buses take an average of 164,700 riders where they need to go.

Improving Technology

In an effort to continuously improve its bus system, OCTA is replacing diesel-powered buses with cleaner-burning compressed natural gas (CNG) buses. The CNG buses will help lower emissions, reduce fuel costs and provide a smoother ride for passengers. OCTA also operates clean-burning Liquefied Natural Gas (LNG) buses, which also help reduce emissions and improve air quality.

Funding

OCTA's bus system receives funding from four distinct sources: the OCTD, the Local Transportation Fund (LTF), Bus Operations Fund (BOF) and Gasoline Tax Fund.



For more Information

OCTA offers numerous bus services for new and existing customers. You can get fare, route and schedule information, buy passes and plan bus trips online at www.octa.net. OCTA's Just Click Trip Planner is easy to use. Just enter your starting point, destination and when you want to go. The Trip Planner will take it from there and give you all the necessary details for your bus trip. Or you can get help from our Customer Information Center (CIC) by calling (714) 636-RIDE.

Highlights (Fiscal Year 2010-11)*

Operations

First year of service	1972
Number of bases	5

System

Number of routes	77
Number of vehicles	540
Number of bus stops	6,200+
Passenger Boardings	51.3 million
Vehicle Revenue Hours	1,543,937
Vehicle Revenue Miles	23,367,246

* Source: Monthly Operating Summary Reports

Customer Information**

Satisfied with service	82%
Use bus 4-7 days/week	73%
Use bus to get to work	50%

** Bus Customer Satisfaction Survey, November 2007



ACCESS Fast Facts



Paratransit Bus Service

ACCESS is the Orange County Transportation Authority's (OCTA) shared-ride paratransit service. It's available for people unable to use regular, fixed-route bus service because of functional limitations caused by a disability.

Who is eligible?

OCTA has a formal certification process that follows the Americans with Disabilities Act (ADA) guidelines and eligibility criteria. All applicants are evaluated using an in-person assessment before eligibility is granted.

ACCESS offers service for eligible people unable to use regular bus service because of a disability.

What does it cost?

The one-way ACCESS fare is \$2.70 for a standard curb-to-curb trip where the passenger meets and exits the ACCESS vehicle without need for an escort at either end of the trip. If an escort is needed, the door service fare is an additional \$5.00 each time a customer is escorted to/from the door.

If an ACCESS passenger wants to travel with a companion, the companion may ride for the standard ACCESS fare of \$2.70. Space for companions is limited and must be requested when the reservation is made. ACCESS can only guarantee space for one companion.

If an ACCESS passenger is certified to travel with a Personal Care Attendant, the attendant may ride along at no cost when traveling with an eligible rider.

What services are provided?

- **Standard Service:** Curb-to-curb service for riders certified by ACCESS.
- **Door Service:** An additional service where the driver escorts the passenger to or from the vehicle at either end of the trip.
- **Subscription Service:** Regular service for eligible ACCESS customers who take the same trip on a regular basis, for instance to work or school.
- **Same-Day Taxi Service:** Taxi service provided on the same day as requested.

How is ACCESS Funded?

OCTA's public transit system is funded by a combination of local and state funds. Measure M, the half-cent sales tax approved by Orange County voters for transportation improvements, helps reduce ACCESS and fixed-route bus fares for seniors and persons with disabilities.





ACCESS Fast Facts



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Go Local Fast Facts



Transit Extensions to Metrolink Rail



Measure M brings commuter rail service to Orange County

The Go Local program is a four-step process to plan and implement city-initiated transit extensions to OCTA's Metrolink commuter rail line. The Metrolink rail line is the backbone of transit in Orange County. Two-thirds of Orange County's population and jobs are within a four-mile radius of each of the county's 11 Metrolink stations.

Step 1

The first phase of Go Local provided each of the 34 cities in Orange County a \$100,000 grant to study possible extensions to the Metrolink line. These extensions will link major activity and employment centers with a Metrolink station. Many cities partnered together to explore connecting a Metrolink station with a broader region.

Step 2

In step two, OCTA is working with the cities to further refine their proposed projects.

The Santa Ana/Garden Grove and Anaheim fixed-guideway proposals are currently undergoing alternatives analysis and environmental clearance as part of step two. Environmental clearance is anticipated to be completed in 2012 for the Santa Ana/Garden Grove project and 2014 for the Anaheim project.

Service planning for the 35 bus/shuttle proposals was completed in March. Prior to competing for step three funding, projects were evaluated as part of OCTA's Transit System Study to determine how they could integrate and compliment service already provided by OCTA.

This was an important step to ensure that new bus/shuttle systems connect seamlessly with OCTA's existing bus system.

Pending board approval, a call for projects for the bus/shuttle and station van concepts is anticipated to be released by March 2012.

Step 3

Construction and implementation will begin on the projects during the third step of the program. In this step, cities will compete for funds from Measure M2 (M2).

Step 4

Once Go Local programs are operating, OCTA will perform additional upgrades to Metrolink stations to ensure passengers can connect seamlessly with the various transit services.

Program Funding

The Go Local program is funded by Measure M, Orange County's half-cent sales tax for transportation improvements. Measure M was originally approved by Orange County voters in 1990 and expires in 2011. In 2006, Orange County voters approved Measure M2 by a 69.7 percent majority, which will ensure transportation improvements for another 30 years until 2041.

The Go Local program is designed to complement OCTA's Metrolink service expansion that provided additional weekday Metrolink service between Fullerton and Laguna Niguel/Mission Viejo.



Additional Information

For more information, please call Laura Scheper at (714) 560-5697 or visit www.octa.net.



SMP Fast Facts



Senior Mobility Program

Senior Mobility Program

The Orange County Transportation Authority's (OCTA's) Senior Mobility Program (SMP) provides transportation funding for seniors in 25 participating cities and 4 local nonprofits, with additional cities expected to join within the next fiscal year. This voluntary program offers transportation alternatives for seniors in addition to local fixed-route buses or ADA paratransit (ACCESS) services.

Participating cities and nonprofit organizations 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. Current programs enable seniors to get to a number of appointments including community centers, congregate meal programs,

medical appointments and shopping centers through the use of small buses or through taxi voucher programs.

Funding

Funding for the Senior Mobility Program comes from Renewed Measure M (M2), Orange County's local ½-cent transportation sales tax measure. Project U in M2 provides funding for senior/disabled programs including the SMP. One percent of net M2 revenue is allocated to the SMP, and participating cities receive a formula allocation based on their share of Orange County's population of seniors age 60 years and older.

Funding for the non-profit SMP participants comes from Article 4.5, Claims For Community Transit Services,

of the Transportation Development Act (TDA). The Transportation Development Act is funded through ¼-cent of California's general sales tax and these funds can only be expended for public transit purposes.

More Options for Seniors

For additional senior transportation options, contact the Office on Aging at (800) 510-2020 or visit their website at www.officeonaging.ocgov.com.

Participants

CITIES		NON-PROFIT ORGANIZATIONS	
Anaheim	714.535.7171	Abrazar, Inc.	714.893.3581
Brea	714.990.7766	Jewish Family Services of Orange County	949.435.3460
Buena Park	714.236.3870	Korean-American Senior Association	714.530.6705
Costa Mesa	949.645.2356 ext. 23	Vietnamese Community of Orange County	714.558.6009
Cypress	714.229.6676		
Fullerton	714.738.6305		
Garden Grove	877.777.0988		
Huntington Beach	714.374.1742		
Irvine	949.724.7433		
La Habra	562.905.9664		
Laguna Hills	949.707.2681		
Laguna Niguel	949.425.5151		
Laguna Woods	949.639.0512		
Lake Forest	949.461.3450		
Newport Beach	949.644.3244		
Orange	714.538.9633		
Placentia	714.986.2332		
Rancho Santa Margarita	949.216.9700		
San Clemente	949.361.8254		
Santa Ana	714.647.6540 or 714.647.5306		
Seal Beach	562.431.2527 ext. 1317		
Stanton	714.890.4276		
Tustin	714.573.3348		
Westminster	714.895.2878		
Yorba Linda	714.961.7181		



Metrolink Fast Facts



Orange County's Rail Service



Measure M, your half-cent sales tax, helps fund Orange County Metrolink service

Metrolink is Southern California's 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. The Orange County Transportation Authority (OCTA) is one of the five member agencies and administers Orange County Metrolink activities.

Orange County's Three Lines

Three Metrolink lines serve Orange County, stretching over 68 miles with 11 stations. *(See station listings at right.)* The Orange County (OC) Line provides service from Oceanside to Los Angeles Union Station. The Inland Empire-Orange County (IEOC) Line has service from San Bernardino and Riverside to Oceanside. The 91 Line provides service from Riverside to Los Angeles via Fullerton and Buena Park. Together these three lines provide 48 weekday trains with an average of more than 14,000 boardings every weekday.*

Weekend Service

In summer 2006, OCTA launched new Saturday and Sunday service on the OC and IEOC lines called Metrolink Weekends. Saturday and Sunday round trips are available for your weekend enjoyment. For more information about Metrolink Weekends, visit www.octa.net or metrolinktrains.com.

Service Expansion

The OCTA Board of Directors approved the Metrolink Service Expansion Program (MSEP) in November 2005. The MSEP will provide additional weekday Metrolink service between Fullerton and Laguna Niguel/Mission Viejo.

To accommodate additional service, stations are being upgraded, parking added, track capacity increased, and grade crossings enhanced. Construction for the expanded service is expected to be completed in 2011.

The new MSEP service will be phased in beginning in spring 2011. To complement the MSEP, OCTA is working with cities to plan and develop transit extensions to the Metrolink rail system under the Go Local Program.



Funding

Metrolink service and operations are funded through the Commuter Urban Rail Endowment (CURE). The Metrolink capital budget is funded through a combination of local, state and federal funding sources. The MSEP and Go Local Program are made possible through funding from the Measure M and Measure M2 transportation improvement plans.

Orange County Stations

Anaheim Station (OC Line)
2150 E. Katella Ave. • Anaheim 92806
Anaheim Canyon Station (IEOC Line)
1039 N. Pacificcenter Dr. • Anaheim 92806
Buena Park Station (OC & 91 Lines)
8400 Lakeknoll Dr. • Buena Park 90621
Fullerton Station (OC & 91 Lines)
120 E. Santa Fe Ave. • Fullerton 92832
Irvine Station (OC & IEOC Lines)
15215 Barranca Pkwy. • Irvine 92618
Laguna Niguel/Mission Viejo Station (OC & IEOC Lines)
28200 Forbes Rd. • Laguna Niguel 92677
Orange Depot (OC & IEOC Lines)
194 N. Atchison St. • Orange 92866
San Clemente North Beach Station (OC & IEOC Lines)
1850 Avenida Estacion • San Clemente 92672
San Juan Capistrano Station (OC & IEOC Lines)
26701 Verdugo St. • San Juan Capistrano 92675
The Depot at Santa Ana (OC & IEOC Lines)
1000 E. Santa Ana Blvd. • Santa Ana 92701
Tustin Station (OC & IEOC Lines)
2975 Edinger Ave. • Tustin 92780

*Including Rail 2 Rail passengers.



91 Express Lanes Fast Facts



OCTA's 10-Mile Toll Road



History

The 91 Express Lanes is a four-lane, 10-mile toll road extending from the Orange/Riverside County line west to the Costa Mesa Freeway (SR-55). The 91 Express Lanes project was authorized as a toll road by the State of California legislature in 1989. Built at a cost of \$135 million, the toll road 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 (Caltrans) included a non-compete provision that created a 1.5-mile protection zone along each side of the Riverside Freeway (SR-91). This zone prohibited improvements along the corridor and created mobility problems as the region and corresponding transportation demands grew.

To mitigate growing concerns over congestion, the Orange County Transportation Authority (OCTA) acquired the 91 Express Lanes franchise rights in January 2003. This eliminated the non-compete provision, clearing the way for future enhancements that will increase capacity and improve traffic flow along the SR-91 corridor.

Toll Policy

The 91 Express Lanes toll policy, known as congestion management pricing, adjusts toll rates based on the number of vehicles on the toll road to maintain a "free flow" commute at all times. Motorists pay tolls through the convenient use of windshield

mounted FasTrak™ transponders that automatically deduct fees from a pre-paid account. Depending on the time of day, commuters reported saving 30 minutes on average on their drive time by using the 91 Express Lanes.

Funding

OCTA purchased the 91 Express Lanes from CPTC for \$207.5 million, including \$72.5 million in cash and the assumption of \$135 million in taxable bonds.

In November 2003, OCTA refinanced the taxable debt on the 91 Express Lanes. As a mark of financial stability and a testament to the importance of the toll road to the community, the 91 Express Lanes became the first stand-alone toll facility to receive "A" category bond ratings, and has continued to receive strong ratings from Moody's, Standard and Poor's, and Fitch Ratings.

For more information, please visit the 91 Express Lanes website at www.91expresslanes.com, or call (951) 278-9191.

Highlights (Jan. - Dec. 2010)

Year OCTA acquired	2003
Length of toll road (in miles)	10
Total vehicle volume (in millions)	12.7
Total customer accounts	113,629
Transponders assigned to accounts	170,263
Gross Potential Toll Revenue	\$37.9 million





Motorist Services Fast Facts



FSP, SAFE & SAAV

FSP

The Freeway Service Patrol (FSP) assists stranded motorists on Orange County freeways and highways. FSP is



a congestion management component within the Service Authority for Freeway Emergencies (SAFE) program. The FSP program began in 1992, in cooperation with the California Department of Transportation (Caltrans) and the California Highway Patrol (CHP).

The goal of the FSP program is to reduce traffic congestion by quickly removing disabled vehicles and those involved in minor accidents from freeways. FSP tow trucks help get stranded motorists back on the road with a jump start, a gallon of gas, by changing a flat tire or repairing a cooling system hose. All services are free and help keep busy freeways moving. FSP tow trucks operate during peak traffic periods and during midday hours along Orange County freeways.

The Orange County Transportation Authority (OCTA) manages the FSP program. The CHP provides dispatch and field services whenever law enforcement is required.

FSP Funding

Caltrans implemented the statewide FSP program and developed the corresponding Local Funding Allocation Plan to distribute

funds to all jurisdictions with an FSP program. In addition to the funding allocation plan, Caltrans requires all local FSPs to provide a 25 percent match.

SAFE

The SAFE program pioneered the implementation of an emergency telephone network on our major roadways. This network consists of solar-powered cellular telephone call boxes at one-half mile intervals along freeways, highways, toll roads and expressways in most densely populated regions of California. The call boxes allow a motorist to report road hazards, mechanical breakdowns, traffic accidents and other incidents to a private call answer center.

The first SAFE call box program in California was established in Orange County. Today, our county call box system is the fourth largest in the state. The system began operation in 1987. The approximately 645 call boxes are equipped with full two-way communication by voice and by typewritten message to assist speech- and hearing-impaired individuals.

OCTA administers and installs all call boxes in Orange County. OCTA also maintains the call box system within the county.

SAAV

The Service Authority for Abandoned Vehicles (SAAV) handles unsightly abandoned vehicles along local streets. The Orange County SAAV program was established in 1991 and was the first program of its kind in California.

Abandoned vehicles can create hazardous conditions for pedestrians and motorists, and in some instances, increase traffic congestion. Thanks to the SAAV program, abandoned vehicles and any associated problems are both removed. The SAAV program removes approximately 1,000 abandoned vehicles from local Orange County streets and roads each year.

SAFE and SAAV Funding

The SAFE and SAAV programs are funded by a \$1 annual fee on each vehicle registration collected by the Department of Motor Vehicles. OCTA allocates funds received for the SAAV program to all 34 cities and to the County of Orange for unincorporated areas.

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



OCTAP Fast Facts



Orange County Taxi Administration Program



The Orange County Transportation Authority (OCTA) began regulating taxi operations in January 1998 on behalf of participating Orange County cities through the Orange County Taxi Administration Program (OCTAP). OCTAP simplified Orange County taxicab regulations with centralized permitting of cab companies, drivers and vehicles. Previously, each city regulated cab companies, resulting in a complex system, minimal standards and inadequate service for passengers. Now that regulatory functions are carried out by a single entity, customer service and industry standards have improved.

Funding

OCTAP does not generate any revenue from its services. The cost of administering the OCTAP program is covered by permits and licensing fees.

Oversight

Two committees guide OCTAP policies. The OCTAP Steering Committee is comprised of one member from each participating city, a representative from the tourist industry, and two taxicab industry representatives. This

*OCTAP is improving
taxi industry standards
and customer service.*

committee guides OCTAP on policy issues. The OCTAP Public Safety Committee is comprised of a law enforcement representative from each participating city. This committee guides OCTAP on issues relevant to public safety. Both committees meet quarterly.

FY 2010 Highlights

Program established	1998
Permitted taxi companies registered	27
Permitted taxi cabs	929
Permitted taxi cab drivers	1,473
Participating Agencies:	
• County of Orange	
• All 34 cities	

OCTAP Functions

Issue company, vehicle and driver permits
Conduct vehicle inspections
Monitor insurance requirements
Meet with agencies, law enforcement and cab companies
Coordinate with Safety and Steering committees
Report illegal taxicab activities
Conduct public outreach on taxi service
Coordinate education efforts with law enforcement



Vanpool Fast Facts



Orange County's Vanpool Program

What is a Vanpool?

It's a group of commuters who voluntarily participate in a vanpool service and commute to work in a vanpool. The vanpool group shares the cost of the service, or the employer may subsidize all or part of the costs.

What is the Vanpool Program?

Through private vanpool companies, OCTA will subsidize qualified vanpools \$400/month. Payment is made directly to the vanpool company and will appear on your monthly invoice for payment as a credit.

OCTA's Vanpool Program provides assistance to commuters working in Orange County who live in Los Angeles, Orange, Riverside or San Bernardino counties.

Vanpools must be available to any rider who shares the commuting characteristics of the members (work hours, origin and destination) when seats are available.

Who Qualifies?

Any vanpool that:

- Applies and is accepted by OCTA
- Is open to the public
- Starts with 80% and maintains 60% monthly ridership levels
- Uses a vanpool operator under contract with OCTA
- Originates in Orange, Riverside, San Bernardino, or Los Angeles counties
- Maintains eligibility
- Reports information as required

Who are the Operators?

Probably the same vanpool company you're working with today. Contact your vanpool provider or OCTA to find out if your vanpool is eligible.



How to Apply

Applications are available through OCTA or your vanpool company. Read the OCTA Vanpool Program Guidelines and complete an application. The driver and each passenger in the vanpool must sign a participation agreement. Submit your application and agreements to OCTA or your vanpool company for processing.

When to Apply

Apply when your group is formed. Support from OCTA will be available when your vanpool is approved by OCTA.

Reporting Requirements

You will be required to submit a monthly report provided by OCTA. The report reflects the actual use of the van by each passenger and your expenses for fuel, car washes, road tolls and parking every month.

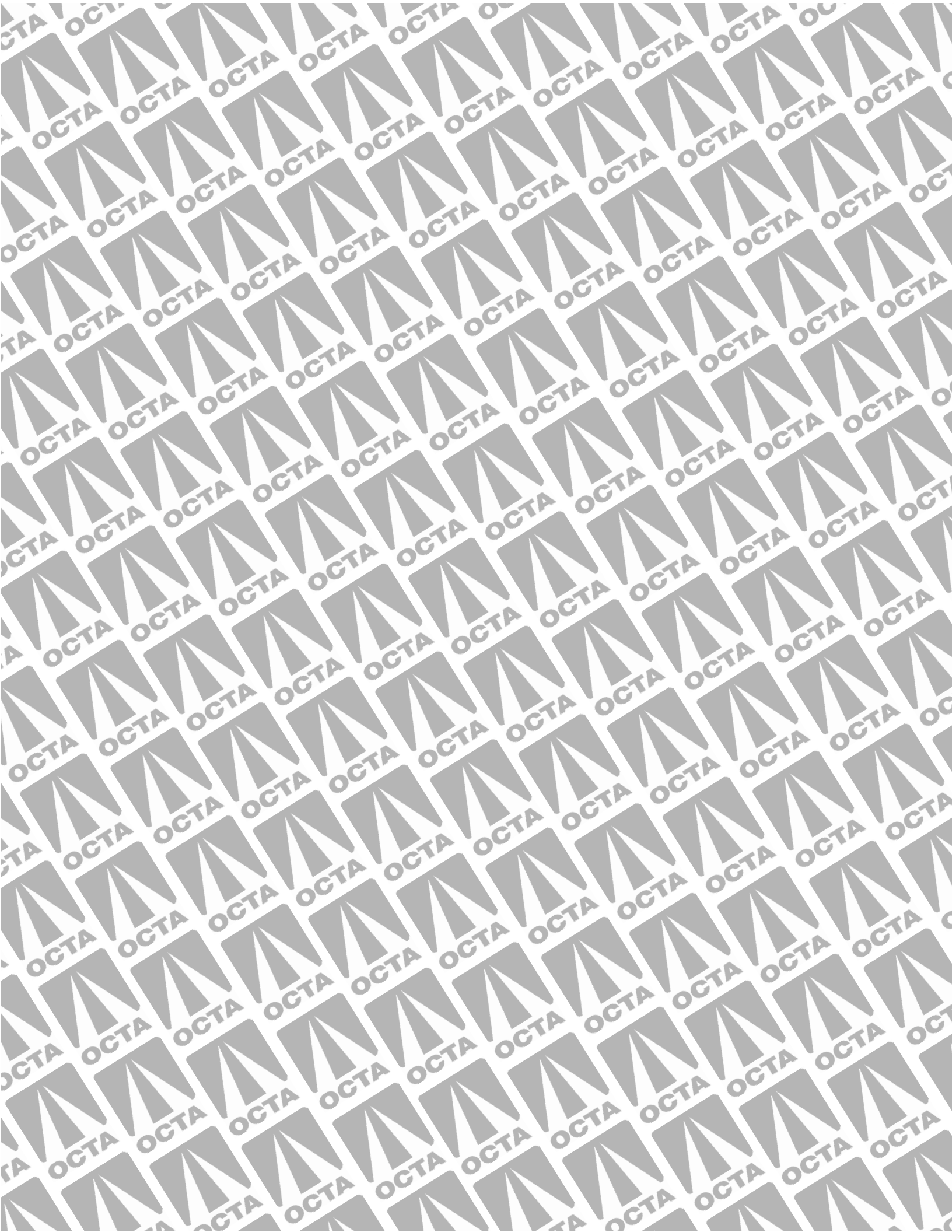
As riders join and leave your vanpool, you will need to report their first day or their last day to ride. All your riders are required to sign a participation agreement provided by OCTA to qualify as a rider.

For more information please contact: Sandy Boyle at 714.560.5893 or Gloria Jones at 714.560.5495, or contact us by e-mail at vanpool@octa.net.





FINANCIAL REPORTS



External Sources and Uses*

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5100 Passenger Fares	50,706,288	50,722,116	55,854,528
5300 Charges for Services	0	908,164	165,885
5500 Tollroad Revenue	41,837,482	41,813,159	37,080,222
6010 State Transit Assistance	-26,736	6,964,174	2,519,057
6020 State Assistance	20,388,987	55,973,000	56,552,658
6030 Federal Operating Assistance Grants	79,284,271	79,333,309	85,298,523
6040 Federal Capital Assistance Grants	3,745,179	128,109,590	94,323,089
6050 Reimbursement from Other Agencies	8,667,274	27,303,516	13,570,271
6055 Gas Tax Exchange	23,000,004	23,000,004	23,000,004
6100 Property Taxes	10,736,088	11,018,167	11,018,167
6110 License Fees	649,651	597,381	676,581
6200 Interest Income	28,766,043	12,886,344	19,968,323
6300 Other Non-operating Revenue/Expense	13,527,813	12,412,158	11,826,108
6550 Proceeds Sale of Capital Asset	4,300	536,674	0
6900 Bond Proceeds	358,593,306	0	0
9200 Non-Proprietary Fund Account	345,436,297	417,007,736	458,803,784
Subtotal Revenues	\$ 985,316,247	\$ 868,585,492	\$ 870,657,200
Use of Reserves	201,467,863	236,699,722	204,124,573
Total Sources	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773
Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7100 Wages, Salaries and Benefits	141,118,216	147,338,289	147,959,778
7300 Purchased Transportation Services	58,800,589	70,361,685	74,643,046
7500 Professional Services	105,408,738	138,151,762	160,324,542
7540 Insurance Claims/Premiums	7,376,854	11,072,542	13,294,230
7600 General and Administrative	10,987,978	12,708,347	13,418,472
7700 Maintenance Parts and Fuel	17,811,806	21,913,832	24,464,447
7800 Contributions to Other Agencies	219,604,169	321,762,807	299,977,597
8111 Interest Expense	18,398,204	29,245,861	28,835,411
8112 Principal Payment On Long Term Debt	82,795,000	0	6,410,000
8240 Transfers to Outside Agencies	120,681,544	226,452,716	189,115,424
Subtotal Expenses	\$ 782,983,098	\$ 979,007,841	\$ 958,442,947
Designations	403,801,012	126,277,373	116,338,826
Total Uses	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773

*Interfund transfers and management fees excluded. These revenues / expenses represent the internal transfer of funds and do not reflect expenditures made outside the Authority.

Financial Reports

External Revenues and Reserves*

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5110 Farebox Revenue	30,265,399	27,381,210	31,274,059
5150 Pass Sales	13,496,769	12,887,132	15,529,709
5180 Coupon Sales	2,637,999	2,598,825	2,761,822
5220 Direct Route Subsidy	1,413,089	4,819,702	3,688,358
5240 Passenger Revenue Subsidy	2,534,149	2,715,137	2,208,000
5260 Miscellaneous Transit Revenue	3,673,329	3,778,877	3,906,197
5310 Operating Revenue-Charges for Service	0	908,164	165,885
5510 Tollroad Revenue	33,668,023	34,868,837	30,135,900
5550 Tollroad Fee Income	8,167,556	6,944,322	6,944,322
5580 Tollroad Income Other	1,903	0	0
6020 State Assistance	20,362,251	62,937,174	59,071,715
6030 Federal Operating Assistance Grants	79,284,271	79,333,309	85,298,523
6040 Federal Capital Assistance Grants	3,745,179	128,109,590	94,323,089
6050 Other Financial Assistance	31,667,278	50,303,520	36,570,275
6100 Taxes	356,172,385	428,025,903	469,821,951
6110 Operator Licenses	649,651	597,381	676,581
6200 Interest Income	28,766,043	12,886,344	19,968,323
6310 Rental Income	3,025,010	3,912,067	3,842,752
6330 Fees and Fines	155,786	180,478	144,622
6350 Insurance Recoveries	776,885	334,354	334,354
6370 Miscellaneous	6,255,686	4,526,492	3,990,763
6550 Proceeds Sale of Capital Asset	4,300	536,674	0
6900 Bond Proceeds	358,593,306	0	0
Total Revenues	\$ 985,316,247	\$ 868,585,492	\$ 870,657,200
Anaheim and Santa Ana Go Local Fixed Guideway	0	3,135,000	330,000
Anaheim Regional Transportation Intermodal Center	0	21,000,000	6,237,943
ARTIC - Project R	0	0	6,817,121
ARTIC - Project T	0	0	27,376,679
Article 3 Bikeway & Pedestrian Facilities Program	828,007	1,635,212	665,865
Bus Operations Fund Reserves	13,656,407	0	0
Close Out Fund 52	15,000	0	0
Close Out Fund 95	162,575	0	0
Combined Transportation Funding Program	0	38,050,000	40,095,000
Commuter Rail Capital Improvements	0	8,418,123	3,231,462
Commuter Rail Operations	0	23,000,000	21,500,000
Environmental Mitigation Property Acquisition	0	22,000,000	10,300,000
Environmental Mitigation Property Restoration	0	5,000,000	6,930,180
Fullerton Station Parking Expansion Project	0	6,000,000	200,362
General Fund Reserves	4,494,192	0	0
Grade Crossing Enhancement and Quiet Zones	0	10,000,000	2,260,000
High Speed Rail	0	0	193,828
I-405 HOV Connector Projects	0	0	2,044,000
I-405 HOV Conversion PA-ED/PS&E	0	0	75,000
I-405/SR-55 Connector	0	2,060,000	10,000
I-5 Gateway Project to LA County Line	0	11,120,000	6,619,000
I-5 HOV Conversion PSR-PR/PS&E	0	0	75,000
Irvine Transportation Center Master Plan	0	310,000	305,102
iShuttle Operating Service (M1 Funds Trans. CURE)	0	0	1,327,351

*Interfund transfers and management fees excluded. These revenues / expenses represent the internal transfer of funds and do not reflect expenditures made outside the Authority.

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External Revenues and Reserves*

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Laguna Niguel/Mission Viejo Parking Expansion	0	1,000,000	0
LOSSAN Commuter Rail	0	0	3,737,750
M1 Debt Service	36,143,454	0	0
Measure M	18,444,952	0	9,013,845
Measure M Debt Service	51,001,501	0	0
Metrolink Service Expansion Program	0	33,423,567	6,500,000
MM RV1066 close MM1 bonds	73,511,100	0	0
OCTAP Operations	0	66,270	0
OCTD Fixed Asset Reserves	0	466,400	0
Orange Transportation Center Parking Expansion	0	1,650,000	1,000,000
Oso Parkway at I-5	98,628	0	0
PE ROW	0	0	206,000
Personal Liability & Property Damage	401,329	0	0
Placentia Ave Grade Separation	1,462,544	0	0
Project O Grade Separations	0	39,435,712	26,969,000
Project P - Regional Traffic Signal Synch	0	0	15,377,600
SAAV Operations	0	2,443,146	716,010
Santa Ana Blvd Grade Separation	0	172,050	170,000
Santa Ana Regional Transportation Center	0	172,050	0
Scholarship Fund	5,043	0	0
Signal Synchronization	0	0	42,500
SR-22 Construction	0	2,471,521	0
SR-22 ROW/Design Services	0	0	360,000
SR-55 HOV Continuous Access Striping	1,100,000	1,974,921	0
SR-57 HOV Conversion - Gaps PA-ED/PS&E	0	0	300,000
State Transit Assistance Fund for Bus Operations	803	0	0
Stationlink Rail Feeder Service	0	0	3,077,975
Tustin Station Parking Expansion	0	1,325,000	0
VSS at Fullerton Metrolink Station	0	0	60,000
West County Connector	0	370,750	0
Workers' Compensation Claims	142,328	0	0
Total Use of Reserves	\$ 201,467,863	\$ 236,699,722	\$ 204,124,573
Available Revenues / Reserves	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773

*Interfund transfers and management fees excluded. These revenues / expenses represent the internal transfer of funds and do not reflect expenditures made outside the Authority.

Financial Reports

External Expenses and Designations*

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7110 Salaries-Regular Employees	84,049,856	82,411,213	82,755,479
7150 Extra Help Employees	733,971	941,693	1,054,200
7209 Deferred Compensation	1,397,219	1,424,941	1,597,280
7210 Pensions	22,222,846	24,881,266	25,305,911
7220 Insurances	2,255,338	2,176,624	2,415,075
7240 Health Care	18,284,395	20,117,499	18,743,551
7260 Compensated Absences	7,747,187	11,496,699	11,289,253
7280 Other Benefits	4,427,404	3,888,354	4,799,029
7310 Contract Transportation	58,800,589	70,361,685	74,643,046
7510 Professional Services	75,225,501	89,902,557	111,580,745
7540 Insurance Claims Expense	7,376,854	11,072,542	13,294,230
7610 Outside Services	29,885,190	48,025,704	48,319,397
7630 Advertising Fees	298,047	223,501	424,400
7640 Utilities	2,541,008	2,755,280	2,800,200
7650 Travel, Training, and Mileage	428,586	700,839	753,083
7660 Office Expense	1,432,627	2,093,205	2,820,693
7670 Miscellaneous Expense	4,438,525	1,075,571	1,054,006
7690 Leases	5,092,098	5,312,667	5,041,404
7710 Fuels and Lubricants	9,154,399	12,774,764	16,049,104
7740 Tires and Tubes	1,996,561	2,160,962	2,131,804
7750 Maintenance Expense	6,660,846	6,978,106	6,283,539
7780 General Equipment/Structures	0	83,100	47,500
7790 Other Materials and Supplies	1,045,609	1,258,063	1,437,124
7820 Taxes	249,632	125,300	476,800
7830 Contributions to Other Agencies	215,364,062	321,067,129	298,965,259
8110 Debt Service	101,193,204	29,245,861	35,245,411
9010 Work In Process	417,848	936,500	230,000
9020 Capital Exp-Locally Funded	19,478,592	13,288,764	19,084,424
9080 Construction in Progress	100,785,104	212,227,452	169,801,000
Subtotal Expenses	\$ 782,983,098	\$ 979,007,841	\$ 958,442,947
ARBA Contributions	1,891,063	1,197,234	1,123,375
Bond Proceeds	255,658,516	0	0
Bristol Street Widening Project	0	3,750,004	0
Designated for Future Freeway Serv. Patrol Service	387,808	218,206	0
Designated for Future M2 projects	0	96,098,553	62,125,855
Designated for future OCUTT projects	211,228	220,282	190,479
Designated for Future SR-91 Projects	26,868,765	12,335,258	11,919,959
Fixed Asset Reserve	1,712,991	12,457,536	39,574,239
LOSSAN Commuter Rail	46,644,233	0	0
M2 Debt Service	10,194,790	0	0
M2 Funds Designated for Future SAFE Projects	0	0	1,397,422
Metrolink Service Expansion Program	60,000,000	0	0
OCTAP Operations	100,823	0	7,497
OCTD Capital Projects	0	300	0
SAAV Operations	130,795	0	0
Subtotal Designations	\$ 403,801,012	\$ 126,277,373	\$ 116,338,826
Total Uses	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773

*Interfund transfers and management fees excluded. These revenues / expenses represent the internal transfer of funds and do not reflect expenditures made outside the Authority.

Internal Sources and Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5100 Passenger Fares	50,706,288	50,722,116	55,854,528
5300 Charges for Services	7,577,919	11,871,230	14,112,326
5500 Tollroad Revenue	41,837,482	41,813,159	37,080,222
6010 State Transit Assistance	-26,736	6,964,174	2,519,057
6020 State Assistance	20,388,987	55,973,000	56,552,658
6030 Federal Operating Assistance Grants	79,284,271	79,333,309	85,298,523
6040 Federal Capital Assistance Grants	3,745,179	128,109,590	94,323,089
6050 Reimbursement from Other Agencies	8,667,274	27,303,516	13,570,271
6055 Gas Tax Exchange	23,000,004	23,000,004	23,000,004
6100 Property Taxes	10,736,088	11,018,167	11,018,167
6110 License Fees	649,651	597,381	676,581
6200 Interest Income	28,766,043	12,886,344	19,968,323
6300 Other Non-operating Revenue/Expense	13,527,813	12,412,158	11,826,108
6400 Management Fee	46,389,960	47,749,985	56,927,973
6500 Operating Transfers In	380,372,057	188,986,358	210,449,977
6550 Proceeds Sale of Capital Asset	4,300	536,674	0
6900 Bond Proceeds	358,593,306	0	0
9200 Non-Proprietary Fund Account	345,436,297	417,007,736	458,803,784
Subtotal Revenues	\$ 1,419,656,183	\$ 1,116,284,901	\$ 1,151,981,591
Use of Reserves	201,467,863	236,699,722	204,124,573
Total Sources	\$ 1,621,124,046	\$ 1,352,984,623	\$ 1,356,106,164
Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7100 Wages, Salaries and Benefits	147,891,559	152,888,359	153,643,149
7300 Purchased Transportation Services	58,800,589	70,361,685	74,643,046
7400 Management Fee Expense	46,389,960	47,749,985	56,927,973
7500 Professional Services	105,408,738	138,151,762	160,324,542
7540 Insurance Claims/Premiums	7,376,854	11,072,542	13,294,230
7600 General and Administrative	10,987,978	12,708,347	13,418,472
7700 Maintenance Parts and Fuel	17,811,806	21,913,832	24,464,447
7800 Contributions to Other Agencies	220,408,745	327,175,803	308,240,667
8111 Interest Expense	18,398,204	29,245,861	28,835,411
8112 Principal Payment On Long Term Debt	82,795,000	0	6,410,000
8200 Operating Transfers Out	380,372,057	188,986,358	210,449,977
8240 Transfers to Outside Agencies	120,681,544	226,452,716	189,115,424
Subtotal Expenses	\$ 1,217,323,034	\$ 1,226,707,250	\$ 1,239,767,338
Designations	403,801,012	126,277,373	116,338,826
Total Uses	\$ 1,621,124,046	\$ 1,352,984,623	\$ 1,356,106,164

Financial Reports

Internal Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5110 Farebox Revenue	30,265,399	27,381,210	31,274,059
5150 Pass Sales	13,496,769	12,887,132	15,529,709
5180 Coupon Sales	2,637,999	2,598,825	2,761,822
5220 Direct Route Subsidy	1,413,089	4,819,702	3,688,358
5240 Passenger Revenue Subsidy	2,534,149	2,715,137	2,208,000
5260 Miscellaneous Transit Revenue	3,673,329	3,778,877	3,906,197
5310 Operating Revenue-Charges for Service	7,577,919	11,871,230	14,112,326
5510 Tollroad Revenue	33,668,023	34,868,837	30,135,900
5550 Tollroad Fee Income	8,167,556	6,944,322	6,944,322
5580 Tollroad Income Other	1,903	0	0
6020 State Assistance	20,362,251	62,937,174	59,071,715
6030 Federal Operating Assistance Grants	79,284,271	79,333,309	85,298,523
6040 Federal Capital Assistance Grants	3,745,179	128,109,590	94,323,089
6050 Other Financial Assistance	31,667,278	50,303,520	36,570,275
6100 Taxes	356,172,385	428,025,903	469,821,951
6110 Operator Licenses	649,651	597,381	676,581
6200 Interest Income	28,766,043	12,886,344	19,968,323
6310 Rental Income	3,025,010	3,912,067	3,842,752
6330 Fees and Fines	155,786	180,478	144,622
6350 Insurance Recoveries	776,885	334,354	334,354
6370 Miscellaneous	6,255,686	4,526,492	3,990,763
6410 Charges for Services	46,389,960	47,749,985	56,927,973
6510 Operating Transfers In	380,372,057	188,986,358	210,449,977
6550 Proceeds Sale of Capital Asset	4,300	536,674	0
6900 Bond Proceeds	358,593,306	0	0
Total Revenues	\$ 1,419,656,183	\$ 1,116,284,901	\$ 1,151,981,591
Anaheim and Santa Ana Go Local Fixed Guideway	0	3,135,000	330,000
Anaheim Regional Transportation Intermodal Center	0	21,000,000	6,237,943
ARTIC - Project R	0	0	6,817,121
ARTIC - Project T	0	0	27,376,679
Article 3 Bikeway & Pedestrian Facilities Program	828,007	1,635,212	665,865
Bus Operations Fund Reserves	13,656,407	0	0
Close Out Fund 52	15,000	0	0
Close Out Fund 95	162,575	0	0
Combined Transportation Funding Program	0	38,050,000	40,095,000
Commuter Rail Capital Improvements	0	8,418,123	3,231,462
Commuter Rail Operations	0	23,000,000	21,500,000
Environmental Mitigation Property Acquisition	0	22,000,000	10,300,000
Environmental Mitigation Property Restoration	0	5,000,000	6,930,180
Fullerton Station Parking Expansion Project	0	6,000,000	200,362
General Fund Reserves	4,494,192	0	0
Grade Crossing Enhancement and Quiet Zones	0	10,000,000	2,260,000
High Speed Rail	0	0	193,828
I-405 HOV Connector Projects	0	0	2,044,000
I-405 HOV Conversion PA-ED/PS&E	0	0	75,000
I-405/SR-55 Connector	0	2,060,000	10,000
I-5 Gateway Project to LA County Line	0	11,120,000	6,619,000
I-5 HOV Conversion PSR-PR/PS&E	0	0	75,000
Irvine Transportation Center Master Plan	0	310,000	305,102
iShuttle Operating Service (M1 Funds Trans. CURE)	0	0	1,327,351

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Internal Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Laguna Niguel/Mission Viejo Parking Expansion	0	1,000,000	0
LOSSAN Commuter Rail	0	0	3,737,750
M1 Debt Service	36,143,454	0	0
Measure M	18,444,952	0	9,013,845
Measure M Debt Service	51,001,501	0	0
Metrolink Service Expansion Program	0	33,423,567	6,500,000
MM RV1066 close MM1 bonds	73,511,100	0	0
OCTAP Operations	0	66,270	0
OCTD Fixed Asset Reserves	0	466,400	0
Orange Transportation Center Parking Expansion	0	1,650,000	1,000,000
Oso Parkway at I-5	98,628	0	0
PE ROW	0	0	206,000
Personal Liability & Property Damage	401,329	0	0
Placentia Ave Grade Separation	1,462,544	0	0
Project O Grade Separations	0	39,435,712	26,969,000
Project P - Regional Traffic Signal Synch	0	0	15,377,600
SAAV Operations	0	2,443,146	716,010
Santa Ana Blvd Grade Separation	0	172,050	170,000
Santa Ana Regional Transportation Center	0	172,050	0
Scholarship Fund	5,043	0	0
Signal Synchronization	0	0	42,500
SR-22 Construction	0	2,471,521	0
SR-22 ROW/Design Services	0	0	360,000
SR-55 HOV Continuous Access Striping	1,100,000	1,974,921	0
SR-57 HOV Conversion - Gaps PA-ED/PS&E	0	0	300,000
State Transit Assistance Fund for Bus Operations	803	0	0
Stationlink Rail Feeder Service	0	0	3,077,975
Tustin Station Parking Expansion	0	1,325,000	0
VSS at Fullerton Metrolink Station	0	0	60,000
West County Connector	0	370,750	0
Workers' Compensation Claims	142,328	0	0
Total Use of Reserves	\$ 201,467,863	\$ 236,699,722	\$ 204,124,573
Available Revenues / Reserves	\$ 1,621,124,046	\$ 1,352,984,623	\$ 1,356,106,164

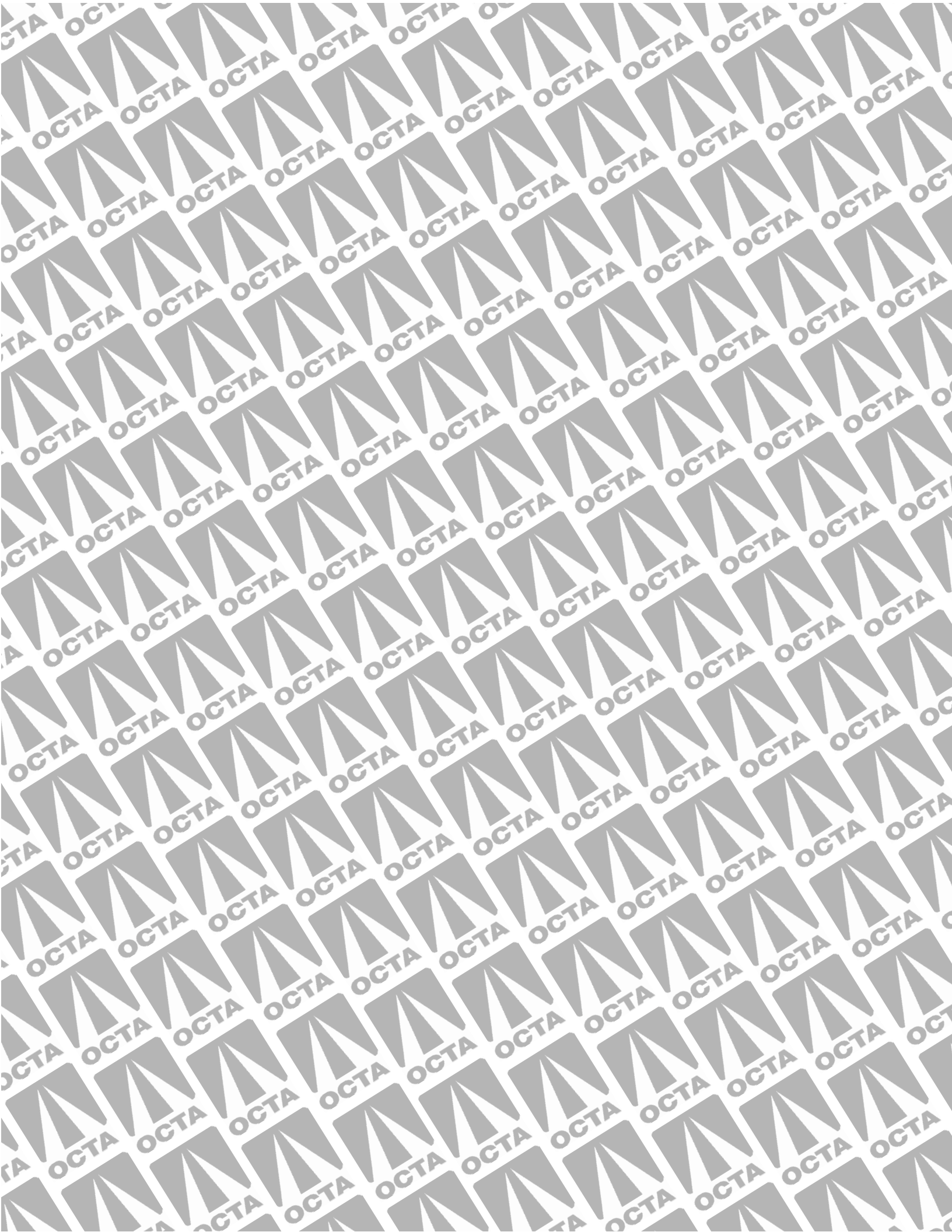
Financial Reports

Internal Expenses and Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	84,049,856	82,411,213	82,755,479
7150 Extra Help Employees	733,971	941,693	1,054,200
7209 Deferred Compensation	1,397,219	1,424,941	1,597,280
7210 Pensions	22,222,846	24,881,266	25,305,911
7220 Insurances	2,255,338	2,176,624	2,415,075
7240 Health Care	18,284,395	20,117,499	18,743,551
7260 Compensated Absences	7,747,187	11,496,699	11,289,253
7270 Workers Compensation	6,773,343	5,550,070	5,683,371
7280 Other Benefits	4,427,404	3,888,354	4,799,029
Salaries and Benefits Subtotal	\$ 147,891,559	\$ 152,888,359	\$ 153,643,149
<u>Services and Supplies</u>			
7310 Contract Transportation	58,800,589	70,361,685	74,643,046
7410 Administrative Services	46,389,960	47,749,985	56,927,973
7510 Professional Services	75,225,501	89,902,557	111,580,745
7540 Insurance Claims Expense	7,376,854	11,072,542	13,294,230
7610 Outside Services	29,885,190	48,025,704	48,319,397
7630 Advertising Fees	298,047	223,501	424,400
7640 Utilities	2,541,008	2,755,280	2,800,200
7650 Travel, Training, and Mileage	428,586	700,839	753,083
7660 Office Expense	1,432,627	2,093,205	2,820,693
7670 Miscellaneous Expense	4,438,525	1,075,571	1,054,006
7690 Leases	5,092,098	5,312,667	5,041,404
7710 Fuels and Lubricants	9,154,399	12,774,764	16,049,104
7740 Tires and Tubes	1,996,561	2,160,962	2,131,804
7750 Maintenance Expense	6,660,846	6,978,106	6,283,539
7780 General Equipment/Structures	0	83,100	47,500
7790 Other Materials and Supplies	1,045,609	1,258,063	1,437,124
7810 Insurance	804,576	5,412,996	8,263,070
7820 Taxes	249,632	125,300	476,800
7830 Contributions to Other Agency's	215,364,062	321,067,129	298,965,259
8110 Debt Service	101,193,204	29,245,861	35,245,411
8210 Operating Transfers Out	380,372,057	188,986,358	210,449,977
Services and Supplies Subtotal	\$ 948,749,931	\$ 847,366,175	\$ 897,008,765
<u>Capital Expenditure</u>			
9010 Work In Process	417,848	936,500	230,000
9020 Capital Exp-Locally Funded	19,478,592	13,288,764	19,084,424
9080 Construction in Progress	100,785,104	212,227,452	169,801,000
Capital Expenditure Subtotal	\$ 120,681,544	\$ 226,452,716	\$ 189,115,424
Subtotal Expenses	\$ 1,217,323,034	\$ 1,226,707,250	\$ 1,239,767,338

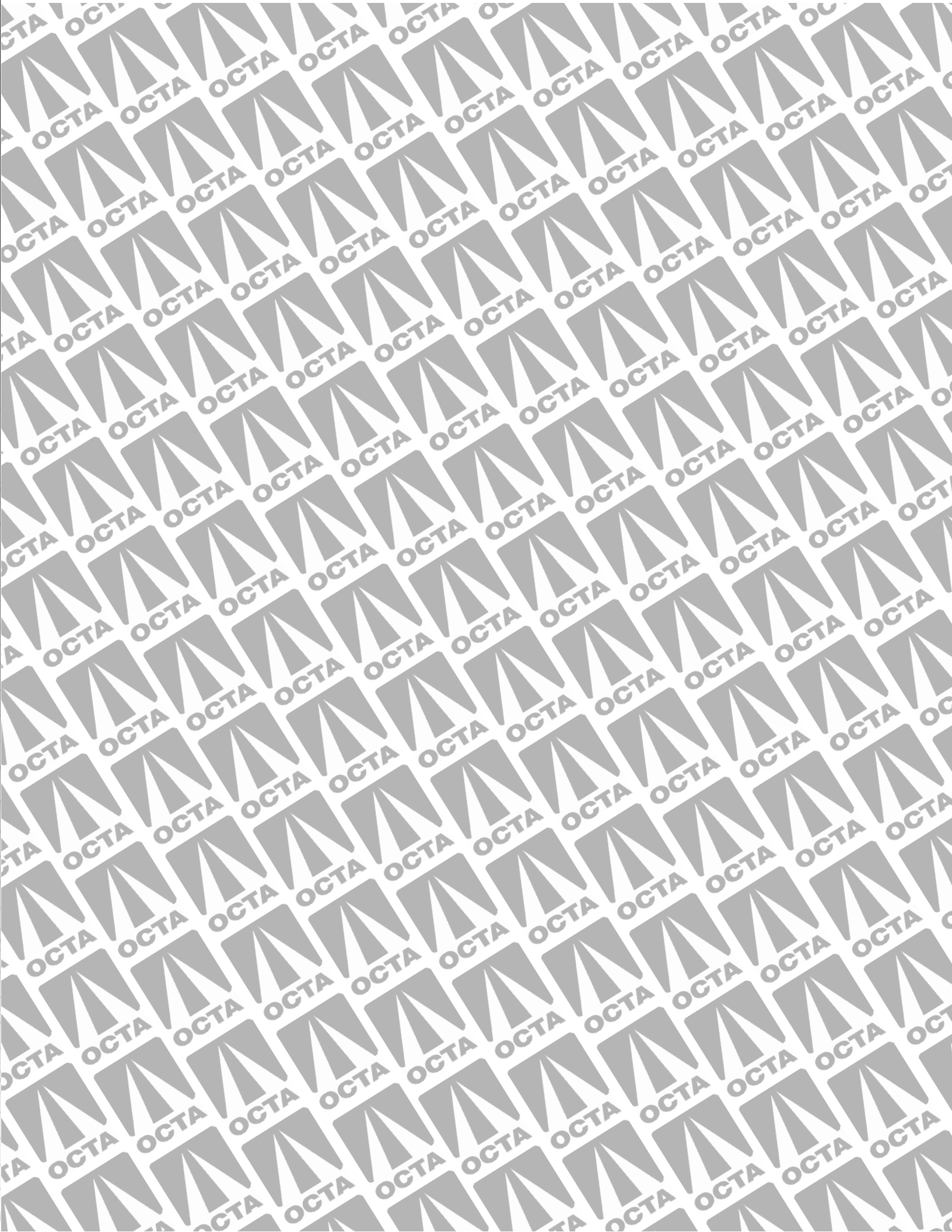
Internal Expenses and Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
ARBA Contributions	1,891,063	1,197,234	1,123,375
Bond Proceeds	255,658,516	0	0
Bristol Street Widening Project	0	3,750,004	0
Designated for Future Freeway Serv. Patrol Service	387,808	218,206	0
Designated for Future M2 projects	0	96,098,553	62,125,855
Designated for future OCUTT projects	211,228	220,282	190,479
Designated for Future SR-91 Projects	26,868,765	12,335,258	11,919,959
Fixed Asset Reserve	1,712,991	12,457,536	39,574,239
LOSSAN Commuter Rail	46,644,233	0	0
M2 Debt Service	10,194,790	0	0
M2 Funds Designated for Future SAFE Projects	0	0	1,397,422
Metrolink Service Expansion Program	60,000,000	0	0
OCTAP Operations	100,823	0	7,497
OCTD Capital Projects	0	300	0
SAAV Operations	130,795	0	0
Subtotal Designations	\$ 403,801,012	\$ 126,277,373	\$ 116,338,826
Total Uses	\$ 1,621,124,046	\$ 1,352,984,623	\$ 1,356,106,164





FUND BUDGETS



External Fund Level Summary - Sources*

Source of Funds			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
ARBA Trust Fund	2,429,936	1,197,234	1,123,375
Bus Operations Fund	13,770,783	0	0
Commuter and Urban Rail Endowment 1	3,446,447	41,338,844	43,167,673
Commuter and Urban Rail Endowment 3	162,575	0	0
Gas Tax Fund	23,000,004	23,000,004	23,000,004
General Fund	9,787,985	7,123,165	26,741,909
Internal Service Fund - Workers Compensation	721,801	276,682	158,782
Internal Service Fund- PL & PD	1,130,174	808,033	693,717
Local Transportation Authority Measure M1	290,360,976	184,886,611	111,641,116
Local Transportation Authority Measure M2	425,217,635	477,806,597	469,641,190
Local Transportation Fund	86,719,294	130,726,432	144,925,861
Measure M Bond Debt Service	110,079,620	0	0
Measure M2 Bond Debt Service	1,013,359	7,074,613	7,087,572
Orange County Taxi Administration Program	668,428	673,799	690,163
Orange County Transit District	153,156,054	157,153,678	179,271,612
Orange County Transit District Capital Projects Fund	15,000	300	0
Orange County Unified Transportation Trust	2,789,972	2,199,777	646,699
Scholarship Fund	24,022	19,891	19,859
Service Authority for Abandoned Vehicles	2,652,586	2,504,500	802,735
Service Authority for Freeway Emergencies	5,744,586	5,645,378	5,136,928
State Route 91 Toll Road	53,675,211	43,468,008	38,214,711
State Transit Assistance Fund	221	19,381,668	21,817,867
Transit Development Capital Project	217,441	0	0
Total Authority	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773

*Interfund transfers and management fees excluded. These revenues / expenses represent the internal transfer of funds and do not reflect expenditures made outside the Authority.

Fund Budgets

External Fund Level Summary - Uses*

Use of Funds			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
ARBA Trust Fund	2,429,936	1,197,234	1,123,375
Bus Operations Fund	4,964	0	0
Commuter and Urban Rail Endowment 1	120,916,945	37,433,118	37,802,202
Gas Tax Fund	23,000,004	23,000,004	23,000,004
General Fund	73,958,741	80,573,651	102,208,334
Internal Service Fund - Workers Compensation	7,416,816	5,746,451	5,747,924
Internal Service Fund- PL & PD	1,873,790	6,125,672	8,850,214
Local Transportation Authority Measure M1	175,347,788	180,561,738	101,838,802
Local Transportation Authority Measure M2	411,995,781	451,348,630	434,211,617
Local Transportation Fund	5,572,338	5,373,626	2,929,742
Measure M Bond Debt Service	87,570,021	0	0
Measure M2 Bond Debt Service	13,427,910	22,383,138	28,793,138
Orange County Taxi Administration Program	515,579	463,130	534,294
Orange County Transit District	201,913,689	241,037,989	282,906,256
Orange County Transit District Capital Projects Fund	0	300	0
Orange County Unified Transportation Trust	1,689,972	224,856	196,699
Scholarship Fund	24,022	19,891	19,859
Service Authority for Abandoned Vehicles	2,523,052	2,395,752	802,735
Service Authority for Freeway Emergencies	5,311,888	6,061,031	7,790,870
State Route 91 Toll Road	51,107,624	41,164,383	36,025,708
State Transit Assistance Fund	221	174,620	0
Transit Development Capital Project	183,029	0	0
Total Authority	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773

*Interfund transfers and management fees excluded. These revenues / expenses represent the internal transfer of funds and do not reflect expenditures made outside the Authority.

Internal Fund Level Summary - Revenues and Reserves

Revenues / Reserves			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
ARBA Trust Fund	2,429,936	1,197,234	1,123,375
Bus Operations Fund	13,770,783	0	0
Commuter and Urban Rail Endowment 1	123,609,022	41,338,844	43,167,673
Commuter and Urban Rail Endowment 3	162,575	0	0
Gas Tax Fund	23,000,004	23,000,004	23,000,004
General Fund	74,686,963	81,115,326	102,637,384
Internal Service Fund - Workers Compensation	7,495,144	5,826,752	5,842,153
Internal Service Fund- PL & PD	1,934,750	6,221,029	8,956,787
Local Transportation Authority Measure M1	363,872,076	184,886,611	111,641,116
Local Transportation Authority Measure M2	434,344,518	477,806,597	469,641,190
Local Transportation Fund	86,719,294	130,726,432	144,925,861
Measure M Bond Debt Service	161,081,121	0	0
Measure M2 Bond Debt Service	14,432,979	22,383,138	28,793,138
Orange County Taxi Administration Program	668,428	673,799	690,163
Orange County Transit District	247,797,414	303,569,346	345,853,532
Orange County Transit District Capital Projects Fund	15,000	300	0
Orange County Unified Transportation Trust	2,789,972	2,384,856	646,699
Scholarship Fund	24,022	19,891	19,859
Service Authority for Abandoned Vehicles	2,652,586	2,504,500	802,735
Service Authority for Freeway Emergencies	5,744,586	6,480,288	8,331,917
State Route 91 Toll Road	53,675,211	43,468,008	38,214,711
State Transit Assistance Fund	221	19,381,668	21,817,867
Transit Development Capital Project	217,441	0	0
Total Authority	\$ 1,621,124,046	\$ 1,352,984,623	\$ 1,356,106,164

Fund Budgets

Internal Fund Level Summary - Expenses and Designations

Expenses / Designations			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
ARBA Trust Fund	2,429,936	1,197,234	1,123,375
Bus Operations Fund	13,770,783	0	0
Commuter and Urban Rail Endowment 1	123,609,022	41,338,844	43,167,673
Commuter and Urban Rail Endowment 3	162,575	0	0
Gas Tax Fund	23,000,004	23,000,004	23,000,004
General Fund	74,686,963	81,115,326	102,637,384
Internal Service Fund - Workers Compensation	7,495,144	5,826,752	5,842,153
Internal Service Fund- PL & PD	1,934,750	6,221,029	8,956,787
Local Transportation Authority Measure M1	363,872,076	184,886,611	111,641,116
Local Transportation Authority Measure M2	434,344,518	477,806,597	469,641,190
Local Transportation Fund	86,719,294	130,726,432	144,925,861
Measure M Bond Debt Service	161,081,121	0	0
Measure M2 Bond Debt Service	14,432,979	22,383,138	28,793,138
Orange County Taxi Administration Program	668,428	673,799	690,163
Orange County Transit District	247,797,414	303,569,346	345,853,532
Orange County Transit District Capital Projects Fund	15,000	300	0
Orange County Unified Transportation Trust	2,789,972	2,384,856	646,699
Scholarship Fund	24,022	19,891	19,859
Service Authority for Abandoned Vehicles	2,652,586	2,504,500	802,735
Service Authority for Freeway Emergencies	5,744,586	6,480,288	8,331,917
State Route 91 Toll Road	53,675,211	43,468,008	38,214,711
State Transit Assistance Fund	221	19,381,668	21,817,867
Transit Development Capital Project	217,441	0	0
Total Authority	\$ 1,621,124,046	\$ 1,352,984,623	\$ 1,356,106,164

External Revenues and Reserves by Fund*

Source of Funds			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Administrative</u>			
ARBA Trust Fund	2,429,936	1,197,234	1,123,375
General Fund	9,787,985	7,123,165	26,741,909
Internal Service Fund - Workers Compensation	721,801	276,682	158,782
Internal Service Fund- PL & PD	1,130,174	808,033	693,717
Scholarship Fund	24,022	19,891	19,859
Subtotal Administrative	\$ 14,093,918	\$ 9,425,005	\$ 28,737,642
<u>Transit</u>			
Bus Operations Fund	13,770,783	0	0
Gas Tax Fund	23,000,004	23,000,004	23,000,004
Local Transportation Fund	86,719,294	130,726,432	144,925,861
Orange County Transit District	153,156,054	157,153,678	179,271,612
State Transit Assistance Fund	221	19,381,668	21,817,867
Subtotal Transit	\$ 276,646,356	\$ 330,261,782	\$ 369,015,344
<u>Measure M</u>			
Local Transportation Authority Measure M1	290,360,976	184,886,611	111,641,116
Local Transportation Authority Measure M2	425,217,635	477,806,597	469,641,190
Measure M Bond Debt Service	110,079,620	0	0
Measure M2 Bond Debt Service	1,013,359	7,074,613	7,087,572
Subtotal Measure M	\$ 826,671,590	\$ 669,767,821	\$ 588,369,878
<u>Rail</u>			
Commuter and Urban Rail Endowment 1	3,446,447	41,338,844	43,167,673
Commuter and Urban Rail Endowment 3	162,575	0	0
Subtotal Rail	\$ 3,609,022	\$ 41,338,844	\$ 43,167,673
<u>91 Express Lanes</u>			
State Route 91 Toll Road	53,675,211	43,468,008	38,214,711
Subtotal 91 Express Lanes	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711
<u>Motorist & Taxi Services</u>			
Orange County Taxi Administration Program	668,428	673,799	690,163
Service Authority for Abandoned Vehicles	2,652,586	2,504,500	802,735
Service Authority for Freeway Emergencies	5,744,586	5,645,378	5,136,928
Subtotal Motorist & Taxi Services	\$ 9,065,600	\$ 8,823,677	\$ 6,629,826
<u>Capital Project</u>			
Orange County Transit District Capital Projects F	15,000	300	0
Orange County Unified Transportation Trust	2,789,972	2,199,777	646,699
Transit Development Capital Project	217,441	0	0
Subtotal Capital Project	\$ 3,022,413	\$ 2,200,077	\$ 646,699
Total Authority	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773

*Interfund transfers and management fees excluded. These revenues / expenses represent the internal transfer of funds and do not reflect expenditures made outside the Authority.

Fund Budgets

External Expenses and Designations by Fund*

Use of Funds			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Administrative</u>			
ARBA Trust Fund	2,429,936	1,197,234	1,123,375
General Fund	72,182,380	80,573,651	102,208,334
Internal Service Fund - Workers Compensation	7,416,816	5,746,451	5,747,924
Internal Service Fund- PL & PD	1,873,790	6,125,672	8,850,214
Orange County Transit District	0	303,125	75,000
Scholarship Fund	24,022	19,891	19,859
Subtotal Administrative	\$ 83,926,944	\$ 93,966,024	\$ 118,024,706
<u>Transit</u>			
Bus Operations Fund	4,964	0	0
Gas Tax Fund	23,000,004	23,000,004	23,000,004
General Fund	1,776,361	0	0
Local Transportation Fund	5,572,338	5,373,626	2,929,742
Orange County Transit District	201,913,689	240,734,864	282,831,256
State Transit Assistance Fund	221	174,620	0
Subtotal Transit	\$ 232,267,577	\$ 269,283,114	\$ 308,761,002
<u>Measure M</u>			
Local Transportation Authority Measure M1	175,347,788	180,561,738	101,838,802
Local Transportation Authority Measure M2	411,995,781	451,348,630	434,211,617
Measure M Bond Debt Service	87,570,021	0	0
Measure M2 Bond Debt Service	13,427,910	22,383,138	28,793,138
Subtotal Measure M	\$ 688,341,500	\$ 654,293,506	\$ 564,843,557
<u>Rail</u>			
Commuter and Urban Rail Endowment 1	120,916,945	37,433,118	37,802,202
Subtotal Rail	\$ 120,916,945	\$ 37,433,118	\$ 37,802,202
<u>91 Express Lanes</u>			
State Route 91 Toll Road	51,107,624	41,164,383	36,025,708
Subtotal 91 Express Lanes	\$ 51,107,624	\$ 41,164,383	\$ 36,025,708
<u>Motorist & Taxi Services</u>			
Orange County Taxi Administration Program	515,579	463,130	534,294
Service Authority for Abandoned Vehicles	2,523,052	2,395,752	802,735
Service Authority for Freeway Emergencies	5,311,888	6,061,031	7,790,870
Subtotal Motorist & Taxi Services	\$ 8,350,519	\$ 8,919,913	\$ 9,127,899
<u>Capital Project</u>			
Orange County Transit District Capital Projects F	0	300	0
Orange County Unified Transportation Trust	1,689,972	224,856	196,699
Transit Development Capital Project	183,029	0	0
Subtotal Capital Project	\$ 1,873,001	\$ 225,156	\$ 196,699
Total Authority	\$ 1,186,784,110	\$ 1,105,285,214	\$ 1,074,781,773

*Interfund transfers and management fees excluded. These revenues / expenses represent the internal transfer of funds and do not reflect expenditures made outside the Authority.

Internal Fund Level Revenues and Reserves Summary*

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>ARBA Trust Fund</u>			
Operating Revenue	0	0	0
Local Assistance	2,429,936	1,197,234	1,123,375
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 2,429,936	\$ 1,197,234	\$ 1,123,375
Use of Reserves	0	0	0
Total Revenues / Reserves	\$ 2,429,936	\$ 1,197,234	\$ 1,123,375
<u>Bus Operations Fund</u>			
Operating Revenue	0	0	0
Local Assistance	114,376	0	0
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 114,376	\$ 0	\$ 0
Use of Reserves	13,656,407	0	0
Total Revenues / Reserves	\$ 13,770,783	\$ 0	\$ 0
<u>Commuter and Urban Rail Endowment 1</u>			
Operating Revenue	0	0	0
Local Assistance	3,124,640	3,876,249	3,023,135
State Assistance	0	0	2,000,000
Federal Assistance	321,807	6,044,472	5,210,000
Other	120,162,575	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 123,609,022	\$ 9,920,721	\$ 10,233,135
Use of Reserves	0	31,418,123	32,934,538
Total Revenues / Reserves	\$ 123,609,022	\$ 41,338,844	\$ 43,167,673
<u>Commuter and Urban Rail Endowment 3</u>			
Operating Revenue	0	0	0
Local Assistance	0	0	0
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 0	\$ 0	\$ 0
Use of Reserves	162,575	0	0
Total Revenues / Reserves	\$ 162,575	\$ 0	\$ 0
<u>Gas Tax Fund</u>			
Operating Revenue	0	0	0
Local Assistance	0	0	0
State Assistance	23,000,004	23,000,004	23,000,004
Federal Assistance	0	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004
Use of Reserves	0	0	0
Total Revenues / Reserves	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004

*Other consists of Charges for Services, Management Fee and Operating Transfers In

Continued next page...

Fund Budgets

Internal Fund Level Revenues and Reserves Summary*

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>General Fund</u>			
Operating Revenue	12,864	0	0
Local Assistance	-7,000	442,239	326,787
State Assistance	403,637	1,961,674	10,869,057
Federal Assistance	4,874,357	4,087,476	15,441,326
Other	64,908,913	74,623,937	76,000,214
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 70,192,771	\$ 81,115,326	\$ 102,637,384
Use of Reserves	4,494,192	0	0
Total Revenues / Reserves	\$ 74,686,963	\$ 81,115,326	\$ 102,637,384
<u>Internal Service Fund - Workers Compensation</u>			
Operating Revenue	0	0	0
Local Assistance	579,473	276,682	158,782
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	6,773,343	5,550,070	5,683,371
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 7,352,816	\$ 5,826,752	\$ 5,842,153
Use of Reserves	142,328	0	0
Total Revenues / Reserves	\$ 7,495,144	\$ 5,826,752	\$ 5,842,153
<u>Internal Service Fund- PL & PD</u>			
Operating Revenue	0	0	0
Local Assistance	728,845	808,033	693,717
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	804,576	5,412,996	8,263,070
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 1,533,421	\$ 6,221,029	\$ 8,956,787
Use of Reserves	401,329	0	0
Total Revenues / Reserves	\$ 1,934,750	\$ 6,221,029	\$ 8,956,787
<u>Local Transportation Authority Measure M1</u>			
Operating Revenue	0	2,350,000	3,129,536
Local Assistance	183,301,947	8,533,911	11,293,800
State Assistance	10,682,318	38,525,000	16,000,000
Federal Assistance	26,930,258	12,681,088	7,890,200
Other	73,511,100	536,674	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 294,425,623	\$ 62,626,673	\$ 38,313,536
Use of Reserves	69,446,453	122,259,938	73,327,580
Total Revenues / Reserves	\$ 363,872,076	\$ 184,886,611	\$ 111,641,116
<u>Local Transportation Authority Measure M2</u>			
Operating Revenue	1,005,069	32,355,708	37,144,033
Local Assistance	64,420,716	266,403,797	276,015,973
State Assistance	2,902,652	21,450,500	24,949,084
Federal Assistance	-699,039	81,160,880	35,501,520
Other	8,121,814	0	0
Bond Proceeds	358,593,306	0	0
Subtotal Revenues	\$ 434,344,518	\$ 401,370,885	\$ 373,610,610
Use of Reserves	0	76,435,712	96,030,580
Total Revenues / Reserves	\$ 434,344,518	\$ 477,806,597	\$ 469,641,190

*Other consists of Charges for Services, Management Fee and Operating Transfers In

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Internal Fund Level Revenues and Reserves Summary*

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Local Transportation Fund</u>			
Operating Revenue	0	0	0
Local Assistance	43,322	109,493	46,272
State Assistance	85,847,965	128,981,727	144,213,724
Federal Assistance	0	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 85,891,287	\$ 129,091,220	\$ 144,259,996
Use of Reserves	828,007	1,635,212	665,865
Total Revenues / Reserves	\$ 86,719,294	\$ 130,726,432	\$ 144,925,861
<u>Measure M Bond Debt Service</u>			
Operating Revenue	0	0	0
Local Assistance	425,066	0	0
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	51,001,501	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 51,426,567	\$ 0	\$ 0
Use of Reserves	109,654,554	0	0
Total Revenues / Reserves	\$ 161,081,121	\$ 0	\$ 0
<u>Measure M2 Bond Debt Service</u>			
Operating Revenue	0	0	0
Local Assistance	1,013,359	116,442	7,087,572
State Assistance	0	0	0
Federal Assistance	0	6,958,171	0
Other	13,419,620	15,308,525	21,705,566
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 14,432,979	\$ 22,383,138	\$ 28,793,138
Use of Reserves	0	0	0
Total Revenues / Reserves	\$ 14,432,979	\$ 22,383,138	\$ 28,793,138
<u>Orange County Transit District</u>			
Operating Revenue	49,804,075	50,955,883	55,993,145
Local Assistance	44,474,946	42,644,670	42,655,108
State Assistance	6,340,568	1,000,000	5,253,574
Federal Assistance	52,524,637	61,805,104	75,304,997
Other	94,653,188	146,697,289	166,646,708
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 247,797,414	\$ 303,102,946	\$ 345,853,532
Use of Reserves	0	466,400	0
Total Revenues / Reserves	\$ 247,797,414	\$ 303,569,346	\$ 345,853,532
<u>Orange County Unified Transportation Trust</u>			
Operating Revenue	0	0	0
Local Assistance	227,428	224,856	196,699
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	0	185,079	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 227,428	\$ 409,935	\$ 196,699
Use of Reserves	2,562,544	1,974,921	450,000
Total Revenues / Reserves	\$ 2,789,972	\$ 2,384,856	\$ 646,699

*Other consists of Charges for Services, Management Fee and Operating Transfers In

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Fund Budgets

Internal Fund Level Revenues and Reserves Summary*

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Orange County Taxi Administration Program</u>			
Operating Revenue	0	0	0
Local Assistance	668,428	606,762	688,739
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	0	767	1,424
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 668,428	\$ 607,529	\$ 690,163
Use of Reserves	0	66,270	0
Total Revenues / Reserves	\$ 668,428	\$ 673,799	\$ 690,163
<u>Orange County Transit District Capital Projects Fund</u>			
Operating Revenue	0	0	0
Local Assistance	0	300	0
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 0	\$ 300	\$ 0
Use of Reserves	15,000	0	0
Total Revenues / Reserves	\$ 15,000	\$ 300	\$ 0
<u>Scholarship Fund</u>			
Operating Revenue	0	0	0
Local Assistance	18,979	19,891	19,859
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 18,979	\$ 19,891	\$ 19,859
Use of Reserves	5,043	0	0
Total Revenues / Reserves	\$ 24,022	\$ 19,891	\$ 19,859
<u>State Route 91 Toll Road</u>			
Operating Revenue	29,524,024	29,121,106	26,077,282
Local Assistance	11,837,729	1,654,849	1,134,489
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	12,313,458	12,692,053	11,002,940
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711
Use of Reserves	0	0	0
Total Revenues / Reserves	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711
<u>State Transit Assistance Fund</u>			
Operating Revenue	0	0	0
Local Assistance	-582	0	0
State Assistance	0	19,381,668	21,817,867
Federal Assistance	0	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ -582	\$ 19,381,668	\$ 21,817,867
Use of Reserves	803	0	0
Total Revenues / Reserves	\$ 221	\$ 19,381,668	\$ 21,817,867

*Other consists of Charges for Services, Management Fee and Operating Transfers In

Continued next page...

Internal Fund Level Revenues and Reserves Summary*

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Service Authority for Abandoned Vehicles</u>			
Operating Revenue	0	0	0
Local Assistance	2,652,586	61,354	86,725
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 2,652,586	\$ 61,354	\$ 86,725
Use of Reserves	0	2,443,146	716,010
Total Revenues / Reserves	\$ 2,652,586	\$ 2,504,500	\$ 802,735
<u>Service Authority for Freeway Emergencies</u>			
Operating Revenue	0	0	0
Local Assistance	5,696,170	5,645,378	5,136,928
State Assistance	0	0	0
Federal Assistance	0	0	0
Other	48,416	834,910	3,194,989
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 5,744,586	\$ 6,480,288	\$ 8,331,917
Use of Reserves	0	0	0
Total Revenues / Reserves	\$ 5,744,586	\$ 6,480,288	\$ 8,331,917
<u>Transit Development Capital Project</u>			
Operating Revenue	0	0	0
Local Assistance	0	0	0
State Assistance	33,076	0	0
Federal Assistance	85,737	0	0
Other	0	0	0
Bond Proceeds	0	0	0
Subtotal Revenues	\$ 118,813	\$ 0	\$ 0
Use of Reserves	98,628	0	0
Total Revenues / Reserves	\$ 217,441	\$ 0	\$ 0
<u>Total Authority</u>			
Operating Revenue	80,346,032	114,782,697	122,343,996
Local Assistance	321,750,364	332,622,140	349,687,960
State Assistance	129,210,220	234,300,573	248,103,310
Federal Assistance	84,037,757	172,737,191	139,348,043
Other	445,718,504	261,842,300	292,498,282
Bond Proceeds	358,593,306	0	0
Subtotal Revenues	\$ 1,419,656,183	\$ 1,116,284,901	\$ 1,151,981,591
Use of Reserves	201,467,863	236,699,722	204,124,573
Total Revenues / Reserves	\$ 1,621,124,046	\$ 1,352,984,623	\$ 1,356,106,164

*Other consists of Charges for Services, Management Fee and Operating Transfers In

Fund Budgets

Internal Fund Level Expenses and Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>ARBA Trust Fund</u>			
Salaries and Benefits	0	0	0
Services and Supplies	538,873	0	0
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 538,873	\$ 0	\$ 0
Designations	1,891,063	1,197,234	1,123,375
Total Expenses / Designations	\$ 2,429,936	\$ 1,197,234	\$ 1,123,375
<u>Bus Operations Fund</u>			
Salaries and Benefits	0	0	0
Services and Supplies	13,770,783	0	0
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 13,770,783	\$ 0	\$ 0
Designations	0	0	0
Total Expenses / Designations	\$ 13,770,783	\$ 0	\$ 0
<u>Commuter and Urban Rail Endowment 1</u>			
Salaries and Benefits	0	0	0
Services and Supplies	16,964,170	39,988,844	40,767,673
Capital Expenditure	619	1,350,000	2,400,000
Amortization	0	0	0
Subtotal Expenses	\$ 16,964,789	\$ 41,338,844	\$ 43,167,673
Designations	106,644,233	0	0
Total Expenses / Designations	\$ 123,609,022	\$ 41,338,844	\$ 43,167,673
<u>Commuter and Urban Rail Endowment 3</u>			
Salaries and Benefits	0	0	0
Services and Supplies	162,575	0	0
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 162,575	\$ 0	\$ 0
Designations	0	0	0
Total Expenses / Designations	\$ 162,575	\$ 0	\$ 0
<u>Gas Tax Fund</u>			
Salaries and Benefits	0	0	0
Services and Supplies	23,000,004	23,000,004	23,000,004
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004
Designations	0	0	0
Total Expenses / Designations	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004

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Internal Fund Level Expenses and Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>General Fund</u>			
Salaries and Benefits	34,470,500	37,938,450	40,246,008
Services and Supplies	36,307,975	42,553,626	44,855,526
Capital Expenditure	3,908,488	623,250	17,535,850
Amortization	0	0	0
Subtotal Expenses	\$ 74,686,963	\$ 81,115,326	\$ 102,637,384
Designations	0	0	0
Total Expenses / Designations	\$ 74,686,963	\$ 81,115,326	\$ 102,637,384
<u>Internal Service Fund - Workers Compensation</u>			
Salaries and Benefits	0	0	0
Services and Supplies	7,495,144	5,826,752	5,842,153
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 7,495,144	\$ 5,826,752	\$ 5,842,153
Designations	0	0	0
Total Expenses / Designations	\$ 7,495,144	\$ 5,826,752	\$ 5,842,153
<u>Internal Service Fund- PL & PD</u>			
Salaries and Benefits	0	0	0
Services and Supplies	1,934,750	6,221,029	8,956,787
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 1,934,750	\$ 6,221,029	\$ 8,956,787
Designations	0	0	0
Total Expenses / Designations	\$ 1,934,750	\$ 6,221,029	\$ 8,956,787
<u>Local Transportation Authority Measure M1</u>			
Salaries and Benefits	0	0	0
Services and Supplies	322,077,311	158,920,974	97,325,116
Capital Expenditure	41,794,765	25,965,637	14,316,000
Amortization	0	0	0
Subtotal Expenses	\$ 363,872,076	\$ 184,886,611	\$ 111,641,116
Designations	0	0	0
Total Expenses / Designations	\$ 363,872,076	\$ 184,886,611	\$ 111,641,116
<u>Local Transportation Authority Measure M2</u>			
Salaries and Benefits	0	0	0
Services and Supplies	110,549,957	196,134,729	270,800,335
Capital Expenditure	68,136,045	185,573,315	136,715,000
Amortization	0	0	0
Subtotal Expenses	\$ 178,686,002	\$ 381,708,044	\$ 407,515,335
Designations	255,658,516	96,098,553	62,125,855
Total Expenses / Designations	\$ 434,344,518	\$ 477,806,597	\$ 469,641,190

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Fund Budgets

Internal Fund Level Expenses and Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Local Transportation Fund</u>			
Salaries and Benefits	0	0	0
Services and Supplies	86,719,294	130,726,432	144,925,861
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 86,719,294	\$ 130,726,432	\$ 144,925,861
Designations	0	0	0
Total Expenses / Designations	\$ 86,719,294	\$ 130,726,432	\$ 144,925,861
<u>Measure M Bond Debt Service</u>			
Salaries and Benefits	0	0	0
Services and Supplies	161,081,121	0	0
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 161,081,121	\$ 0	\$ 0
Designations	0	0	0
Total Expenses / Designations	\$ 161,081,121	\$ 0	\$ 0
<u>Measure M2 Bond Debt Service</u>			
Salaries and Benefits	0	0	0
Services and Supplies	4,238,189	22,383,138	28,793,138
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 4,238,189	\$ 22,383,138	\$ 28,793,138
Designations	10,194,790	0	0
Total Expenses / Designations	\$ 14,432,979	\$ 22,383,138	\$ 28,793,138
<u>Orange County Transit District</u>			
Salaries and Benefits	113,099,950	114,610,593	113,029,914
Services and Supplies	128,619,820	167,580,699	177,865,805
Capital Expenditure	4,364,653	5,170,514	15,383,574
Amortization	0	0	0
Subtotal Expenses	\$ 246,084,423	\$ 287,361,806	\$ 306,279,293
Designations	1,712,991	16,207,540	39,574,239
Total Expenses / Designations	\$ 247,797,414	\$ 303,569,346	\$ 345,853,532
<u>Orange County Unified Transportation Trust</u>			
Salaries and Benefits	0	0	0
Services and Supplies	1,116,200	2,164,574	456,220
Capital Expenditure	1,462,544	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 2,578,744	\$ 2,164,574	\$ 456,220
Designations	211,228	220,282	190,479
Total Expenses / Designations	\$ 2,789,972	\$ 2,384,856	\$ 646,699

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Internal Fund Level Expenses and Designations

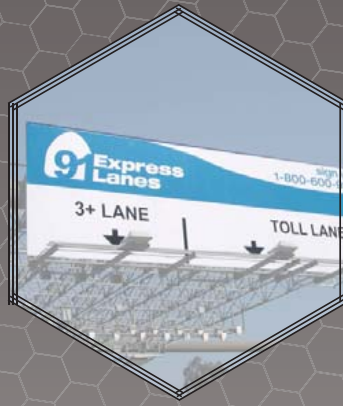
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Orange County Taxi Administration Program</u>			
Salaries and Benefits	321,109	339,316	367,227
Services and Supplies	246,496	334,483	315,439
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 567,605	\$ 673,799	\$ 682,666
Designations	100,823	0	7,497
Total Expenses / Designations	\$ 668,428	\$ 673,799	\$ 690,163
<u>Orange County Transit District Capital Projects Fund</u>			
Salaries and Benefits	0	0	0
Services and Supplies	15,000	0	0
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 15,000	\$ 0	\$ 0
Designations	0	300	0
Total Expenses / Designations	\$ 15,000	\$ 300	\$ 0
<u>Scholarship Fund</u>			
Salaries and Benefits	0	0	0
Services and Supplies	24,022	19,891	19,859
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 24,022	\$ 19,891	\$ 19,859
Designations	0	0	0
Total Expenses / Designations	\$ 24,022	\$ 19,891	\$ 19,859
<u>State Route 91 Toll Road</u>			
Salaries and Benefits	0	0	0
Services and Supplies	25,875,185	23,362,750	23,529,752
Capital Expenditure	931,261	7,770,000	2,765,000
Amortization	0	0	0
Subtotal Expenses	\$ 26,806,446	\$ 31,132,750	\$ 26,294,752
Designations	26,868,765	12,335,258	11,919,959
Total Expenses / Designations	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711
<u>State Transit Assistance Fund</u>			
Salaries and Benefits	0	0	0
Services and Supplies	221	19,381,668	21,817,867
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 221	\$ 19,381,668	\$ 21,817,867
Designations	0	0	0
Total Expenses / Designations	\$ 221	\$ 19,381,668	\$ 21,817,867

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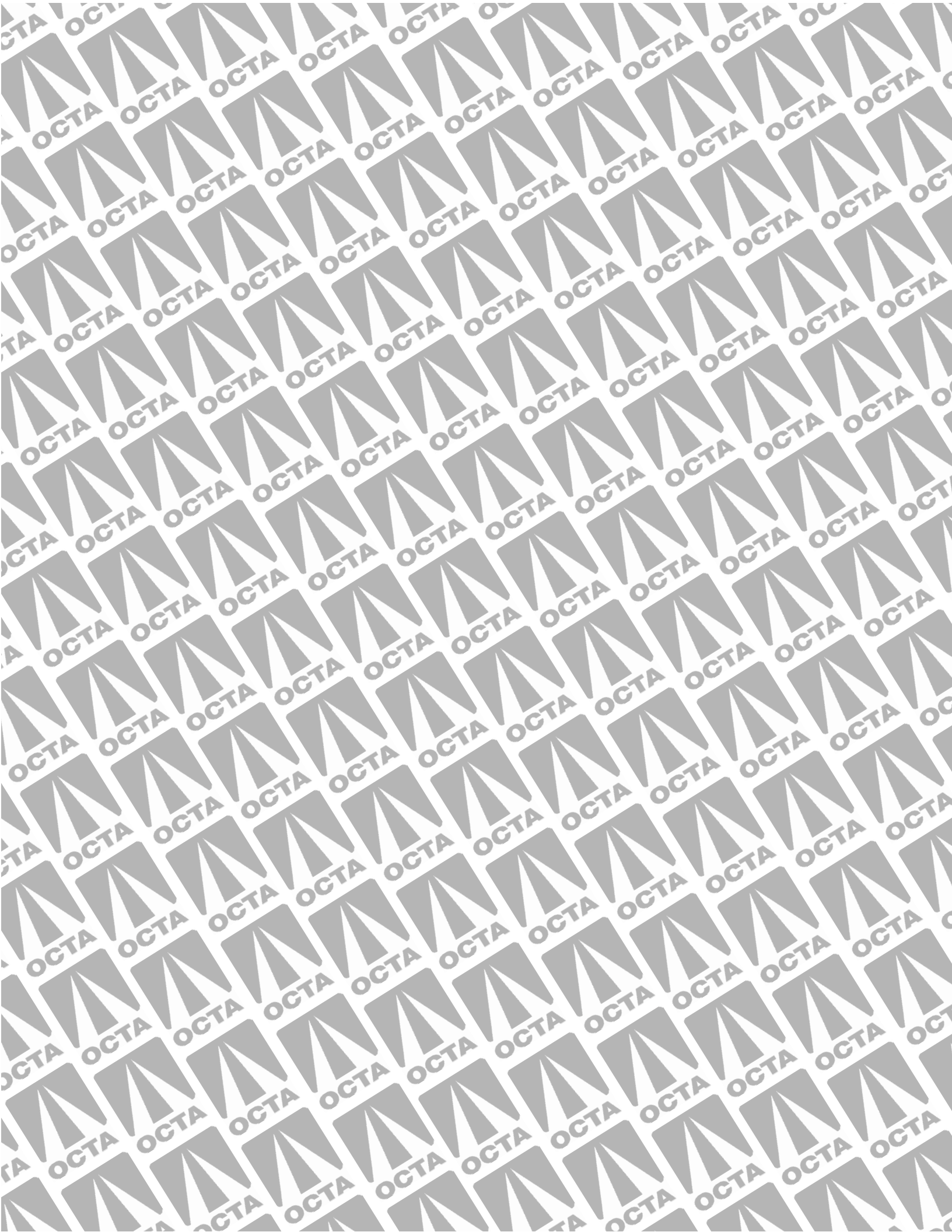
Fund Budgets

Internal Fund Level Expenses and Designations

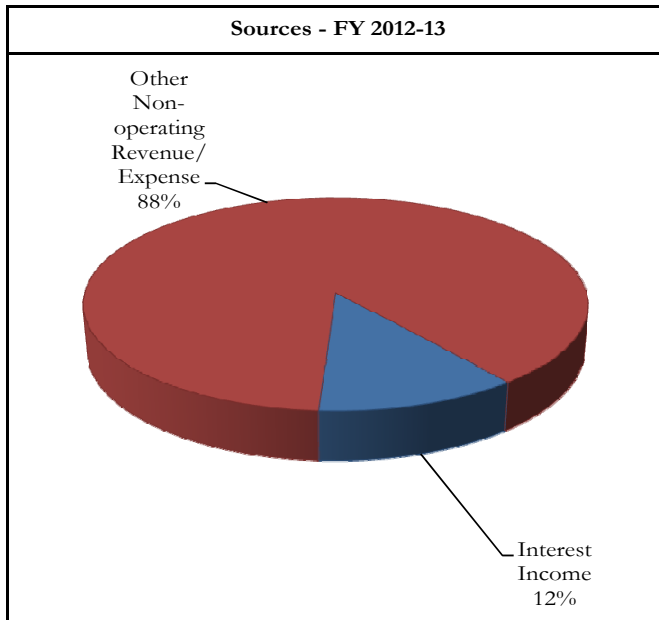
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Service Authority for Abandoned Vehicles</u>			
Salaries and Benefits	0	0	0
Services and Supplies	2,521,791	2,504,500	802,735
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 2,521,791	\$ 2,504,500	\$ 802,735
Designations	130,795	0	0
Total Expenses / Designations	\$ 2,652,586	\$ 2,504,500	\$ 802,735
<u>Service Authority for Freeway Emergencies</u>			
Salaries and Benefits	0	0	0
Services and Supplies	5,356,778	6,262,082	6,934,495
Capital Expenditure	0	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 5,356,778	\$ 6,262,082	\$ 6,934,495
Designations	387,808	218,206	1,397,422
Total Expenses / Designations	\$ 5,744,586	\$ 6,480,288	\$ 8,331,917
<u>Transit Development Capital Project</u>			
Salaries and Benefits	0	0	0
Services and Supplies	134,272	0	0
Capital Expenditure	83,169	0	0
Amortization	0	0	0
Subtotal Expenses	\$ 217,441	\$ 0	\$ 0
Designations	0	0	0
Total Expenses / Designations	\$ 217,441	\$ 0	\$ 0
<u>Total Authority</u>			
Salaries and Benefits	147,891,559	152,888,359	153,643,149
Services and Supplies	948,749,931	847,366,175	897,008,765
Capital Expenditure	120,681,544	226,452,716	189,115,424
Amortization	0	0	0
Subtotal Expenses	\$ 1,217,323,034	\$ 1,226,707,250	\$ 1,239,767,338
Designations	403,801,012	126,277,373	116,338,826
Total Expenses / Designations	\$ 1,621,124,046	\$ 1,352,984,623	\$ 1,356,106,164



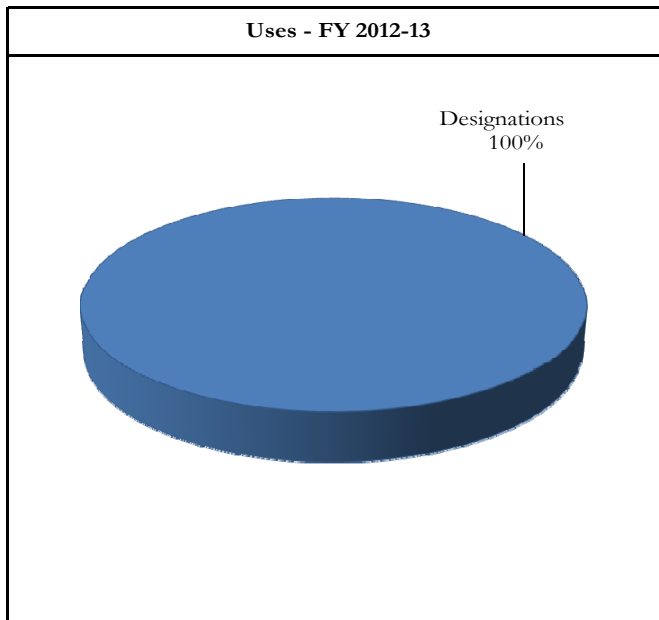
ADMINISTRATIVE FUND GROUP



ARBA Trust Fund



Sources	Amount
Interest Income	\$ 132,245
Other Non-operating Revenue/Expense	991,130
Total Sources	\$ 1,123,375



Uses	Amount
Designations	\$ 1,123,375
Total Uses	\$ 1,123,375

Administrative Fund Group

Additional Retirement Benefit Account (ARBA) Trust Fund Narrative

OCTA currently provides a supplemental retirement benefit known as the **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. 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 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.

ARBA Trust Fund Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	1,747,507	206,104	132,245
6300 Other Non-operating Revenue/Expense	682,429	991,130	991,130
Subtotal Revenues	\$ 2,429,936	\$ 1,197,234	\$ 1,123,375
Use of Reserves	0	0	0
Total Sources	\$ 2,429,936	\$ 1,197,234	\$ 1,123,375

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7800 Contributions to Other Agencies	538,873	0	0
Subtotal Expenses	\$ 538,873	\$ 0	\$ 0
Designations	1,891,063	1,197,234	1,123,375
Total Uses	\$ 2,429,936	\$ 1,197,234	\$ 1,123,375

ARBA Trust Fund - Revenues and Reserves

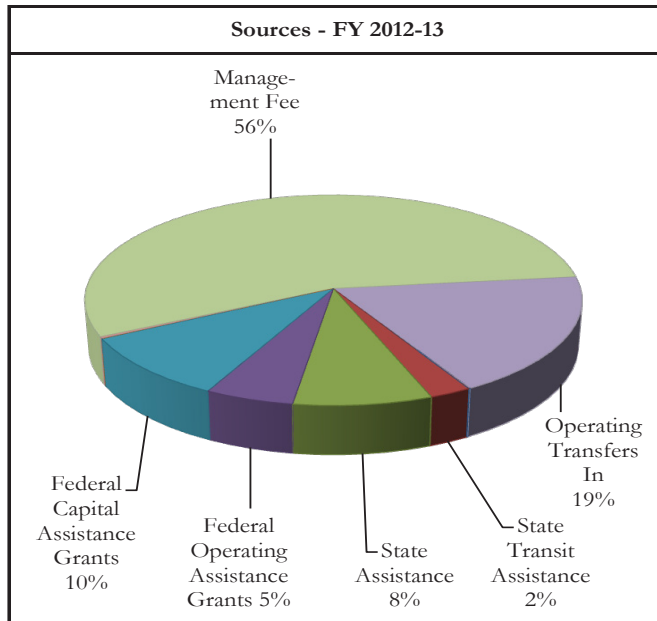
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	1,747,507	206,104	132,245
6370 Miscellaneous	682,429	991,130	991,130
Subtotal Revenues	\$ 2,429,936	\$ 1,197,234	\$ 1,123,375
Total Uses	\$ 2,429,936	\$ 1,197,234	\$ 1,123,375

ARBA Trust Fund - Expenses & Designations

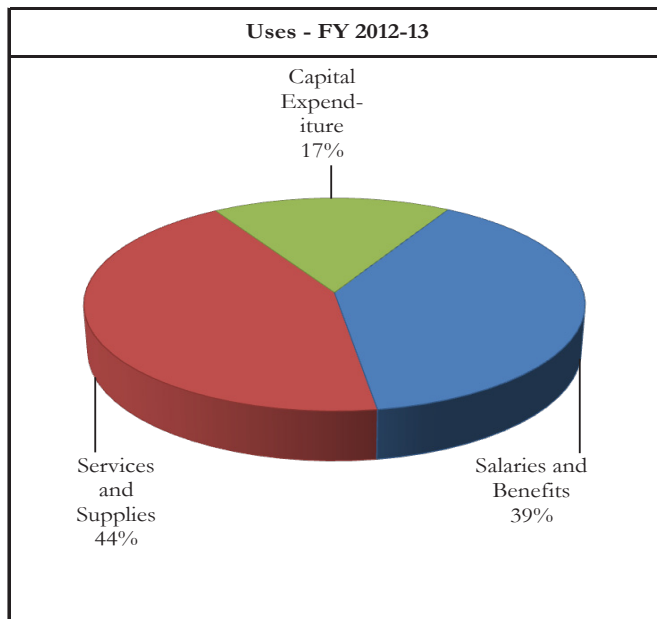
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7670 Miscellaneous Expense	538,873	0	0
Subtotal Services and Supplies	\$ 538,873	\$ 0	\$ 0
<u>Designation of Funds</u>			
ARBA Contributions	1,891,063	1,197,234	1,123,375
Subtotal Designation of Funds	\$ 1,891,063	\$ 1,197,234	\$ 1,123,375
Total Uses	\$ 2,429,936	\$ 1,197,234	\$ 1,123,375

Administrative Fund Group

General Fund



Sources	Amount
Charges for Services	\$ 99,673
State Transit Assistance	2,519,057
State Assistance	8,350,000
Federal Operating Assistance Grants	5,351,326
Federal Capital Assistance Grants	10,090,000
Reimbursement from Other Agencies	25,000
Interest Income	49,814
Other Non-operating Revenue/Expense	257,039
Management Fee	56,927,973
Operating Transfers In	18,967,502
Total Sources	\$ 102,637,384



Uses	Amount
Salaries and Benefits	\$ 40,246,008
Services and Supplies	44,855,526
Capital Expenditure	17,535,850
Total Uses	\$ 102,637,384

General Fund - Narrative

The OCTA General Fund 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. The following 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 of Directors. The CEO serves at the discretion of the Board of Directors. The CEO and Deputy Chief Executive Officer'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 and Clerk of the Board. The 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 of Directors and OCTA management to assist them in the effective discharge of their duties.

The Clerk of the Board (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 entire 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 provides direct meeting and administrative support to the Board of Directors. This division also receives legal documents served upon OCTA.

The **Government Relations Division** is responsible for providing management direction to Federal, State and Local Government relations, including 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 local levels, establishing and executing strategic plans, and fostering an environment conducive to employee development. In addition, the Executive Director provides

dual leadership and oversight for the administration of the Orange County Council of Governments (OCCOG).

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 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 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 Toll Road.

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

The **Planning Division** is responsible for a range of activities including the close-out of Measure M and preparing for Measure M2 improvements, carrying out planning and programming activities required by state and federal legislation, collaborating with regional transportation agencies, and the critical task of securing project funding. This division will coordinate the various elements of 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, plans 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 responsible for the oversight and implementation of capital improvement projects across all modes of transportation. Projects include various freeways, chokepoint and soundwall

General Fund - Narrative (continued)

projects, Smart Streets. Furthermore, the division expands Orange County's rail system to provide increased, and more frequent, rail service that supports and matches the growth and development patterns of the County and region. In addition to this primary focus, the team is responsible for many complementary transit projects and programs, such as the development and implementation of a high-capacity rail transit system using OCTA-owned railroad rights of way in Orange County. This includes the 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 such as the Americans with Disabilities Act (ADA) bus stop modifications, 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 Department. They plan, direct and administer the Service Authority for Freeway Emergencies (SAFE), Service Authority for Abandoned Vehicles (SAAV) and the Orange County Taxicab Administration Program (OCTAP). 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 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5300 Charges for Services	0	625,776	99,673
6010 State Transit Assistance	-33,004	1,961,674	2,519,057
6020 State Assistance	436,641	0	8,350,000
6030 Federal Operating Assistance Grants	4,912,612	1,367,476	5,351,326
6040 Federal Capital Assistance Grants	-25,631	2,720,000	10,090,000
6050 Reimbursement from Other Agencies	-172,732	0	25,000
6200 Interest Income	-173,100	72,331	49,814
6300 Other Non-operating Revenue/Expense	344,707	375,908	257,039
6400 Management Fee	46,389,960	47,749,985	56,927,973
6500 Operating Transfers In	18,509,018	26,242,176	18,967,502
6550 Proceeds Sale of Capital Asset	4,300	0	0
Subtotal Revenues	\$ 70,192,771	\$ 81,115,326	\$ 102,637,384
Use of Reserves	4,494,192	0	0
Total Sources	\$ 74,686,963	\$ 81,115,326	\$ 102,637,384

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7100 Wages, Salaries and Benefits	34,470,500	37,938,450	40,246,008
7500 Professional Services	11,065,704	10,816,623	14,386,844
7600 General and Administrative	6,690,064	7,687,723	8,196,507
7700 Maintenance Parts and Fuel	598	7,500	7,500
7800 Contributions to Other Agencies	18,551,609	24,041,780	22,264,675
8240 Transfers to Outside Agencies	3,908,488	623,250	17,535,850
Subtotal Expenses	\$ 74,686,963	\$ 81,115,326	\$ 102,637,384
Total Uses	\$ 74,686,963	\$ 81,115,326	\$ 102,637,384

Administrative Fund Group

General Fund - Revenues and Reserves

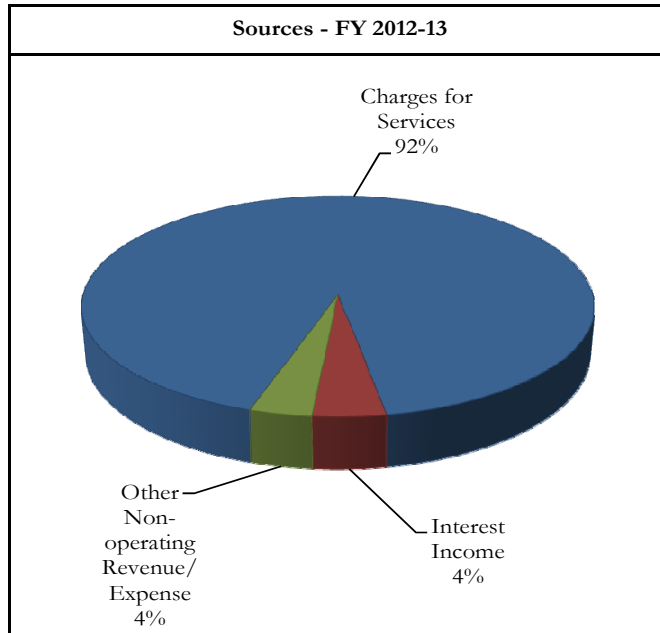
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5260 Miscellaneous Transit Revenue	240	0	0
5310 Operating Revenue-Charges for Service	0	625,776	99,673
6020 State Assistance	-33,004	1,961,674	2,519,057
6020 State Assistance	436,641	0	8,350,000
6030 Federal Operating Assistance Grants	4,912,612	1,367,476	5,351,326
6040 Federal Capital Assistance Grants	-25,631	2,720,000	10,090,000
6050 Other Financial Assistance	-172,732	0	25,000
6200 Interest Income	-173,100	72,331	49,814
6330 Fees and Fines	139,998	162,996	126,640
6370 Miscellaneous	204,469	212,912	130,399
6410 Charges for Services	46,389,960	47,749,985	56,927,973
6510 Operating Transfers In	18,509,018	26,242,176	18,967,502
6550 Proceeds Sale of Capital Asset	4,300	0	0
Subtotal Revenues	\$ 70,192,771	\$ 81,115,326	\$ 102,637,384
General Fund Reserves	4,494,192	0	0
Subtotal Use of Reserves	\$ 4,494,192	\$ 0	\$ 0
Total Uses	\$ 74,686,963	\$ 81,115,326	\$ 102,637,384

General Fund - Expenses & Designations

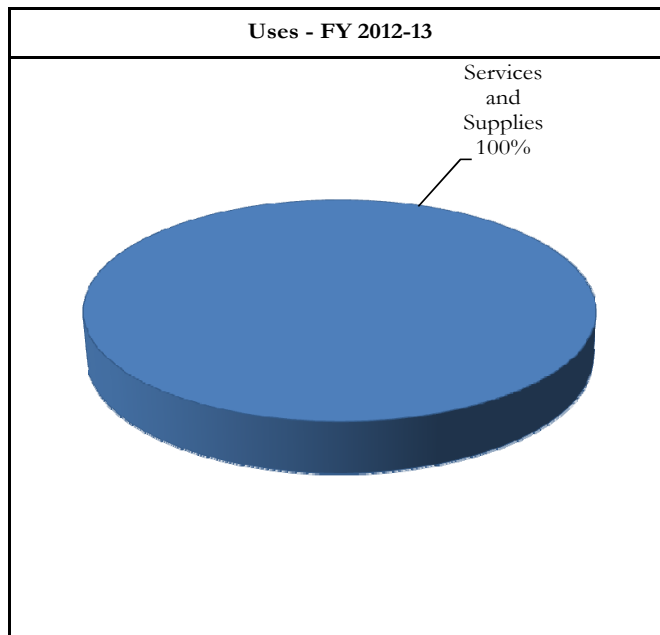
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	20,666,628	20,557,339	21,389,894
7150 Extra Help Employees	488,638	655,900	763,400
7209 Deferred Compensation	400,415	467,666	544,455
7210 Pensions	5,955,237	6,920,922	7,441,266
7220 Insurances	632,461	654,301	702,305
7240 Health Care	3,530,965	4,361,713	4,331,501
7260 Compensated Absences	710,287	2,650,523	2,757,458
7270 Workers Compensation	728,222	541,675	429,050
7280 Other Benefits	1,357,647	1,128,411	1,886,679
Subtotal Salaries and Benefits	\$ 34,470,500	\$ 37,938,450	\$ 40,246,008
<u>Services and Supplies</u>			
7510 Professional Services	8,387,452	7,339,215	10,685,151
7610 Outside Services	2,603,410	3,385,407	3,577,293
7630 Advertising Fees	74,842	92,001	124,400
7640 Utilities	860,450	850,380	839,700
7650 Travel, Training, and Mileage	330,141	494,734	514,011
7660 Office Expense	816,951	1,217,923	1,940,443
7670 Miscellaneous Expense	393,770	480,143	506,193
7670 Miscellaneous Expense	63,940	86,150	87,964
7690 Leases	4,222,291	4,602,863	4,350,200
7750 Maintenance Expense	598	7,500	7,500
7790 Other Materials and Supplies	66,461	41,680	45,960
7820 Taxes	0	15,000	0
7830 Contributions to Other Agencies	18,487,669	23,940,630	22,176,711
Subtotal Services and Supplies	\$ 36,307,975	\$ 42,553,626	\$ 44,855,526
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	53,003	348,250	935,850
9080 Construction in Progress	3,855,485	275,000	16,600,000
Subtotal Capital Expenditure	\$ 3,908,488	\$ 623,250	\$ 17,535,850
Total Uses	\$ 74,686,963	\$ 81,115,326	\$ 102,637,384

Administrative Fund Group

Internal Service Fund- PL & PD



Sources	Amount
Charges for Services	\$ 8,263,070
Interest Income	373,337
Other Non-operating Revenue/Expense	320,380
Total Sources	\$ 8,956,787



Uses	Amount
Services and Supplies	\$ 8,956,787
Total Uses	\$ 8,956,787

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

The **ISF - PL & PD** was established to account for the revenues and expenditures associated with personal liability and property damage.

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

Internal Service Fund- PL & PD Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5300 Charges for Services	804,576	5,412,996	8,263,070
6200 Interest Income	493,906	487,653	373,337
6300 Other Non-operating Revenue/Expense	234,939	320,380	320,380
Subtotal Revenues	\$ 1,533,421	\$ 6,221,029	\$ 8,956,787
Use of Reserves	401,329	0	0
Total Sources	\$ 1,934,750	\$ 6,221,029	\$ 8,956,787

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7400 Management Fee Expense	60,960	95,357	106,573
7500 Professional Services	975,253	1,423,910	1,912,720
7540 Insurance Claims/Premiums	794,040	4,701,762	6,936,090
7600 General and Administrative	0	0	1,404
7800 Contributions to Other Agencies	104,497	0	0
Subtotal Expenses	\$ 1,934,750	\$ 6,221,029	\$ 8,956,787
Designations	0	0	0
Total Uses	\$ 1,934,750	\$ 6,221,029	\$ 8,956,787

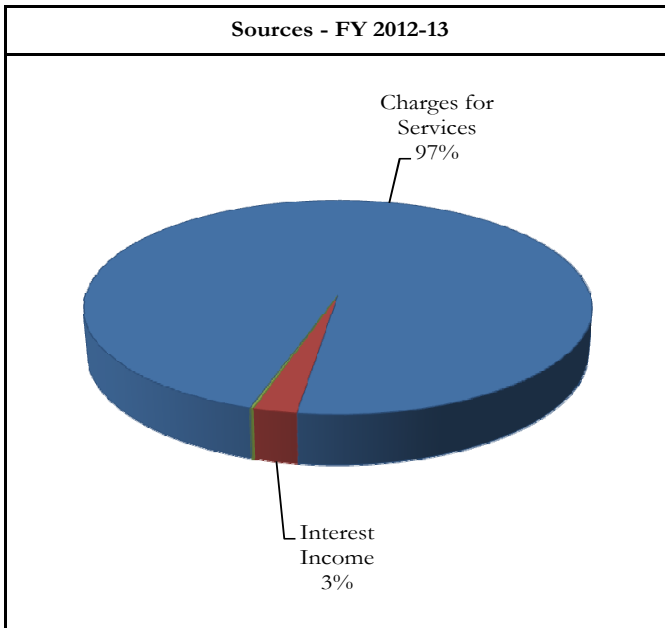
Administrative Fund Group

Internal Service Fund- PL & PD - Revenues and Reserves

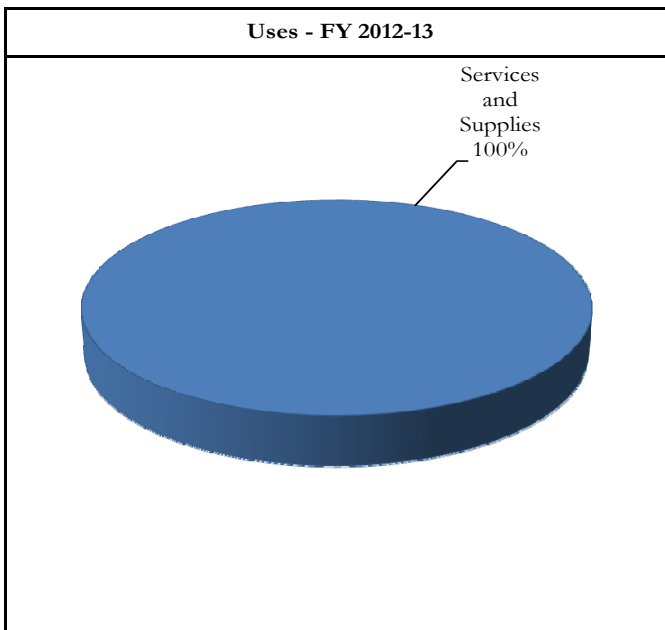
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5310 Operating Revenue-Charges for Service	804,576	5,412,996	8,263,070
6200 Interest Income	493,906	487,653	373,337
6350 Insurance Recoveries	234,757	320,380	320,380
6370 Miscellaneous	182	0	0
Subtotal Revenues	\$ 1,533,421	\$ 6,221,029	\$ 8,956,787
Personal Liability & Property Damage	401,329	0	0
Subtotal Use of Reserves	\$ 401,329	\$ 0	\$ 0
Total Uses	\$ 1,934,750	\$ 6,221,029	\$ 8,956,787

Internal Service Fund- PL & PD - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7410 Administrative Services	60,960	95,357	106,573
7510 Professional Services	738,596	1,281,910	1,523,970
7540 Insurance Claims Expense	794,040	4,701,762	6,936,090
7610 Outside Services	236,657	142,000	388,750
7660 Office Expense	0	0	1,404
7670 Miscellaneous Expense	104,497	0	0
Subtotal Services and Supplies	\$ 1,934,750	\$ 6,221,029	\$ 8,956,787
Total Uses	\$ 1,934,750	\$ 6,221,029	\$ 8,956,787

Internal Service Fund - Workers Compensation


Sources	Amount
Charges for Services	\$ 5,683,371
Interest Income	146,808
Other Non-operating Revenue/Expense	11,974
Total Sources	\$ 5,842,153



Uses	Amount
Services and Supplies	\$ 5,842,153
Total Uses	\$ 5,842,153

Administrative Fund Group

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

The **ISF - WC** was established to account for the revenues and expenditures associated with workers' compensation.

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

The workers' compensation program continues to realize valuable savings in the areas of benefits paid, excess insurance premiums, and increased subrogation recoveries.

Internal Service Fund - Workers Compensation Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5300 Charges for Services	6,773,343	5,550,070	5,683,371
6200 Interest Income	216,278	264,708	146,808
6300 Other Non-operating Revenue/Expense	363,195	11,974	11,974
Subtotal Revenues	\$ 7,352,816	\$ 5,826,752	\$ 5,842,153
Use of Reserves	142,328	0	0
Total Sources	\$ 7,495,144	\$ 5,826,752	\$ 5,842,153

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7400 Management Fee Expense	78,328	80,301	94,229
7500 Professional Services	1,220,039	15,671	12,549
7540 Insurance Claims/Premiums	6,053,001	5,620,780	5,608,140
7600 General and Administrative	0	0	735
7800 Contributions to Other Agencies	143,776	110,000	126,500
Subtotal Expenses	\$ 7,495,144	\$ 5,826,752	\$ 5,842,153
Designations	0	0	0
Total Uses	\$ 7,495,144	\$ 5,826,752	\$ 5,842,153

Internal Service Fund - Workers Compensation - Revenues and Reserves

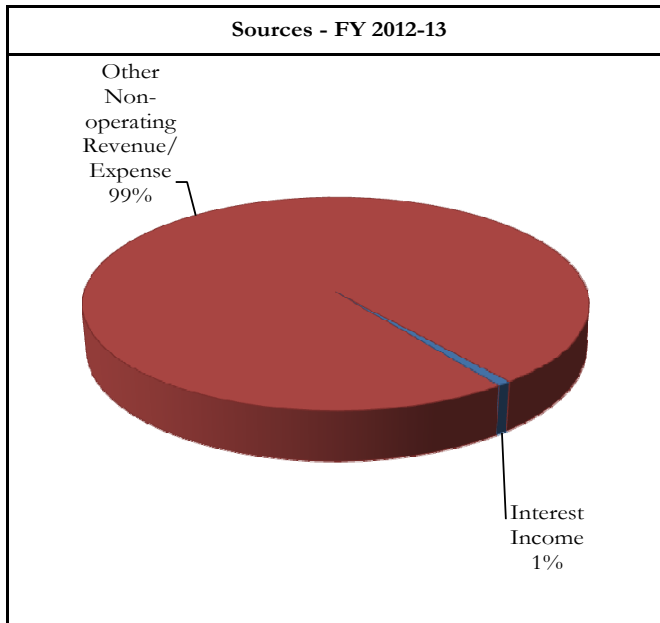
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5310 Operating Revenue-Charges for Service	6,773,343	5,550,070	5,683,371
6200 Interest Income	216,278	264,708	146,808
6350 Insurance Recoveries	361,602	11,974	11,974
6370 Miscellaneous	1,593	0	0
Subtotal Revenues	\$ 7,352,816	\$ 5,826,752	\$ 5,842,153
Workers' Compensation Claims	142,328	0	0
Subtotal Use of Reserves	\$ 142,328	\$ 0	\$ 0
Total Uses	\$ 7,495,144	\$ 5,826,752	\$ 5,842,153

Internal Service Fund - Workers Compensation - Expenses & Designations

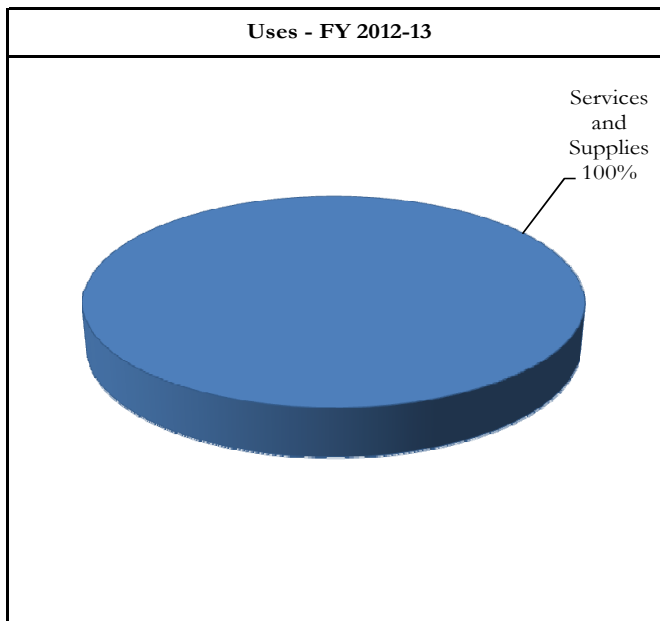
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7410 Administrative Services	78,328	80,301	94,229
7510 Professional Services	1,220,039	15,671	12,549
7540 Insurance Claims Expense	6,053,001	5,620,780	5,608,140
7660 Office Expense	0	0	735
7670 Miscellaneous Expense	46,241	0	0
7820 Taxes	97,535	110,000	126,500
Subtotal Services and Supplies	\$ 7,495,144	\$ 5,826,752	\$ 5,842,153
Total Uses	\$ 7,495,144	\$ 5,826,752	\$ 5,842,153

Administrative Fund Group

Scholarship Fund



Sources	Amount
Interest Income	\$ 158
Other Non-operating Revenue/Expense	19,701
Total Sources	\$ 19,859



Uses	Amount
Services and Supplies	\$ 19,859
Total Uses	\$ 19,859

Scholarship Fund Narrative

The OCTA **Scholarship Fund** is funded through employee payroll deductions, cash contributions, and the recycling of bottles and cans. The OCTA Scholarship Fund's primary source is through employee contributions. These contributions are tax deductible, and are not affected by budget cuts on the state and federal level. The scholarship fund benefits college age children and grandchildren of OCTA employees including: step children, adopted natural children, natural

grandchildren, 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 then judged and recipients are awarded according to how much is collected in that fiscal year.

Scholarship Fund Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	253	537	158
6300 Other Non-operating Revenue/Expense	18,726	19,354	19,701
Subtotal Revenues	\$ 18,979	\$ 19,891	\$ 19,859
Use of Reserves	5,043	0	0
Total Sources	\$ 24,022	\$ 19,891	\$ 19,859

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7500 Professional Services	22	0	0
7800 Contributions to Other Agencies	24,000	19,891	19,859
Subtotal Expenses	\$ 24,022	\$ 19,891	\$ 19,859
Designations	0	0	0
Total Uses	\$ 24,022	\$ 19,891	\$ 19,859

Administrative Fund Group

Scholarship Fund - Revenues and Reserves

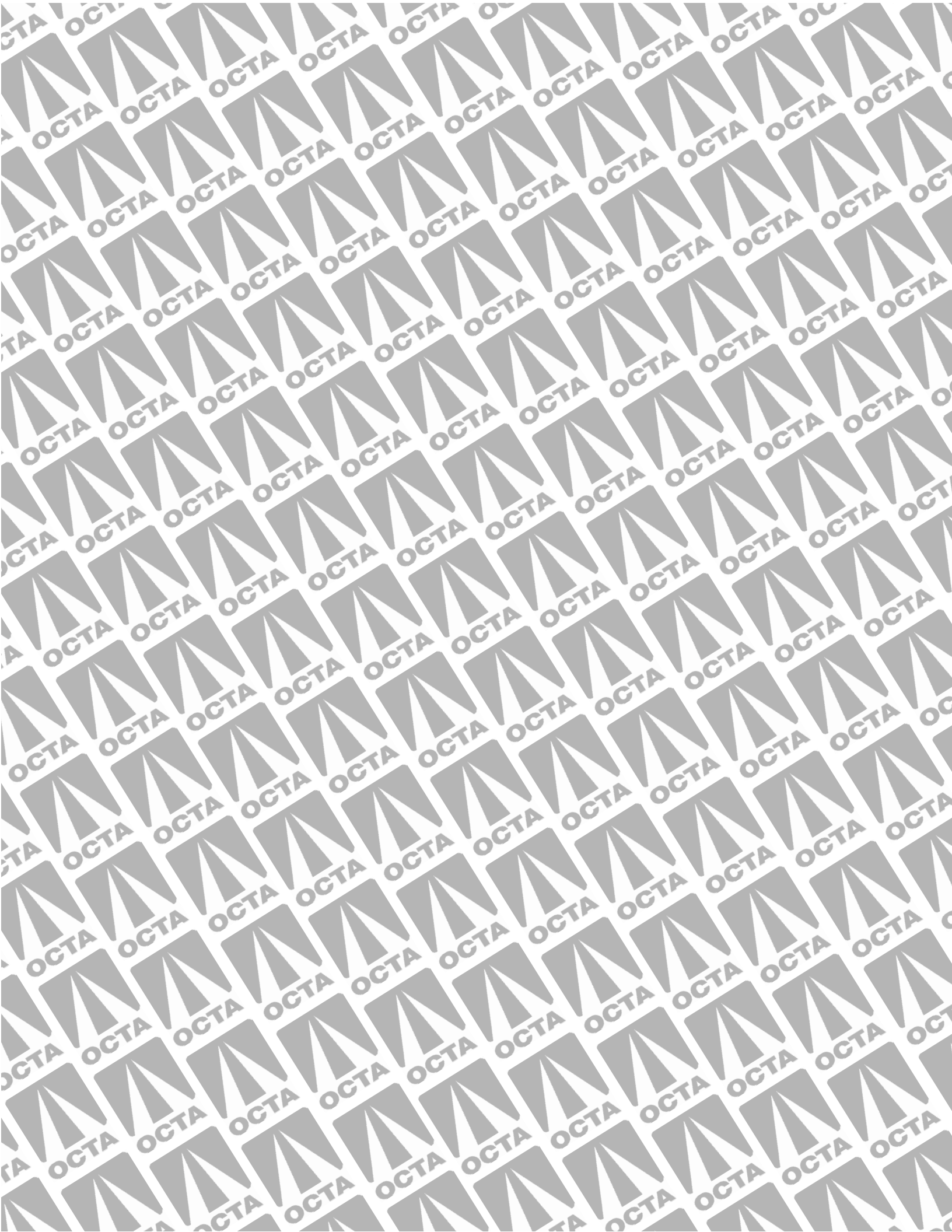
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	253	537	158
6370 Miscellaneous	18,726	19,354	19,701
Subtotal Revenues	\$ 18,979	\$ 19,891	\$ 19,859
Scholarship Fund	5,043	0	0
Subtotal Use of Reserves	\$ 5,043	\$ 0	\$ 0
Total Uses	\$ 24,022	\$ 19,891	\$ 19,859

Scholarship Fund - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7510 Professional Services	22	0	0
7670 Miscellaneous Expense	24,000	19,891	19,859
Subtotal Services and Supplies	\$ 24,022	\$ 19,891	\$ 19,859
Total Uses	\$ 24,022	\$ 19,891	\$ 19,859



TRANSIT FUND GROUP



Bus Operations Fund (BOF) Narrative

The Board of Directors established the **Bus Operations Fund** on December 11, 1995 to address the financial shortfalls resulting from the diversion of TDA funds to the County of Orange for bankruptcy relief. Staff was directed to deposit \$108 million into this fund from the Orange County Unified

Transportation Trust Fund (OCUTT), Commuter Urban Rail Endowment (CURE), and other funds to subsidize the cost of bus operations during the 15-year period of the TDA diversion. FY 2010-11 represents the final transfer from the BOF to the Orange County Transit District (OCTD) fund.

Bus Operations Fund Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	114,376	0	0
Subtotal Revenues	\$ 114,376	\$ 0	\$ 0
Use of Reserves	13,656,407	0	0
Total Sources	\$ 13,770,783	\$ 0	\$ 0

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7500 Professional Services	4,964	0	0
8200 Operating Transfers Out	13,765,819	0	0
Subtotal Expenses	\$ 13,770,783	\$ 0	\$ 0
Designations	0	0	0
Total Uses	\$ 13,770,783	\$ 0	\$ 0

Transit Fund Group

Bus Operations Fund - Revenues and Reserves

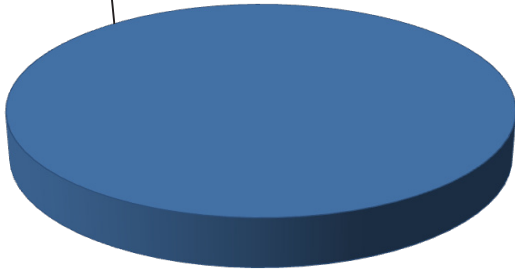
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	114,376	0	0
Subtotal Revenues	\$ 114,376	\$ 0	\$ 0
Bus Operations Fund Reserves	13,656,407	0	0
Subtotal Use of Reserves	\$ 13,656,407	\$ 0	\$ 0
Total Uses	\$ 13,770,783	\$ 0	\$ 0

Bus Operations Fund - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7510 Professional Services	4,964	0	0
8210 Operating Transfers Out	13,765,819	0	0
Subtotal Services and Supplies	\$ 13,770,783	\$ 0	\$ 0
Total Uses	\$ 13,770,783	\$ 0	\$ 0

Gas Tax Fund
Sources - FY 2012-13

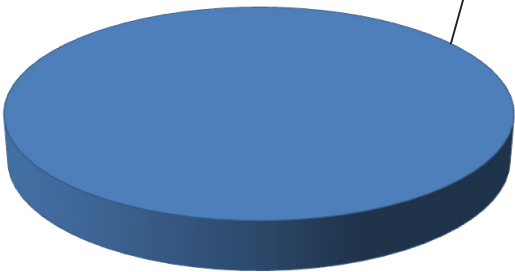
Gas Tax
Revenues
100%



Sources	Amount
Gas Tax Revenues	\$ 23,000,004
Total Sources	\$ 23,000,004

Uses - FY 2012-13

Services
and
Supplies
100%



Uses	Amount
Services and Supplies	\$ 23,000,004
Total Uses	\$ 23,000,004

The Gas Tax Fund Narrative

The **Gas Tax** fund manages the receipt and exchange of gasoline tax revenues. The Orange County Bankruptcy Consensus Recovery Plan began annually diverting \$38 million from the Local Transportation Fund (LTF) in FY 1996-97 until FY 2010-11. These dollars were originally intended for public transit and are now being diverted directly to Orange County for bankruptcy recovery. Beginning in Fiscal Year

1997-98, \$23 million in gas tax revenues were transferred from the County of Orange to OCTA to partially offset the \$38 million annual diversion. In turn, OCTA is exchanging gasoline tax revenues (dollar-for-dollar) with cities and other agencies for unrestricted funds that may be used to fund bus operations. The last transfer will take place in FY 2012-13.

Gas Tax Fund Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
9200 Non-Proprietary Fund Account	23,000,004	23,000,004	23,000,004
Subtotal Revenues	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004
Total Sources	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7800 Contributions to Other Agencies	23,000,004	23,000,004	23,000,004
Subtotal Expenses	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004
Total Uses	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004

Gas Tax Fund - Revenues and Reserves

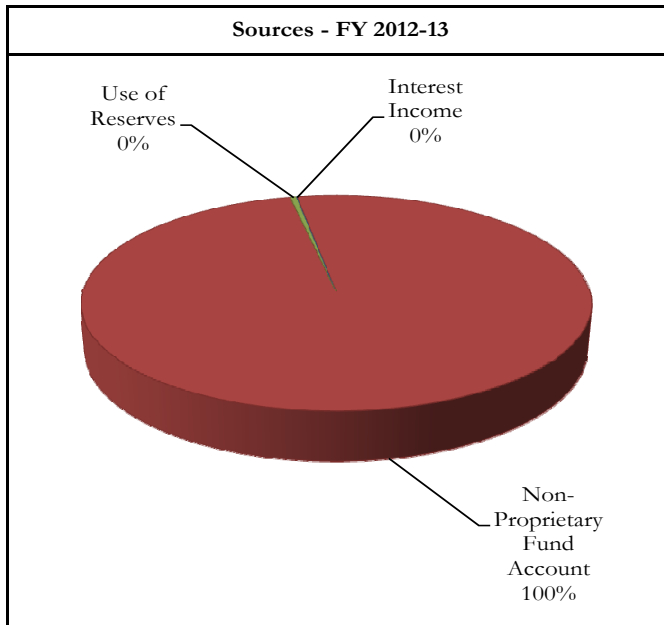
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6100 Taxes	23,000,004	23,000,004	23,000,004
Subtotal Revenues	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004
Total Uses	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004

Gas Tax Fund - Expenses & Designations

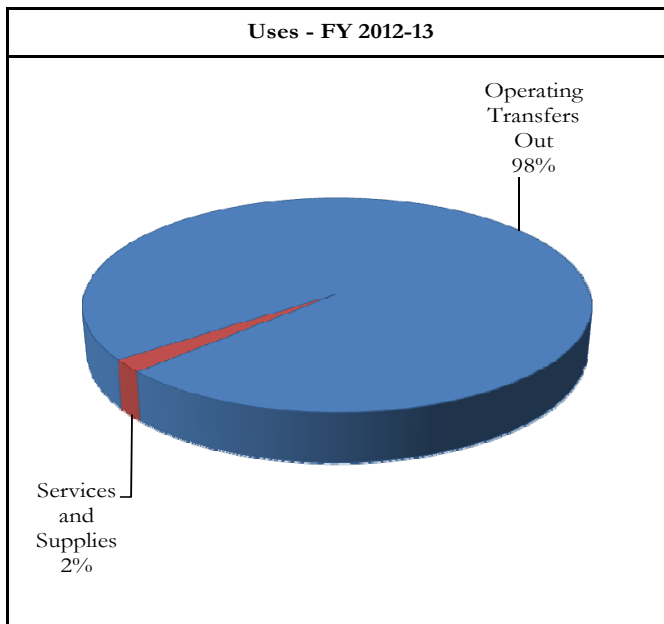
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7830 Contributions to Other Agency's	23,000,004	23,000,004	23,000,004
Subtotal Services and Supplies	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004
Total Uses	\$ 23,000,004	\$ 23,000,004	\$ 23,000,004

Transit Fund Group

Local Transportation Fund



Sources	Amount
Interest Income	\$ 46,272
Non-Proprietary Fund Account	144,213,724
Use of Reserves	665,865
Total Sources	\$ 144,925,861



Uses	Amount
Operating Transfers Out	\$ 141,996,119
Services and Supplies	2,929,742
Total Uses	\$ 144,925,861

Local Transportation Fund (LTF) Narrative

The LTF was established in 1971 through the Transportation Development Act (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 for a variety of purposes including regional planning, bicycle and pedestrian facilities, paratransit service, and fixed route service. LTF revenues may also be used as a local match for Federal Transit Administration (FTA) grants.

Revenues received by OCTA 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 2012-13, OCTA is claiming \$125,421 for this function. The Orange County Auditor-Controller is also claiming \$3,758 for services rendered.

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 \$3,244,809 of TDA revenues for this function in FY 2012-13. An additional \$1,081,603 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 2012-13, OCTD is claiming \$131,771,468 for providing public transit services to Orange County residents. Laguna Beach is eligible to claim \$998,759 in FY 2012-13 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 5 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 2012-13, OCTD is claiming \$6,987,907 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.

Transit Fund Group

Local Transportation Fund Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6030 Federal Operating Assistance Grants	0	0	0
6200 Interest Income	43,253	109,493	46,272
6300 Other Non-operating Revenue/Expense	69	0	0
9200 Non-Proprietary Fund Account	85,847,965	128,981,727	144,213,724
Subtotal Revenues	\$ 85,891,287	\$ 129,091,220	\$ 144,259,996
Use of Reserves	828,007	1,635,212	665,865
Total Sources	\$ 86,719,294	\$ 130,726,432	\$ 144,925,861

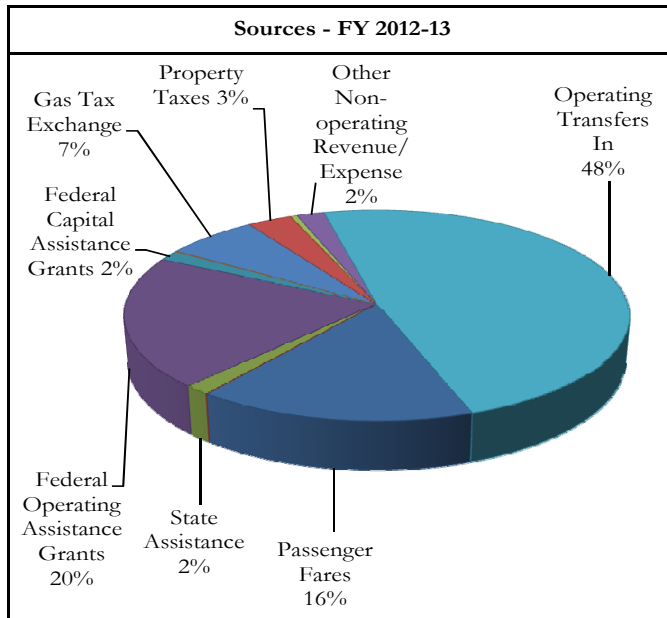
Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7500 Professional Services	1,656,033	1,403,362	1,586,351
7800 Contributions to Other Agencies	3,916,305	3,970,264	1,343,391
8200 Operating Transfers Out	81,146,956	125,352,806	141,996,119
Subtotal Expenses	\$ 86,719,294	\$ 130,726,432	\$ 144,925,861
Total Uses	\$ 86,719,294	\$ 130,726,432	\$ 144,925,861

Local Transportation Fund - Revenues and Reserves

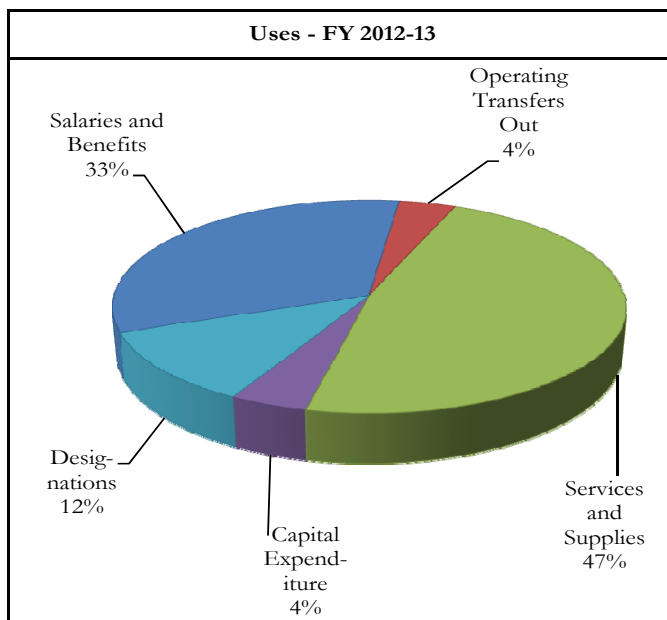
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6100 Taxes	85,847,965	128,981,727	144,213,724
6200 Interest Income	43,253	109,493	46,272
6370 Miscellaneous	69	0	0
Subtotal Revenues	\$ 85,891,287	\$ 129,091,220	\$ 144,259,996
Article 3 Bikeway & Pedestrian Facilities Program	828,007	1,635,212	665,865
Subtotal Use of Reserves	\$ 828,007	\$ 1,635,212	\$ 665,865
Total Uses	\$ 86,719,294	\$ 130,726,432	\$ 144,925,861

Local Transportation Fund - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7510 Professional Services	1,656,033	1,403,362	1,586,351
7670 Miscellaneous Expense	5,238	0	0
7830 Contributions to Other Agencies	3,911,067	3,970,264	1,343,391
8210 Operating Transfers Out	81,146,956	125,352,806	141,996,119
Subtotal Services and Supplies	\$ 86,719,294	\$ 130,726,432	\$ 144,925,861
Total Uses	\$ 86,719,294	\$ 130,726,432	\$ 144,925,861

Orange County Transit District


Sources	Amount
Passenger Fares	\$ 55,854,528
Charges for Services	64,788
State Assistance	5,253,574
Federal Operating Assistance Grants	70,054,197
Federal Capital Assistance Grants	5,250,800
Reimbursement from Other Agencies	310,721
Gas Tax Exchange	23,000,004
Property Taxes	11,018,167
Interest Income	1,704,530
Other Non-operating Revenue/Expense	6,760,303
Operating Transfers In	166,581,920
Total Sources	\$ 345,853,532



Uses	Amount
Salaries and Benefits	\$ 113,029,914
Operating Transfers Out	13,759,921
Services and Supplies	164,105,884
Capital Expenditure	15,383,574
Designations	39,574,239
Total Uses	\$ 345,853,532

Orange County Transit District (OCTD) Narrative

The **OCTD** Fund supports the administrative, operational, and capital functions of bus operations. Expenses are recorded in the divisions in which an activity occurs. The OCTD fund is designed to capture all revenue and expenses to be recorded as transit related activity. The fund is presented as an enterprise activity of the OCTA.

The Transit Division is one of OCTA's core business units delivering fixed route and paratransit bus services for Orange County. 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, and alternative programs providing service to seniors and persons with disabilities. The Transit Division is responsible for the implementation of all fixed route and paratransit service. 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." The following describes the office of the general manager, the divisional departments, and the primary functions performed within the division.

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 have major roles in leading OCTA's most publicly recognized service, including developing and implementing strategies to improve the operation of the transit system. Other responsibilities include budget and financial reporting, operations performance monitoring, oversight of capital projects, strategic planning, and organizational development.

The **Motorist Services Department** plans, directs, and administers several elements of the OCTA family of services. These include Service Authority for Freeway Emergencies (SAFE), Service Authority for Abandoned Vehicles (SAAV), and the Orange County Taxi Administration Program (OCTAP). SAFE operates the Freeway Service Patrol program, the call box system, and the 511 motorist aid traveler information system. SAAV provides funding from a \$1 per vehicle registration fee to local agencies for the removal of abandoned vehicles. OCTAP regulates the taxicab industry for the County of Orange and its 34 cities and is funded

through the company, vehicle, and driver permit fees. For these programs, the Motorist Services Department personnel ensure management and operational controls and resources are in place to effectively and efficiently implement programs.

The **Bus Operations Department** manages the delivery of bus service for OCTA's countywide fixed route bus system from three facilities located in the cities of Anaheim, Garden Grove, and Santa Ana. Each operations base includes a staff of professional managers, supervisors, window dispatchers, and extra board administrators to support service delivery. The primary function of the operating bases is to ensure that all scheduled bus service is delivered in support of the Transit Division's mission of safety, courtesy, and reliability. 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 customer service, safety, and the administration of established work rules and the collective bargaining agreement.

The **Maintenance Department** is responsible for providing and maintaining the directly operated fixed route revenue and non-revenue fleets, and associated operations and maintenance facilities. In addition, the Department is responsible for heavy maintenance and electronics support for directly and contractor operated revenue fleets. The department consists of five sections, which include: three Maintenance Base Operations, Maintenance Resource Management (MRM)/Facilities Maintenance, and Transit Technical Services (TTS).

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, and heavy maintenance for fixed route vehicles. In addition to the revenue fleet, the department also maintains non-revenue support vehicles (miscellaneous equipment, cars, trucks and vans), and a contingency fleet of 60 buses.

Maintenance base operations has three vehicle maintenance facilities located in Anaheim, Garden Grove, and Santa Ana, providing preventive maintenance, servicing, fueling, fare collection, and bus cleaning functions. With the exception of the Anaheim Base, which operates 24 hours per day Monday through Friday, the Garden Grove and Santa Ana Bases operate 24 hours a day, seven days a week.

In addition to normal operations/maintenance, the Santa Ana Base facility houses TTS/Engineering, Maintenance Training, and a number of specialty shops such as the main body shop,

the upholstery shop, rebuild, electronics, and the automotive shop which handles work on all non-revenue support vehicles.

MRM/Facilities Maintenance is comprised of three functional units: Fleet Analysis, Maintenance Administration, and Facilities Maintenance. The Fleet Analysis unit is responsible for managing the systems that schedule, track, and report on all OCTA vehicle maintenance activities, movement of all vehicles between bases, and disposal of assets after they reach their useful life. Staff conducts research and analysis on fleet performance, manages the department budget, and prepares reports to track monthly maintenance performance indicators. 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), transit centers, and OCTA park-and-rides.

TTS/Engineering includes a variety of maintenance support areas including engineering and quality assurance, fleet document control, environmental compliance and reporting, vehicle change design and implementation, in-plant and on-site vehicle acceptance inspections, warranty assistance for fleet defects, and Maintenance Training.

The **Service Planning & Customer Advocacy Department** is comprised of three functional areas: Service Planning & 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. A summary of Transit Performance Indicators is presented following the Accomplishments and Goals section.

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 are customer advocates and work to improve communication, understanding, and inclusive decision making by acting as facilitators, problem solvers, and expeditors.

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, 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.

The **Community Transportation Services (CTS) Department** is comprised of contract transportation oversight and the development of community partnerships to provide alternative transportation options for seniors and persons with disabilities. Oversight of contract operations includes monitoring vendor performance to effectively deliver transit services including ACCESS, OCTA's complementary paratransit service required by the Americans with Disabilities Act (ADA), and contracted fixed route, including express bus service; 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 CTS 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.

Under a successful effort to develop community partnerships, the department works with cities, the Orange County Office on Aging, the Regional Center of Orange County, adult day health care programs, Regional Center day 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.

The **Transit Programs Management Department** is comprised of several functional sections: Central Communications, Field Operations, Operations Training, and Operations Analysis. The Department is responsible for managing and implementing technology projects to improve the efficiency of operations. Key projects currently in place, being implemented, or in the development phase include Text4Next for the public to obtain bus schedule information using cell phone texting; upgrading the radio communications system; expanding the on-board video surveillance system (OBVSS); and upgrading the fare collection system to an open payment system to increase transit use and promote regional fare integration via the use of smart cards and/or credit cards.

The Central Communications section maintains a wireless communications link to all in-service buses to support customers and coach operators, prevent service disruptions, and maintain the ability to respond to emergencies quickly. Central Communications staff 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 responder team on behalf of OCTA for any major emergency or disaster event in Orange County following the National Incident Management System (NIMS) in cooperation with the County of Orange.

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

The Operations Training section is responsible for training new coach operators, conducting training campaigns at bases, retraining operators, and conducting the annual required training (ART) mandated by the Department of Motor Vehicles (DMV). The training staff has played a key role in aligning the training programs with OCTA's "Customer First" philosophy and conducting corresponding customer service training.

The Operations Analysis section supports the Transit Division by preparing unbiased, independent, and value-added financial and administrative analyses. Staff conducts research, analyzes operational data, and manages projects in the Transit Division. A key role of this unit is to ensure that capital and service needs for the division are accurately reflected in the Comprehensive Business Plan. Ongoing projects include coach operator manpower planning, revenue fleet planning, preparing the Transit Division Dashboard which summarizes quarterly performance measures, developing and tracking the division budget, and preparing the National Transit Database (NTD) monthly and annual reporting, in addition to special projects for the Transit Division.

The **Security and Emergency Preparedness Department** consists of two areas, Security and Emergency Preparedness. The security area includes physical security concerns; protecting employees, customers, and visitors; asset protection; threat assessment and intelligence; 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 the security field include enhancement of physical security measures at OCTA bases, initiating

model programs in anti-terrorism and anti-crime within bus operations and rail right-of-way, and continuing the award-winning Tracking Automated Graffiti Reporting System (TAGRS).

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 Bureau are ongoing activities. Major projects in emergency preparedness include a progressive training and exercise program to enhance OCTA's disaster response capabilities, continuing to develop the emergency management training and exercise design team, providing emergency management training for senior executives, and building organization resiliency through an aggressive Continuity of Operations (COOP) program. Many projects in both security and emergency preparedness are grant funded by the federal Transit Security Grant Program, state Proposition 1B funds, and other grant sources.

Within the OCTD Fund, the Transit Division oversees the bus network which is composed of 40 Local, 14 Community, 10 Express, and 13 Rail Feeder bus lines that account for more than 55 million boardings a year. The balance of the boardings occur on Shuttle, Circulator and Special Event Lines. This 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 5:00 a.m. to 11:00 p.m. for Local Lines, 5:00 a.m. to 9:00 p.m. 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 and smaller 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 and smaller 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 provided by Veolia Transportation are slated to provide approximately 531,052 revenue hours of service and 246,032 taxi trips in FY 2012-13.

Transit Fund Group

Orange County Transit District Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5100 Passenger Fares	50,706,288	50,722,116	55,854,528
5300 Charges for Services	0	281,621	64,788
6010 State Transit Assistance	6,268	0	0
6020 State Assistance	6,334,300	1,000,000	5,253,574
6030 Federal Operating Assistance Grants	49,195,382	58,931,190	70,054,197
6040 Federal Capital Assistance Grants	2,308,324	2,873,914	5,250,800
6050 Reimbursement from Other Agencies	71,272	369,879	310,721
6055 Gas Tax Exchange	23,000,004	23,000,004	23,000,004
6100 Property Taxes	10,736,088	11,018,167	11,018,167
6200 Interest Income	3,232,002	1,719,495	1,704,530
6300 Other Non-operating Revenue/Expense	7,566,126	6,770,892	6,760,303
6500 Operating Transfers In	94,641,360	146,415,668	166,581,920
Subtotal Revenues	\$ 247,797,414	\$ 303,102,946	\$ 345,853,532
Use of Reserves	0	466,400	0
Total Sources	\$ 247,797,414	\$ 303,569,346	\$ 345,853,532

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7100 Wages, Salaries and Benefits	113,099,950	114,610,593	113,029,914
7300 Purchased Transportation Services	52,317,189	63,450,835	66,943,046
7400 Management Fee Expense	25,279,127	31,847,786	35,673,597
7500 Professional Services	14,139,626	18,554,960	19,444,579
7540 Insurance Claims/Premiums	4,974	0	0
7600 General and Administrative	3,488,576	3,820,699	4,030,382
7700 Maintenance Parts and Fuel	17,811,208	21,906,332	24,456,947
7800 Contributions to Other Agencies	2,082,502	7,733,008	13,557,333
8111 Interest Expense	-264,371	0	0
8200 Operating Transfers Out	13,760,989	20,267,079	13,759,921
8240 Transfers to Outside Agencies	4,364,653	5,170,514	15,383,574
Subtotal Expenses	\$ 246,084,423	\$ 287,361,806	\$ 306,279,293
Designations	1,712,991	16,207,540	39,574,239
Total Uses	\$ 247,797,414	\$ 303,569,346	\$ 345,853,532

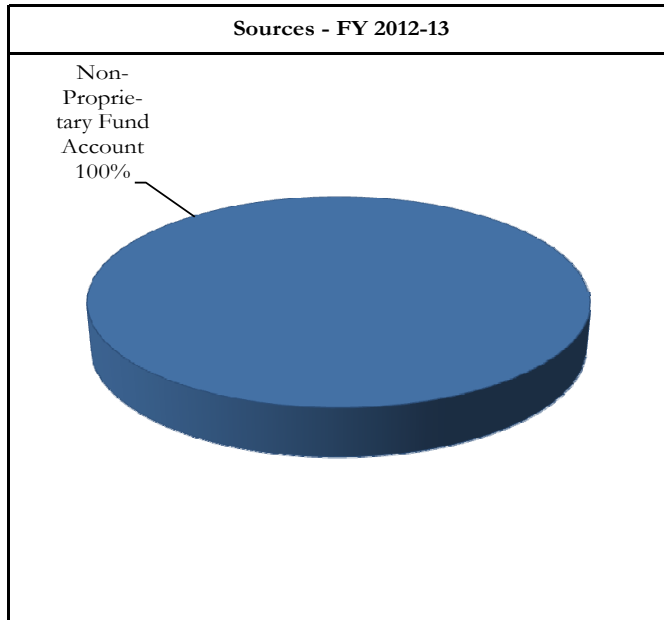
Orange County Transit District - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5110 Farebox Revenue	30,265,399	27,381,210	31,274,059
5150 Pass Sales	13,496,769	12,887,132	15,529,709
5180 Coupon Sales	2,637,999	2,598,825	2,761,822
5220 Direct Route Subsidy	1,413,089	4,819,702	3,688,358
5240 Passenger Revenue Subsidy	2,534,149	2,715,137	2,208,000
5260 Miscellaneous Transit Revenue	358,883	320,110	392,580
5260 Miscellaneous Transit Revenue	3,314,206	3,458,767	3,513,617
5310 Operating Revenue-Charges for Service	0	281,621	64,788
6020 State Assistance	6,268	0	0
6020 State Assistance	6,334,300	1,000,000	5,253,574
6030 Federal Operating Assistance Grants	49,195,382	58,931,190	70,054,197
6040 Federal Capital Assistance Grants	2,308,324	2,873,914	5,250,800
6050 Other Financial Assistance	71,272	369,879	310,721
6050 Other Financial Assistance	23,000,004	23,000,004	23,000,004
6100 Taxes	10,736,088	11,018,167	11,018,167
6200 Interest Income	3,232,002	1,719,495	1,704,530
6310 Rental Income	1,948,487	3,002,834	3,013,252
6350 Insurance Recoveries	59	2,000	2,000
6370 Miscellaneous	2,303,374	307,291	231,434
6510 Operating Transfers In	94,641,360	146,415,668	166,581,920
Subtotal Revenues	\$ 247,797,414	\$ 303,102,946	\$ 345,853,532
OCTD Fixed Asset Reserves	0	466,400	0
Subtotal Use of Reserves	\$ 0	\$ 466,400	\$ 0
Total Uses	\$ 247,797,414	\$ 303,569,346	\$ 345,853,532

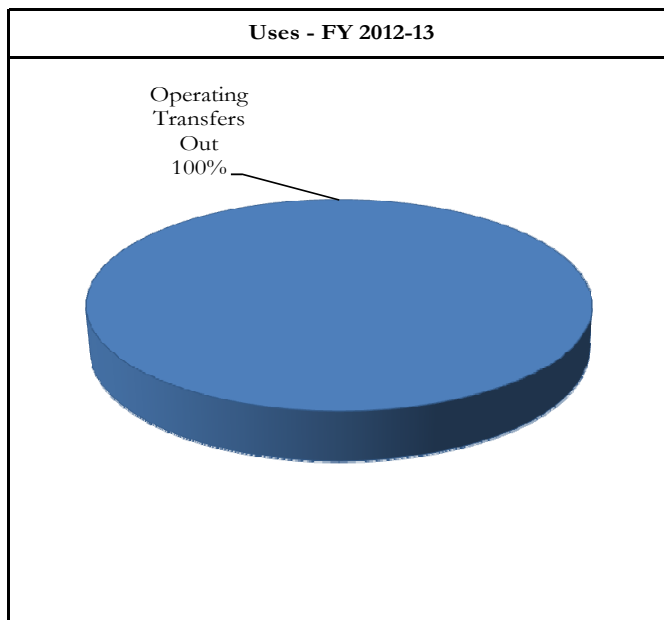
Transit Fund Group

Orange County Transit District - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	63,200,573	61,673,684	61,176,822
7150 Extra Help Employees	245,333	285,793	290,800
7209 Deferred Compensation	995,061	955,122	1,049,575
7210 Pensions	16,216,676	17,899,714	17,802,208
7220 Insurances	1,616,910	1,516,119	1,706,049
7240 Health Care	14,706,964	15,700,702	14,345,417
7260 Compensated Absences	7,018,803	8,822,901	8,508,445
7270 Workers Compensation	6,039,033	5,003,496	5,250,688
7280 Other Benefits	3,060,597	2,753,062	2,899,910
Subtotal Salaries and Benefits	\$ 113,099,950	\$ 114,610,593	\$ 113,029,914
<u>Services and Supplies</u>			
7310 Contract Transportation	52,317,189	63,450,835	66,943,046
7410 Administrative Services	25,279,127	31,847,786	35,673,597
7510 Professional Services	4,299,407	6,187,811	5,411,711
7540 Insurance Claims Expense	4,974	0	0
7610 Outside Services	9,802,643	12,292,149	13,907,868
7630 Advertising Fees	37,576	75,000	125,000
7640 Utilities	1,521,936	1,732,400	1,706,300
7650 Travel, Training, and Mileage	64,900	117,819	163,474
7660 Office Expense	418,311	438,882	509,573
7670 Miscellaneous Expense	32,676	25,811	30,946
7670 Miscellaneous Expense	124,621	213,749	215,825
7690 Leases	489,561	294,804	276,204
7710 Fuels and Lubricants	9,154,399	12,774,764	16,049,104
7740 Tires and Tubes	1,996,561	2,160,962	2,131,804
7750 Maintenance Expense	6,660,248	6,970,606	6,276,039
7790 Other Materials and Supplies	961,192	1,210,983	1,343,885
7810 Insurance	804,576	5,412,996	8,263,070
7820 Taxes	149,858	300	100,300
7830 Contributions to Other Agencies	1,003,447	2,105,963	4,978,138
8110 Debt Service	-264,371	0	0
8210 Operating Transfers Out	13,760,989	20,267,079	13,759,921
Subtotal Services and Supplies	\$ 128,619,820	\$ 167,580,699	\$ 177,865,805
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	4,364,653	5,170,514	15,383,574
Subtotal Capital Expenditure	\$ 4,364,653	\$ 5,170,514	\$ 15,383,574
<u>Designation of Funds</u>			
Bristol Street Widening Project	0	3,750,004	0
Fixed Asset Reserve	1,712,991	12,457,536	39,574,239
Subtotal Designation of Funds	\$ 1,712,991	\$ 16,207,540	\$ 39,574,239
Total Uses	\$ 247,797,414	\$ 303,569,346	\$ 345,853,532

State Transit Assistance Fund


Sources	Amount
Non-Proprietary Fund Account	\$ 21,817,867
Total Sources	\$ 21,817,867



Uses	Amount
Operating Transfers Out	\$ 21,817,867
Total Uses	\$ 21,817,867

State Transit Assistance Fund (STAF) Narrative

The **STAF** was created by the California Legislature in 1979 and has been in existence since 1980. The fund provides a second source of Transportation Development Act (TDA) funding for transportation planning and mass transportation purposes. Per the enactment of 2010 budget legislation (ABX8 6, Chapter 11, Statutes of 2010 and ABX8 9, Chapter 12, Statutes of 2010) the primary source of revenue for STAF is the sales tax on diesel fuel, which increased from 5 percent to 6.75 percent in July 2011. To fulfill Proposition 22 requirements, the gas tax swap was ratified and in the process modified transit funding to maintain current levels.

The Orange County Transportation Authority, on behalf of its legal subsidiary the Orange County Transit District, is the sole recipient of STAF funding in Orange County. These revenues

may be used for capital and operating expenditures related to public transportation, community transit, and rail service. A portion of the funding is also used to subsidize fares for seniors and persons with disabilities.

Following the suspension of all STAF revenues in FY 2009-10, OCTA has been granted the return in STAF revenues for the past two fiscal years. OCTA will be receiving approximately \$21.8 million in STAF revenues beginning FY 2012-13. The growth rate of sales tax revenue is dependent upon the state of the economy and any fluctuations can have a significant impact over the life of the plan. As the state legislature re-evaluates the methodology for distribution of these funds, the viability of STAF as a long term operating revenue is uncertain as fiscal challenges at the state level persist.

State Transit Assistance Fund Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	-582	0	0
9200 Non-Proprietary Fund Account	0	19,381,668	21,817,867
Subtotal Revenues	\$ -582	\$ 19,381,668	\$ 21,817,867
Use of Reserves	803	0	0
Total Sources	\$ 221	\$ 19,381,668	\$ 21,817,867

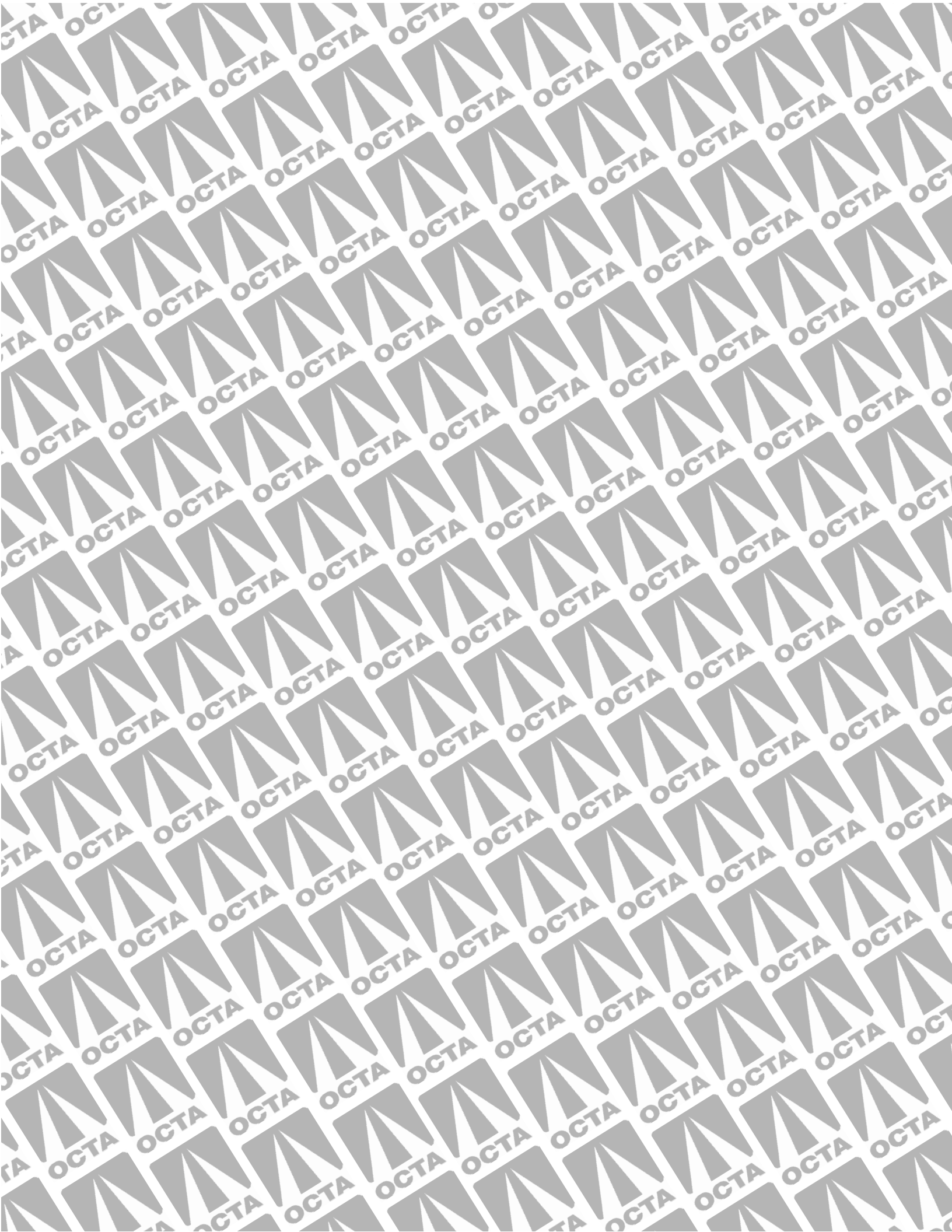
Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7800 Contributions to Other Agencies	221	174,620	0
8200 Operating Transfers Out	0	19,207,048	21,817,867
Subtotal Expenses	\$ 221	\$ 19,381,668	\$ 21,817,867
Total Uses	\$ 221	\$ 19,381,668	\$ 21,817,867

State Transit Assistance Fund - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6100 Taxes	0	19,381,668	21,817,867
6200 Interest Income	-582	0	0
Subtotal Revenues	\$ -582	\$ 19,381,668	\$ 21,817,867
State Transit Assistance Fund for Bus Operations	803	0	0
Subtotal Use of Reserves	\$ 803	\$ 0	\$ 0
Total Uses	\$ 221	\$ 19,381,668	\$ 21,817,867

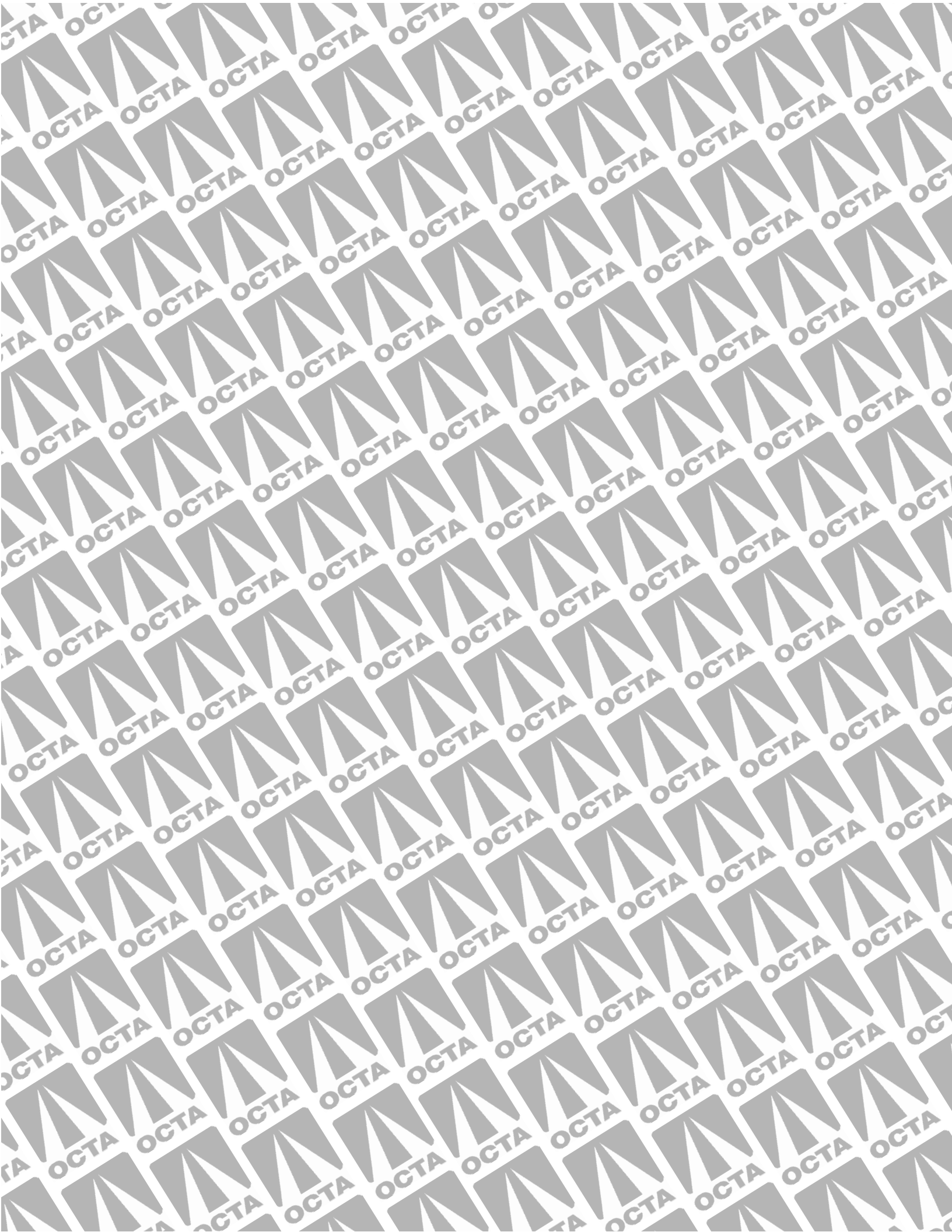
State Transit Assistance Fund - Expenses & Designations

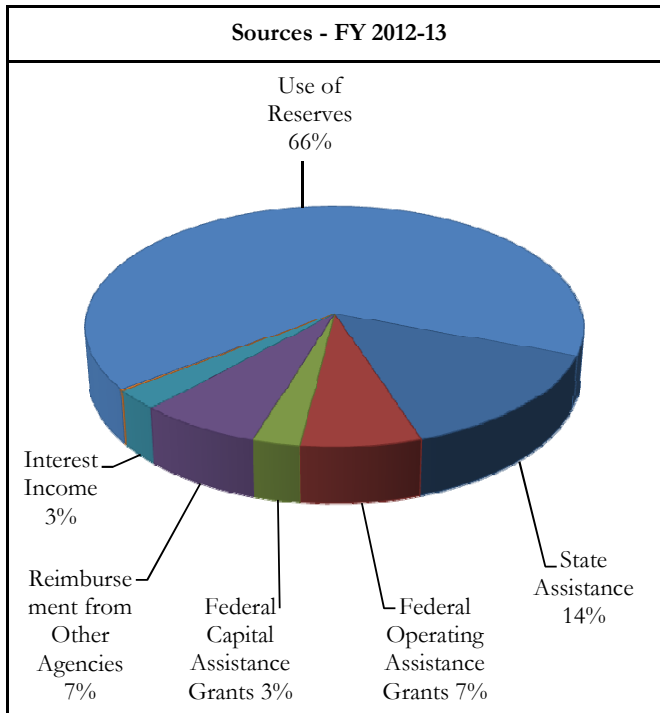
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7670 Miscellaneous Expense	2	0	0
7830 Contributions to Other Agencies	219	174,620	0
8210 Operating Transfers Out	0	19,207,048	21,817,867
Subtotal Services and Supplies	\$ 221	\$ 19,381,668	\$ 21,817,867
Total Uses	\$ 221	\$ 19,381,668	\$ 21,817,867



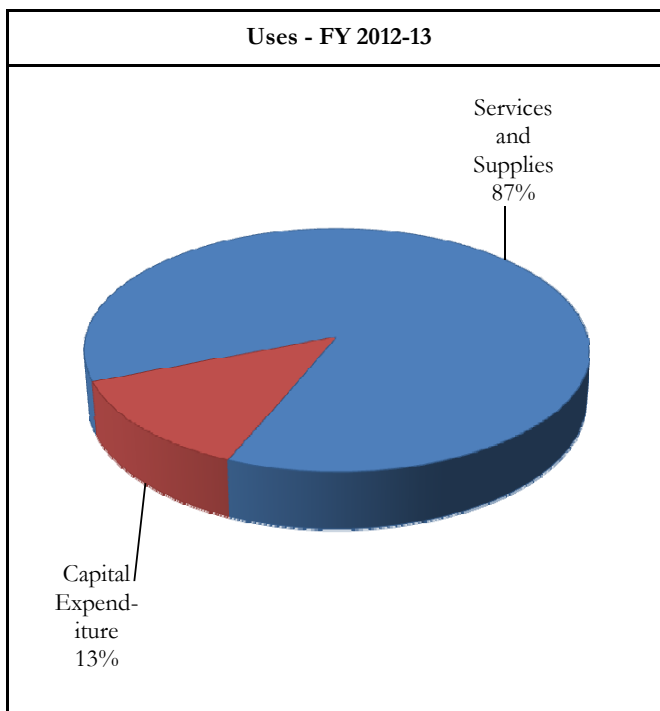


MEASURE M FUND GROUP



Local Transportation Authority Measure M1


Sources	Amount
State Assistance	\$ 16,000,000
Federal Operating Assistance Grants	7,890,200
Federal Capital Assistance Grants	3,129,536
Reimbursement from Other Agencies	7,977,000
Interest Income	3,092,300
Other Non-operating Revenue/Expense	224,500
Use of Reserves	73,327,580
Total Sources	\$ 111,641,116



Uses	Amount
Services and Supplies	\$ 97,325,116
Capital Expenditure	14,316,000
Total Uses	\$ 111,641,116

Measure M Fund Group

Local Transportation Authority (LTA) Measure M1 (M1) Fund Narrative

The **LTA M1** provides funding for transportation improvements in Orange County to keep residents of Orange County moving. In 1990, Orange County voters approved a 20-year program for transportation improvements, funded by a half-cent sales tax. M1 allocates all sales tax revenues to specific Orange County transportation improvement projects in three major areas: freeways, streets and roads, and transit.

The funding is allocated as follows: 43 percent allocated to improving the freeways, 32 percent to streets and roads (21 percent local roads, and 11 percent to regional streets), and 25 percent to transit. M1 sales tax collections ended on March 31, 2011 and delivered more than \$4 billion worth of transportation improvements. FY 2012-13 expenditures of \$111 million represent drawdowns on M1 cash reserve balances.

Local Transportation Authority Measure M1 Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6020 State Assistance	10,682,318	38,525,000	16,000,000
6030 Federal Operating Assistance Grants	25,875,316	7,232,000	7,890,200
6040 Federal Capital Assistance Grants	1,054,942	7,799,088	3,129,536
6050 Reimbursement from Other Agencies	2,239,653	8,256,637	7,977,000
6200 Interest Income	6,136,061	0	3,092,300
6300 Other Non-operating Revenue/Expense	437,031	277,274	224,500
6500 Operating Transfers In	73,511,100	0	0
6550 Proceeds Sale of Capital Asset	0	536,674	0
9200 Non-Proprietary Fund Account	174,489,202	0	0
Subtotal Revenues	\$ 294,425,623	\$ 62,626,673	\$ 38,313,536
Use of Reserves	69,446,453	122,259,938	73,327,580
Total Sources	\$ 363,872,076	\$ 184,886,611	\$ 111,641,116

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7400 Management Fee Expense	9,285,291	4,324,873	9,802,314
7500 Professional Services	9,735,471	8,987,500	5,974,375
7600 General and Administrative	131,046	107,280	35,284
7800 Contributions to Other Agencies	123,390,112	145,501,321	81,513,143
8111 Interest Expense	296,394	0	0
8200 Operating Transfers Out	179,238,997	0	0
8240 Transfers to Outside Agencies	41,794,765	25,965,637	14,316,000
Subtotal Expenses	\$ 363,872,076	\$ 184,886,611	\$ 111,641,116
Total Uses	\$ 363,872,076	\$ 184,886,611	\$ 111,641,116

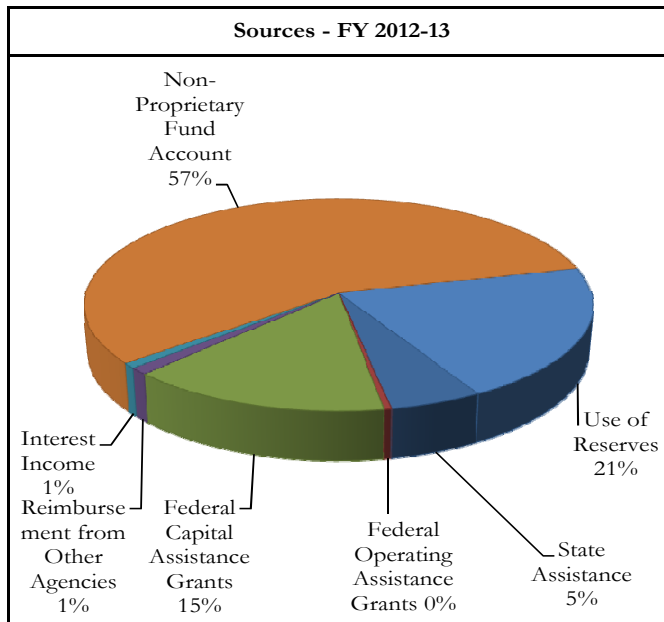
Local Transportation Authority Measure M1 - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6020 State Assistance	10,682,318	38,525,000	16,000,000
6030 Federal Operating Assistance Grants	25,875,316	7,232,000	7,890,200
6040 Federal Capital Assistance Grants	1,054,942	7,799,088	3,129,536
6050 Other Financial Assistance	2,239,653	8,256,637	7,977,000
6100 Taxes	174,489,202	0	0
6200 Interest Income	6,136,061	0	3,092,300
6310 Rental Income	437,031	277,274	224,500
6510 Operating Transfers In	73,511,100	0	0
6550 Proceeds Sale of Capital Asset	0	536,674	0
Subtotal Revenues	\$ 294,425,623	\$ 62,626,673	\$ 38,313,536
Anaheim and Santa Ana Go Local Fixed Guideway	0	3,135,000	330,000
Anaheim Regional Transportation Intermodal Center	0	21,000,000	6,237,943
Combined Transportation Funding Program	0	38,050,000	40,095,000
Fullerton Station Parking Expansion Project	0	6,000,000	200,362
High Speed Rail	0	0	193,828
I-405 HOV Connector Projects	0	0	2,044,000
I-405/SR-55 Connector	0	2,060,000	10,000
I-5 Gateway Project to LA County Line	0	11,120,000	6,619,000
Irvine Transportation Center Master Plan	0	310,000	305,102
Laguna Niguel/Mission Viejo Parking Expansion	0	1,000,000	0
Measure M	18,444,952	0	9,013,845
Measure M Debt Service	51,001,501	0	0
Metrolink Service Expansion Program	0	33,423,567	6,500,000
Orange Transportation Center Parking Expansion	0	1,650,000	1,000,000
PE ROW	0	0	206,000
Santa Ana Blvd Grade Separation	0	172,050	170,000
Santa Ana Regional Transportation Center	0	172,050	0
Signal Synchronization	0	0	42,500
SR-22 Construction	0	2,471,521	0
SR-22 ROW/Design Services	0	0	360,000
Tustin Station Parking Expansion	0	1,325,000	0
West County Connector	0	370,750	0
Subtotal Use of Reserves	\$ 69,446,453	\$ 122,259,938	\$ 73,327,580
Total Uses	\$ 363,872,076	\$ 184,886,611	\$ 111,641,116

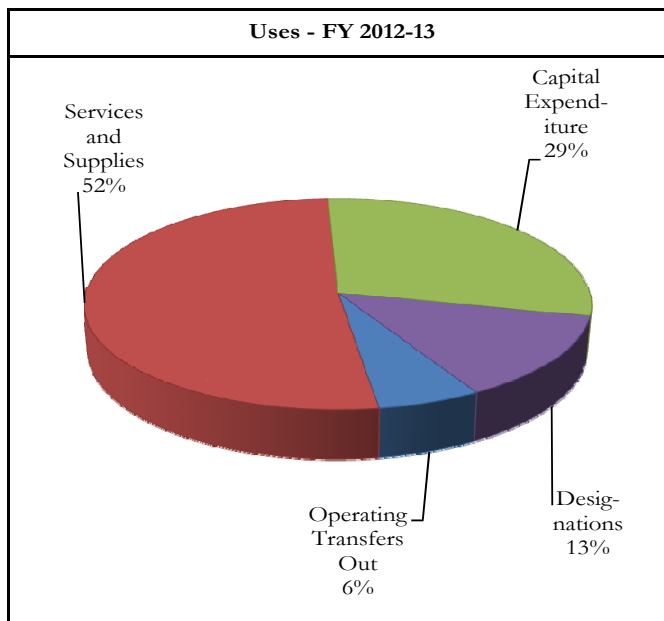
Measure M Fund Group

Local Transportation Authority Measure M1 - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7410 Administrative Services	9,285,291	4,324,873	9,802,314
7510 Professional Services	9,532,972	8,820,000	5,753,475
7610 Outside Services	30,883	156,000	65,900
7630 Advertising Fees	171,616	11,500	155,000
7640 Utilities	91,271	80,000	6,000
7650 Travel, Training, and Mileage	14,214	13,780	8,783
7660 Office Expense	7,778	10,500	20,501
7670 Miscellaneous Expense	306	3,000	0
7670 Miscellaneous Expense	527	250	0
7790 Other Materials and Supplies	17,477	0	0
7820 Taxes	2,239	0	0
7830 Contributions to Other Agencies	123,387,346	145,501,071	81,513,143
8110 Debt Service	296,394	0	0
8210 Operating Transfers Out	179,238,997	0	0
Subtotal Services and Supplies	\$ 322,077,311	\$ 158,920,974	\$ 97,325,116
<u>Capital Expenditure</u>			
9010 Work In Process	417,848	936,500	230,000
9020 Capital Exp-Locally Funded	14,290,010	0	0
9080 Construction in Progress	27,086,907	25,029,137	14,086,000
Subtotal Capital Expenditure	\$ 41,794,765	\$ 25,965,637	\$ 14,316,000
Total Uses	\$ 363,872,076	\$ 184,886,611	\$ 111,641,116

Local Transportation Authority Measure M2


Sources	Amount
State Assistance	\$ 24,949,084
Federal Operating Assistance Grants	2,002,800
Federal Capital Assistance Grants	70,642,753
Reimbursement from Other Agencies	4,957,550
Interest Income	3,813,578
Non-Proprietary Fund Account	267,244,845
Use of Reserves	96,030,580
Total Sources	\$ 469,641,190



Uses	Amount
Operating Transfers Out	\$ 27,960,744
Services and Supplies	242,839,591
Capital Expenditure	136,715,000
Designations	62,125,855
Total Uses	\$ 469,641,190

Measure M Fund Group

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

The original Measure M 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 Measure 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. 32 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 develop transit extensions for the Metrolink corridor, thereby enhancing the overall transit system and 5 percent for senior citizens and for establishing local bus circulators).

In an effort to advance the implementation of M2 projects, the Board of Directors requested that a five year plan be

developed. In August 2007, the OCTA Board of Directors approved the M2 Early Action Plan (EAP). The goal of the plan was to advance M2 projects during FY 2006-07 through FY 2011-12 prior to commencement of sales tax collections. A financial plan to provide funding for these projects was adopted by the OCTA Board of Directors on November 9, 2007, and \$400 million in tax exempt commercial paper was secured.

In July 2010 the Board approved the comprehensive Capital Action Plan (CAP). The CAP expands the scope of the EAP to include other priority OCTA capital projects. These projects will include freeway improvement projects, transit capital projects, and rail transit projects. Furthermore, in December 2010, the OCTA issued \$352.6 million in Build America Bonds. The bond proceeds were used to repay \$75 million of the \$100 million in outstanding TECP funds. The remainder of the funds will cover expenses under the M2 freeway, streets and roads, and transit programs.

Local Transportation Authority Measure M2 Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6010 State Transit Assistance	0	5,002,500	0
6020 State Assistance	2,902,652	16,448,000	24,949,084
6030 Federal Operating Assistance Grants	-699,039	0	2,002,800
6040 Federal Capital Assistance Grants	0	113,516,588	70,642,753
6050 Reimbursement from Other Agencies	6,247,697	18,677,000	4,957,550
6200 Interest Income	1,182,703	4,579,000	3,813,578
6500 Operating Transfers In	9,126,883	0	0
6900 Bond Proceeds	358,593,306	0	0
9200 Non-Proprietary Fund Account	56,990,316	243,147,797	267,244,845
Subtotal Revenues	\$ 434,344,518	\$ 401,370,885	\$ 373,610,610
Use of Reserves	0	76,435,712	96,030,580
Total Sources	\$ 434,344,518	\$ 477,806,597	\$ 469,641,190

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7400 Management Fee Expense	8,735,943	7,188,206	7,468,829
7500 Professional Services	43,809,104	57,394,705	76,648,783
7600 General and Administrative	20,457	191,952	252,107
7800 Contributions to Other Agencies	43,941,869	111,840,105	158,344,872
8111 Interest Expense	429,790	250,000	125,000
8200 Operating Transfers Out	13,612,794	19,269,761	27,960,744
8240 Transfers to Outside Agencies	68,136,045	185,573,315	136,715,000
Subtotal Expenses	\$ 178,686,002	\$ 381,708,044	\$ 407,515,335
Designations	255,658,516	96,098,553	62,125,855
Total Uses	\$ 434,344,518	\$ 477,806,597	\$ 469,641,190

Measure M Fund Group

Local Transportation Authority Measure M2 - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6020 State Assistance	0	5,002,500	0
6020 State Assistance	2,902,652	16,448,000	24,949,084
6030 Federal Operating Assistance Grants	-699,039	0	2,002,800
6040 Federal Capital Assistance Grants	0	113,516,588	70,642,753
6050 Other Financial Assistance	6,247,697	18,677,000	4,957,550
6100 Taxes	56,990,316	243,147,797	267,244,845
6200 Interest Income	1,182,703	4,579,000	3,813,578
6510 Operating Transfers In	9,126,883	0	0
6900 Bond Proceeds	358,593,306	0	0
Subtotal Revenues	\$ 434,344,518	\$ 401,370,885	\$ 373,610,610
ARTIC - Project R	0	0	6,817,121
ARTIC - Project T	0	0	27,376,679
Environmental Mitigation Property Acquisition	0	22,000,000	10,300,000
Environmental Mitigation Property Restoration	0	5,000,000	6,930,180
Grade Crossing Enhancement and Quiet Zones	0	10,000,000	2,260,000
Project O Grade Separations	0	39,435,712	26,969,000
Project P - Regional Traffic Signal Synch	0	0	15,377,600
Subtotal Use of Reserves	\$ 0	\$ 76,435,712	\$ 96,030,580
Total Uses	\$ 434,344,518	\$ 477,806,597	\$ 469,641,190

Local Transportation Authority Measure M2 - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7410 Administrative Services	8,735,943	7,188,206	7,468,829
7510 Professional Services	43,744,359	56,801,305	76,006,683
7610 Outside Services	50,732	548,400	622,100
7630 Advertising Fees	14,013	45,000	20,000
7640 Utilities	221	0	100,000
7650 Travel, Training, and Mileage	8,149	43,602	34,807
7660 Office Expense	10,328	93,750	107,010
7670 Miscellaneous Expense	1,759	54,600	4,290
7670 Miscellaneous Expense	2,182,335	1,000	0
7790 Other Materials and Supplies	0	0	6,000
7820 Taxes	0	0	250,000
7830 Contributions to Other Agencies	41,759,534	111,839,105	158,094,872
8110 Debt Service	429,790	250,000	125,000
8210 Operating Transfers Out	13,612,794	19,269,761	27,960,744
Subtotal Services and Supplies	\$ 110,549,957	\$ 196,134,729	\$ 270,800,335
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	-160,335	0	0
9080 Construction in Progress	68,296,380	185,573,315	136,715,000
Subtotal Capital Expenditure	\$ 68,136,045	\$ 185,573,315	\$ 136,715,000
<u>Designation of Funds</u>			
Bond Proceeds	255,658,516	0	0
Designated for Future M2 projects	0	96,098,553	62,125,855
Subtotal Designation of Funds	\$ 255,658,516	\$ 96,098,553	\$ 62,125,855
Total Uses	\$ 434,344,518	\$ 477,806,597	\$ 469,641,190

Measure M Fund Group

Measure M (M1) Bond Debt Service Fund Narrative

The **M1 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. FY 2010-11 represented the final principal and interest payment made for the M1 debt obligation.

Measure M Bond Debt Service Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	425,066	0	0
6500 Operating Transfers In	51,001,501	0	0
Subtotal Revenues	\$ 51,426,567	\$ 0	\$ 0
Use of Reserves	109,654,554	0	0
Total Sources	\$ 161,081,121	\$ 0	\$ 0

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7800 Contributions to Other Agencies	152,113	0	0
8111 Interest Expense	4,622,908	0	0
8112 Principal Payment On Long Term Debt	82,795,000	0	0
8200 Operating Transfers Out	73,511,100	0	0
Subtotal Expenses	\$ 161,081,121	\$ 0	\$ 0
Designations	0	0	0
Total Uses	\$ 161,081,121	\$ 0	\$ 0

Measure M Bond Debt Service - Revenues and Reserves

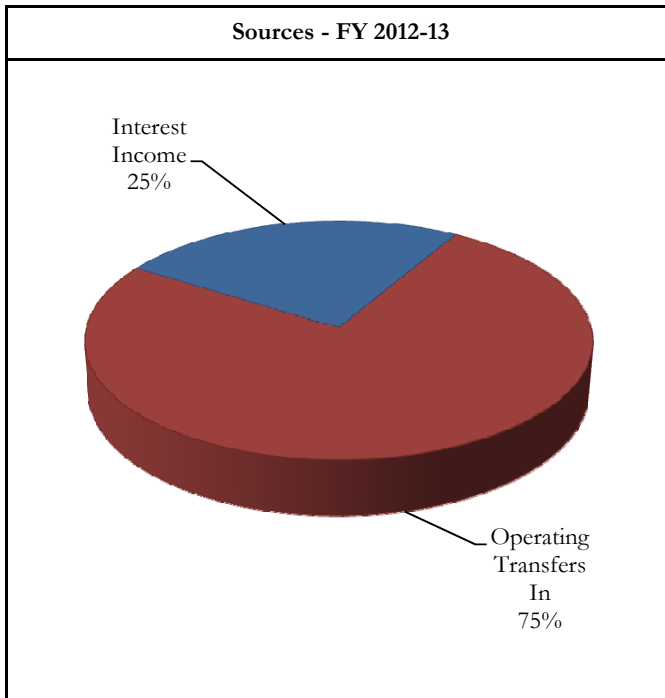
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	425,066	0	0
6510 Operating Transfers In	51,001,501	0	0
Subtotal Revenues	\$ 51,426,567	\$ 0	\$ 0
M1 Debt Service	36,143,454	0	0
MM RV1066 close MM1 bonds	73,511,100	0	0
Subtotal Use of Reserves	\$ 109,654,554	\$ 0	\$ 0
Total Uses	\$ 161,081,121	\$ 0	\$ 0

Measure M Bond Debt Service - Expenses & Designations

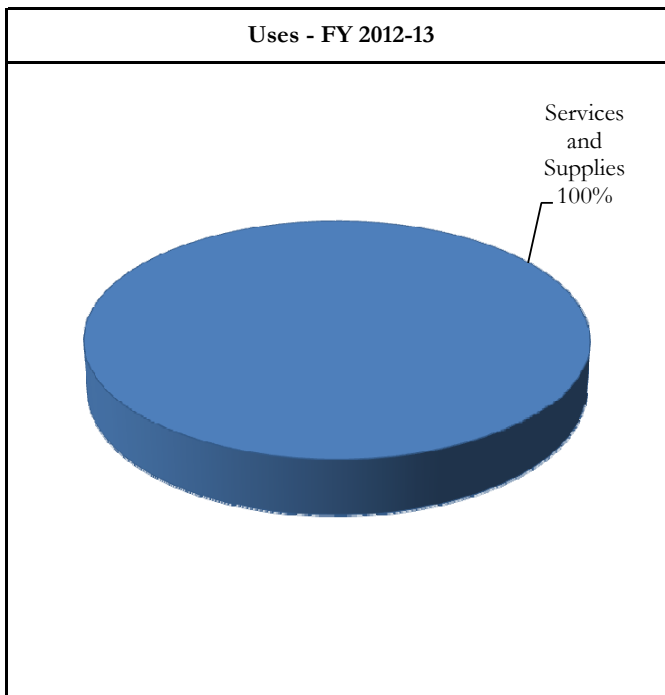
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7670 Miscellaneous Expense	152,113	0	0
8110 Debt Service	4,622,908	0	0
8110 Debt Service	82,795,000	0	0
8210 Operating Transfers Out	73,511,100	0	0
Subtotal Services and Supplies	\$ 161,081,121	\$ 0	\$ 0
Total Uses	\$ 161,081,121	\$ 0	\$ 0

Measure M Fund Group

Measure M2 Bond Debt Service



Sources	Amount
Interest Income	\$ 7,087,572
Operating Transfers In	21,705,566
Total Sources	\$ 28,793,138



Uses	Amount
Services and Supplies	\$ 28,793,138
Total Uses	\$ 28,793,138

Measure M2 (M2) Bond Debt Service Fund Narrative

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 will also account for the Federal Government payment to OCTA for a 35 percent subsidy that offsets interest expense for the taxable Build America Bonds. This fiscal year will represent the start of the principal payments made for the M2 debt obligation.

Measure M2 Bond Debt Service Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6030 Federal Operating Assistance Grants	0	6,958,171	0
6200 Interest Income	1,013,359	116,442	7,087,572
6500 Operating Transfers In	13,419,620	15,308,525	21,705,566
Subtotal Revenues	\$ 14,432,979	\$ 22,383,138	\$ 28,793,138
Total Sources	\$ 14,432,979	\$ 22,383,138	\$ 28,793,138

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
8111 Interest Expense	3,233,120	22,383,138	22,383,138
8112 Principal Payment On Long Term Debt	0	0	6,410,000
8200 Operating Transfers Out	1,005,069	0	0
Subtotal Expenses	\$ 4,238,189	\$ 22,383,138	\$ 28,793,138
Designations	10,194,790	0	0
Total Uses	\$ 14,432,979	\$ 22,383,138	\$ 28,793,138

Measure M Fund Group

Measure M2 Bond Debt Service - Revenues and Reserves

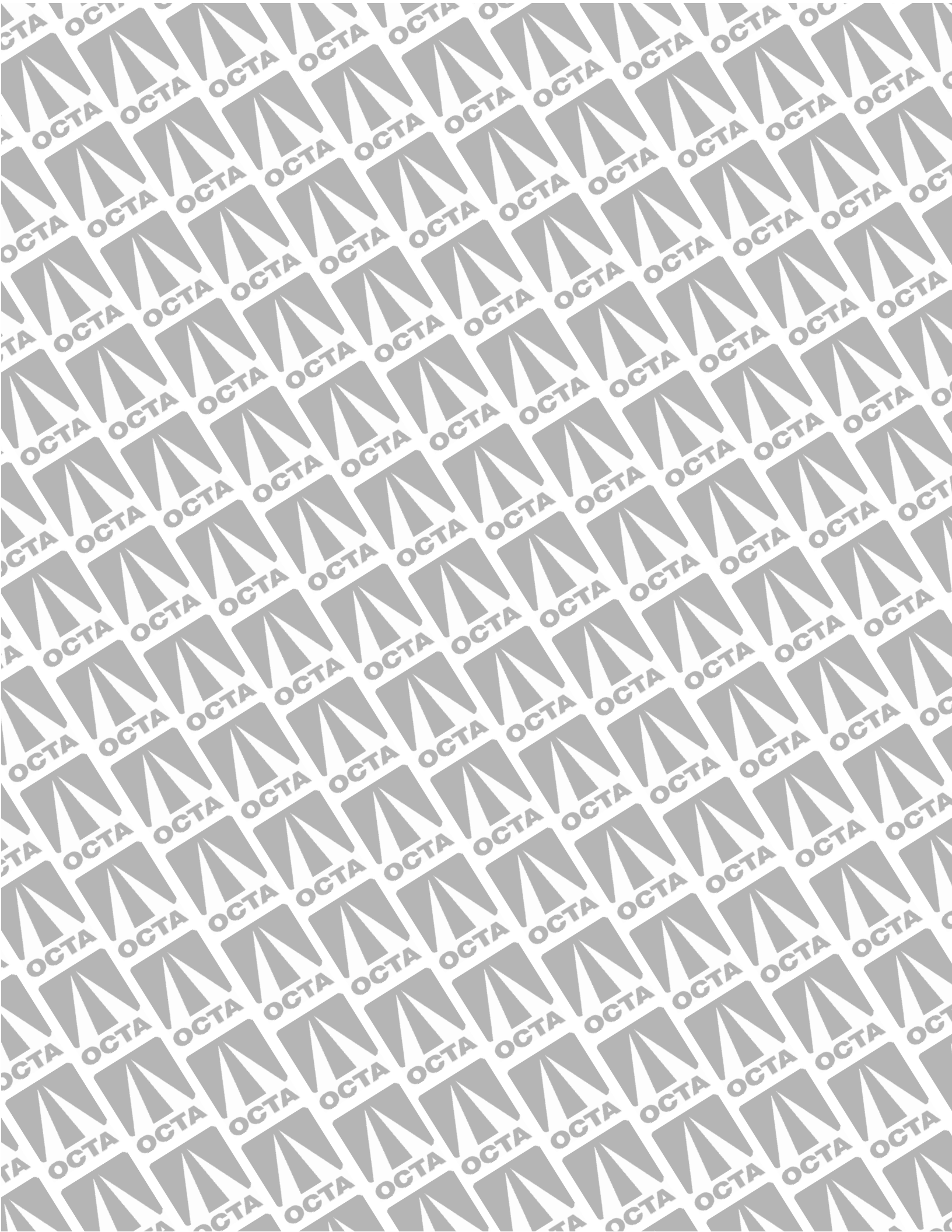
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6030 Federal Operating Assistance Grants	0	6,958,171	0
6200 Interest Income	1,013,359	116,442	7,087,572
6510 Operating Transfers In	13,419,620	15,308,525	21,705,566
Subtotal Revenues	\$ 14,432,979	\$ 22,383,138	\$ 28,793,138
Total Uses	\$ 14,432,979	\$ 22,383,138	\$ 28,793,138

Measure M2 Bond Debt Service - Expenses & Designations

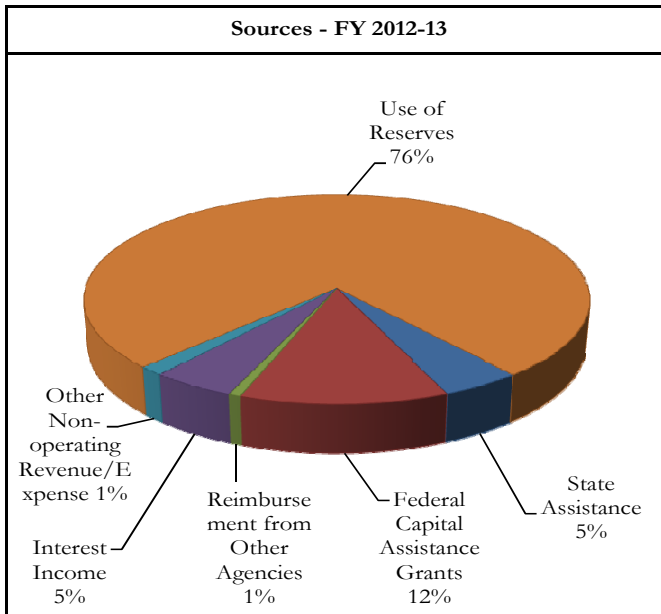
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
8110 Debt Service	3,233,120	22,383,138	22,383,138
8110 Debt Service	0	0	6,410,000
8210 Operating Transfers Out	1,005,069	0	0
Subtotal Services and Supplies	\$ 4,238,189	\$ 22,383,138	\$ 28,793,138
<u>Designation of Funds</u>			
M2 Debt Service	10,194,790	0	0
Subtotal Designation of Funds	\$ 10,194,790	\$ 0	\$ 0
Total Uses	\$ 14,432,979	\$ 22,383,138	\$ 28,793,138



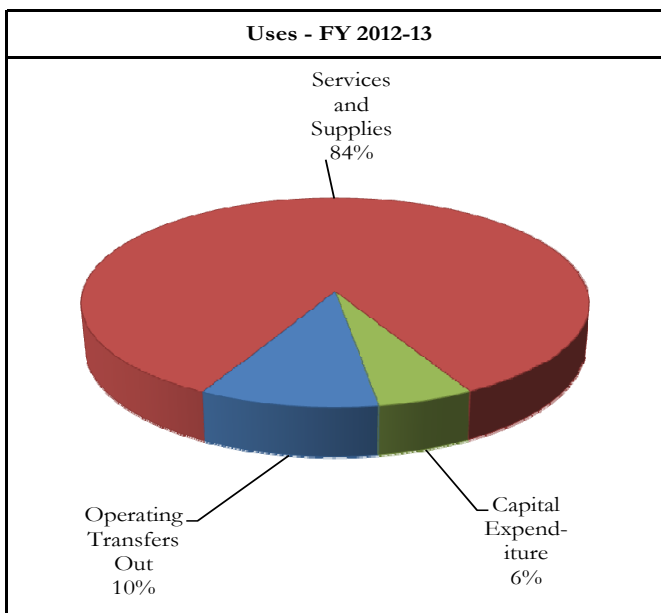
RAIL FUND GROUP



Commuter and Urban Rail Endowment 1



Sources	Amount
State Assistance	\$ 2,000,000
Federal Capital Assistance Grants	5,210,000
Reimbursement from Other Agencies	300,000
Interest Income	2,100,153
Other Non-operating Revenue/Expense	622,982
Use of Reserves	32,934,538
Total Sources	\$ 43,167,673



Uses	Amount
Operating Transfers Out	\$ 4,465,326
Services and Supplies	36,302,347.00
Capital Expenditure	2,400,000
Total Uses	\$ 43,167,673

Commuter and Urban Rail Endowment (CURE) 1 Fund Narrative

The **CURE 1 Fund** finances 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. Commuter rail services are operated by the Southern California Regional Rail Authority (SCRRA), which is a joint powers authority, as a part of the regional Metrolink network. As one of five member agencies, OCTA Board members participate on the SCRRA Board of Directors. 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 is made possible by funding received from the CURE,

State Transportation Improvement Program, Federal Transit Administration (FTA) Section 5307 funds, Proposition 116, FTA Section 5309 Rail Modernization funds, Public Utilities Commission, M1 and M2.

The current budget finances the operations of the Orange County Line, with weekday service of 19 daily trips between Oceanside and Los Angeles, and the Inland Empire-Orange County Line with 14 daily trips between San Bernardino and San Juan Capistrano, and the 91 Line (Riverside-Fullerton-LA) with 9 daily trips.

The Metrolink Service Expansion Plan (MSEP) will increase the number of daily trips from 42 to 59, between Mission Viejo/Laguna Niguel and Fullerton along the OC Line. The new service will alter the perception of the OC Line, allowing it to serve not only as the long and short distance commuter service, but also as a viable intracounty transportation alternative linking Laguna Niguel, Irvine, Tustin, Santa Ana, Orange, Anaheim and Fullerton. This will be funded by M2.

Commuter and Urban Rail Endowment 1 Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6020 State Assistance	0	0	2,000,000
6030 Federal Operating Assistance Grants	0	4,844,472	0
6040 Federal Capital Assistance Grants	321,807	1,200,000	5,210,000
6050 Reimbursement from Other Agencies	10,000	0	300,000
6200 Interest Income	2,459,360	3,226,808	2,100,153
6300 Other Non-operating Revenue/Expense	655,280	649,441	622,982
6500 Operating Transfers In	120,162,575	0	0
Subtotal Revenues	\$ 123,609,022	\$ 9,920,721	\$ 10,233,135
Use of Reserves	0	31,418,123	32,934,538
Total Sources	\$ 123,609,022	\$ 41,338,844	\$ 43,167,673

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7400 Management Fee Expense	653,171	1,284,810	900,145
7500 Professional Services	12,843,266	27,900,498	28,206,156
7600 General and Administrative	234	20,300	35,296
7800 Contributions to Other Agencies	1,428,593	8,162,320	7,160,750
8200 Operating Transfers Out	2,038,906	2,620,916	4,465,326
8240 Transfers to Outside Agencies	619	1,350,000	2,400,000
Subtotal Expenses	\$ 16,964,789	\$ 41,338,844	\$ 43,167,673
Designations	106,644,233	0	0
Total Uses	\$ 123,609,022	\$ 41,338,844	\$ 43,167,673

Commuter and Urban Rail Endowment 1 - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6020 State Assistance	0	0	2,000,000
6030 Federal Operating Assistance Grants	0	4,844,472	0
6040 Federal Capital Assistance Grants	321,807	1,200,000	5,210,000
6050 Other Financial Assistance	10,000	0	300,000
6200 Interest Income	2,459,360	3,226,808	2,100,153
6310 Rental Income	639,492	631,959	605,000
6330 Fees and Fines	15,788	17,482	17,982
6510 Operating Transfers In	120,162,575	0	0
Subtotal Revenues	\$ 123,609,022	\$ 9,920,721	\$ 10,233,135
Commuter Rail Capital Improvements	0	8,418,123	3,231,462
Commuter Rail Operations	0	23,000,000	21,500,000
iShuttle Operating Service (M1 Funds Trans. CURE)	0	0	1,327,351
LOSSAN Commuter Rail	0	0	3,737,750
Stationlink Rail Feeder Service	0	0	3,077,975
VSS at Fullerton Metrolink Station	0	0	60,000
Subtotal Use of Reserves	\$ 0	\$ 31,418,123	\$ 32,934,538
Total Uses	\$ 123,609,022	\$ 41,338,844	\$ 43,167,673

Commuter and Urban Rail Endowment 1 - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7410 Administrative Services	653,171	1,284,810	900,145
7510 Professional Services	1,725,523	3,550,000	5,145,692
7610 Outside Services	11,117,743	24,350,498	23,060,464
7650 Travel, Training, and Mileage	234	300	300
7660 Office Expense	0	20,000	34,996
7670 Miscellaneous Expense	1,205	1,848	1,750
7830 Contributions to Other Agencies	1,427,388	8,160,472	7,159,000
8210 Operating Transfers Out	2,038,906	2,620,916	4,465,326
Subtotal Services and Supplies	\$ 16,964,170	\$ 39,988,844	\$ 40,767,673
<u>Capital Expenditure</u>			
9080 Construction in Progress	619	1,350,000	2,400,000
Subtotal Capital Expenditure	\$ 619	\$ 1,350,000	\$ 2,400,000
<u>Designation of Funds</u>			
LOSSAN Commuter Rail	46,644,233	0	0
Metrolink Service Expansion Program	60,000,000	0	0
Subtotal Designation of Funds	\$ 106,644,233	\$ 0	\$ 0
Total Uses	\$ 123,609,022	\$ 41,338,844	\$ 43,167,673

Rail Fund Group

Commuter and Urban Rail Endowment (CURE) 3 Fund Narrative

CURE 3 Fund was originally established to provide an operating endowment for a light rail line but was transferred to the Bus Operations Fund (BOF) in response to the TDA diversion caused by the Orange County Bankruptcy. This fund has since been closed out in FY 2010-11.

Commuter and Urban Rail Endowment 3 Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Use of Reserves	162,575	0	0
Total Sources	\$ 162,575	\$ 0	\$ 0

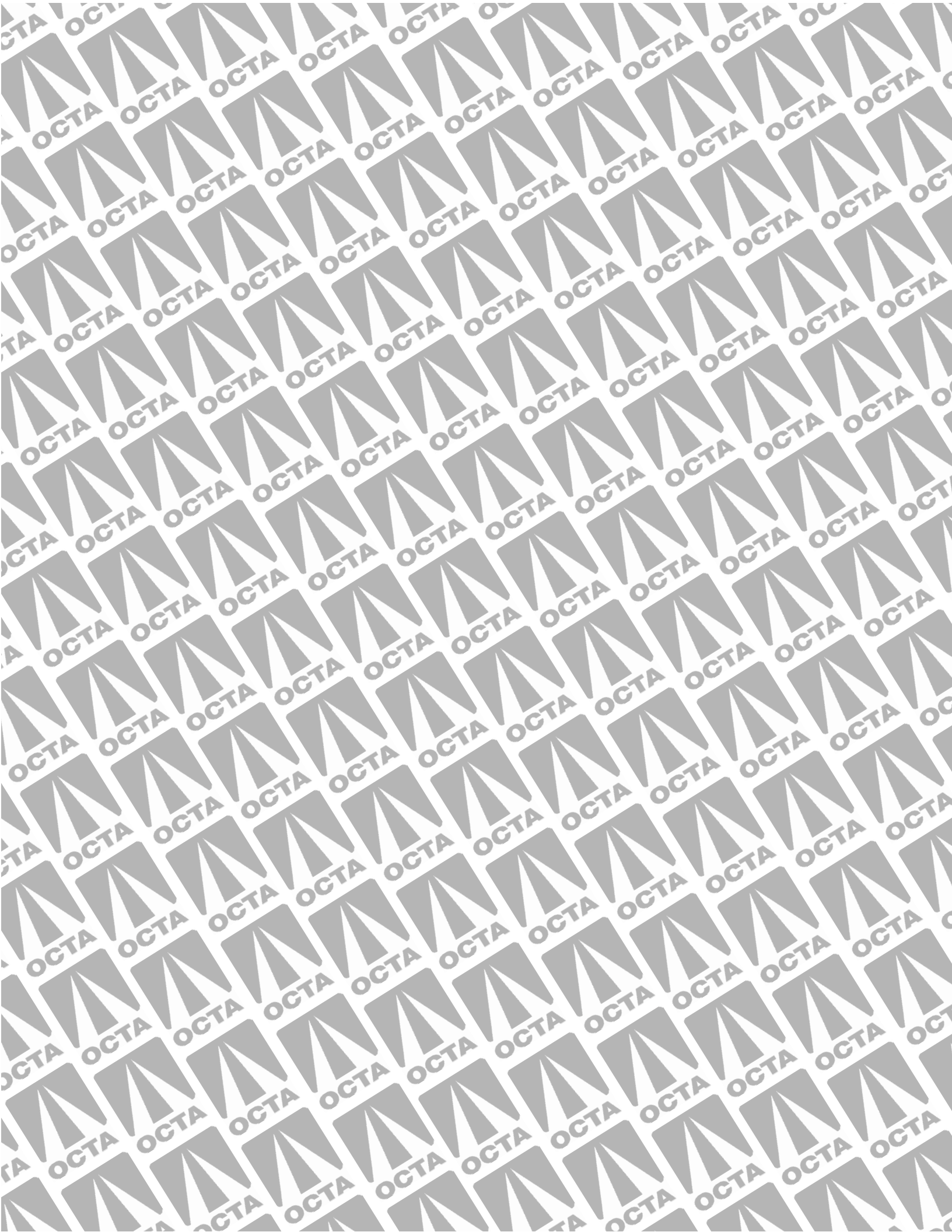
Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
8200 Operating Transfers Out	162,575	0	0
Subtotal Expenses	\$ 162,575	\$ 0	\$ 0
Designations	0	0	0
Total Uses	\$ 162,575	\$ 0	\$ 0

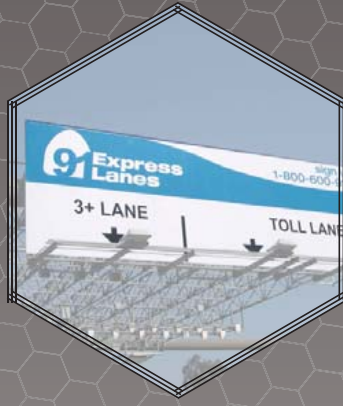
Commuter and Urban Rail Endowment 3 - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Close Out Fund 95	162,575	0	0
Subtotal Use of Reserves	\$ 162,575	\$ 0	\$ 0
Total Uses	\$ 162,575	\$ 0	\$ 0

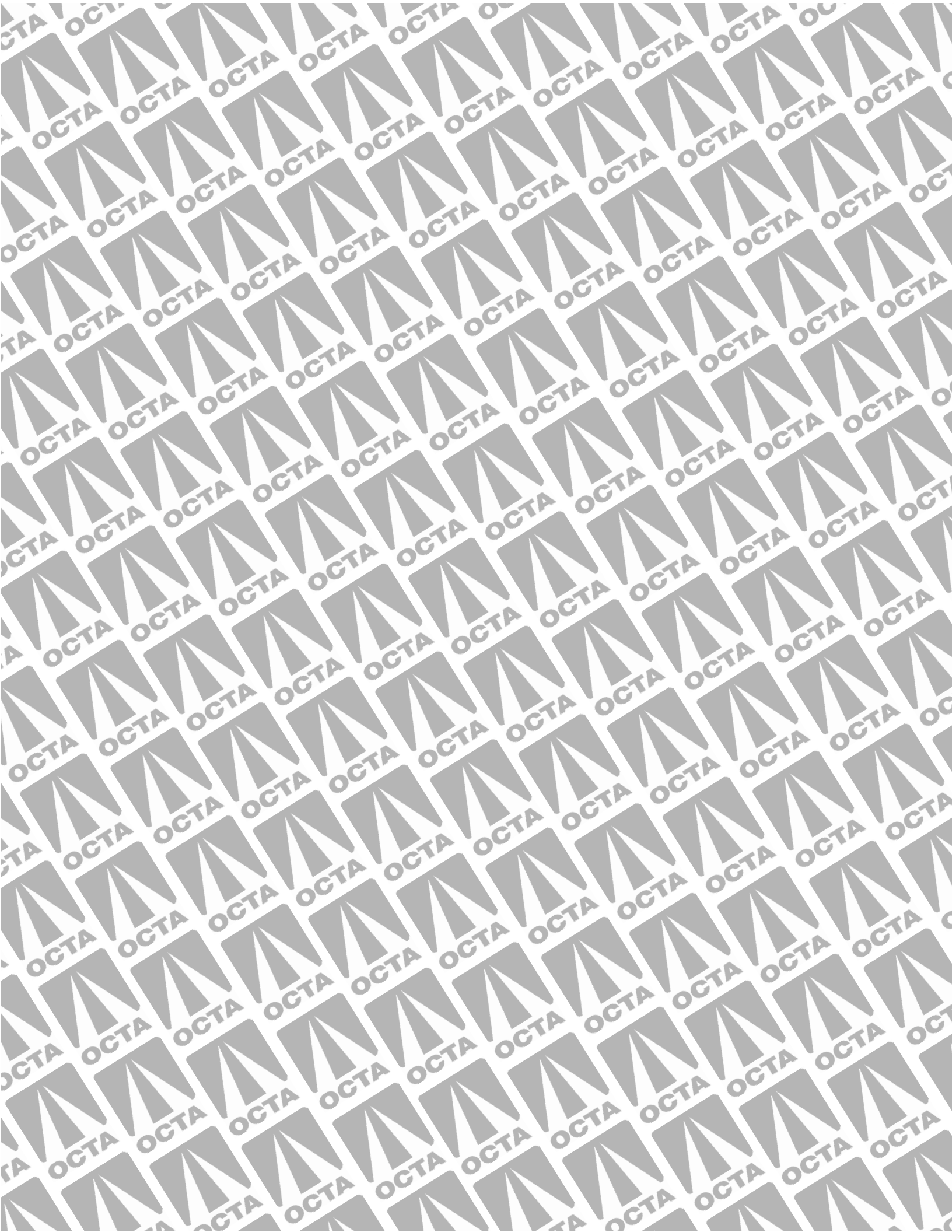
Commuter and Urban Rail Endowment 3 - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
8210 Operating Transfers Out	162,575	0	0
Subtotal Services and Supplies	\$ 162,575	\$ 0	\$ 0
Total Uses	\$ 162,575	\$ 0	\$ 0

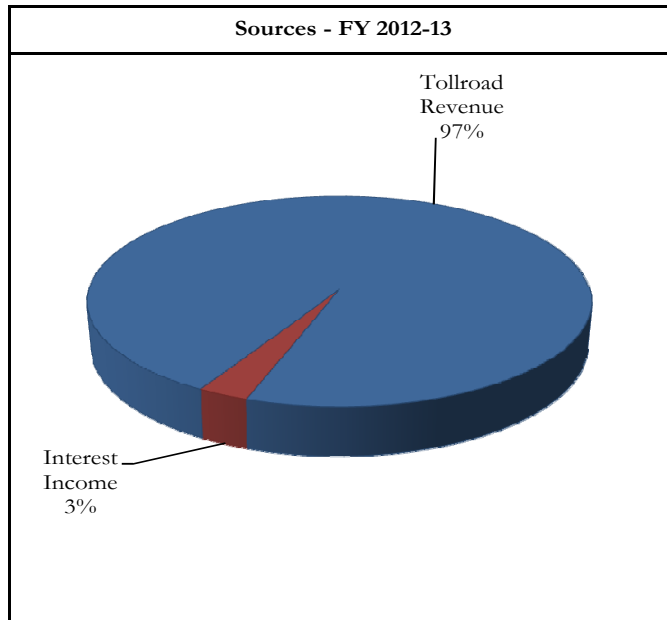




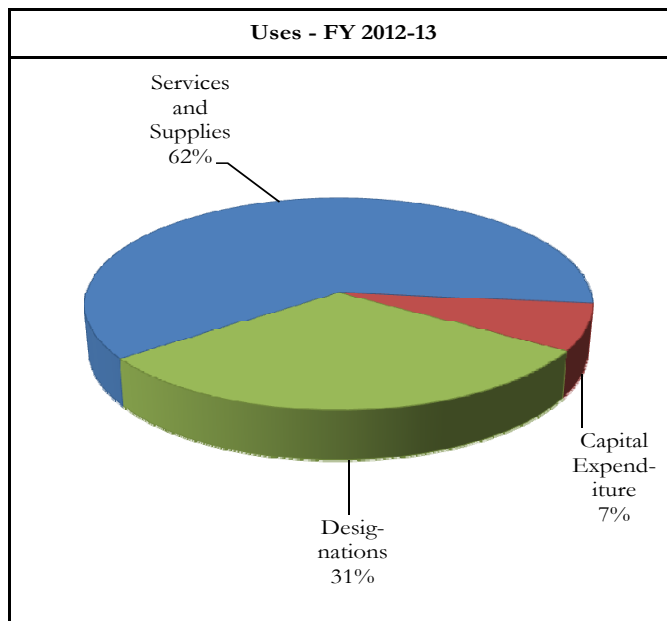
91 EXPRESS LANES FUND GROUP



State Route 91 Toll Road



Sources	Amount
Tollroad Revenue	\$ 37,080,222
Interest Income	1,134,489
Total Sources	\$ 38,214,711



Uses	Amount
Services and Supplies	\$ 23,529,752
Capital Expenditure	2,765,000
Designations	11,919,959
Total Uses	\$ 38,214,711

91 Express Lanes Fund Group

State Route 91 Toll Road (SR-91) Fund Narrative

The **SR-91 Express Lanes Toll Road** is a four-lane, 10 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 toll road 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 (Caltrans) included a non-compete provision that 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. Evidence of that growth was supported by the fact that total traffic volume on the 91 Express Lanes grew from 7.59 million in FY 1996-97 to 12.66 million in FY 2009-10.

OCTA acquired the 91 Express Lanes franchise rights from CPTC in January 2003 and Assembly Bill (AB) 1010 (Correa) eliminated the non-compete provision, clearing the way for future enhancements that increase capacity and improves

traffic flow along the SR-91 corridor. In September 2008, the governor approved Senate Bill (SB) 1316 (Correa) as update to the provisions of AB 1010, which 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 thirteen miles. The bill also authorizes the terms of the franchise to expire no later than December 31, 2065.

The State Route 91 Toll Road is an important element in ensuring that traffic flows more smoothly between Orange and Riverside counties. The 91 Express Lanes Toll Policy, using the premise of congestion management pricing, adjusts toll rates based on the number of vehicles on the toll road to maintain a free flow commute at all times. Motorists pay tolls through the convenient use of windshield mounted FasTrak transponders that automatically deduct fees from a prepaid account. Depending on the time of day, commuters have reported saving as much as 30 minutes on their drive time by using the 91 Express Lanes. As of March 31, 2012, the 91 Express Lanes had 112,097 active accounts and 167,025 transponders in circulation.

State Route 91 Toll Road Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5500 Tollroad Revenue	41,837,482	41,813,159	37,080,222
6050 Reimbursement from Other Agencies	172,732	0	0
6200 Interest Income	11,483,432	1,654,849	1,134,489
6300 Other Non-operating Revenue/Expense	181,565	0	0
Subtotal Revenues	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711
Total Sources	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711

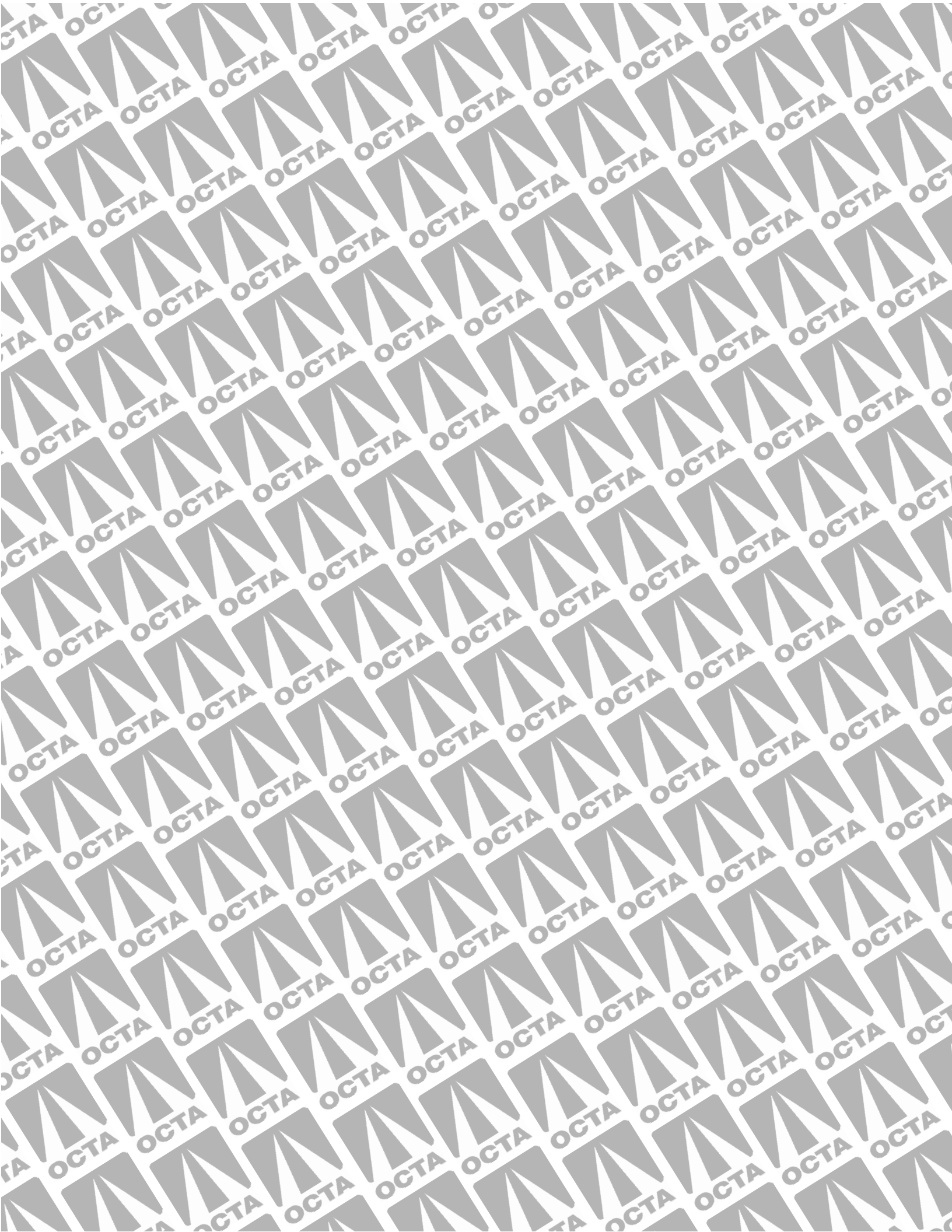
Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7300 Purchased Transportation Services	6,483,400	6,910,850	7,700,000
7400 Management Fee Expense	1,683,269	2,303,625	2,189,003
7500 Professional Services	4,878,687	5,923,175	5,754,130
7540 Insurance Claims/Premiums	524,839	750,000	750,000
7600 General and Administrative	596,083	701,142	648,911
7800 Contributions to Other Agencies	744,226	161,235	160,435
8111 Interest Expense	10,080,363	6,612,723	6,327,273
8200 Operating Transfers Out	884,318	0	0
8240 Transfers to Outside Agencies	931,261	7,770,000	2,765,000
Subtotal Expenses	\$ 26,806,446	\$ 31,132,750	\$ 26,294,752
Designations	26,868,765	12,335,258	11,919,959
Total Uses	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711

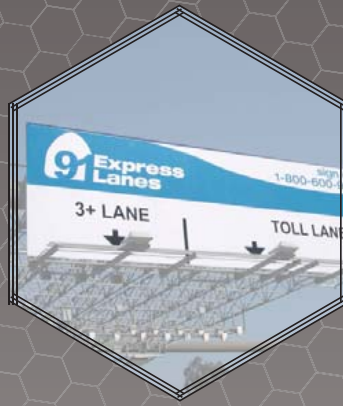
State Route 91 Toll Road - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5510 Tollroad Revenue	33,668,023	34,868,837	30,135,900
5550 Tollroad Fee Income	8,167,556	6,944,322	6,944,322
5580 Tollroad Income Other	1,903	0	0
6050 Other Financial Assistance	172,732	0	0
6200 Interest Income	11,483,432	1,654,849	1,134,489
6350 Insurance Recoveries	180,467	0	0
6370 Miscellaneous	1,098	0	0
Subtotal Revenues	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711
Total Uses	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711

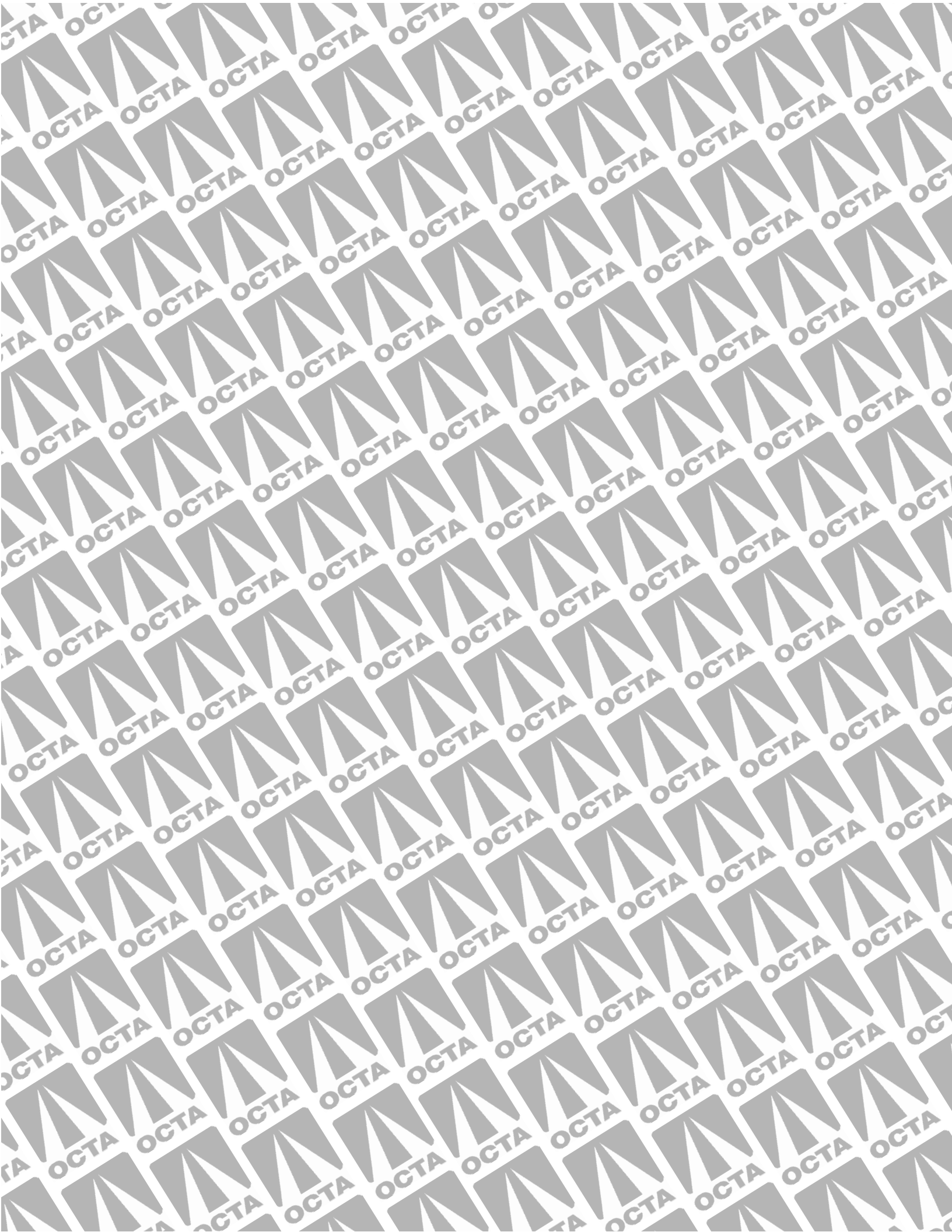
State Route 91 Toll Road - Expenses & Designations

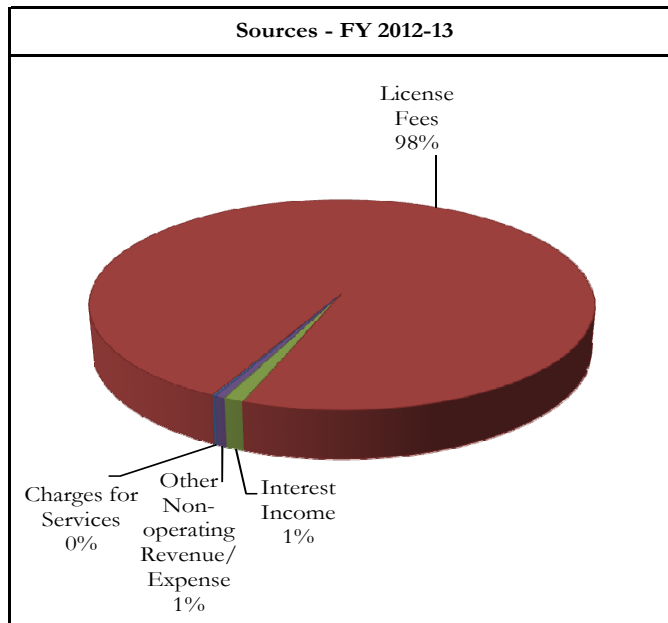
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7310 Contract Transportation	6,483,400	6,910,850	7,700,000
7410 Administrative Services	1,683,269	2,303,625	2,189,003
7510 Professional Services	3,676,768	4,103,575	4,309,130
7540 Insurance Claims Expense	524,839	750,000	750,000
7610 Outside Services	1,201,919	1,819,600	1,445,000
7640 Utilities	17,902	23,000	26,000
7650 Travel, Training, and Mileage	6,799	21,392	21,938
7660 Office Expense	173,467	220,750	164,973
7670 Miscellaneous Expense	17,669	21,000	21,000
7670 Miscellaneous Expense	744,226	161,235	160,435
7690 Leases	380,246	415,000	415,000
8110 Debt Service	10,080,363	6,612,723	6,327,273
8210 Operating Transfers Out	884,318	0	0
Subtotal Services and Supplies	\$ 25,875,185	\$ 23,362,750	\$ 23,529,752
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	931,261	7,770,000	2,765,000
Subtotal Capital Expenditure	\$ 931,261	\$ 7,770,000	\$ 2,765,000
<u>Designation of Funds</u>			
Designated for Future SR-91 Projects	26,868,765	12,335,258	11,919,959
Subtotal Designation of Funds	\$ 26,868,765	\$ 12,335,258	\$ 11,919,959
Total Uses	\$ 53,675,211	\$ 43,468,008	\$ 38,214,711



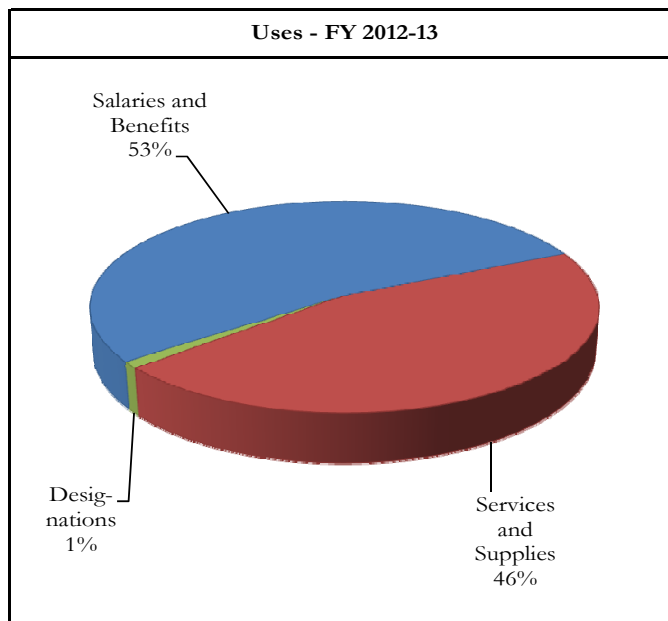


MOTORIST & TAXI SERVICES FUND GROUP



Orange County Taxi Administration Program


Sources	Amount
Charges for Services	\$ 1,424
License Fees	676,581
Interest Income	8,158
Other Non-operating Revenue/Expense	4,000
Total Sources	\$ 690,163



Uses	Amount
Salaries and Benefits	\$ 367,227
Services and Supplies	315,439
Designations	7,497
Total Uses	\$ 690,163

Motorist & Taxi Services Fund Group

Orange County Taxicab Administration Program (OCTAP) Fund Narrative

The **OCTAP** supports the administrative functions of the OCTAP program itself. Although all OCTAP revenues are recorded at the fund level, expenses are recorded in the department in which the activity occurs. To capture all revenue and expenses associated with the OCTAP, all department charges to the OCTAP Fund need to be consolidated. After being consolidated, the OCTAP Fund is balanced and presented.

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 thirty-four 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, therefore, 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 local residents and visitors with improved public transportation and safety.

Orange County Taxi Administration Program Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5300 Charges for Services	0	767	1,424
6110 License Fees	649,651	597,381	676,581
6200 Interest Income	12,377	8,381	8,158
6300 Other Non-operating Revenue/Expense	6,400	1,000	4,000
Subtotal Revenues	\$ 668,428	\$ 607,529	\$ 690,163
Use of Reserves	0	66,270	0
Total Sources	\$ 668,428	\$ 673,799	\$ 690,163

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7100 Wages, Salaries and Benefits	321,109	339,316	367,227
7400 Management Fee Expense	146,761	205,770	152,236
7500 Professional Services	90,551	91,506	109,816
7600 General and Administrative	7,567	33,252	51,182
7800 Contributions to Other Agencies	1,617	3,955	2,205
Subtotal Expenses	\$ 567,605	\$ 673,799	\$ 682,666
Designations	100,823	0	7,497
Total Uses	\$ 668,428	\$ 673,799	\$ 690,163

Motorist & Taxi Services Fund Group

Orange County Taxi Administration Program - Revenues and Reserves

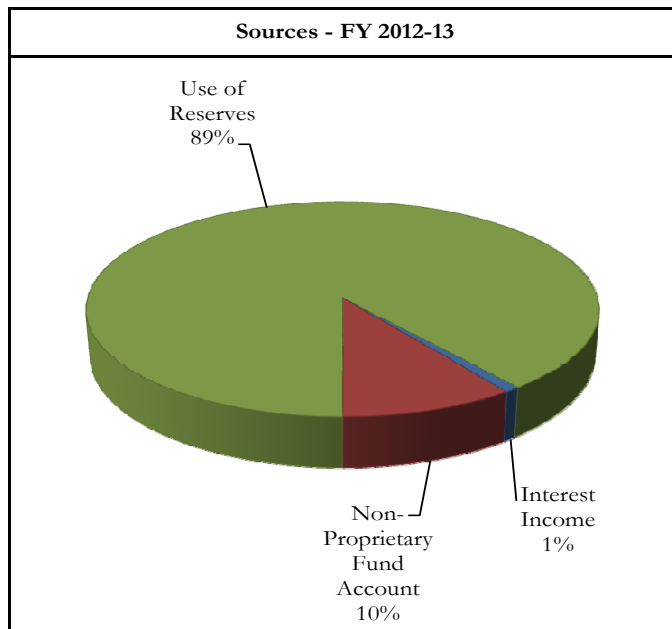
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
5310 Operating Revenue-Charges for Service	0	767	1,424
6110 Operator Licenses	649,651	597,381	676,581
6200 Interest Income	12,377	8,381	8,158
6370 Miscellaneous	6,400	1,000	4,000
Subtotal Revenues	\$ 668,428	\$ 607,529	\$ 690,163
OCTAP Operations	0	66,270	0
Subtotal Use of Reserves	\$ 0	\$ 66,270	\$ 0
Total Uses	\$ 668,428	\$ 673,799	\$ 690,163

Orange County Taxi Administration Program - Expenses & Designations

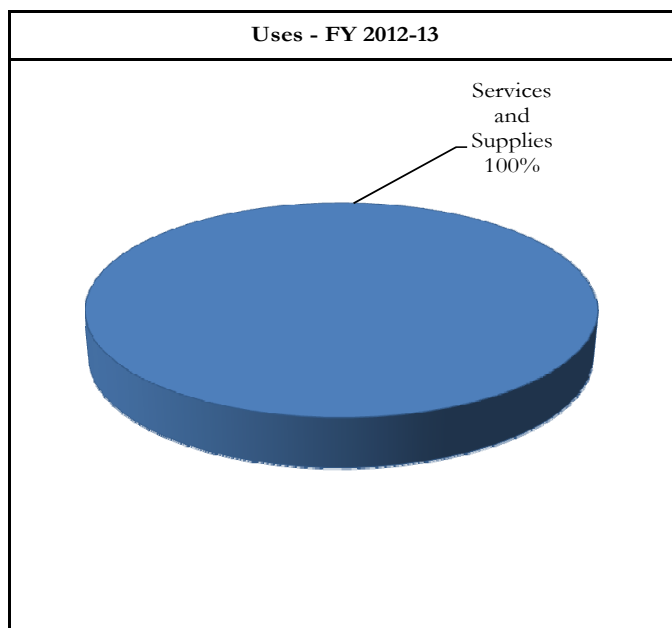
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	182,655	180,190	188,763
7209 Deferred Compensation	1,743	2,153	3,250
7210 Pensions	50,933	60,630	62,437
7220 Insurances	5,967	6,204	6,721
7240 Health Care	46,466	55,084	66,633
7260 Compensated Absences	18,097	23,275	23,350
7270 Workers Compensation	6,088	4,899	3,633
7280 Other Benefits	9,160	6,881	12,440
Subtotal Salaries and Benefits	\$ 321,109	\$ 339,316	\$ 367,227
<u>Services and Supplies</u>			
7410 Administrative Services	146,761	205,770	152,236
7510 Professional Services	71,950	65,611	83,665
7610 Outside Services	18,601	25,895	26,151
7640 Utilities	0	500	15,500
7650 Travel, Training, and Mileage	1,030	2,863	4,885
7660 Office Expense	5,417	28,400	29,558
7670 Miscellaneous Expense	1,120	1,489	1,239
7670 Miscellaneous Expense	1,617	1,955	2,205
7780 General Equipment/Structures	0	2,000	0
Subtotal Services and Supplies	\$ 246,496	\$ 334,483	\$ 315,439
<u>Designation of Funds</u>			
OCTAP Operations	100,823	0	7,497
Subtotal Designation of Funds	\$ 100,823	\$ 0	\$ 7,497
Total Uses	\$ 668,428	\$ 673,799	\$ 690,163

Motorist & Taxi Services Fund Group

Service Authority for Abandoned Vehicles



Sources	Amount
Interest Income	\$ 6,725
Non-Proprietary Fund Account	80,000
Use of Reserves	716,010
Total Sources	\$ 802,735



Uses	Amount
Services and Supplies	\$ 802,735
Total Uses	\$ 802,735

Service Authority for Abandoned Vehicles (SAAV) Fund Narrative

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 scheduled to sunset in 2012, or when all of the program reserves are distributed. In FY 2012-13, OCTA plans to draw down on \$716,010 from reserves.

Service Authority for Abandoned Vehicles Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	61,907	61,354	6,725
9200 Non-Proprietary Fund Account	2,590,679	0	80,000
Subtotal Revenues	\$ 2,652,586	\$ 61,354	\$ 86,725
Use of Reserves	0	2,443,146	716,010
Total Sources	\$ 2,652,586	\$ 2,504,500	\$ 802,735

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7500 Professional Services	4,869	19,500	102,585
7600 General and Administrative	0	1,252	150
7800 Contributions to Other Agencies	2,387,388	2,375,000	700,000
8200 Operating Transfers Out	129,534	108,748	0
Subtotal Expenses	\$ 2,521,791	\$ 2,504,500	\$ 802,735
Designations	130,795	0	0
Total Uses	\$ 2,652,586	\$ 2,504,500	\$ 802,735

Motorist & Taxi Services Fund Group

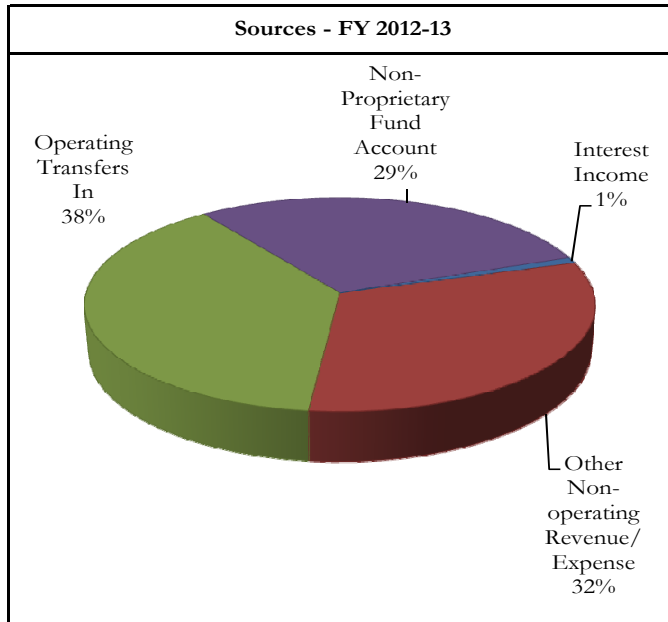
Service Authority for Abandoned Vehicles - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6100 Taxes	2,590,679	0	80,000
6200 Interest Income	61,907	61,354	6,725
Subtotal Revenues	\$ 2,652,586	\$ 61,354	\$ 86,725
SAAV Operations	0	2,443,146	716,010
Subtotal Use of Reserves	\$ 0	\$ 2,443,146	\$ 716,010
Total Uses	\$ 2,652,586	\$ 2,504,500	\$ 802,735

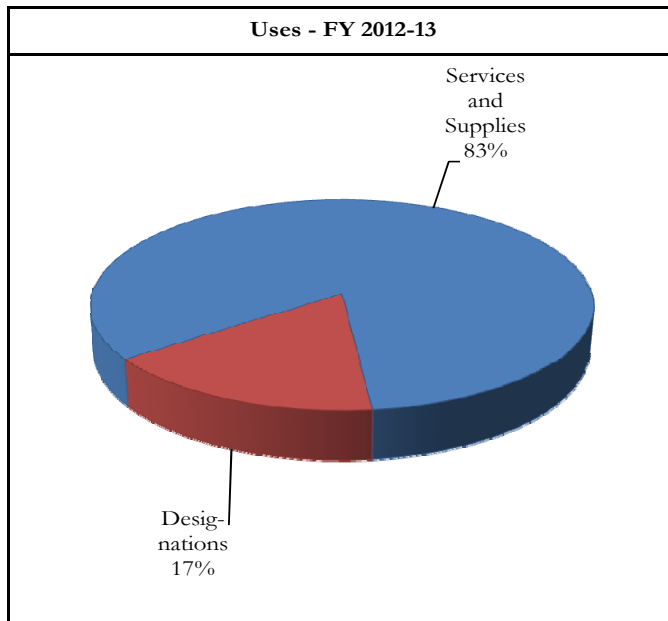
Service Authority for Abandoned Vehicles - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7510 Professional Services	4,869	19,500	102,585
7650 Travel, Training, and Mileage	0	952	0
7670 Miscellaneous Expense	0	300	150
7830 Contributions to Other Agencies	2,387,388	2,375,000	700,000
8210 Operating Transfers Out	129,534	108,748	0
Subtotal Services and Supplies	\$ 2,521,791	\$ 2,504,500	\$ 802,735
<u>Designation of Funds</u>			
SAAV Operations	130,795	0	0
Subtotal Designation of Funds	\$ 130,795	\$ 0	\$ 0
Total Uses	\$ 2,652,586	\$ 2,504,500	\$ 802,735

Service Authority for Freeway Emergencies



Sources	Amount
Interest Income	\$ 75,485
Other Non-operating Revenue/Expense	2,614,099
Operating Transfers In	3,194,989
Non-Proprietary Fund Account	2,447,344
Total Sources	\$ 8,331,917



Uses	Amount
Services and Supplies	\$ 6,934,495
Designations	1,397,422
Total Uses	\$ 8,331,917

Motorist & Taxi Services Fund Group

Service Authority for Freeway Emergencies (SAFE) Fund Narrative

The **SAFE** program administers the freeway call box system that assists motorists requiring roadside aid. The call boxes offer a direct link between stranded motorists and assistance. The call answering center can assist the stranded motorist by calling a friend or family member, an auto club, or the California Highway Patrol 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 Freeway Service Patrol to help. SAFE is responsible for the maintenance and operation of a current network of 645 call boxes.

SAFE is also a partner in the operation of the Freeway Service Patrol (FSP) in Orange County. The FSP service is operated jointly by the California Highway Patrol (CHP), 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 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6050 Reimbursement from Other Agencies	98,652	0	0
6200 Interest Income	90,457	154,033	75,485
6300 Other Non-operating Revenue/Expense	3,037,346	2,994,805	2,614,099
6500 Operating Transfers In	0	834,910	3,194,989
9200 Non-Proprietary Fund Account	2,518,131	2,496,540	2,447,344
Subtotal Revenues	\$ 5,744,586	\$ 6,480,288	\$ 8,331,917
Total Sources	\$ 5,744,586	\$ 6,480,288	\$ 8,331,917

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7400 Management Fee Expense	432,698	419,257	541,047
7500 Professional Services	4,869,089	5,615,778	6,179,434
7600 General and Administrative	53,951	144,747	166,514
7800 Contributions to Other Agencies	1,040	82,300	47,500
Subtotal Expenses	\$ 5,356,778	\$ 6,262,082	\$ 6,934,495
Designations	387,808	218,206	1,397,422
Total Uses	\$ 5,744,586	\$ 6,480,288	\$ 8,331,917

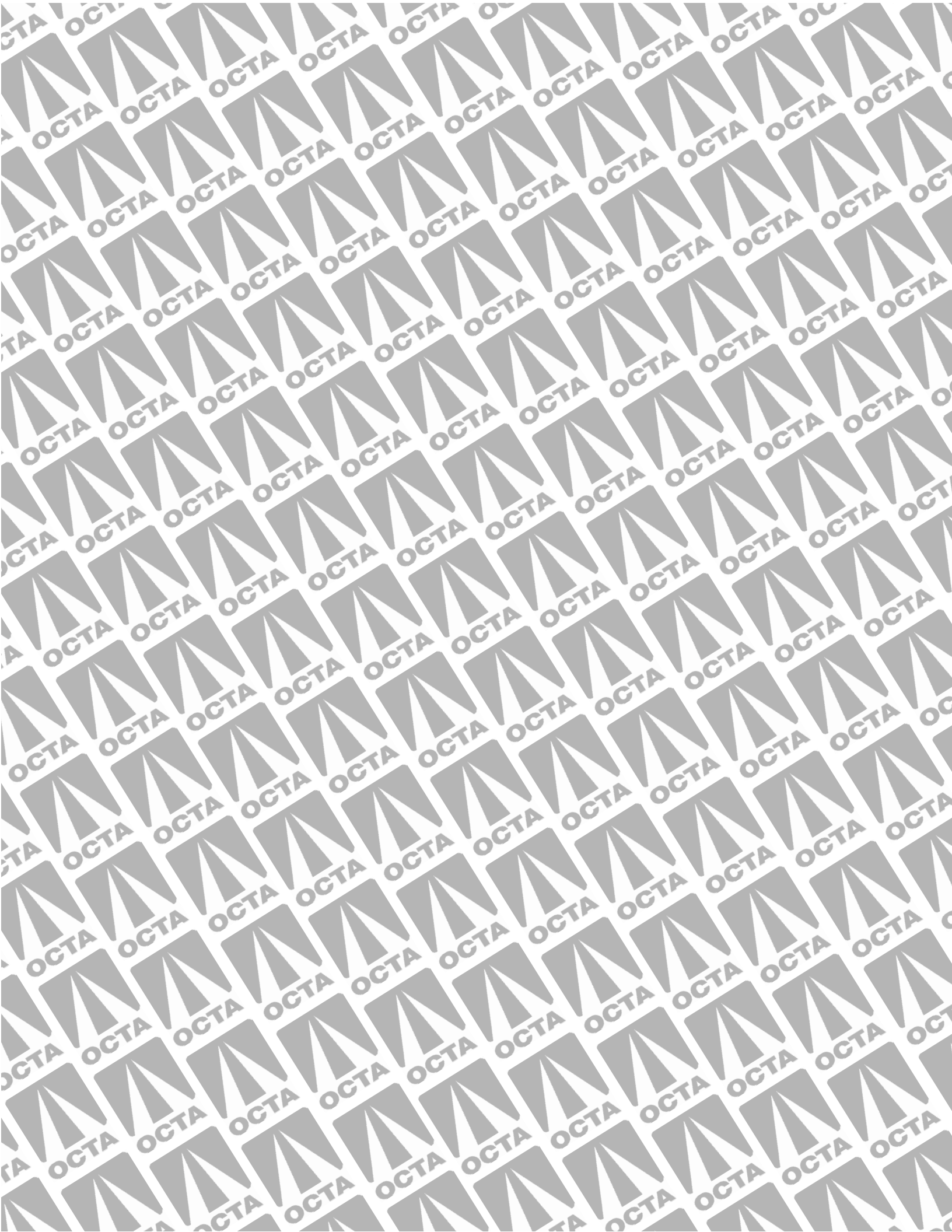
Motorist & Taxi Services Fund Group

Service Authority for Freeway Emergencies - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6050 Other Financial Assistance	98,652	0	0
6100 Taxes	2,518,131	2,496,540	2,447,344
6200 Interest Income	90,457	154,033	75,485
6370 Miscellaneous	3,037,346	2,994,805	2,614,099
6510 Operating Transfers In	0	834,910	3,194,989
Subtotal Revenues	\$ 5,744,586	\$ 6,480,288	\$ 8,331,917
Total Uses	\$ 5,744,586	\$ 6,480,288	\$ 8,331,917

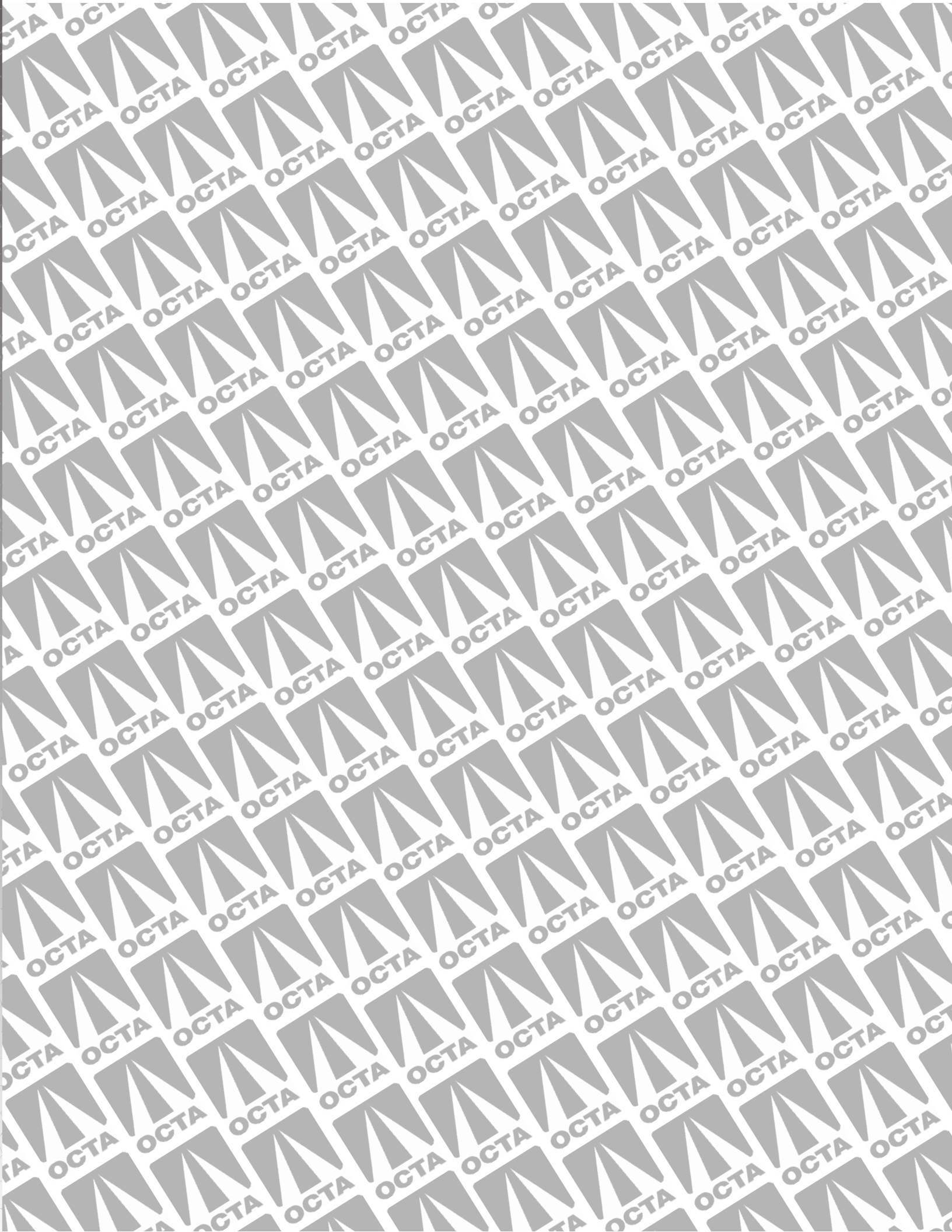
Service Authority for Freeway Emergencies - Expenses & Designations

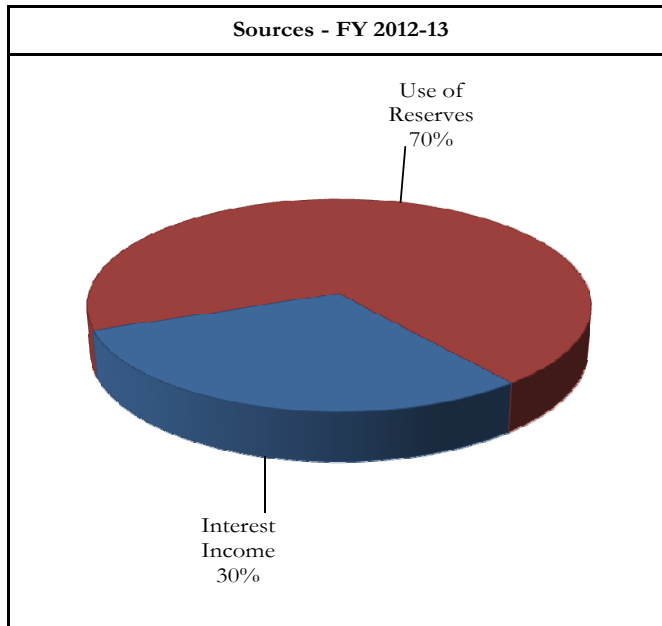
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7410 Administrative Services	432,698	419,257	541,047
7510 Professional Services	46,487	310,023	953,563
7610 Outside Services	4,822,602	5,305,755	5,225,871
7640 Utilities	49,228	69,000	106,700
7650 Travel, Training, and Mileage	3,119	5,397	4,885
7660 Office Expense	375	63,000	11,500
7670 Miscellaneous Expense	750	1,950	2,150
7670 Miscellaneous Expense	1,040	1,200	0
7780 General Equipment/Structures	0	81,100	47,500
7790 Other Materials and Supplies	479	5,400	41,279
Subtotal Services and Supplies	\$ 5,356,778	\$ 6,262,082	\$ 6,934,495
<u>Designation of Funds</u>			
Designated for Future Freeway Serv. Patrol Service	387,808	218,206	0
M2 Funds Designated for Future SAFE Projects	0	0	1,397,422
Subtotal Designation of Funds	\$ 387,808	\$ 218,206	\$ 1,397,422
Total Uses	\$ 5,744,586	\$ 6,480,288	\$ 8,331,917



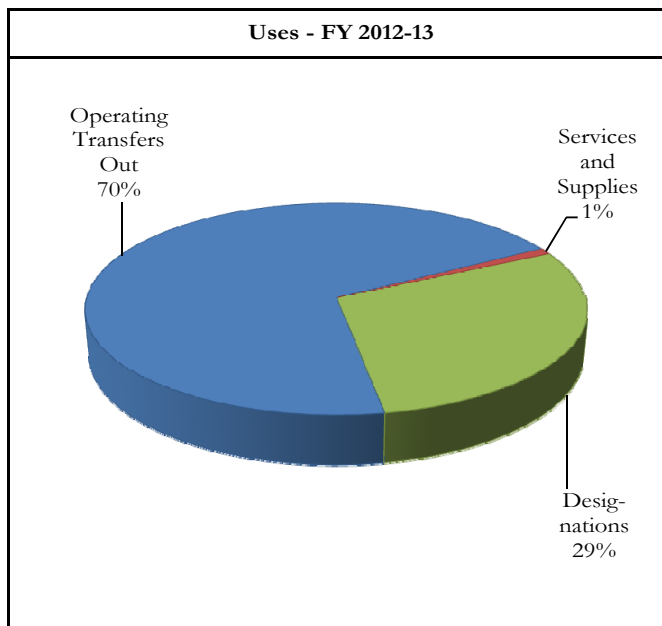


CAPITAL PROJECTS FUND GROUP



Orange County Unified Transportation Trust


Sources	Amount
Interest Income	\$ 196,699
Use of Reserves	450,000
Total Sources	\$ 646,699



Uses	Amount
Operating Transfers Out	\$ 450,000
Services and Supplies	6,220
Designations	190,479
Total Uses	\$ 646,699

Capital Projects Fund Group

Orange County Unified Transportation Trust (OCUTT) Fund Narrative

The **OCUTT** accumulates fund balance from interest earned on Transit Development Capital Projects Fund. In 2004, OCUTT funds were earmarked by the OCTA Board of Directors for project readiness activities managed by the Planning Division.

Orange County Unified Transportation Trust Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	227,428	224,856	196,699
6500 Operating Transfers In	0	185,079	0
Subtotal Revenues	\$ 227,428	\$ 409,935	\$ 196,699
Use of Reserves	2,562,544	1,974,921	450,000
Total Sources	\$ 2,789,972	\$ 2,384,856	\$ 646,699

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7500 Professional Services	16,200	4,574	6,220
8200 Operating Transfers Out	1,100,000	2,160,000	450,000
8240 Transfers to Outside Agencies	1,462,544	0	0
Subtotal Expenses	\$ 2,578,744	\$ 2,164,574	\$ 456,220
Designations	211,228	220,282	190,479
Total Uses	\$ 2,789,972	\$ 2,384,856	\$ 646,699

Orange County Unified Transportation Trust - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	227,428	224,856	196,699
6510 Operating Transfers In	0	185,079	0
Subtotal Revenues	\$ 227,428	\$ 409,935	\$ 196,699
I-405 HOV Conversion PA-ED/PS&E	0	0	75,000
I-5 HOV Conversion PSR-PR/PS&E	0	0	75,000
Placentia Ave Grade Separation	1,462,544	0	0
SR-55 HOV Continuous Access Striping	1,100,000	1,974,921	0
SR-57 HOV Conversion - Gaps PA-ED/PS&E	0	0	300,000
Subtotal Use of Reserves	\$ 2,562,544	\$ 1,974,921	\$ 450,000
Total Uses	\$ 2,789,972	\$ 2,384,856	\$ 646,699

Orange County Unified Transportation Trust - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7510 Professional Services	16,200	4,574	6,220
8210 Operating Transfers Out	1,100,000	2,160,000	450,000
Subtotal Services and Supplies	\$ 1,116,200	\$ 2,164,574	\$ 456,220
<u>Capital Expenditure</u>			
9080 Construction in Progress	1,462,544	0	0
Subtotal Capital Expenditure	\$ 1,462,544	\$ 0	\$ 0
<u>Designation of Funds</u>			
Designated for future OCUTT projects	211,228	220,282	190,479
Subtotal Designation of Funds	\$ 211,228	\$ 220,282	\$ 190,479
Total Uses	\$ 2,789,972	\$ 2,384,856	\$ 646,699

Capital Projects Fund Group

Orange County Transit District (OCTD) Capital Projects Fund Narrative

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.

Orange County Transit District Capital Projects Fund Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	0	300	0
Subtotal Revenues	\$ 0	\$ 300	\$ 0
Use of Reserves	15,000	0	0
Total Sources	\$ 15,000	\$ 300	\$ 0

Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
8200 Operating Transfers Out	15,000	0	0
Subtotal Expenses	\$ 15,000	\$ 0	\$ 0
Designations	0	300	0
Total Uses	\$ 15,000	\$ 300	\$ 0

Orange County Transit District Capital Projects Fund - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6200 Interest Income	0	300	0
Subtotal Revenues	\$ 0	\$ 300	\$ 0
Close Out Fund 52	15,000	0	0
Subtotal Use of Reserves	\$ 15,000	\$ 0	\$ 0
Total Uses	\$ 15,000	\$ 300	\$ 0

Orange County Transit District Capital Projects Fund - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
8210 Operating Transfers Out	15,000	0	0
Subtotal Services and Supplies	\$ 15,000	\$ 0	\$ 0
<u>Designation of Funds</u>			
OCTD Capital Projects	0	300	0
Subtotal Designation of Funds	\$ 0	\$ 300	\$ 0
Total Uses	\$ 15,000	\$ 300	\$ 0

Capital Projects Fund Group

Transit Development Capital Projects Fund Narrative

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 mod-

ifications project. These bus stop improvements were aimed to make all bus stops ADA accessible for our passengers. There was no activity within this fund in FY 2011-12, nor is activity planned for FY 2012-13.

Transit Development Capital Project Sources & Uses

Sources Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6020 State Assistance	33,076	0	0
6040 Federal Capital Assistance Grants	85,737	0	0
Subtotal Revenues	\$ 118,813	\$ 0	\$ 0
Use of Reserves	98,628	0	0
Total Sources	\$ 217,441	\$ 0	\$ 0

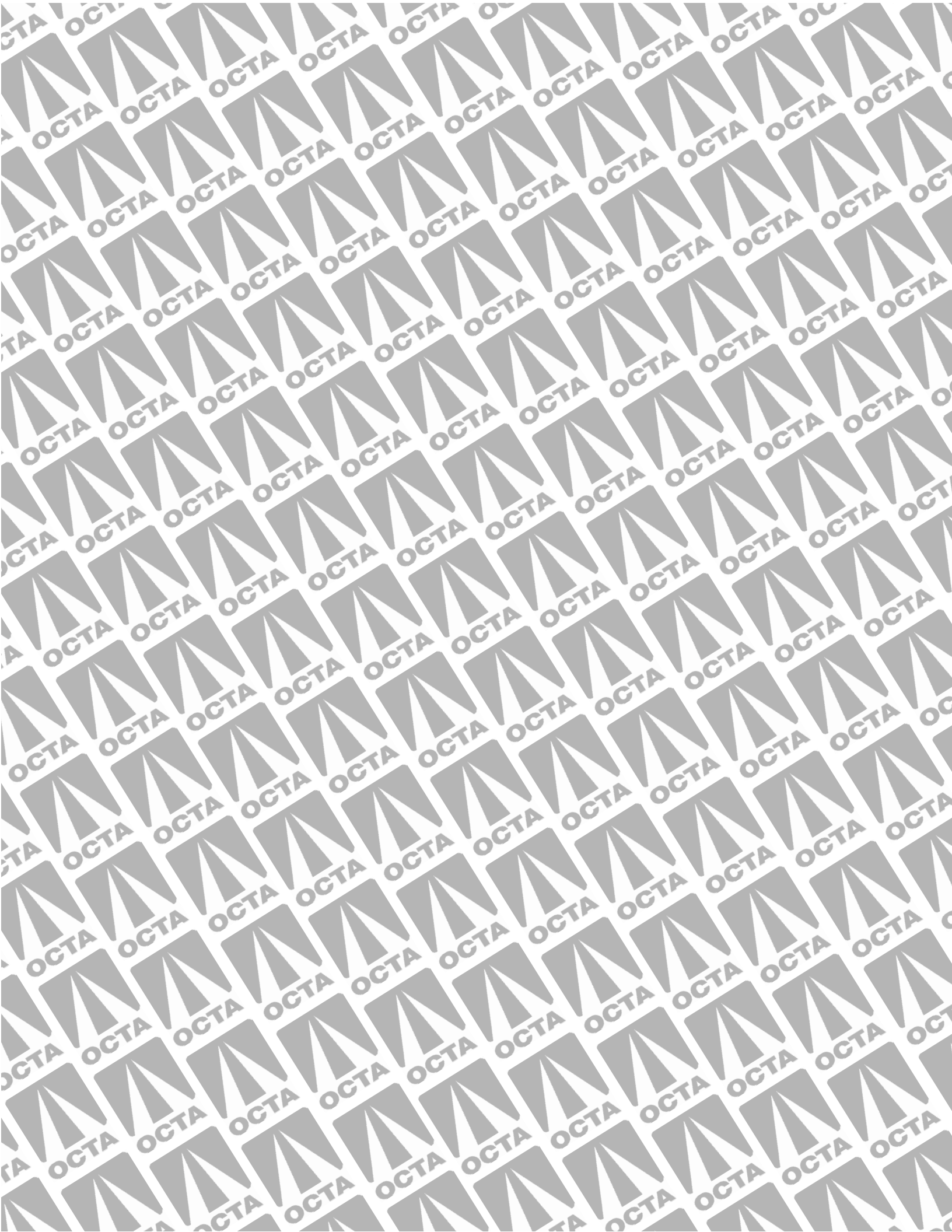
Uses Summary			
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
7400 Management Fee Expense	34,412	0	0
7500 Professional Services	99,860	0	0
8240 Transfers to Outside Agencies	83,169	0	0
Subtotal Expenses	\$ 217,441	\$ 0	\$ 0
Designations	0	0	0
Total Uses	\$ 217,441	\$ 0	\$ 0

Transit Development Capital Project - Revenues and Reserves

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
6020 State Assistance	33,076	0	0
6040 Federal Capital Assistance Grants	85,737	0	0
Subtotal Revenues	\$ 118,813	\$ 0	\$ 0
Oso Parkway at I-5	98,628	0	0
Subtotal Use of Reserves	\$ 98,628	\$ 0	\$ 0
Total Uses	\$ 217,441	\$ 0	\$ 0

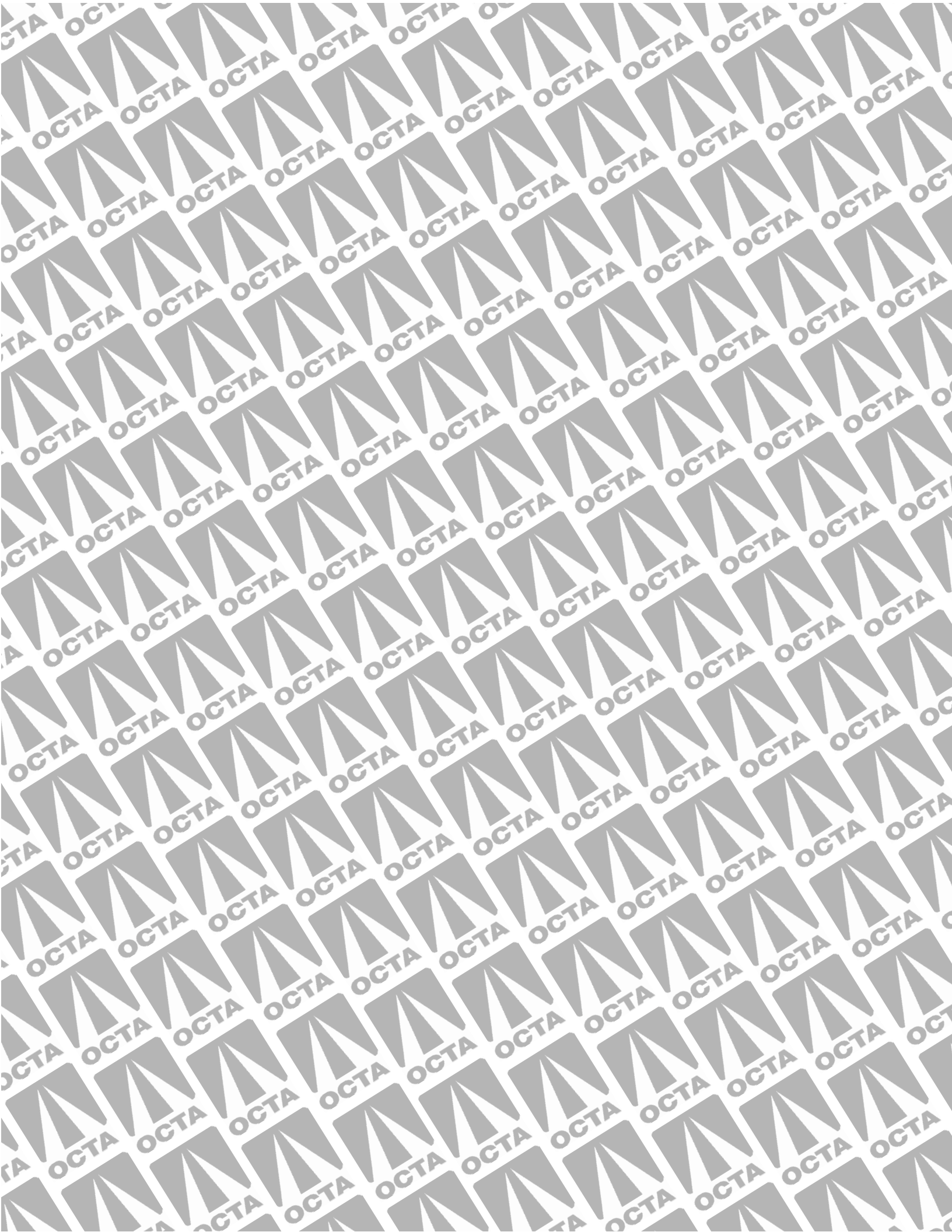
Transit Development Capital Project - Expenses & Designations

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Services and Supplies</u>			
7410 Administrative Services	34,412	0	0
7510 Professional Services	99,860	0	0
Subtotal Services and Supplies	\$ 134,272	\$ 0	\$ 0
<u>Capital Expenditure</u>			
9080 Construction in Progress	83,169	0	0
Subtotal Capital Expenditure	\$ 83,169	\$ 0	\$ 0
Total Uses	\$ 217,441	\$ 0	\$ 0

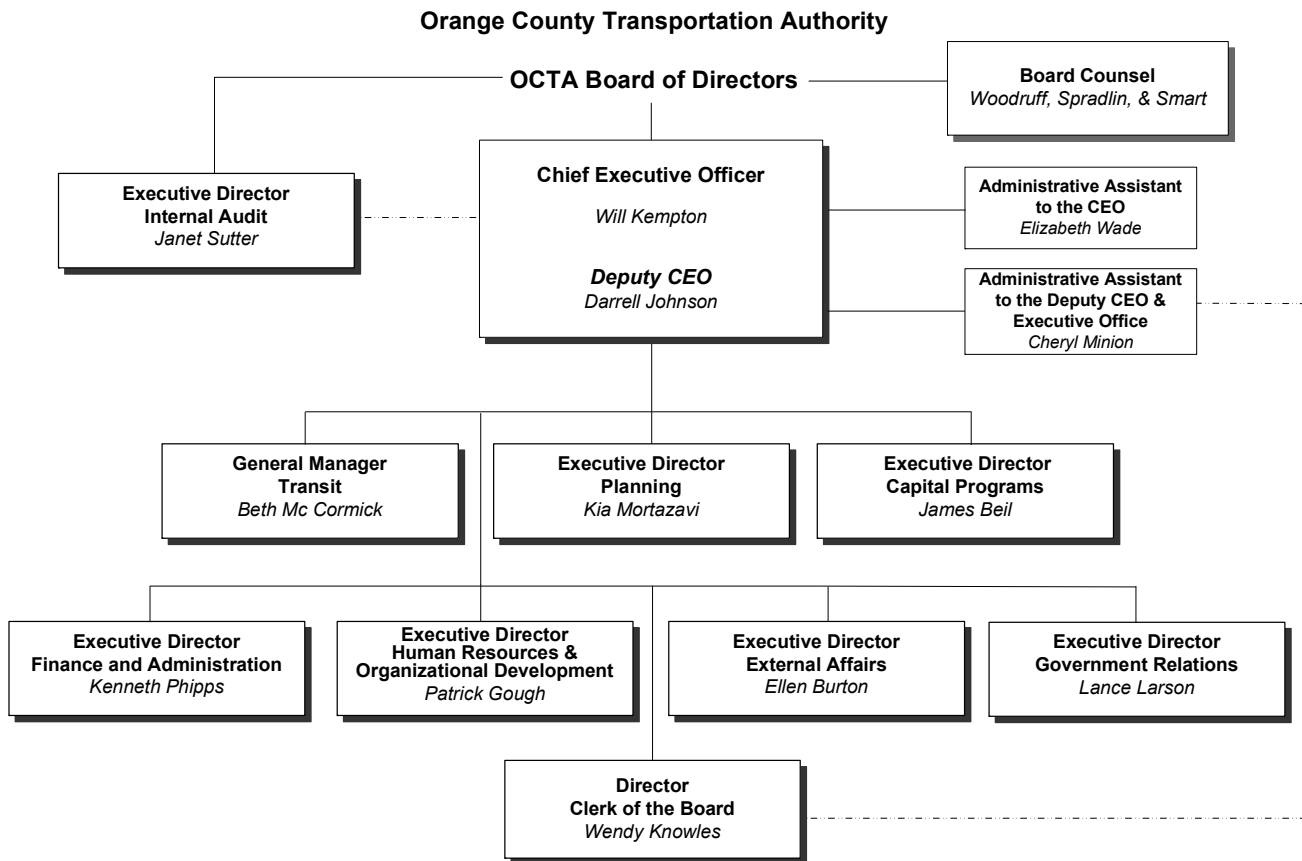




EXECUTIVE OFFICE



Division Organizational Chart



Division Narrative

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.

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 and Committee agenda processes, including preparation and distribution of agendas, ensuring public meetings are held in compliance with California open meeting laws, recording actions taken by the Board of Directors 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 of Directors. This department also receives and processes all legal documents served upon OCTA, as well as collect and process the annual Statement of Economic Interests annual filing.

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 a fiduciary 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 that will occur during FY 2012-13, are also coordinated by the department.

Accomplishments Fiscal Year 2011-12

Executive Office

- Approved by the Board the Long Range Transportation Plan (LRTP) in early 2012.
- Began the Orange County Bridges grade separation program in October 2011 with a groundbreaking ceremony in the City of Placentia. The ceremony marked the beginning of construction of the Placentia Avenue and Kramer Boulevard undercrossing.

- Awarded \$56 million in funds to 46 regional capacity projects that will help highway gap closures.
- Completed a comprehensive transit study designed to find more efficient, cost-effective, and sustainable ways to operate transit services in Orange County. The findings and recommendations from the Transit System Study were discussed during the October 24, 2011 Board meeting. An incremental approach was adopted to implement the recommendations included in the study's ten-year planning horizon. Pilot projects were presented that allow testing of faster and more cost-effective services.
- Expanded Metrolink rail service to include six new trains on weekdays and expanded seasonal service on weekends during the summer months. New fare options were also introduced as part of the Metrolink Service Expansion Program.
- Expanded Metrolink marketing through several campaigns such as the OCLink pass, Summer Youth Pass, and the Angels Express. The Angels Express provided Metrolink train service for home baseball games at Angel Stadium and generated 20,613 passengers. OCTA, working with the Anaheim Ducks hockey team, also launched the Ducks Express service on October 14, 2011 taking fans to and from the Anaheim Ducks hockey games at the Honda Center.
- The Breaking Down Barriers initiative is generating national attention. In August 2011, Gary Miller, (R-CA), introduced to Congress the Breaking Down Barriers Act of 2011. The proposal outlines \$35 billion in annual funding for transportation projects along with changes to current programs and processes. Consistent with recommendations from OCTA, key provisions in the bill will break down the bureaucratic barriers to project delivery and expedite project implementation, including making the environmental review process more efficient, integrating planning and programming approaches, and delegating the responsibility for environmental review to the states.
- Preserved five properties totaling 945 acres of wilderness habitat through OCTA's Freeway Environmental Mitigation Program. This effort will conserve and restore Orange County's natural habitat while planning for current and future transportation needs.
- Funded five Habitat Restoration Projects through the M2 mitigation program: Big Bend, Laguna Beach; City Parcel, San Juan Capistrano, Fairview Park Wetlands, Costa Mesa; Irvine Ranch Conservancy, Orange County, UC Irvine Ecological Reserve, Irvine.
- Completed and the Board approved the OCTA Strategic Plan in February 2011.

Division Accomplishments & Goals (continued)

- Approved by the Board, all agreements for health insurance services which will contain cost increases to no more than five percent in 2012.

Clerk of the Board

- Provided continued enhancements to OCTA's website technology for viewing current and archived Committee and Board agendas, minutes, staff reports, and associated documents.
- Provided real-time on-line public access to the Board meetings through OCTA's website.
- Maintained on-line Board and Committee agendas, minutes, staff reports, and associated documents for staff and public access.
- Provided a high level of support to the Board Members for all Board and Committee meetings.
- Received and processed all legal documents served on OCTA.
- Responded to all requests from the public relative to the Freedom of Information Act.
- Preserved and recorded OCTA's official and historical records, making them available to the public upon request.
- Met the Chairman's goal to "Improve Organizational Effectiveness" as it may relate to the Clerk of the Board's office.
- Successfully processed and filed the annual State of Economic Interest, as required by the Orange County Clerk of the Board of Supervisors.

Internal Audit

- Completed 35 audit projects, including 18 pre-award price reviews for the 2011 calendar year.
- Provided the Finance and Administration Committee with a presentation on the Association of Certified Fraud Examiner's Report to the Nations and overview of controls in place at OCTA to prevent and detect fraud, waste, and abuse.
- Received and reviewed eight fraud hotline complaints. Also, in September and October 2011, re-advertised the hotline to employees through Weekly E-News and digital signage at the base locations.
- Conducted the department's first annual Quality Control Review to ensure continued compliance with Government Auditing Standards, following the department's first Peer Review of 2010. Updated policies and procedures as appropriate and reviewed results with staff.
- Completed the procurement of new auditors to perform the annual financial and compliance audits. Completed the audit season and issued all related reports by December 31, 2011.

- Completed first ever submission of audit work for consideration of award to the Association of Local Government Auditors – results to be announced at the annual conference in May 2012.
- Completed the recruitment and hiring of an individual to the position of Principal Auditor.

Goals Fiscal Year 2012-13

Executive Office

Each year the CEO develops his annual initiatives and action plan for the calendar year. The initiatives and action plan directly support the values, vision, mission, and goals of the OCTA Strategic Plan and the Chairman of Board's Strategic Initiatives. The CEO Initiatives and Action Plan are balanced across all divisions and include division strategies, action plans and milestones to measure success and determine completion.

For 2012, there are 14 CEO Initiatives and 54 Division Strategies. The 14 CEO Initiatives are below.

- Accelerate delivery of the capital program.
- Test new bus transit concepts.
- Improve passenger rail service.
- Improve first and last mile connections to passenger rail.
- Develop marketing programs to stimulate trial use of the bus and rail transit.
- Optimize street and bikeway networks.
- Enhance collaborative partnerships with local and regional agencies and business community.
- Work to maintain the public trust.
- Expand leverage opportunities and seek new revenues.
- Ensure the long-term financial viability of all programs.
- Emphasize environmental stewardship and sustainability in projects and operations.
- Maintain OCTA's high commitment to health and safety.
- Advance workforce development and maximize human capital potential.
- Ensure transparency, accountability and efficiency in operations.

Clerk of the Board

- Continue to enhance OCTA's website technology for viewing current and archived Committee and Board agendas, minutes, staff reports, and associated documents.
- Provide real-time, on-line public access to Board meetings through OCTA's website.
- Maintain on-line Board and Committee agendas, minutes, staff reports, presentations, and associated documents for staff and public access.

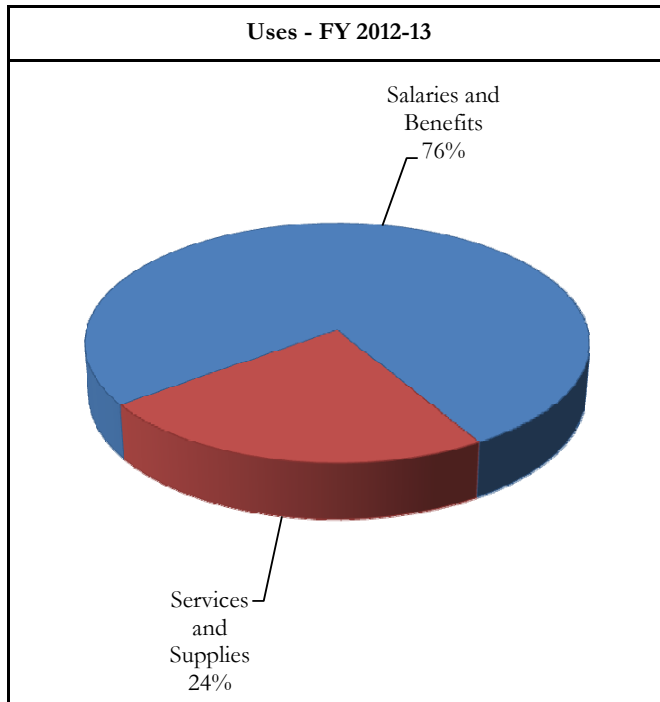
Division Accomplishments & Goals (continued)

- Provide the highest level of support to the Board Members for all Board and Committee meetings.
- Receive and process all legal documents served on OCTA.
- Respond to all requests from the public relative to the Freedom of Information Act.
- Preserve and record OCTA's official and historical records, making them available to the public upon request.
- Evaluate how to meet the Chairman's goal to "Enhance Efficiency and Effectiveness" as it may relate to the Clerk of the Board's office.
- Continue to handle the collecting and filing of the annual Statement of Economic Interests for OCTA.

Internal Audit

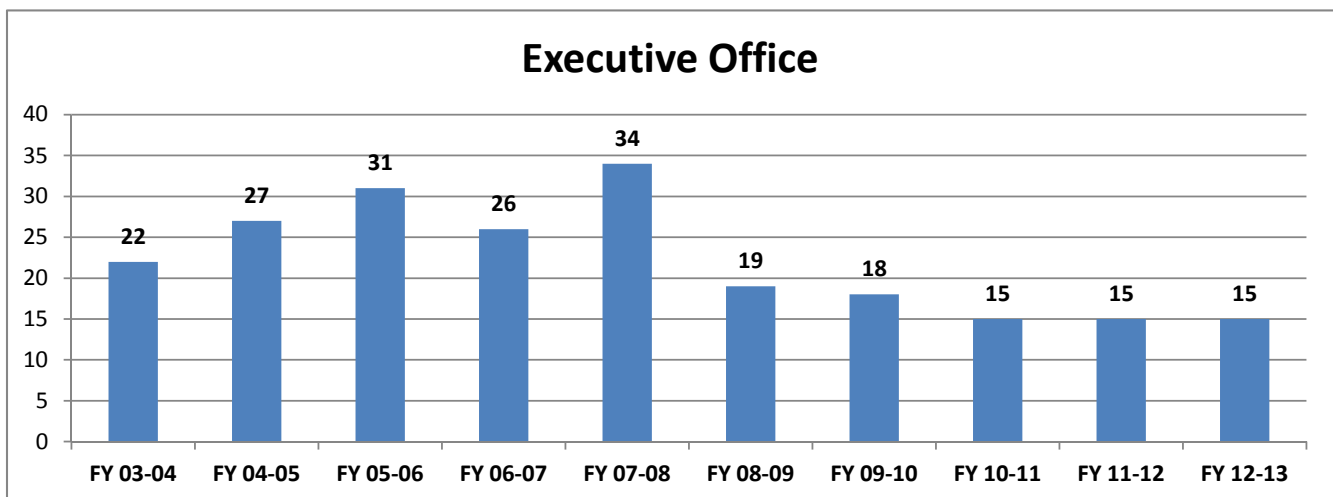
- Conduct the department's required Quality Control Review to ensure continued compliance with Government Auditing Standards, and incorporate revised standards into departmental policies and procedures. Schedule next triennial peer review for 2013 and participate in peer reviews of other agencies during 2012.
- Assist the Taxpayers Oversight Committee Audit Subcommittee in developing audit procedures for the Measure M2 Local Fair Share and Project U programs and conduct the first city reviews.
- Participate in Association of Local Government Auditor audit forums, annual event, and recognition program. Continue to provide staff with training on the Government Auditing Standards.
- Prepare scope of work, procure a qualified, independent consultant, and coordinate performance of, the State Triennial Review for fiscal years 2010, 2011, and 2012.
- Provide coordination and assistance related to the fiscal year 2010, 2011, and 2012, Federal Triennial Review.
- Continue to refine and improve on the Annual Risk Assessment of OCTA projects, programs, and operations. Meet with management to identify critical projects and programs and new initiatives and/or concerns.
- Develop staff and provide opportunities for participation at executive management and committee meetings.

Executive Office



Uses	Amount
Salaries and Benefits	\$ 2,631,819
Services and Supplies	812,043
Total Uses	\$ 3,443,862

Staffing Plan



Executive Office

Division Staffing

Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
Executive Office - CEO	4	5	5
Internal Audit	6	6	6
Clerk of the Board	5	4	4
Total Executive Office	15	15	15

Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Executive Office - CEO</u>			
Administrative Assistant	1	2	2
Chief Executive Officer	1	1	1
Deputy Executive Officer	1	1	1
Office Specialist	1	1	1
Subtotal Executive Office - CEO	4	5	5
<u>Internal Audit</u>			
Administrative Assistant	0	1	1
Administrative Specialist	1	0	0
Executive Director	1	1	1
Internal Auditor	3	3	3
Section Manager, Senior	1	1	1
Subtotal Internal Audit	6	6	6
<u>Clerk of the Board</u>			
Administrative Specialist	3	2	2
Assistant Clerk of the Board	1	1	1
Director	1	1	1
Subtotal Clerk of the Board	5	4	4
Total Executive Office	15	15	15

Division Expenses

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,308,976	1,304,540	1,310,177
7150 Extra Help Employees	82,151	93,500	105,500
7209 Deferred Compensation	67,122	52,462	66,710
7210 Pensions	391,520	438,074	462,086
7220 Insurances	43,807	41,340	42,395
7240 Health Care	239,915	224,487	237,849
7260 Compensated Absences	160,737	168,181	168,664
7270 Workers Compensation	47,900	33,729	26,245
7280 Other Benefits	82,995	155,632	212,193
Subtotal Salaries and Benefits	\$ 2,425,123	\$ 2,511,945	\$ 2,631,819
<u>Services and Supplies</u>			
7510 Professional Services	1,258,484	265,000	375,000
7610 Outside Services	3,951	24,000	24,896
7640 Utilities	0	100	0
7650 Travel, Training, and Mileage	80,880	96,392	93,848
7660 Office Expense	9,174	13,950	10,525
7670 Miscellaneous Expense	188,029	304,365	291,561
7790 Other Materials and Supplies	35,059	0	0
7830 Contributions to Other Agencies	0	15,630	16,213
Subtotal Services and Supplies	\$ 1,575,577	\$ 719,437	\$ 812,043

Division Expenses by Department

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
117 Executive Office - CEO	1,028,899	993,666	1,066,255
500 Internal Audit	789,419	889,572	900,683
802 Clerk of the Board	606,805	628,707	664,881
Subtotal Salaries and Benefits	\$ 2,425,123	\$ 2,511,945	\$ 2,631,819
<u>Services and Supplies</u>			
117 Executive Office - CEO	502,462	416,985	318,498
118 Security Assessment	35,059	0	0
500 Internal Audit	984,318	207,405	399,362
802 Clerk of the Board	53,738	95,047	94,183
Subtotal Services and Supplies	\$ 1,575,577	\$ 719,437	\$ 812,043
Total Expenses	\$ 4,000,700	\$ 3,231,382	\$ 3,443,862

Executive Office

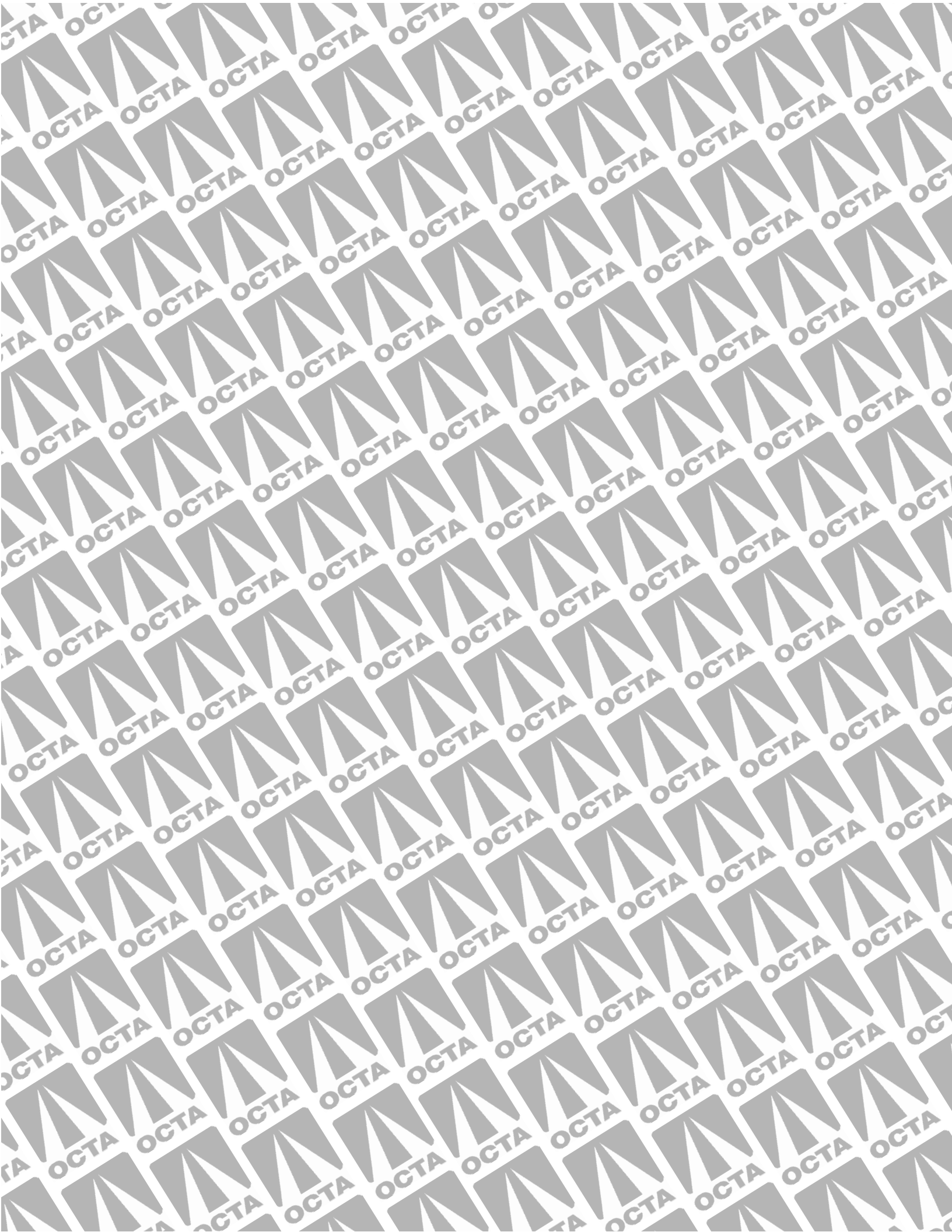
Department Expenses

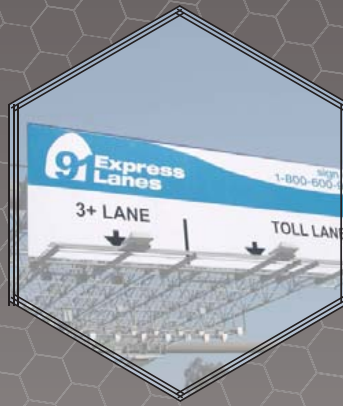
Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Executive Office - CEO			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	611,859	554,315	570,944
7209 Deferred Compensation	54,954	38,643	47,362
7210 Pensions	168,336	186,516	202,527
7220 Insurances	16,899	18,028	18,118
7240 Health Care	62,231	74,364	87,578
7260 Compensated Absences	59,139	71,605	73,752
7270 Workers Compensation	20,735	13,833	11,475
7280 Other Benefits	34,746	36,362	54,499
Subtotal Salaries and Benefits	\$ 1,028,899	\$ 993,666	\$ 1,066,255
<u>Services and Supplies</u>			
7510 Professional Services	303,720	100,000	0
7650 Travel, Training, and Mileage	37,667	27,045	24,880
7660 Office Expense	1,433	1,500	1,500
7670 Miscellaneous Expense	159,642	272,810	275,905
7830 Contributions to Other Agencies	0	15,630	16,213
Subtotal Services and Supplies	\$ 502,462	\$ 416,985	\$ 318,498
Executive Office - CEO Total Expenses	\$ 1,531,361	\$ 1,410,651	\$ 1,384,753
Security Assessment			
<u>Services and Supplies</u>			
7790 Other Materials and Supplies	35,059	0	0
Subtotal Services and Supplies	\$ 35,059	\$ 0	\$ 0
Security Assessment Total Expenses	\$ 35,059	\$ 0	\$ 0

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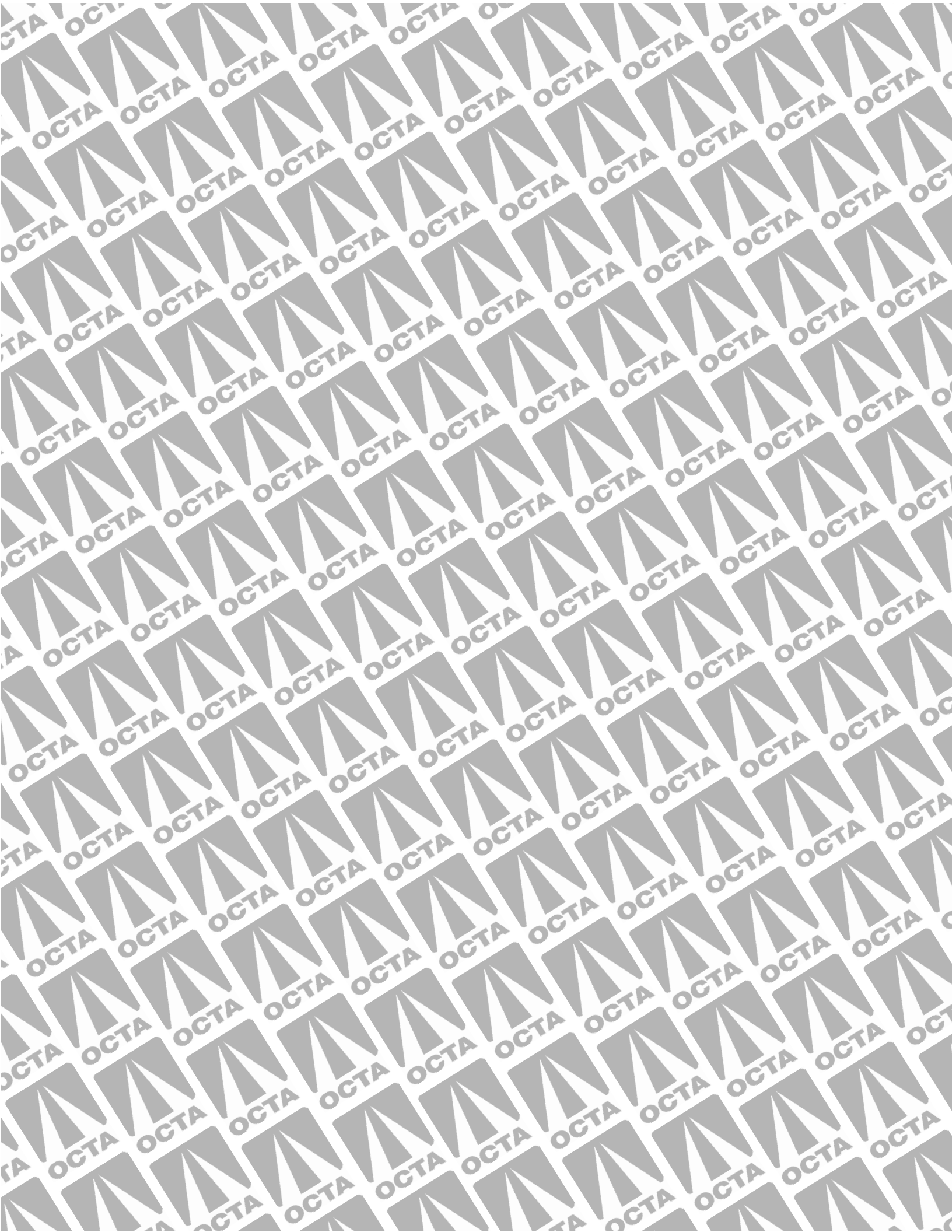
Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Internal Audit			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	459,590	516,467	496,633
7150 Extra Help Employees	-649	0	12,000
7209 Deferred Compensation	5,051	7,908	12,735
7210 Pensions	145,929	173,376	174,235
7220 Insurances	14,507	15,678	15,800
7240 Health Care	52,983	68,685	74,751
7260 Compensated Absences	66,720	66,562	63,997
7270 Workers Compensation	16,256	13,456	9,959
7280 Other Benefits	29,032	27,440	40,573
Subtotal Salaries and Benefits	\$ 789,419	\$ 889,572	\$ 900,683
<u>Services and Supplies</u>			
7510 Professional Services	954,764	165,000	375,000
7640 Utilities	0	100	0
7650 Travel, Training, and Mileage	4,837	14,650	16,540
7660 Office Expense	3,878	6,350	2,697
7670 Miscellaneous Expense	20,839	21,305	5,125
Subtotal Services and Supplies	\$ 984,318	\$ 207,405	\$ 399,362
Internal Audit Total Expenses	\$ 1,773,737	\$ 1,096,977	\$ 1,300,045
Clerk of the Board			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	237,527	233,758	242,600
7150 Extra Help Employees	82,800	93,500	93,500
7209 Deferred Compensation	7,117	5,911	6,613
7210 Pensions	77,255	78,182	85,324
7220 Insurances	12,401	7,634	8,477
7240 Health Care	124,701	81,438	75,520
7260 Compensated Absences	34,878	30,014	30,915
7270 Workers Compensation	10,909	6,440	4,811
7280 Other Benefits	19,217	91,830	117,121
Subtotal Salaries and Benefits	\$ 606,805	\$ 628,707	\$ 664,881
<u>Services and Supplies</u>			
7610 Outside Services	3,951	24,000	24,896
7650 Travel, Training, and Mileage	38,376	54,697	52,428
7660 Office Expense	3,863	6,100	6,328
7670 Miscellaneous Expense	7,548	10,250	10,531
Subtotal Services and Supplies	\$ 53,738	\$ 95,047	\$ 94,183
Clerk of the Board Total Expenses	\$ 660,543	\$ 723,754	\$ 759,064



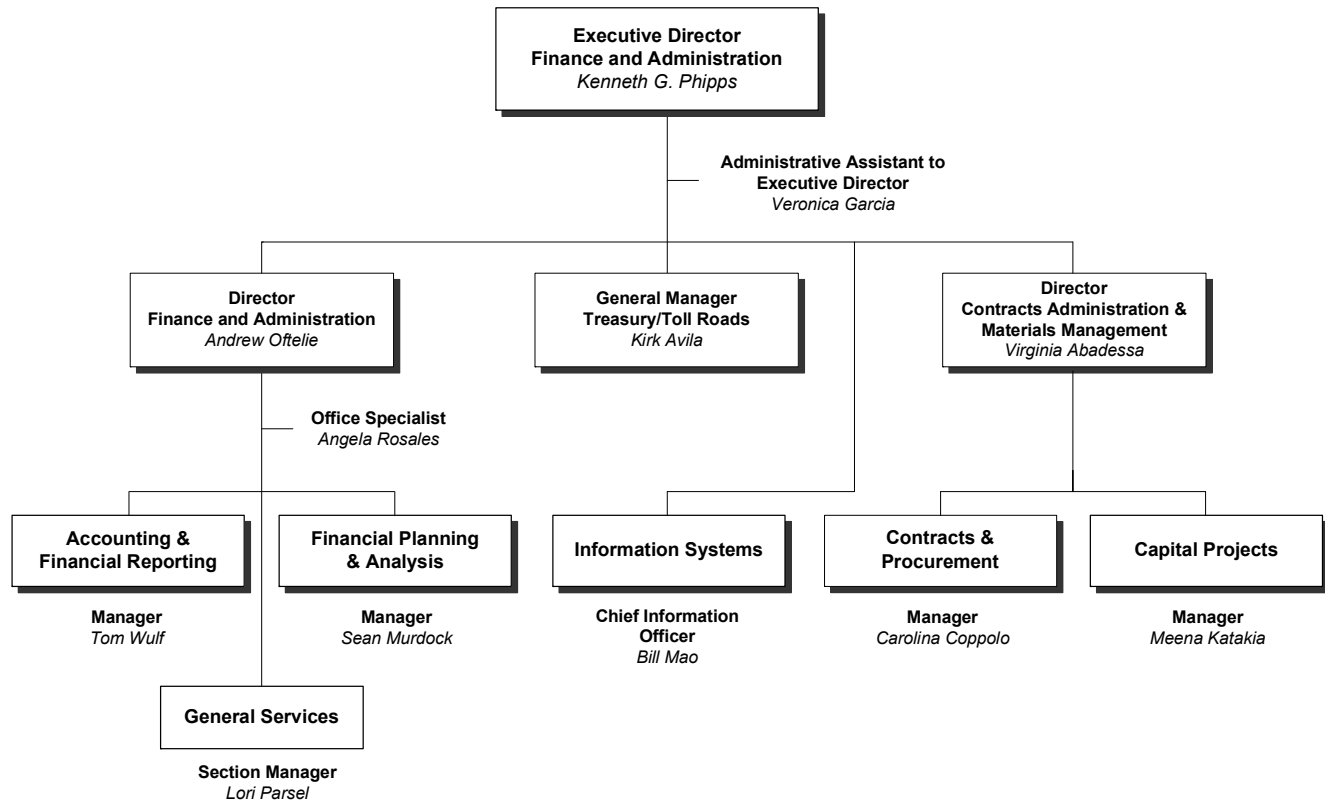


FINANCE & ADMINISTRATION



Division Organizational Chart

**Orange County Transportation Authority
Finance and Administration Division**



Division Narrative

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 receipt 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.

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 obtainment of goals and objectives. The department undertakes all F&A personnel actions and ensures compliance with personnel related policies and procedures.

The **Treasury/Toll Roads 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 Toll Road, 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 of Director consideration and serves as the key liaison with the State Route 91 Advisory Committee.

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

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. The department also ensures that grant reports are completed in a timely and accurate manner to maximize federal and other discretionary funding. In addition, the department oversees the Transportation Development Act (TDA) programs, property tax, gas tax exchange, and senior and disabled fare subsidy programs.

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.

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

Division Narrative (continued)

keep OCTA's technology infrastructure effective, modern, and most importantly, 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.

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 section oversees records management, mail services, reprographics and OCTA's receptionist staff. The responsibilities also cover the Administrative Headquarters construction projects. The OCTA-wide Internal Communications program is administered to promote communications to employees and their families. The Intranet, Digital Signage, eNews, and quarterly Between the Lines newsletter are the primary tools used to provide employees with up-to-date information. Recognition events and employee programs are also sponsored by this section.

Division Accomplishments and Goals

Accomplishments Fiscal Year 2011-12

Treasury/Public Finance

- Managed a billion dollar fixed income portfolio which included the monitoring of six private sector investment managers.
- Restructured Measure M2 commercial paper program and secured a new Letter of Credit facility.
- Adopted the OCTA's 2012 Investment Policy.
- Updated investors and rating agencies on sales tax collections, the progress of OCTA projects, 91 Express Lanes, and the Orange County economy.
- Received a rating upgrade to "AA+" by Fitch Ratings for the M2 program.
- Implemented new software for OCTA investments.
- Continued to update the Board on the performance of the OCTA portfolio through regular monthly and quarterly reporting.
- Outperformed the Merrill Lynch 1-3 Year Treasury Index by 48 basis points.

Toll Roads

- Executed a Cooperative Agreement with Riverside County Transportation Commission regarding the extension of the 91 Express Lanes into Riverside County.
- Completed gantry relocation project.
- Executed a five-year lease for the Anaheim administrative office.

- Provided numerous tours of the 91 Express Lanes facility to various groups and individuals.

Accounting and Financial Reporting

- Earned an unqualified audit opinion on the FY 2010-11 financial statements.
- Earned the GFOA Certificate of Achievement for Excellence in Financial Reporting for the FY 2009-10 Comprehensive Annual Financial Report.
- Processed and disbursed over \$550 million in vendor payments.
- Processed and disbursed over \$100 million in payroll payments.
- Automated purchasing card processing.

Contracts Administration and Materials Management

- Conducted 4 small business training workshops/focus groups.
- Enhanced the data warehouse application to allow for ease and efficiency in reporting procurement metrics.
- Won the "Achievement of Excellence in Procurement" award sponsored by the National Purchasing Institute.
- Developed an online calendar of events identifying outreach activities, vendor training, and procurement solicitation deadlines.
- Identified efficiencies in the architectural and engineering (A&E) procurement process by developing forms which will approve contract changes at a quicker rate.
- Implemented a new collective bargaining agreement with TCU employees and named first TCU employee as "Employee of the Month."
- Implemented a contract close out process.
- Leveraged the benefits of the purchasing card program by eliminating the OCTA-wide blanket purchase orders for food, flowers, and promotional items.

Information Systems

- Completed implementation of an enterprise wide Disaster Recovery plan in which twelve mission critical systems can be made available to our business units within 24 hours of a disaster declaration.
- Migrated the key Measure M2 documents to SharePoint and established the governance model to manage it. Developed a structure to support SharePoint users by using a mix of internal and external resources.
- Conducted a study of all supported business applications and established a methodology to continuously assess each application to determine if the software should be retired, enhanced or consolidated; improving our support model and making staff more efficient.
- Completed ten large business application upgrades

Division Accomplishments & Goals

and seven business unit required enhancements to OCTA's mission critical systems. Completed pilot implementation of virtual desktops that proved its feasibility.

- Exceeded the system uptime target of 99.5% by achieving a total uptime above 99.8% for all systems. Staff also received over 12,000 Information Systems Help Desk calls with a customer satisfaction rating of 99.4%.
- Continue to support the massive Radio Communication upgrade by completing the Transit database that allows real time data availability to users. Completed deployment of Radio system upgrades to support the paratransit fleet.
- Completed implementation of a secure OCTA wireless network to better support the adoption of tablets and other smart devices as business tools.
- Continued an active program to meet and pursue industry, state and federal security compliance standards to safeguard OCTA business and customer data. Kept the computing environment operational and protected it by updating security patches and responding quickly to any external attacks.

General Services

- Implemented new service award program and eliminated backlog of employees overdue recognition.
- Maintained communication with OCTA employees via OCTA Today, eNews and Digital Signage.
- Organized employee events such as the AfterWork Connections, company picnic and sporting tournaments.
- Implemented new security upgrades at bases.
- Provided office and building enhancements.
- Implemented new OCTA Today, OCTA's intranet.

Financial Planning & Analysis

- Updated cash flows for each of OCTA's programs based on up-to-date assumptions ensuring the long term sustainability of each program, and utilized the assumptions from the base year as the starting point for development of the FY 2012-13 Budget.
- Prepared the FY 2012-13 Annual Budget without an unplanned use of reserves, which is also consistent with the Comprehensive Business Plan and Board approved goals, policies and procedures.
- Continued to maximize OCTA's revenues by effectively administering all revenue programs (5307 grant program, 5309 grant program, TDA, Property Tax, etc.)
- Distributed budget-to-actual variance reports to Executive Management and the Board of Directors on a quarterly basis.
- Earned the Certificate of Achievement for Excellence in Budgeting from the California Society of Municipal Finance Officers for the FY 2011-12 Annual Budget.

Goals Fiscal Year 2012-13

Treasury/Public Finance

- Manage a billion dollar fixed income portfolio which includes the monitoring of six private sector investment managers.
- Restructure 91 Express lanes debt.
- Develop a Plan of Finance that addresses the financing needs of the Measure M2 freeway program.
- Provide updates to rating agencies and investors to maintain current rating levels.
- Outperform the Merrill Lynch 1-3 Year Treasury Index for the short-term portfolio and the customized Treasury benchmark for the bond proceeds portfolio.

Toll Roads

- Finalize a three-party cooperative agreement with RCTC and Cofiroute USA to provide operational and management services for the 91 Express Lanes.
- Replace the variable message signs.
- Complete the pavement rehabilitation project.

Accounting and Financial Reporting

- Accurately process all vendor and payroll payments on a timely basis.
- Earn the GFOA Certificate of Excellence in Financial Reporting for the FY 2010-11 CAFR.
- Complete the FY 2011-12 CAFR that includes audited financial statements earning an unqualified audit opinion.
- Implement documents online for accounts payable.

Contracts Administration and Materials Management

- Increase vendor training in an effort to promote opportunities for small businesses.
- Work with OCTA staff to ensure that small businesses receive at least 25% of all OCTA dollars spent.
- Market OCTA's procurement process by applying for nationally recognized awards.
- Redesign and update the CAMM NET.
- Design social media procurement application as a way to increase vendor participation.
- Implement revised solicitation templates and train staff.
- Implement a staff recognition program.

Information Systems

- Keep OCTA's Information technology plan up to date by ensuring full alignment of the plan with business unit priorities. Ensure that the technology environment fully supports business needs and requirements in an agile and secure manner. Ensure that support, resources, and plans are properly provisioned for all projects approved by the Technology Review Committee.

Division Accomplishments & Goals (continued)

- Continue investment in SharePoint and continue building Measure M2 project sites to support the workflow processes for all phases of any M2 project.
- Start implementation of major business application upgrades including the replacement of ACORS and BATS with HASTUS and upgrading or replacing the EJ Ward fluid management system.
- Implement value added process improvement recommendations for the maintenance and inventory departments.
- Continue to maintain high availability (over 99.5%) for all supported systems and ensure quick accessibility to mission critical systems in the event of a disaster.
- Complete the Radio Project and ensure full functionality of the Business Intelligence features of its database.
- Initiated a desktop migration project upgrading 800 general use PC's (300 virtual, 500 physical) to Microsoft Windows 7 with Office 2010 and Internet Explorer 9. Complete Microsoft Lync proof of concept that potentially replaces full PBX equipment.
- Replace core out of date hardware infrastructure that is no longer supported by vendors.
- Continue to meet industry, state and federal data security requirements and implement proactive measures and tools that safeguard OCTA business and customer information.

General Services

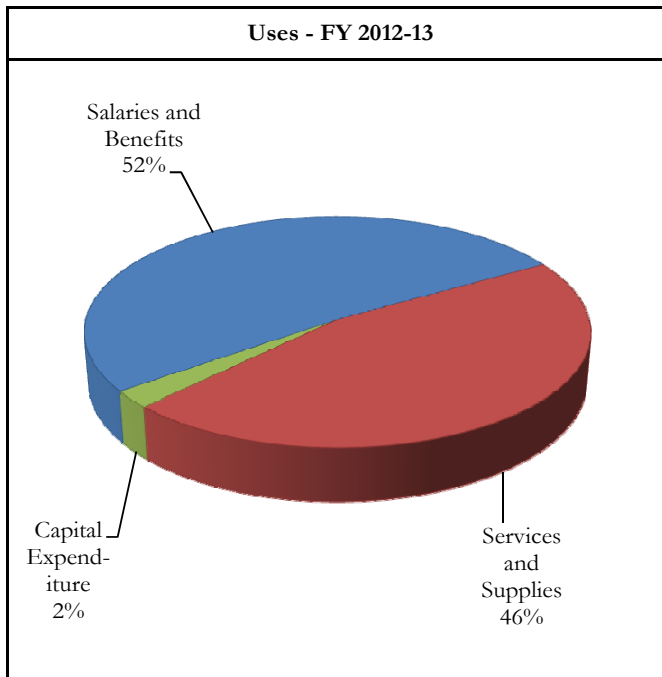
- Stabilize and enhance OCTA Today, OCTA's intranet.
- Implement automated forms program to route, track and sign documents.
- Institute new active records program.
- Provide customer service in office services, records retention, print shop/reprographics and employee programs.

Financial Planning and Analysis

- Secure Board approval of the FY 2012-13 Comprehensive Business Plan.
- Secure Board approval of the FY 2013-14 Annual Budget without an unplanned use of reserves, which is also consistent with the FY 2012-13 Comprehensive Business Plan and Board approved goals, policies, and procedures.
- Maximize OCTA's revenues by effectively administering all revenue programs (5307 grant program, 5309 grant program, TDA, Property Tax, etc.)
- Distribute budget-to-actual variance reports to Executive Management and the Board of Directors on a quarterly basis.
- Earn the Certificate of Achievement for Excellence in Budgeting from the California Society of Municipal Finance Officers for the FY 2012-13 Annual Budget.

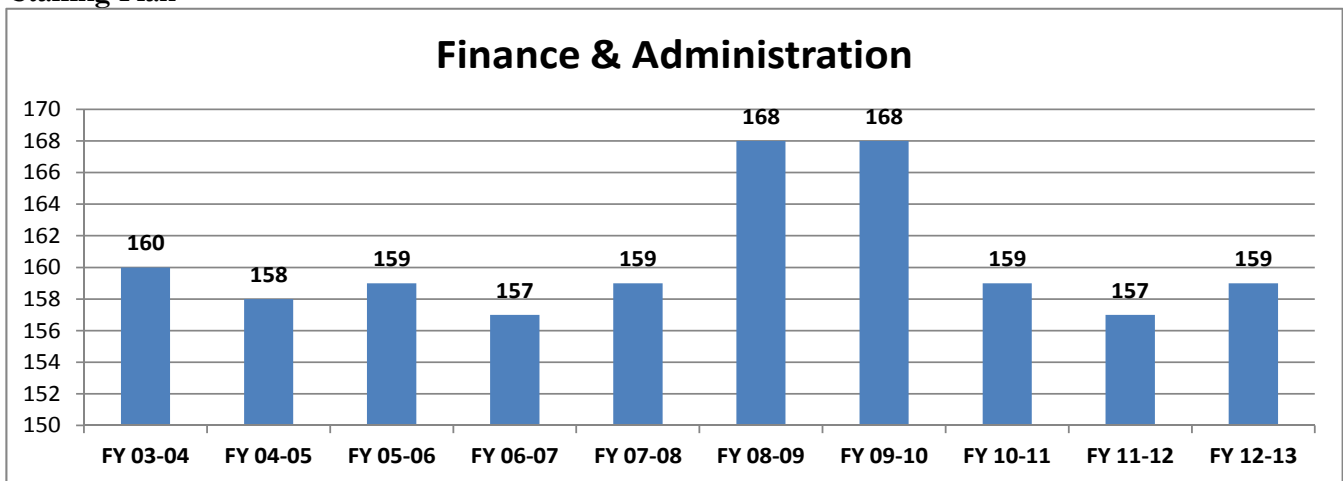
Finance and Administration

Finance & Administration



Uses	Amount
Salaries and Benefits	\$ 19,557,894
Services and Supplies	17,404,951
Capital Expenditure	935,850
Total Uses	\$ 37,898,695

Staffing Plan



Division Staffing

Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
Executive Director, Finance & Admin	4	4	4
Accounting and Financial Reporting	24	24	24
Financial Planning and Analysis	12	12	12
Contracts Administration & Material Management	60	58	59
Information Systems	36	36	37
General Services	18	18	18
Treasury Department	2	2	2
Tollroad	3	3	3
Total Finance & Administration	159	157	159

Finance and Administration

Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Executive Director, Finance & Admin</u>			
Administrative Assistant	2	2	2
Director	1	1	1
Executive Director	1	1	1
Subtotal Executive Director, Finance & Admin	4	4	4
<u>Accounting and Financial Reporting</u>			
Accountant	4	4	4
Administrative Specialist	3	3	4
Business Systems Analyst	1	1	1
Department Manager	1	1	1
Grants Technician	1	1	1
Office Specialist	6	6	6
Secretary	1	1	0
Section Manager	5	5	4
Section Supervisor	1	1	1
Special Assignment	1	1	2
Subtotal Accounting and Financial Reporting	24	24	24
<u>Financial Planning and Analysis</u>			
Department Manager	1	1	1
Financial Analyst	8	8	8
Section Manager	3	3	3
Subtotal Financial Planning and Analysis	12	12	12
<u>Contracts Administration & Material Management</u>			
Administrative Assistant	1	1	1
Business Relations Administrator	1	0	0
Business Systems Analyst	1	1	1
Buyer	5	5	5
Contract Administrator	12	12	13
Department Manager	2	2	2
Director	1	1	1
Equipment Parts Clerk	18	18	18
Financial Analyst	1	1	1
Inventory Analyst	1	1	1
Office Specialist	2	2	2
Section Manager	1	1	1
Section Manager, Senior	3	2	2
Section Supervisor	3	3	4
Stockroom Clerk	5	5	5
Warranty Coordinator	3	3	2
Subtotal Contracts Administration & Material Man	60	58	59

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Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Information Systems</u>			
Business Systems Analyst	6	6	7
Database Administrator	2	2	2
Department Manager	1	1	1
Help Desk Technician	4	4	3
IS Bus Strategist	1	1	1
IS Project Manager	3	3	3
IS Security Analyst	2	1	1
IS Systems Architect	1	1	1
Network Analyst	2	2	2
Office Specialist	2	2	2
Programmer Analyst	2	2	2
Section Manager	4	4	4
Special Assignment	1	1	2
Systems Software Analyst	4	5	6
Telecommunications Coordinator	1	1	0
Subtotal Information Systems	36	36	37
<u>General Services</u>			
Administrative Specialist	1	1	1
Intranet Specialist	2	2	2
Office Specialist	9	9	9
Offset Printer	1	1	1
Printing Administrator	1	1	1
Section Manager	2	2	2
Section Supervisor	2	2	2
Subtotal General Services	18	18	18
<u>Treasury Department</u>			
Department Manager	1	1	1
Investment Officer	1	1	1
Subtotal Treasury Department	2	2	2
<u>Tollroad</u>			
General Manager	1	1	1
IS Project Manager	1	1	1
Transportation Analyst	1	1	1
Subtotal Tollroad	3	3	3
Total Finance & Administration	159	157	159

Finance and Administration

Division Expenses

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	10,004,016	10,016,283	10,545,410
7150 Extra Help Employees	83,158	148,000	171,000
7209 Deferred Compensation	149,899	182,382	213,848
7210 Pensions	3,035,669	3,262,426	3,526,591
7220 Insurances	310,055	307,743	343,458
7240 Health Care	1,868,571	2,335,206	2,374,428
7260 Compensated Absences	1,216,772	1,286,483	1,354,807
7270 Workers Compensation	340,410	262,591	216,236
7280 Other Benefits	676,398	518,924	812,116
Subtotal Salaries and Benefits	\$ 17,684,948	\$ 18,320,038	\$ 19,557,894
<u>Services and Supplies</u>			
7510 Professional Services	2,514,492	2,513,280	3,757,275
7610 Outside Services	3,191,942	3,790,944	4,216,997
7630 Advertising Fees	38,252	24,000	29,400
7640 Utilities	2,374,326	2,582,140	2,546,000
7650 Travel, Training, and Mileage	100,859	141,332	155,772
7660 Office Expense	774,055	1,188,446	1,909,950
7670 Miscellaneous Expense	115,445	117,812	134,957
7690 Leases	4,221,604	4,601,063	4,348,400
7750 Maintenance Expense	1,009,758	542,500	282,500
7790 Other Materials and Supplies	16,622	20,600	23,700
7820 Taxes	0	15,000	0
7830 Contributions to Other Agencies	0	0	0
Subtotal Services and Supplies	\$ 14,357,355	\$ 15,537,117	\$ 17,404,951
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	53,003	348,250	935,850
Subtotal Capital Expenditure	\$ 53,003	\$ 348,250	\$ 935,850
Total Uses	\$ 32,095,306	\$ 34,205,405	\$ 37,898,695

Division Expenses by Department

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
100 Executive Director, Finance & Admin	723,345	779,643	802,884
103 Accounting and Financial Reporting	2,373,086	2,542,017	2,638,584
104 Financial Planning and Analysis	1,339,791	1,448,150	1,546,702
106 Contracts Administration & Material Manag	5,805,443	5,921,430	6,381,913
107 Information Systems	5,031,224	5,127,414	5,610,772
108 General Services	1,552,260	1,670,691	1,735,603
110 Treasury Department	293,643	284,916	274,391
111 Tollroad	566,156	545,777	567,045
Subtotal Salaries and Benefits	\$ 17,684,948	\$ 18,320,038	\$ 19,557,894
<u>Services and Supplies</u>			
100 Executive Director, Finance & Admin	384,635	393,490	582,916
103 Accounting and Financial Reporting	700,698	875,810	919,086
104 Financial Planning and Analysis	157,360	165,900	177,465
106 Contracts Administration & Material Manag	1,320,841	808,655	578,277
107 Information Systems	5,175,057	5,449,982	7,730,261
108 General Services	6,531,998	7,719,126	7,351,797
110 Treasury Department	86,766	123,804	64,799
111 Tollroad	0	350	350
Subtotal Services and Supplies	\$ 14,357,355	\$ 15,537,117	\$ 17,404,951
<u>Capital Expenditure</u>			
107 Information Systems	53,003	348,250	670,000
108 General Services	0	0	265,850
Subtotal Capital Expenditure	\$ 53,003	\$ 348,250	\$ 935,850
Total Expenses	\$ 32,095,306	\$ 34,205,405	\$ 37,898,695

Finance and Administration

Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Executive Director, Finance & Admin			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	391,403	414,624	427,063
7209 Deferred Compensation	15,015	13,962	15,485
7210 Pensions	125,406	139,513	152,829
7220 Insurances	11,899	12,556	13,406
7240 Health Care	69,991	102,739	84,954
7260 Compensated Absences	50,916	53,563	55,167
7270 Workers Compensation	14,197	10,855	8,584
7280 Other Benefits	44,518	31,831	45,396
Subtotal Salaries and Benefits	\$ 723,345	\$ 779,643	\$ 802,884
<u>Services and Supplies</u>			
7510 Professional Services	369,122	373,700	569,000
7650 Travel, Training, and Mileage	6,372	6,543	2,086
7660 Office Expense	1,390	2,500	2,500
7670 Miscellaneous Expense	7,751	10,747	9,330
Subtotal Services and Supplies	\$ 384,635	\$ 393,490	\$ 582,916
Executive Director, Finance & Admin Total Expense	\$ 1,107,980	\$ 1,173,133	\$ 1,385,800
Accounting and Financial Reporting			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,337,993	1,391,506	1,434,654
7209 Deferred Compensation	14,701	18,094	24,099
7210 Pensions	420,707	467,205	493,940
7220 Insurances	42,209	43,611	49,139
7240 Health Care	276,909	360,382	332,038
7260 Compensated Absences	175,576	179,370	184,726
7270 Workers Compensation	46,133	36,124	28,740
7280 Other Benefits	58,858	45,725	91,248
Subtotal Salaries and Benefits	\$ 2,373,086	\$ 2,542,017	\$ 2,638,584
<u>Services and Supplies</u>			
7510 Professional Services	38,883	68,000	51,400
7610 Outside Services	544,619	619,610	666,100
7630 Advertising Fees	896	1,000	1,400
7650 Travel, Training, and Mileage	14,000	29,740	33,164
7660 Office Expense	84,051	148,370	156,575
7670 Miscellaneous Expense	18,249	9,090	10,447
Subtotal Services and Supplies	\$ 700,698	\$ 875,810	\$ 919,086
Accounting and Financial Reporting Total Expenses	\$ 3,073,784	\$ 3,417,827	\$ 3,557,670

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Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Financial Planning and Analysis			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	805,415	824,735	867,326
7209 Deferred Compensation	11,639	14,498	13,479
7210 Pensions	242,083	276,496	298,891
7220 Insurances	24,535	26,267	28,648
7240 Health Care	96,846	142,483	147,324
7260 Compensated Absences	71,867	106,151	111,780
7270 Workers Compensation	27,371	21,742	17,392
7280 Other Benefits	60,035	35,778	61,862
Subtotal Salaries and Benefits	\$ 1,339,791	\$ 1,448,150	\$ 1,546,702
<u>Services and Supplies</u>			
7510 Professional Services	146,347	152,000	166,400
7650 Travel, Training, and Mileage	3,214	7,100	5,240
7660 Office Expense	6,924	5,700	4,650
7670 Miscellaneous Expense	875	1,100	1,175
Subtotal Services and Supplies	\$ 157,360	\$ 165,900	\$ 177,465
Financial Planning and Analysis Total Expenses	\$ 1,497,151	\$ 1,614,050	\$ 1,724,167
Contracts Administration & Material Management			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	3,318,049	3,277,545	3,497,892
7150 Extra Help Employees	44,981	69,000	69,000
7209 Deferred Compensation	41,814	54,131	65,490
7210 Pensions	947,781	1,001,260	1,088,209
7220 Insurances	102,094	95,282	109,575
7240 Health Care	621,540	762,965	804,378
7260 Compensated Absences	479,979	418,819	447,351
7270 Workers Compensation	107,893	85,993	75,041
7280 Other Benefits	141,312	156,435	224,977
Subtotal Salaries and Benefits	\$ 5,805,443	\$ 5,921,430	\$ 6,381,913
<u>Services and Supplies</u>			
7510 Professional Services	169,066	100,000	100,000
7610 Outside Services	41,746	81,000	82,500
7630 Advertising Fees	37,356	23,000	28,000
7650 Travel, Training, and Mileage	8,583	12,800	13,842
7660 Office Expense	9,102	10,390	10,700
7670 Miscellaneous Expense	44,372	41,465	60,235
7750 Maintenance Expense	1,009,160	535,000	275,000
7790 Other Materials and Supplies	1,456	5,000	8,000
Subtotal Services and Supplies	\$ 1,320,841	\$ 808,655	\$ 578,277
Contracts Administration & Material Management T	\$ 7,126,284	\$ 6,730,085	\$ 6,960,190

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Finance and Administration

Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Information Systems			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	2,894,570	2,869,885	3,066,207
7150 Extra Help Employees	7,786	15,000	37,000
7209 Deferred Compensation	44,604	55,888	64,542
7210 Pensions	902,726	962,290	1,057,029
7220 Insurances	86,867	89,183	98,852
7240 Health Care	492,921	592,546	632,192
7260 Compensated Absences	314,237	369,432	394,793
7270 Workers Compensation	99,695	74,978	61,429
7280 Other Benefits	187,818	98,212	198,728
Subtotal Salaries and Benefits	\$ 5,031,224	\$ 5,127,414	\$ 5,610,772
<u>Services and Supplies</u>			
7510 Professional Services	1,687,298	1,558,080	2,637,975
7610 Outside Services	2,303,511	2,731,634	3,064,033
7640 Utilities	798,665	754,740	739,700
7650 Travel, Training, and Mileage	55,554	67,286	84,046
7660 Office Expense	327,753	334,052	1,200,967
7670 Miscellaneous Expense	2,187	4,190	3,540
7790 Other Materials and Supplies	89	0	0
Subtotal Services and Supplies	\$ 5,175,057	\$ 5,449,982	\$ 7,730,261
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	53,003	348,250	670,000
Subtotal Capital Expenditure	\$ 53,003	\$ 348,250	\$ 670,000
Information Systems Total Expenses	\$ 10,259,284	\$ 10,925,646	\$ 14,011,033

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Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
General Services			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	773,869	795,428	796,431
7150 Extra Help Employees	30,391	64,000	65,000
7209 Deferred Compensation	6,845	9,998	12,962
7210 Pensions	251,399	266,750	275,583
7220 Insurances	28,665	27,170	29,155
7240 Health Care	218,575	256,427	286,628
7260 Compensated Absences	90,316	101,979	102,106
7270 Workers Compensation	28,257	21,570	15,887
7280 Other Benefits	123,943	127,369	151,851
Subtotal Salaries and Benefits	\$ 1,552,260	\$ 1,670,691	\$ 1,735,603
<u>Services and Supplies</u>			
7510 Professional Services	48,448	240,500	216,500
7610 Outside Services	302,066	358,700	404,364
7640 Utilities	1,575,661	1,827,400	1,806,300
7650 Travel, Training, and Mileage	9,507	12,604	14,140
7660 Office Expense	344,691	617,319	519,443
7670 Miscellaneous Expense	14,346	23,440	19,450
7690 Leases	4,221,604	4,601,063	4,348,400
7750 Maintenance Expense	598	7,500	7,500
7790 Other Materials and Supplies	15,077	15,600	15,700
7820 Taxes	0	15,000	0
Subtotal Services and Supplies	\$ 6,531,998	\$ 7,719,126	\$ 7,351,797
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	0	0	265,850
Subtotal Capital Expenditure	\$ 0	\$ 0	\$ 265,850
General Services Total Expenses	\$ 8,084,258	\$ 9,389,817	\$ 9,353,250

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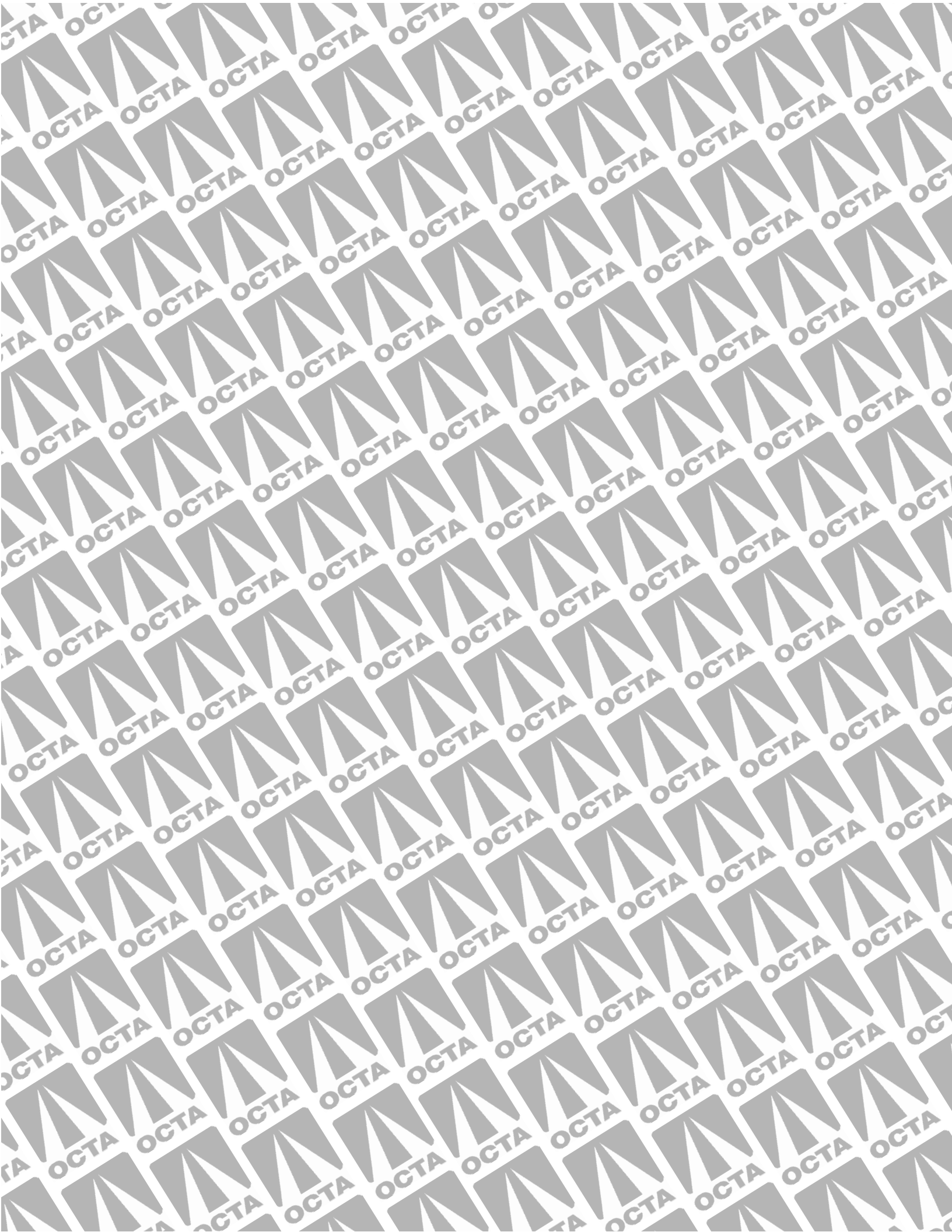
Finance and Administration

Department Expenses

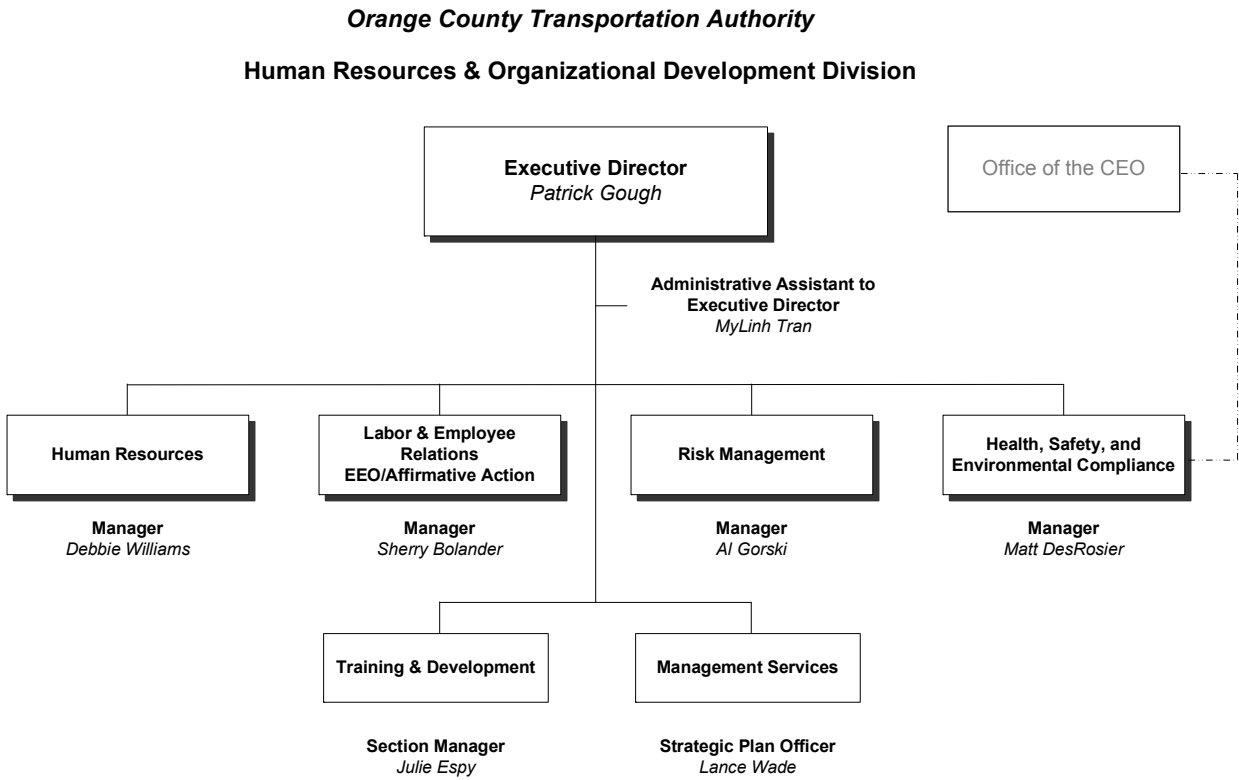
Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Treasury Department			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	149,266	136,305	140,394
7209 Deferred Compensation	3,070	2,771	3,040
7210 Pensions	46,652	45,864	48,493
7220 Insurances	4,433	4,169	4,675
7240 Health Care	50,338	70,300	47,930
7260 Compensated Absences	9,841	17,608	18,135
7270 Workers Compensation	5,375	3,456	2,822
7280 Other Benefits	24,668	4,443	8,902
Subtotal Salaries and Benefits	\$ 293,643	\$ 284,916	\$ 274,391
<u>Services and Supplies</u>			
7510 Professional Services	55,328	21,000	16,000
7650 Travel, Training, and Mileage	3,629	5,259	3,254
7660 Office Expense	144	70,115	15,115
7670 Miscellaneous Expense	27,665	27,430	30,430
Subtotal Services and Supplies	\$ 86,766	\$ 123,804	\$ 64,799
Treasury Department Total Expenses	\$ 380,409	\$ 408,720	\$ 339,190
Tollroad			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	333,451	306,255	315,443
7209 Deferred Compensation	12,211	13,040	14,751
7210 Pensions	98,915	103,048	111,617
7220 Insurances	9,353	9,505	10,008
7240 Health Care	41,451	47,364	38,984
7260 Compensated Absences	24,040	39,561	40,749
7270 Workers Compensation	11,489	7,873	6,341
7280 Other Benefits	35,246	19,131	29,152
Subtotal Salaries and Benefits	\$ 566,156	\$ 545,777	\$ 567,045
<u>Services and Supplies</u>			
7670 Miscellaneous Expense	0	350	350
Subtotal Services and Supplies	\$ 0	\$ 350	\$ 350
Tollroad Total Expenses	\$ 566,156	\$ 546,127	\$ 567,395



HUMAN RESOURCES & ORGANIZATIONAL DEVELOPMENT



Division Organizational Chart



Division Narrative

The **Human Resources and Organizational Development (HR&OD) Division** supports the Orange County Transportation Authority's 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.

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. The Executive Director oversees the Management Services activities, investigating best practices, organizational efficiencies, and proactively develops strategic initiatives for OCTA-wide implementation.

The **Health, Safety, and Environmental Compliance (HS&EC) Department** is responsible for ensuring OCTA's operations are compliant with applicable health, safety and environmental standards, codes, and regulations. The professional staff of the department develops and implements employee, fleet, and system safety programs and training to help mitigate employee injury and illnesses as well as damage to equipment and property.

The HS&EC Department will continue to support administrative, operations, and construction activities through health and safety program management which includes planned inspections, accident and incident investigations, hazard identification and resolution, regulatory agency liaison, program development and implementation, as well as maintenance.

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 Human Resources Department provides strategic and professional HR service to over 1,500 employees.

The **Labor & Employee Relations (L&ER) Department** is responsible for administering three collective bargaining agreements which provide terms and conditions of employment for approximately 1,000 represented employees. The L&ER Department serves as liaison between the unions and management, reviews grievance matters during the third step of the grievance process, prepares for and participates in grievance arbitrations and collective bargaining agreement negotiations.

The L&ER functions include facilitating resolution of workplace conflicts and administering dispute resolution procedures for both represented and non-represented employees. Advice and counsel is provided to Orange County Transportation Authority management regarding applicable labor and employment regulations, as well as for relevant employee issues. The Department staff serves as liaison with OCTA legal counsel on labor and employment law matters, and related litigation.

The L&ER 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 L&ER Department is responsible for administering the Equal Employment Opportunity (EEO) Program by auditing personnel practices and monitoring compliance with the Americans with Disabilities Act (ADA), Title VII of the Civil Rights Act, as amended, and other state, and federal statutes which prohibit discrimination and harassment in the workplace.

The L&ER Department is also responsible for developing the OCTA annual Title VI Report and for triennially submitting the Title VI Report to the FTA Office of Civil Rights. The L&ER Department staff conducts workplace harassment and discrimination prevention training for non-supervisory and supervisory employees, as well as tracking management compliance with AB 1825.

In addition, the L&ER Department staff provides prompt and thorough investigations of allegations involving discrimination and harassment. Department staff responds to and represent OCTA with external agencies when discrimination or harassment complaints are filed with state and/or federal agencies.

The **Risk Management Department** is responsible for protecting OCTA's assets and property from the adverse

Division Narrative (continued)

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 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 of unpaid toll road fares for the 91 Express Lanes.

The **Training and Development Department** is responsible for learning and development activities for administrative employees. The Training & Development Department is responsible for standardization of OCTA-wide training, seeking economy of scale where applicable. This includes supervisory and management training, new employee orientation, succession planning, team building, business skills development, technical skills enhancement and training, leadership development, and organizational development activities.

The Training & Development Department also administers OCTA's Mentor Program and the Educational Reimbursement Program for OCTA. The Training & Development Department retains a strategic focus, ensuring alignment between the Strategic Plan and core competencies.

The **Management Services Department** is responsible for providing leadership, direction, planning, administration, and oversight for the development, implementation, and maintenance of the OCTA Strategic Plan, the Board Chairman Initiatives, as well as the CEO Initiatives and Action Plan.

The Management Services Department works with division and department senior-level management on their plans and performance metrics supporting the division strategies. The Management Services Department is responsible for strategic and business process improvements, performance metrics, and reporting of metrics to all stakeholders on a monthly, quarterly, and annual basis.

The Management Services Department is responsible for

analyzing division and department program performance, industry trends, existing, or new regulatory requirements, and their impact on business operations. It helps with implementation of strategies to mobilize the organization and to achieve sustainable results.

Division Accomplishments & Goals

Accomplishments Fiscal Year 2011-12

Health, Safety, and Environmental Compliance (HS&EC) Department

- HS&EC designed, developed, and implemented the "Field Response to Onboard Methane Alarm or Leak" policy. Activities involved facilitating Table Top Exercises, providing Hazardous Waste Operations and Emergency Response (HAZWOPER), and First Aid training, as well as evaluating field drills to verify understanding and implementation success.
- Completed OCTA's first ever Greenhouse Gas (GHG) Emissions Inventory study. The purpose of the study was to identify and inventory the carbon footprint and global warming impacts associated with OCTA's operations and activities. The project not only strengthens OCTA's reputation as being an environmentally mindful organization, but also demonstrated the true global impact OCTA's activities have on displacing greenhouse gases.
- Established a scope of work and successfully obtained a consulting contract to review mitigation options for the bus wash run-off at all base locations.
- Co-developed and submitted a proposal to the External Affairs Division which was designed to prevent onboard customer accidents aboard OCTA buses. Efforts focused on communication activities by implementing customer safety messaging through various media applications.
- Developed a monthly injury and illness statistics report which streamlines data collection and distribution. Monthly reports detail injury summaries based on base location and craft type to better analyze trends and opportunities.
- Led efforts to review and approve all contractor construction safety plans submitted through the project contract award process.
- Worked with Human Resources' Healthcare Advisory Committee (HAC) to enhance employee engagement through wellness initiatives. The HS&EC efforts led OCTA to receive the 2011 Start Fit Friendly Gold Recognition award from the American Heart Association.

Human Resources (HR) Department

- The HR Department Benefits Section saved the organization approximately \$300,000 by creating a new healthcare strategy. The HR Department created a

Division Accomplishments & Goals (continued)

Health Care Advisory Committee (HAC) and through collaborative decision-making, provided a variety of health care options for the employees while saving OCTA significant costs.

- The HR Department Compensation Section provided OCTA's Senior Management with extensive detailed analysis of other Public Agency compensation strategies which helped significantly in the approval of Special Performance Awards (SPA).
- Hired a HR Manager with a strategic focus for the department.
- Executed the CEO's vision to engage employees in their benefits education by way of focus groups and online applications.
- Job descriptions were provided to the employees for transparency purposes.

Labor & Employee Relations (L&ER) Department

- Completed several Title VI Program components including:
 - Conducted 68 Title VI training sessions for coach operators providing an overview of customer rights under Title VI and the role of coach operators.
 - Developed and conducted a workshop for non-transit agency sub-recipients such as, Job Access and Reserve Commute (JARC), New Freedom, and 5307 Grants, as a proactive approach, in response to the Federal Transit Administration's (FTA) proposed circular for the new requirements to be included in the triennial Title VI Plan submission.
- Reviewed and updated the Limited English Proficiency (LEP) and Public Participation Programs.
- Presented eleven one-hour Workplace Harassment Prevention Training sessions during calendar year 2011 to non-supervisory administrative employees, as well as eleven two-hour sessions for managers and supervisors.
- Completed the annual Equal Employment Opportunity/Affirmative Action Plan (EEO/AAP) and distributed Executive Summaries and Managers' Desk References.
- Processed one hundred and eleven grievances from union represented employees during calendar year 2011.
- Prepared for and participated in three arbitrations during calendar year 2011; all three rulings were favorable to Orange County Transportation Authority.
- Contacted former employees concerning coach operator recalls from layoff, and coordinated the return to work dates, the eligibility requirements, and process for rehire.

Risk Management Department

- The Risk Management Department enhanced OCTA's insurance program coverage to properly protect OCTA property, liability, workers' compensation, crime, cyber liability, as well as the 91 Express Lanes Toll Road infrastructure and operations at a 20% or \$286,736 reduction in premium.
- The Risk Management Department successfully avoided unpredictable and unfavorable liability trial results by carefully selecting cases to take to trial as well as cases to resolve informally. The current number of liability cases in litigation is the lowest in fifteen years, with no cases taken to trial in FY 2011-12 to date.
- New workers' compensation claims in FY 2011-12 represent the lowest number of on-the-job injuries in OCTA history, with the lowest pending claim files, litigation, and reserves since FY 2003-04.
- Risk Management staff has been successful in obtaining key positions in professional organizations to enhance networking of best practices in risk management as well as establishing a higher marketing profile for OCTA with insurers and other business partners. Al Gorski was elected to the National Board of Directors for the Risk and Insurance Management Society (RIMS) and Edwin Byrne was elected as an Officer of the Council of Self-Insured Public Agencies (COSIPA).
- Recovered over \$150,000 in OCTA property and workers' compensation losses caused by others.
- OCTA's Third Party Administrator (TPA), which is managed by the Risk Management Department, received an excellent rating as a result of an audit performed by an outside independent auditor.
- A favorable result of an internal audit of the Risk Management Department's workers' compensation program was finalized. The Risk Management Department's policies, procedures, controls, and oversight of external vendors were examined and there were no findings reported.

Training and Development Department

- Expanded Talent Management Methodology through partnership with the HR Department to implement Talent Review Round Two.
- Utilizing data acquired from OCTA's Talent Review, identified the organizations strengths and weaknesses as a means to create training goals for OCTA.
- Launched four modules of the Supervisor Training Program focused on Decision-Making, Goal Management, Relationship Building, and Motivation.

Division Accomplishments & Goals (continued)

- Launched the Leadership Development Academy (LDA), focused on providing competency-based training to an initial cohort of twelve employees. Evaluation results indicated significant increase in observable leadership skills (most notably strategic perspective). Five of the LDA participants completed the year-long program with a promotion to a more significant leadership position within OCTA.
- Created and administered OCTA-wide training for the Halogen Performance Management Software.
- Continued OCTA's Mentor Program with 40% of the existing pairs continuing in the program and ten new pairs joining.
- Administered a leadership assessment and development initiative called "Extraordinary Leader" to 30 managers and directors, resulting in identification of several collective competency strengths including Strategic Perspective, Drives for Results, and Networking.
- At the request of the American Public Transportation Association (APTA), developed and delivered a nationwide webinar on Interpersonal Skills for a Supervisor Training Program. The OCTA presentation was the highest-attended module (over 200 sites checked in) and had the lowest drop-out rate of the four authorities invited to present.
- In response to a registered need, developed the Job Shadow Rotation where participants in the Leadership Development Academy were scheduled to shadow each of the Division Directors for half days to full days, learning the division's function and the Director's leadership style. This exposure activity was well-received by both participants and executives.

Management Services Department

- OCTA Strategic Plan:
 - Led the project to develop and write the first ever OCTA Strategic Plan. The OCTA Strategic Plan was approved by the OCTA Board of Directors in February 2011.
 - Completed conceptual and detail design of a system for tracking strategic accomplishments and reporting metrics from the OCTA Strategic Plan. The system utilizes Business Objects software to present metrics graphically utilizing near real-time data. Worked with OCTA Information Systems Department to set-up a test environment for the OCTA Strategic Plan reporting system using the Finance & Administration Division as the prototype division.
 - Worked with the HR Department to revise

employee performance evaluations to track against the goal areas related to the OCTA Strategic Plan

- CEO Initiatives and Action Plan:
 - Tracked, and reported the 2011 CEO Initiatives and Action Plan to the OCTA Board of Directors.
 - Developed top-down approach for developing and reporting the 2012 CEO Initiatives and Action Plan.
 - Designed, built, and implemented a Microsoft Access database for tracking and reporting the CEO and Executive Directors status, and performance against the CEO Initiatives and Action Plan.

Goals Fiscal Year 2012-13

Health, Safety, and Environmental Compliance (HS&EC) Department

- Complete an Industrial Hygiene (IH) assessment to identify area and task exposures. Develop an IH guidance plan outlining future study schedules and budget allocations for ongoing compliance assurance.
- Conduct an environmental source review per American Public Transportation Association (APTA) Sustainability Comment guidelines and develop parameters for future impact assessments.
- Identify and gather employee wellness statistics to use in developing occupational health initiatives, reducing workplace injuries, lowering health care costs, and mitigating workers compensation costs.
- Work with the Transit analysis group to evaluate the current accident data sources, identify duplicate efforts, establish common terminology and reporting standards, and explore the possibility of co-developing an interactive dashboard and reporting tool.
- Develop the tools necessary to track ongoing construction site visits, compliance assessments, timely closure of observations, incident tracking, and a contractor scorecard in association with compliance management.
- Aid in the successful project completion of the underground storage tank removal, while ensuring adherence to applicable state and local regulations.

Human Resources (HR) Department

- Increase HR's internal customer satisfaction rating from 65% to 90% based on the Human Resources Customer Service Survey results distributed in January 2011. Implement changes to HR processes in Employment, Compensation and Benefits to better meet the customer needs.
- Implement a HR Advisor campaign to better communicate with the customer base. Attend meetings and provide action plans committing to a responsive HR Department.

Division Accomplishments & Goals (continued)

- Partnering with the HS&EC Department to develop a Health Risk Management Program by implementing a Wellness Program that utilizes metrics to measure results of employees' efforts. These results may be used to reduce health care costs in the future.
- Conduct a Talent Review Process to establish a two-year baseline of data. Utilize this information to implement a Succession Planning Program in Spring 2013.
- Implement E-Compensation as part of the Halogen Performance Management System to assist managers with establishing merit increases resulting from performance ratings.
- Work with a strategic committee to create a Pension Reform Strategy.
- Evaluate the current compensation philosophy. Ensure HR is providing current and fair compensation to active employees as well as for outside talent. Establish a committee to review and recommend changes to our current practices, as applicable.
- Upgrade the Electronic Employment Management Tool to better manage the hiring process.

Labor & Employee Relations (L&ER) Department

- Continue to provide workplace harassment and discrimination prevention training to all employees and to track compliance with AB 1825.
- Provide on-going support and informational programs for management to include the "how to" of coaching and counseling, disciplinary actions, documenting personnel actions, and conducting an interactive process.
- Develop and submit the annual Equal Employment Opportunity/Affirmative Action Plan (EEO/AAP) as required by the Federal Transit Administration (FTA).
- Develop and submit the annual Title VI Report as required by the Federal Transit Administration (FTA).
- Provide timely investigations of discrimination and harassment complaints and provide appropriate recommendations to management. For external agency complaints, investigate and submit the employer's response to the complaint within state and federal requirements.
- Monitor grievance procedures, provide timely responses to third step grievances, and prepare grievance arbitrations.
- Complete the coach operator collective bargaining agreement negotiations.

Risk Management Department

- Provide cost-effective insurance coverage to protect the OCTA's assets
- Manage OCTA's self-insurance programs within legal compliance

- Provide professional and timely customer service to those presenting claims while acting as a good steward of public funds
- Continue to effectively resolve liability claims and reduce liability claims cost.
- Continue to effectively manage OCTA's workers' compensation program to reduce claims and related administrative expenses.
- Continue to improve and enhance OCTA's subrogation process to maximize recoveries for all OCTA losses caused by third parties.
- Continue to detect, investigate, and prosecute all fraudulent claims.

Training and Development Department

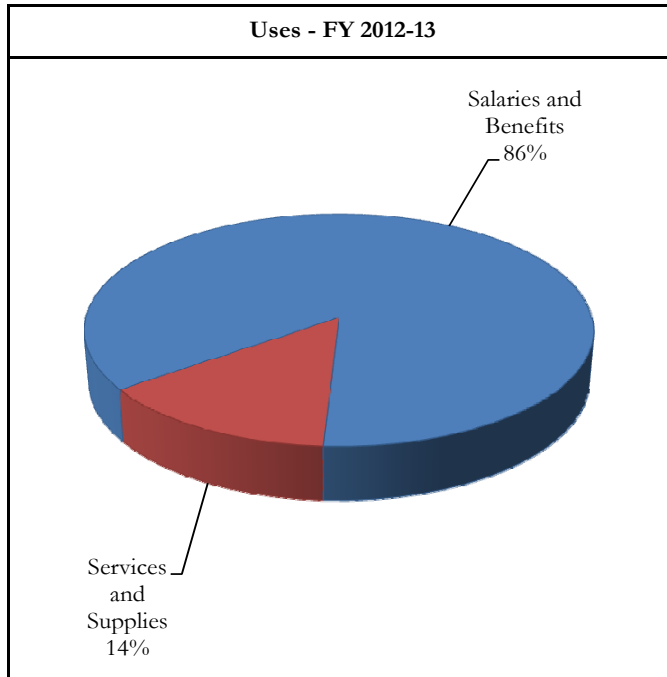
- Launch the 2012 class of the Leadership Development Academy.
- Develop and launch three additional Supervisor Training modules.
- Formally implement the Core Competencies in the hiring process.
- Produce and circulate videos explaining the 16 Core Competencies.
- Deliver a business writing program with measurable, positive results.

Management Services Department

- OCTA Strategic Plan:
 - Expand the implementation of the Board approved OCTA Strategic Plan to include a performance based management structure which is incorporated into employee performance reviews and OCTA's budget process. In addition, develop a corresponding set of performance metrics that will collect and report the accomplishments.
 - Complete build out and implement a Business Objects Strategic Plan reporting system. Finalize all division metrics and set-up reporting structure within Business Objects software. Develop reports and publish reports on OCTA's internet and intranet.
- CEO Initiatives and Action Plan:
 - Develop top-down approach to developing 2013 CEO Initiatives and Action Plan.
 - Continue development of Microsoft Access reporting database by integrating it with the Finance & Administration Division's budget system. Tie initiatives and strategies to budget line items to track personnel time and costs against projects. Train all personnel on how to use the functionality of the CEO Initiatives and Action Plan database.

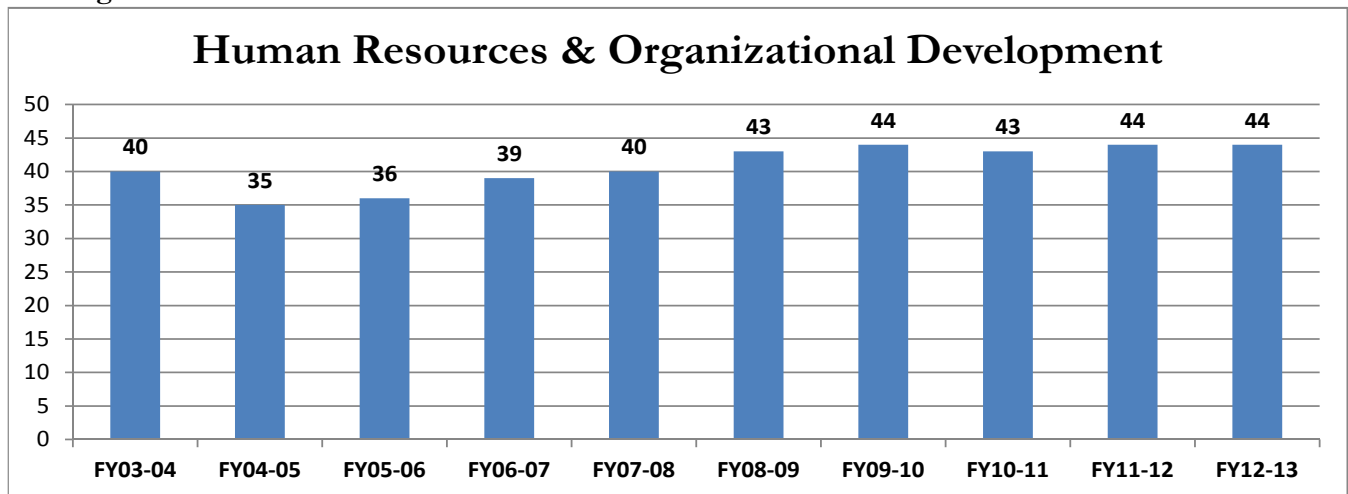
Human Resources and Organizational Development

Human Resources & Organizational Development



Uses	Amount
Salaries and Benefits	\$ 5,876,517
Services and Supplies	968,406
Total Uses	\$ 6,844,923

Staffing Plan



Human Resources and Organizational Development

Division Staffing

Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
Human Resources	19	19	19
Training and Development	4	4	4
Risk Management	7	7	7
Workforce Development	2	3	2
Labor & Employee Relations	5	5	5
Management Services	0	0	1
Safety	6	6	6
Total Human Resources & Organizational Develop	43	44	44

Human Resources and Organizational Development

Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Human Resources</u>			
Benefit Analyst	3	3	3
Business Systems Analyst	1	1	1
Compensation Analyst	2	3	3
Department Manager	1	1	1
HR Assistant	2	2	2
HR Business Partner	1	0	0
Human Resources Representative	3	3	3
Office Specialist	4	4	4
Section Manager	2	2	2
Subtotal Human Resources	19	19	19
<u>Training and Development</u>			
Department Manager	1	1	1
Office Specialist	1	1	1
Training & Development Administrator	1	1	1
Training & Development Specialist	1	1	1
Subtotal Training and Development	4	4	4
<u>Risk Management</u>			
Administrative Specialist	2	2	2
Claims Representative	2	2	2
Department Manager	1	1	1
Office Specialist	1	1	1
Section Manager	1	1	1
Subtotal Risk Management	7	7	7
<u>Workforce Development</u>			
Administrative Assistant	1	1	1
Executive Director	1	1	1
Special Assignment	0	1	0
Subtotal Workforce Development	2	3	2
<u>Labor & Employee Relations</u>			
Administrative Specialist	1	1	1
Department Manager	1	1	1
Employee Relations Rep	3	3	3
Subtotal Labor & Employee Relations	5	5	5
<u>Management Services</u>			
Special Assignment	0	0	1
Subtotal Management Services	0	0	1
<u>Safety</u>			
Department Manager	1	1	1
Loss Control Analyst	1	0	0
Safety, Health & Environmental Specialist	3	4	4
Special Assignment	1	1	1
Subtotal Safety	6	6	6
Total Human Resources & Organizational Develo	43	44	44

Human Resources and Organizational Development

Division Expenses

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	2,916,761	3,013,022	3,048,742
7150 Extra Help Employees	33,126	69,000	95,000
7209 Deferred Compensation	70,800	80,463	89,155
7210 Pensions	950,859	1,015,939	1,058,763
7220 Insurances	91,206	94,087	101,562
7240 Health Care	564,979	673,001	694,977
7260 Compensated Absences	387,724	389,028	393,637
7270 Workers Compensation	102,560	78,315	61,247
7280 Other Benefits	259,819	208,555	333,434
Subtotal Salaries and Benefits	\$ 5,377,834	\$ 5,621,410	\$ 5,876,517
<u>Services and Supplies</u>			
7510 Professional Services	662,720	638,338	625,845
7610 Outside Services	17,939	47,300	32,300
7630 Advertising Fees	25,852	35,000	40,000
7640 Utilities	250	500	0
7650 Travel, Training, and Mileage	81,230	94,344	92,140
7660 Office Expense	28,838	74,851	82,988
7670 Miscellaneous Expense	57,996	66,825	68,573
7690 Leases	687	1,800	1,800
7790 Other Materials and Supplies	14,706	24,580	24,760
Subtotal Services and Supplies	\$ 890,218	\$ 983,538	\$ 968,406
Total Uses	\$ 6,268,052	\$ 6,604,948	\$ 6,844,923

Human Resources and Organizational Development

Division Expenses by Department

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
112 Human Resources	2,132,270	2,154,927	2,216,440
113 Training and Development	537,949	547,138	572,056
116 Risk Management	802,144	783,097	824,785
119 Workforce Development	444,257	602,557	455,129
120 Labor & Employee Relations	640,871	636,339	694,487
121 Management Services	0	0	183,850
804 Safety	820,343	897,352	929,770
Subtotal Salaries and Benefits	\$ 5,377,834	\$ 5,621,410	\$ 5,876,517
<u>Services and Supplies</u>			
112 Human Resources	495,032	379,606	385,326
113 Training and Development	117,168	142,369	167,116
116 Risk Management	11,757	11,516	11,946
119 Workforce Development	9,693	17,600	16,229
120 Labor & Employee Relations	31,196	50,961	60,099
121 Management Services	0	0	1,700
804 Safety	225,372	381,486	325,990
Subtotal Services and Supplies	\$ 890,218	\$ 983,538	\$ 968,406
Total Expenses	\$ 6,268,052	\$ 6,604,948	\$ 6,844,923

Human Resources and Organizational Development

Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Human Resources			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,176,063	1,175,977	1,177,682
7209 Deferred Compensation	12,987	18,522	22,408
7210 Pensions	373,431	395,694	406,782
7220 Insurances	36,128	37,056	40,092
7240 Health Care	287,574	302,365	312,138
7260 Compensated Absences	135,161	151,915	152,133
7270 Workers Compensation	40,413	31,873	23,670
7280 Other Benefits	70,513	41,525	81,535
Subtotal Salaries and Benefits	\$ 2,132,270	\$ 2,154,927	\$ 2,216,440
<u>Services and Supplies</u>			
7510 Professional Services	420,682	254,805	263,481
7610 Outside Services	2,665	5,000	5,000
7630 Advertising Fees	25,852	35,000	40,000
7650 Travel, Training, and Mileage	15,790	27,385	26,089
7660 Office Expense	15,994	29,451	26,500
7670 Miscellaneous Expense	14,049	27,965	24,256
Subtotal Services and Supplies	\$ 495,032	\$ 379,606	\$ 385,326
Human Resources Total Expenses	\$ 2,627,302	\$ 2,534,533	\$ 2,601,766
Training and Development			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	240,104	240,505	236,756
7150 Extra Help Employees	13,737	12,000	12,000
7209 Deferred Compensation	2,799	3,166	3,931
7210 Pensions	77,077	81,414	82,226
7220 Insurances	8,227	7,678	8,052
7240 Health Care	51,196	65,689	61,226
7260 Compensated Absences	35,988	31,068	30,582
7270 Workers Compensation	8,769	6,270	4,758
7280 Other Benefits	100,052	99,348	132,525
Subtotal Salaries and Benefits	\$ 537,949	\$ 547,138	\$ 572,056
<u>Services and Supplies</u>			
7510 Professional Services	62,996	80,519	102,000
7650 Travel, Training, and Mileage	42,296	31,700	20,751
7660 Office Expense	3,122	25,000	37,000
7670 Miscellaneous Expense	8,718	5,150	7,365
7790 Other Materials and Supplies	36	0	0
Subtotal Services and Supplies	\$ 117,168	\$ 142,369	\$ 167,116
Training and Development Total Expenses	\$ 655,117	\$ 689,507	\$ 739,172

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Human Resources and Organizational Development

Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Risk Management			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	434,004	421,432	438,410
7209 Deferred Compensation	13,014	12,407	14,325
7210 Pensions	144,869	141,802	151,430
7220 Insurances	13,996	13,349	14,797
7240 Health Care	82,461	115,133	112,566
7260 Compensated Absences	50,696	54,440	56,633
7270 Workers Compensation	15,576	10,785	8,813
7280 Other Benefits	47,528	13,749	27,811
Subtotal Salaries and Benefits	\$ 802,144	\$ 783,097	\$ 824,785
<u>Services and Supplies</u>			
7640 Utilities	250	500	0
7650 Travel, Training, and Mileage	7,937	7,416	7,698
7660 Office Expense	2,538	2,500	2,888
7670 Miscellaneous Expense	1,032	1,100	1,360
Subtotal Services and Supplies	\$ 11,757	\$ 11,516	\$ 11,946
Risk Management Total Expenses	\$ 813,901	\$ 794,613	\$ 836,731
Workforce Development			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	246,916	327,393	230,914
7209 Deferred Compensation	26,246	29,945	26,870
7210 Pensions	83,037	110,160	82,419
7220 Insurances	6,720	9,981	7,608
7240 Health Care	33,807	55,782	49,033
7260 Compensated Absences	29,981	42,290	29,829
7270 Workers Compensation	8,370	7,194	4,641
7280 Other Benefits	9,180	19,812	23,815
Subtotal Salaries and Benefits	\$ 444,257	\$ 602,557	\$ 455,129
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	6,528	13,100	11,729
7660 Office Expense	2,266	900	900
7670 Miscellaneous Expense	899	1,600	1,600
7790 Other Materials and Supplies	0	2,000	2,000
Subtotal Services and Supplies	\$ 9,693	\$ 17,600	\$ 16,229
Workforce Development Total Expenses	\$ 453,950	\$ 620,157	\$ 471,358

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Human Resources and Organizational Development

Department Expenses

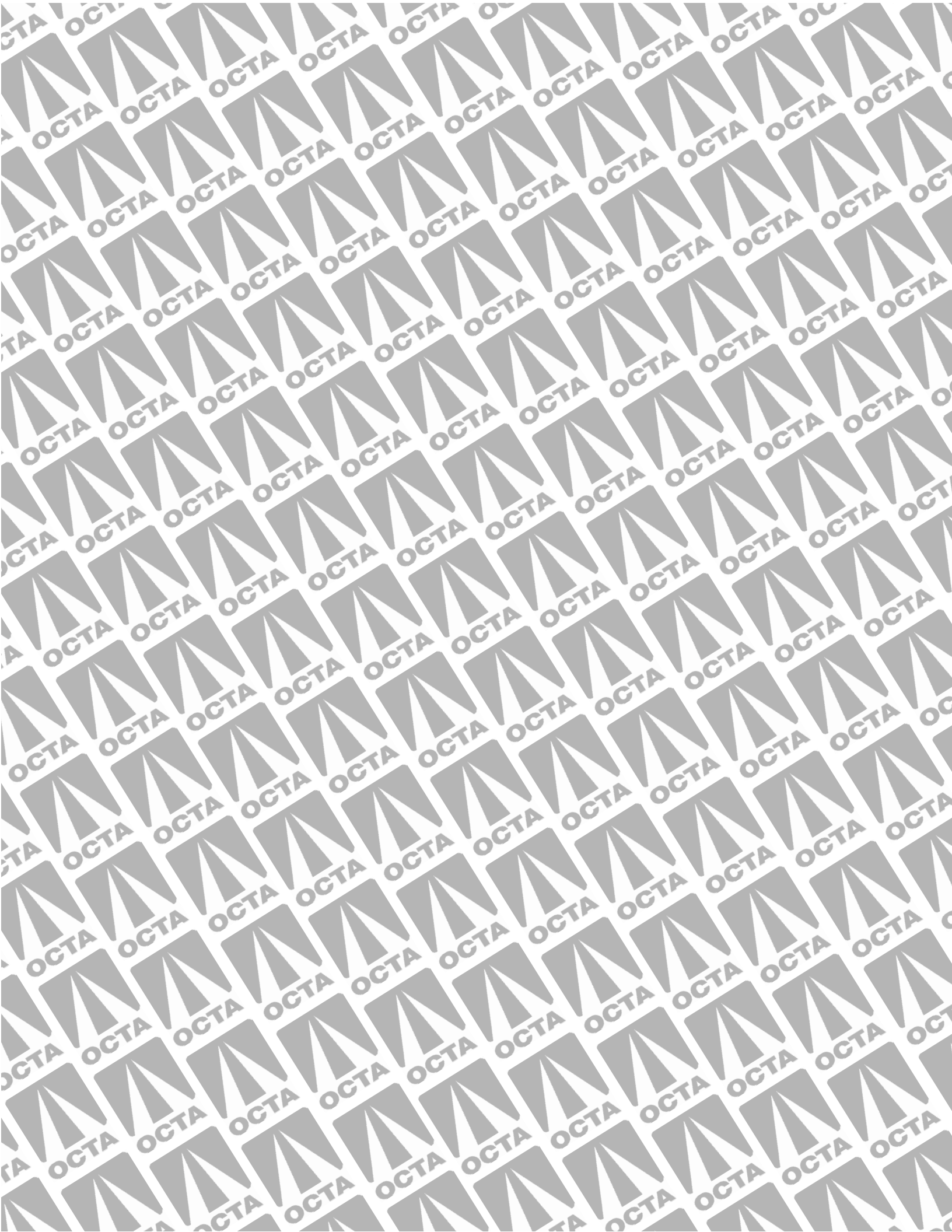
Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Labor & Employee Relations			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	375,455	361,985	372,799
7150 Extra Help Employees	13,960	27,000	43,000
7209 Deferred Compensation	6,755	7,196	7,079
7210 Pensions	126,073	122,307	129,862
7220 Insurances	11,939	11,287	12,299
7240 Health Care	25,504	36,667	48,944
7260 Compensated Absences	45,189	46,567	47,964
7270 Workers Compensation	13,374	10,068	7,464
7280 Other Benefits	22,622	13,262	25,076
Subtotal Salaries and Benefits	\$ 640,871	\$ 636,339	\$ 694,487
<u>Services and Supplies</u>			
7510 Professional Services	8,362	24,500	31,600
7610 Outside Services	10,947	10,000	10,000
7650 Travel, Training, and Mileage	3,288	4,926	4,814
7660 Office Expense	2,861	4,500	4,500
7670 Miscellaneous Expense	5,738	7,035	9,185
Subtotal Services and Supplies	\$ 31,196	\$ 50,961	\$ 60,099
Labor & Employee Relations Total Expenses	\$ 672,067	\$ 687,300	\$ 754,586
Management Services			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	0	0	106,301
7150 Extra Help Employees	0	0	10,000
7209 Deferred Compensation	0	0	2,257
7210 Pensions	0	0	37,092
7220 Insurances	0	0	3,221
7240 Health Care	0	0	2,400
7260 Compensated Absences	0	0	13,732
7270 Workers Compensation	0	0	2,137
7280 Other Benefits	0	0	6,710
Subtotal Salaries and Benefits	\$ 0	\$ 0	\$ 183,850
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	0	0	1,500
7660 Office Expense	0	0	200
Subtotal Services and Supplies	\$ 0	\$ 0	\$ 1,700
Management Services Total Expenses	\$ 0	\$ 0	\$ 185,550

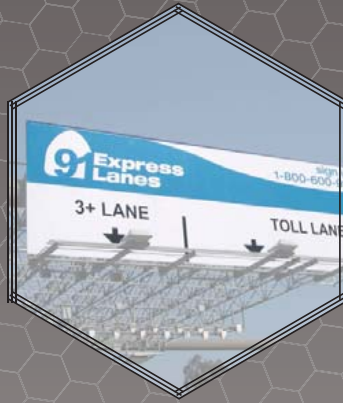
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Human Resources and Organizational Development

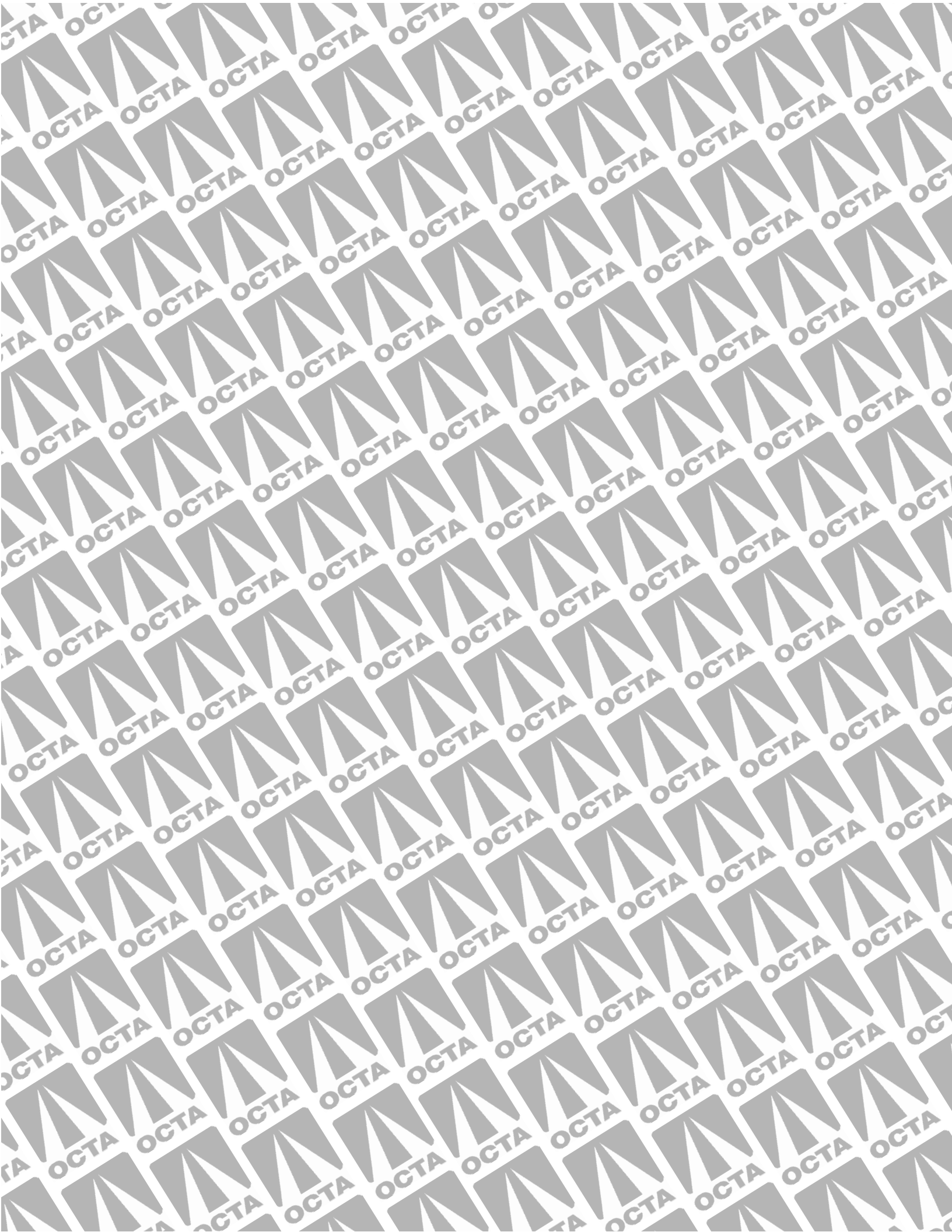
Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Safety			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	444,219	485,730	485,880
7150 Extra Help Employees	5,429	30,000	30,000
7209 Deferred Compensation	8,999	9,227	12,285
7210 Pensions	146,372	164,562	168,952
7220 Insurances	14,196	14,736	15,493
7240 Health Care	84,437	97,365	108,670
7260 Compensated Absences	90,709	62,748	62,764
7270 Workers Compensation	16,058	12,125	9,764
7280 Other Benefits	9,924	20,859	35,962
Subtotal Salaries and Benefits	\$ 820,343	\$ 897,352	\$ 929,770
<u>Services and Supplies</u>			
7510 Professional Services	170,680	278,514	228,764
7610 Outside Services	4,327	32,300	17,300
7650 Travel, Training, and Mileage	5,391	9,817	19,559
7660 Office Expense	2,057	12,500	11,000
7670 Miscellaneous Expense	27,560	23,975	24,807
7690 Leases	687	1,800	1,800
7790 Other Materials and Supplies	14,670	22,580	22,760
Subtotal Services and Supplies	\$ 225,372	\$ 381,486	\$ 325,990
Safety Total Expenses	\$ 1,045,715	\$ 1,278,838	\$ 1,255,760



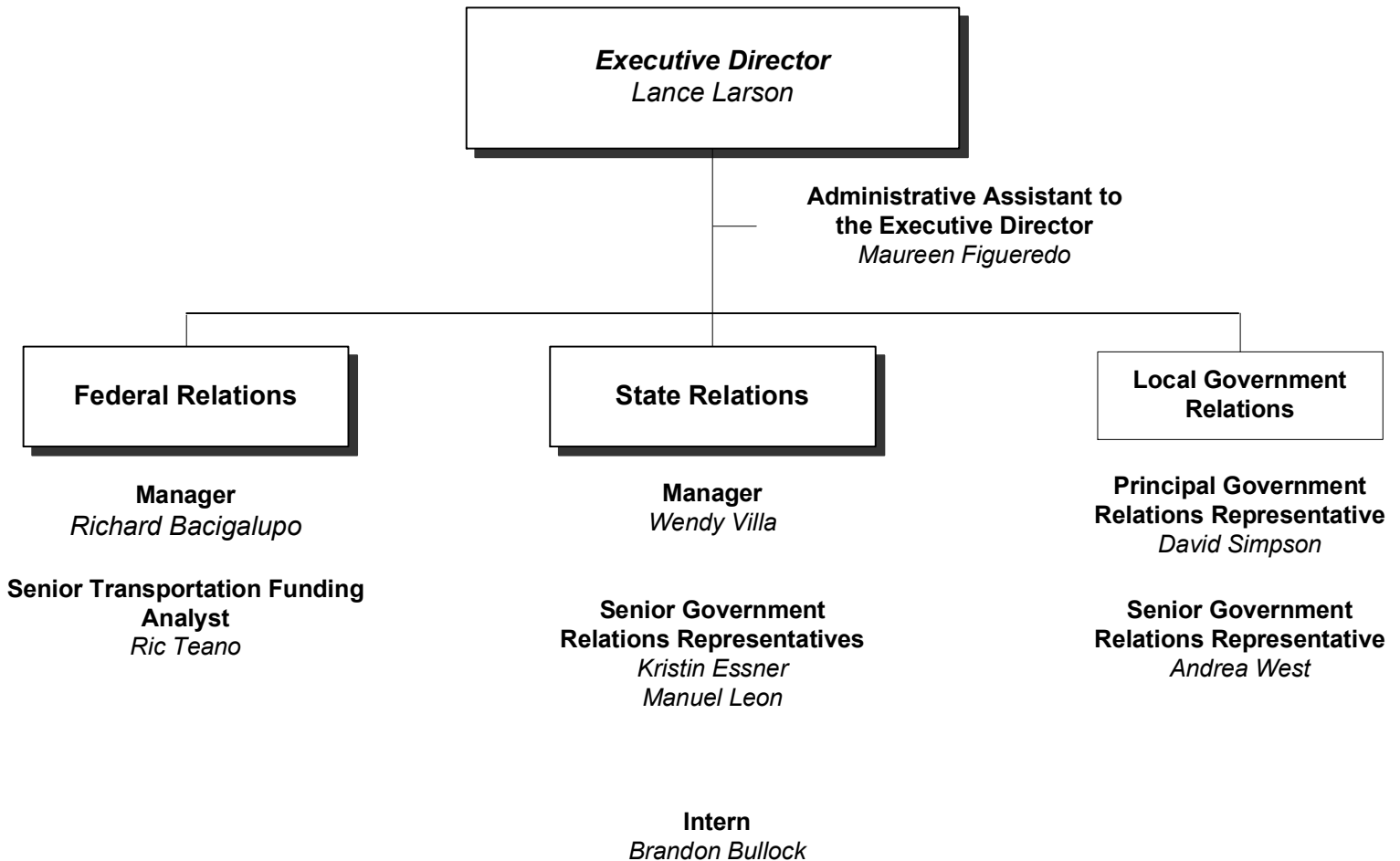


GOVERNMENT RELATIONS



Division Organizational Chart

**Orange County Transportation Authority
Government Relations Division**



Division Narrative

The **Executive Director of Government Relations** is responsible for providing management direction to Federal, State and Local 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 local levels, establishing and executing strategic plan initiatives, and fostering an environment conducive to employee development.

The **Government Relations Department**, in addition to the services described below, provides both leadership and oversight for the administration of the Orange County Council of Governments through a memorandum of understanding. This help facilitates the implementation of SB 375 (Chapter 728, Statutes of 2008) and other collaborative initiatives.

The **Local Government Relations Department** serves as liaison between OCTA and Orange County cities, the County of Orange and other special districts and stakeholders throughout the County. In an effort to help facilitate, promote, develop, and implement OCTA's priorities, programs, projects, and services, constant communication with local governments is essential to ensure the needs of the region are being met. This also involves working with the cities as they consider various transportation issues locally. Local Government Relations also works closely with other members of the team to advance OCTA's state and federal initiatives, helping to build partnerships and consensus on the issues most important to our region. Lastly, communication between the members of the Board of Directors and executive staff with the local government agencies is a vital component of their work, helping to ensure OCTA is engaged in the community.

The **Federal Relations Department** is responsible for serving as OCTA's liaison with Members of the United State Congress and federal agencies, securing federal funding, influencing legislative and regulatory actions, and assisting in the development and execution of a federal legislative agenda in Washington D.C. as adopted by the Board of Directors. The department works with state and national advocacy groups, as well as regional stakeholders to influence federal transportation discussions regarding industry-wide legislative and regulatory actions.

The **State Relations Department** is responsible for serving as OCTA's liaison with Members of the California State Legislature and State agencies advancing OCTA's legislative and regulatory priorities at the state level, as adopted by the Board of Directors. Following the adoption of the annual

state legislative platform, the department works to influence legislative and regulatory actions in Sacramento to promote transportation needs, funding priorities, and policies that enable OCTA to provide the right mix of programs and services to fit the needs of the county. The department works with other local and regional agencies, state agencies, transit operators, environmental advocates, labor leaders, business advocacy groups, and other industry stakeholders to advance policies and programs that benefit Orange County.

The **Grants Department** 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 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. The department is responsible for the timely performance of grants and ensures the responsible use of grant revenues.

Division Accomplishments & Goals

Accomplishments Fiscal Year 2011-12

Local Government

- Coordinated presentations to all 34 city councils and the county on the closeout of Measure M.
- Outreach to all cities on the closeout of the SAAV program.
- Worked with all cities as OCTA completed the closeout of the M1 program and that 100 percent of local jurisdictions are adequately prepared to be found eligible for the implementation of M2 programs and funding. This also included ensuring all cities submitted their first expenditure report for M2.
- Worked with all cities on the development of the Systemwide Transit Study and incorporated their comments into the final plan.

Federal Relations

- Successfully incorporated recommendations from the OCTA's Breaking Down Barriers report into separate legislation in the Breaking Down Barriers Act of 2011, and into both the Senate and House versions of transportation reauthorization legislation.
- Successfully worked to reinstate the 2.86 cents dedicated gas tax funding for transit as part of the House transportation reauthorization legislation.
- Successfully extended the alternative fuel tax credit until end of calendar year 2011, saving OCTA approximately \$4 million annually.
- Worked with House Transportation and Infrastructure

Division Accomplishments & Goals

Committee staff and prepared testimony for OCTA Director Amante's appearance at a hearing on California high speed rail.

- Secured regional support for OCTA legislative positions on a range of transportation reauthorization issues, working closely with the Southern California Legislative Roundtable, including their support for OCTA Breaking Down Barriers recommendations and alternative fuel tax credit extension
- Garnered state-wide support for OCTA federal reauthorization legislative positions as Chair of the California Transportation Authority Federal Reauthorization Task Force.

State Relations

- Ensured that the funding streams provided by the state for transit, highways, and local streets and roads were protected by working to secure their reenactment to comply with the terms of Propositions 22 and 26, passed in November 2010
- Worked to ensure that transportation projects receive priority during bond sales and effectively communicated the impacts of possible funding delays
- Secured legislation to allow for the more efficient implementation of the employer pull-notice program for the Orange County Tax Administration Program
- Collaborated with the South Coast Air Quality Management District to integrate a more balanced approach to their Energy Policy to include a variety of transportation strategies
- Prevented the passage of damaging legislation which would have threatened highway projects in Orange County and reduced alternative project delivery flexibility by instituting additional hurdles for existing authority
- Advocated for a reasonable, flexible, economically viable and balanced approach as regulations and follow up legislation to AB 32 (Chapter 488, Statutes of 2006) and SB 375 (Chapter 728, Statutes of 2008) were considered

Goals Fiscal Year 2012-13

Local Government

- Reinforce and expand OCTA's positive image by remaining visible and proactive on behalf of local jurisdictions across the region.
- Work with I-405 project team to engage corridor cities and stakeholders in the process of identifying a Locally Preferred Alternative.
- Conduct one-on-one briefings with city council

members on each of our active construction projects (SR-57, WCC, OC Bridges, SR-91, etc).

- Work with executive management on OCTA Board turnover in November.
- Conduct briefings with newly elected council members.

Federal Relations

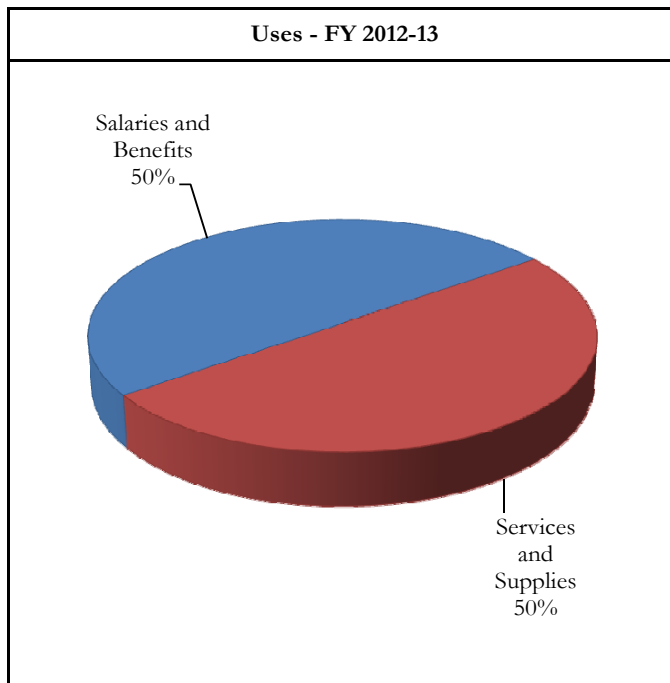
- Advocate for transportation reauthorization legislation which provides a stable and reliable source of multi-year funding, and provides a fair share of funding to Orange County.
- Continue to advocate for a permanent extension of the alternative fuel tax credit.
- Continue to advocate for the implementation of the recommendations of the Breaking Down Barriers initiative at the federal legislative, regulatory and policy levels.
- Working in conjunction with the rail project delivery group, advocate for the advancement and funding of the fixed guideway new start projects in Anaheim and Santa Ana.
- Continue to raise the national profile of OCTA as a primary entity to be consulted regarding transportation issues in Southern California, as they relate to federal transportation funding and regulatory matters.

State Relations

- Continue to work towards a reasonable, flexible, economically viable and balanced approach to the implementation efforts related to AB 32 and SB 375, including working with other stakeholders to expand California Environmental Quality Act streamlining to transit and other transportation projects; reasonable and cost-sensitive implementation of zero-emission bus regulations; and carefully considering the implementation of the cap and trade program and seek to align revenues with transportation projects.
- Support efforts to maintain alternative project delivery authority and ensure its successful implementation.
- Advocate for programs and policies that allow OCTA to deliver its projects and services, maintaining local control to ensure that services are delivered in the most efficient and effective manner.
- Seek legislation to allow for better coordination of services in the San Luis Obispo-Los Angeles-San Diego rail corridor.
- Support efforts to bring road and highway regulations related bus vehicle weight into conformity with current vehicles and requirements.

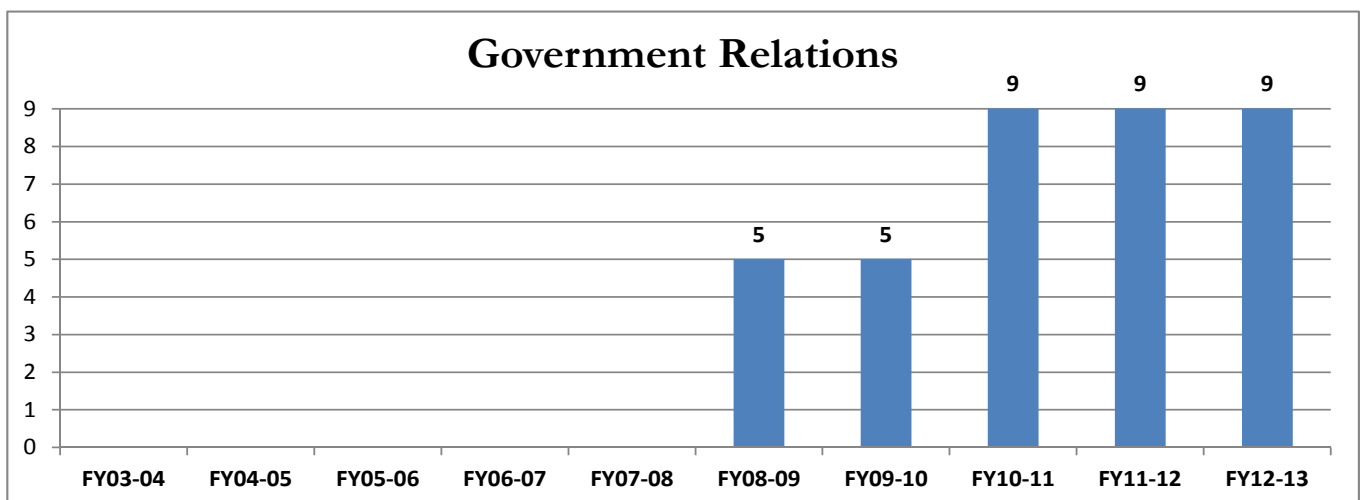
Government Relations

Government Relations



Uses	Amount
Salaries and Benefits	\$ 1,513,588
Services and Supplies	1,512,936
Total Uses	\$ 3,026,524

Staffing Plan



Division Staffing

Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
Director, Government Relations	9	9	9
Total Government Relations	9	9	9

Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Director, Government Relations</u>			
Administrative Assistant	1	1	1
Department Manager	2	2	2
Director	1	1	1
Government Relations Representative	4	4	4
Grants Technician	1	1	1
Subtotal Director, Government Relations	9	9	9
Total Government Relations	9	9	9

Government Relations

Division Expenses

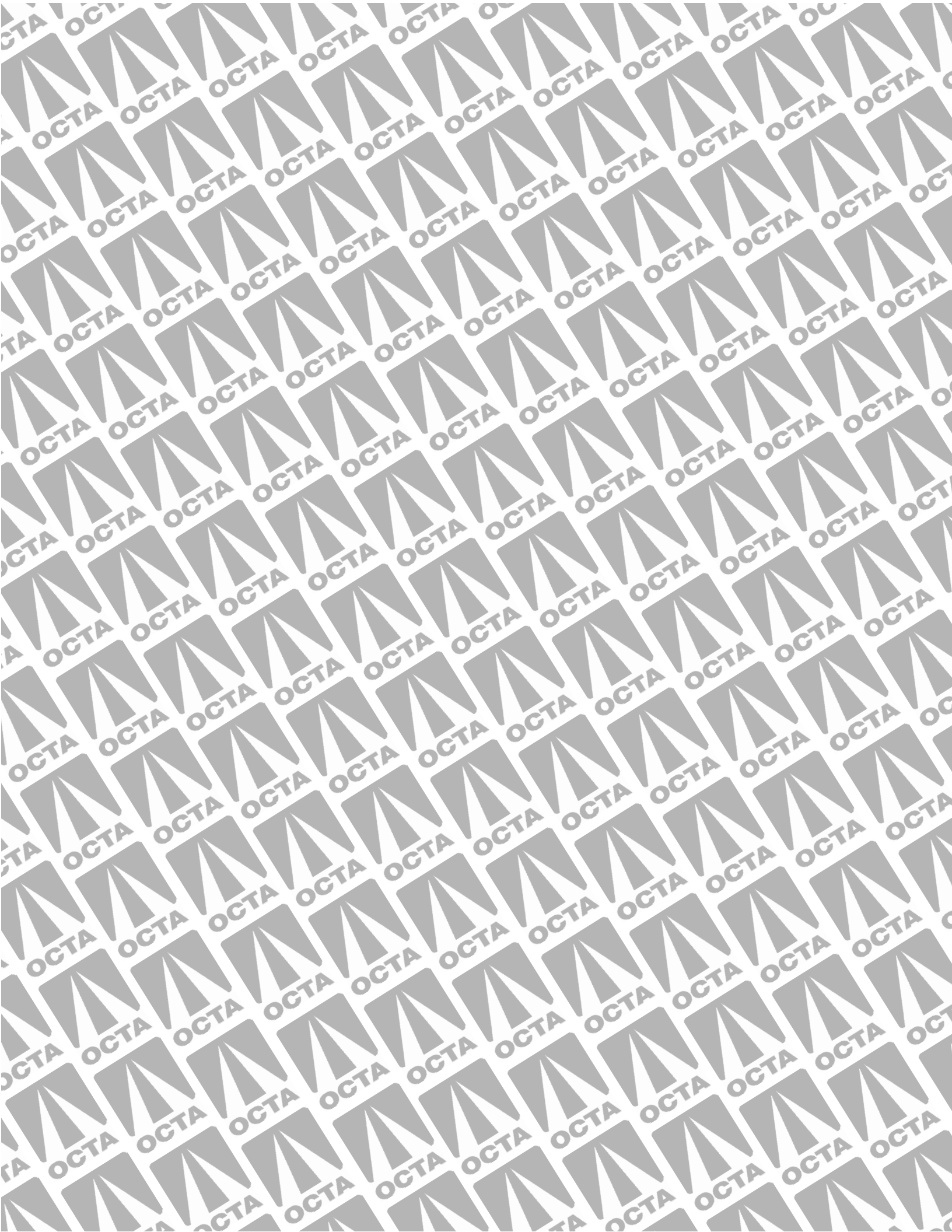
Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	761,808	788,831	803,036
7150 Extra Help Employees	12,061	15,000	30,000
7209 Deferred Compensation	29,360	36,294	38,392
7210 Pensions	241,879	265,987	281,159
7220 Insurances	24,042	23,836	25,473
7240 Health Care	108,561	150,106	150,204
7260 Compensated Absences	108,190	101,901	103,734
7270 Workers Compensation	26,864	20,296	16,140
7280 Other Benefits	37,603	40,115	65,450
Subtotal Salaries and Benefits	\$ 1,350,368	\$ 1,442,366	\$ 1,513,588
<u>Services and Supplies</u>			
7510 Professional Services	1,814,713	40,000	1,368,000
7610 Outside Services	30	1,500	1,500
7640 Utilities	0	40	0
7650 Travel, Training, and Mileage	32,528	73,459	64,559
7660 Office Expense	6,622	6,900	10,100
7670 Miscellaneous Expense	94,103	50,447	68,277
7790 Other Materials and Supplies	18	500	500
7830 Contributions to Other Agencies	1,868,369	0	0
Subtotal Services and Supplies	\$ 3,816,383	\$ 172,846	\$ 1,512,936
Total Uses	\$ 5,166,751	\$ 1,615,212	\$ 3,026,524

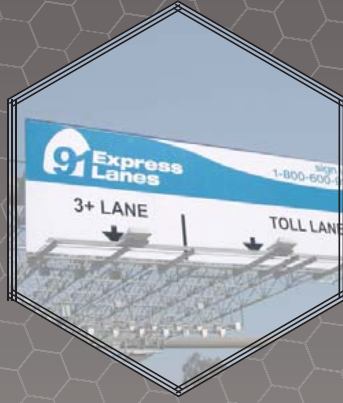
Division Expenses by Department

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
300 Director, Government Relations	1,350,368	1,442,366	1,513,588
Subtotal Salaries and Benefits	\$ 1,350,368	\$ 1,442,366	\$ 1,513,588
<u>Services and Supplies</u>			
300 Director, Government Relations	3,816,383	172,846	1,512,936
Subtotal Services and Supplies	\$ 3,816,383	\$ 172,846	\$ 1,512,936
Total Expenses	\$ 5,166,751	\$ 1,615,212	\$ 3,026,524

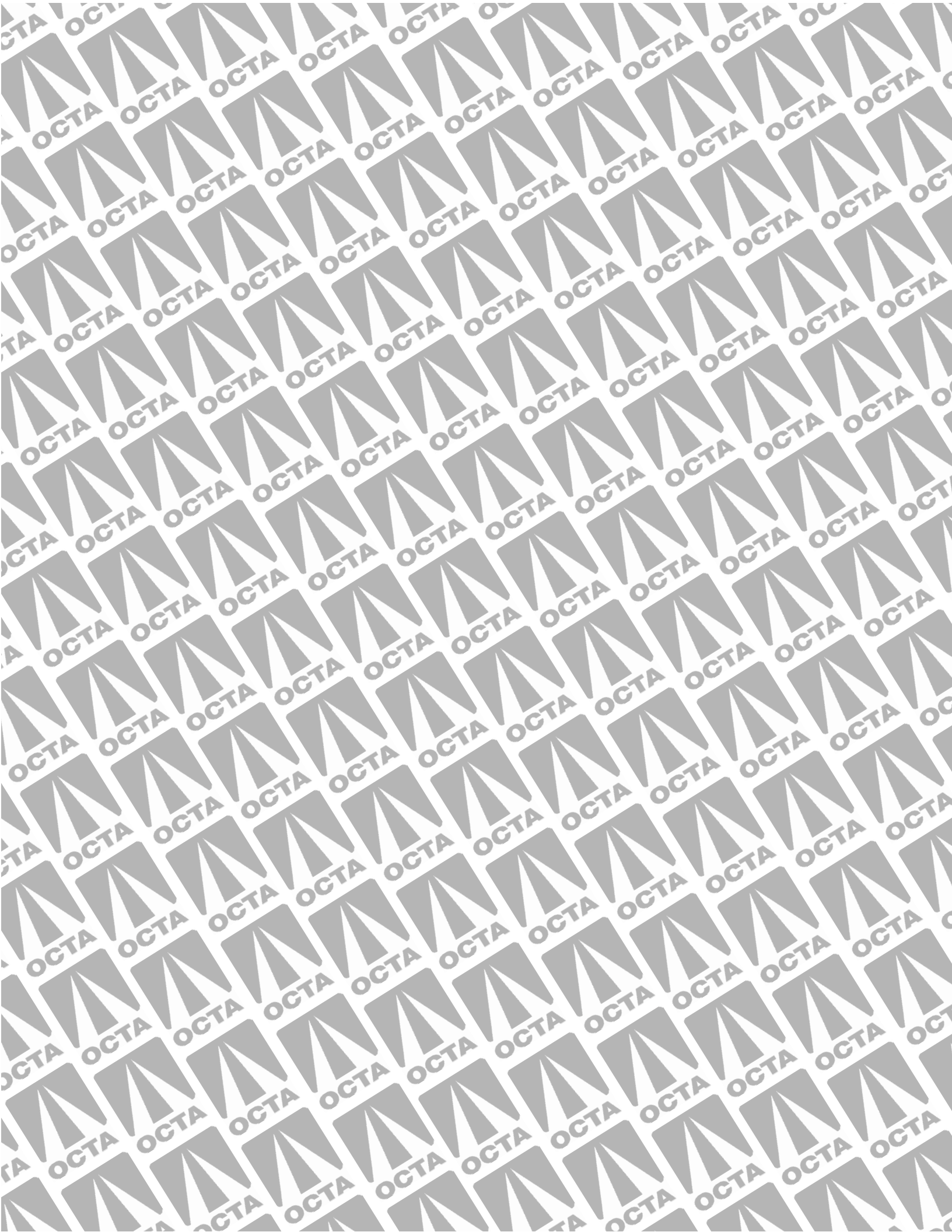
Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Director, Government Relations			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	761,808	788,831	803,036
7150 Extra Help Employees	12,061	15,000	30,000
7209 Deferred Compensation	29,360	36,294	38,392
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Director, Government Relations Total Expenses	\$ 5,166,751	\$ 1,615,212	\$ 3,026,524



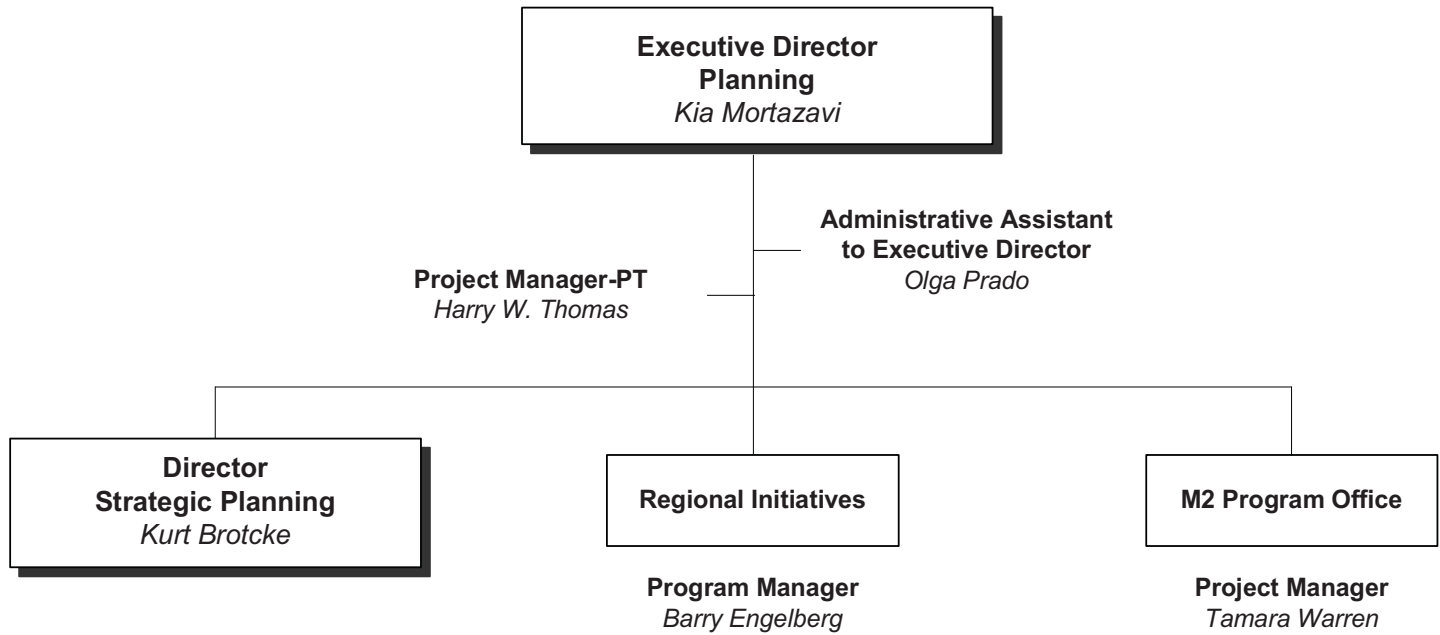


PLANNING



Division Organization Chart

**Orange County Transportation Authority
Planning Division**



Division Narrative

OCTA's **Planning Division** is responsible for developing future transportation solutions and securing funding for projects in collaboration with local and regional transportation agencies while ensuring adherence to 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 projects that meet the mobility needs of Orange County, consistent with the OCTA Strategic Plan.

Critical planning and programming tasks are carried out through the four core functions of the Planning Division:

- Planning
- Programming
- Regional Coordination
- Program Management

The Planning function brings a multi-disciplinary team together to plan for major new projects and programs. Additionally, this team provides analytic support such as environmental review, transportation modeling, traffic signal synchronization, and geographic information system capabilities for other OCTA divisions and outside agencies (e.g., Orange County cities). The Programming function recommends funding for major new projects and programs – through M2 competitive programs, as well as with state and federal funds. The Regional Coordination function oversees the development of regional (multi-county) initiatives consistent with OCTA policies and priorities. The Program Management function ensures compliance with the M2 Ordinance including leading the required periodic reviews and development of plan adjustments.

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

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, 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 project, or street or bikeway projects) that consider possible locations, timing, modes, and fund sources.

Below is a summary of each of the sections within the Planning Division.

Long Range Planning and Corridor Studies

The Long Range Planning and Corridor Studies section develops transportation project concepts for specific travel corridors and areas of the County, and then further develops these concepts in the preliminary engineering phase. The concepts contain the necessary environmental and technical details to qualify a specific freeway project for state and federal funds. Major activities include:

- Developing and maintaining OCTA's Long-Range Transportation Plan (LRTP) and working with the Southern California Association of Governments (SCAG) on the development of the Regional Transportation Plan (RTP). The LRTP is OCTA's future vision for the Orange County transportation system and is updated every four years. Ongoing coordination with SCAG and the Orange County Council of Governments ensures that the LRTP's project and policies are incorporated into the RTP, and allows OCTA to address regional issues, such as AB 32 and SB 375.
- Preparing conceptual engineering and planning studies for projects including M2 freeway projects.
- Managing the Master Plan of Arterial Highways (MPAH) Program to promote an integrated countywide arterial system.
- Coordinating with state, regional, and local agencies on corridor and planning studies for highway and transit projects.
- Administering the Congestion Management Program, including biennial traffic counts and reports.

Transit and Non-Motorized Planning

The Transit & Non-Motorized Planning section develops short-range transit and non-motorized transportation plans and strategies. This section also prepares the related project study reports and implementation plans to support these areas. A major new focus area for this group is the coordination of bike planning and project development efforts to cooperation with other internal and external partners. To fill its roles, this group works with outside transit agencies, transit advocacy, bikeway advocacy, and local jurisdictions.

Project Development and Environmental Programs

The Project Development/Environmental Programs section is responsible for the M2 Environmental programs, specifically implementing the Freeway Environmental Mitigation Program (Mitigation Program) and Environmental Cleanup

Division Narrative (continued)

Program (Project X). This group also provides environmental expertise and support services to the other OCTA divisions as resources permit.

The Mitigation Program's goals and objectives are to facilitate streamlining the biological resources permitting process for the M2 freeway projects through early acquisition and restoration of select open-space properties in collaboration with state and federal resources. This section also oversees M2 programs to improve the water quality of Orange County's coast, bays, and waterways.

In addition, this group is responsible for the OCTA Freeway Retrofit Soundwall Program and, in conjunction with the Long Range Planning and Corridor Studies section, is working to complete several conceptual engineering and planning studies for the M2 freeway projects.

Regional Modeling and Traffic Operations

This section uses state-of-the-practice analysis 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 Regional Modeling group develops transit ridership and traffic forecasts for major transportation planning and project development activities. The Traffic Operations unit is 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 regional traffic signal synchronization program.

Geographic Information Systems (GIS)

The 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 Mitigation Program and traffic signal synchronization projects, as well as support other major OCTA functions including the Metrolink expansion, Transit Planning, Marketing, and Outreach Departments, as well as many other functional areas by providing timely access to customized technical data and information products.

Measure M Programs

The Measure M Programs section develops, implements, and administers the M2 grant programs for the streets and roads (Projects O, P and Q), Transit Extensions to Metrolink (Project S), and the Environmental Cleanup (Project X). Activities include the commitment of local sales tax funds to competitively funded transportation projects. Once funds are committed, the local programming function makes certain the projects are delivered consistent with the M2 Ordinance approved scope and schedule of the project. This effort includes reviewing initial eligibility requirements prior to award of funds and project review after completion to ensure funds were appropriately expended. Lastly, this section is responsible for ensuring that local jurisdictions meet eligibility requirements for funding as required by Ordinance No. 3.

State and Federal Programming

State and Federal Programming identifies projects through the transportation planning process, and programs funds to implement the highways, rail, bus, and streets and roads program of projects. Generally, transportation programming is the commitment of state and federal transportation funds over a period of time to particular projects and phases of implementation. Separate programming documents that consolidate various programming commitments, prepared and adopted for different purposes, are required under state and federal law. Once funds are committed, the programming function makes certain 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.

Another primary function of the department is programming and 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.

Regional Initiatives Department

The Regional Initiatives Department is charged with active coordination of planning efforts related to major transportation initiatives. This function integrates the policies and projects from the LRTP into ongoing coordination with Los Angeles, Riverside, San Bernardino, Ventura, and San Diego Counties.

OCTA participates in a number of transportation-related initiatives in the SCAG region. These initiatives address key multi-county mobility and coordination issues including: movement

Division Narrative (continued)

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 objective is to ensure intercounty cooperation on transportation proposals facilities and advocacy for Orange County interests and priorities.

M2 Program Management Office (PMO) Department

The newly staffed M2 Program Management Office (PMO) Department is responsible for achieving fully integrated and coordinated M2 Program delivery consistent with the requirements of OCTA's constituents and stakeholders.

This means not only completing the projects described in the Investment Plan, but adhering to numerous specific requirements and high standards of quality called for in the Measure. The PMO is intended to provide unified oversight and action to ensure successful delivery. While other organizational units within OCTA carry out the Investment Plan's individual projects and programs, the PMO monitors and as appropriate, assesses, reports, and coordinates actions to ensure successful overall delivery of M2 Program.

The department will support OCTA's long-term direction and priorities towards delivery of M2 and ensure seamless, effective, interdivisional communications; serve as a clearinghouse for making critical interdivisional program and project management decisions and information sharing; and ensure compliance with the M2 Ordinance.

Accomplishments Fiscal Year 2011-12

- Completed two freeway planning studies and initiated five additional freeway planning studies as first step towards delivery of multiple projects on the I-5, I-405, and SR-91 corridors.
- Completed the Transit System Study and prepared a bus capital plan to help prioritize future capital investments.
- Completed a sub-regional Bikeways Strategy for the Fourth Supervisorial District and initiated bicycle implementation along three priority bikeway corridors.
- Completed wide range of planning activities including development of a Geographic Data Viewer for web-based access to maps of transportation data and other planning information for use across OCTA.
- Completed five signal synchronization projects along the Orangethorpe Avenue, Edinger Avenue, Harbor Boulevard, Bristol Street, and Westminster Avenue corridors involving over 400 intersections. In addition,

awarded \$7.8 million dollars in M2 grants to local agencies to complete other signal synchronization projects.

- Acquired open-space properties, awarded \$5 million of restoration grants, and implemented interim land management agreements for the Freeway Mitigation Program.
- Programmed \$230 million in State Transportation Improvement Program funding for a \$355 million program of projects, and successfully allocated or obligated more than \$215 million in state and federal funds.
- Completed M2 eligibility process for local agencies and awarded \$45 million of M2 grants to widen streets, and improved intersection and signal synchronization.
- Awarded \$2.86 million of funding to install storm drain filters, and completed a regional study to guide the implementation of the M2 Water Quality Program.
- Issued first Bicycle Corridor Improvement Program Call for Projects for \$9 million of project funding.
- Created a Program Management Office Charter to set the course for the new department's role within OCTA, and successfully conducted a Board of Directors (Board) Workshop to seek Board input on further expediting M2 project and program delivery.

Goals Fiscal Year 2012-13

Complete two freeway planning studies on the I-405 and SR-91 corridors and initiate three new conceptual planning studies including:

- I-605 Access; High-Occupancy Vehicle System Management Performance Plan.
- Nominate pilot transit projects and a phasing plan based on to the Transit System Study findings and in coordination with M2 grants funding for Transit Extensions to the Metrolink corridor projects.
- Expand OC Bikeways planning efforts to additional areas of Orange County and prepare a Non-Motorized Access Plan for Metrolink stations.
- Define long-term M2 freeway mitigation program property management requirements and initiate process to retain long-term land managers for the acquired properties.
- Complete five signal synchronization projects and begin work on seven other signal synchronization projects.
- Develop obligation plan to maximize use of available federal funds in FY 2012-13 and continue efforts

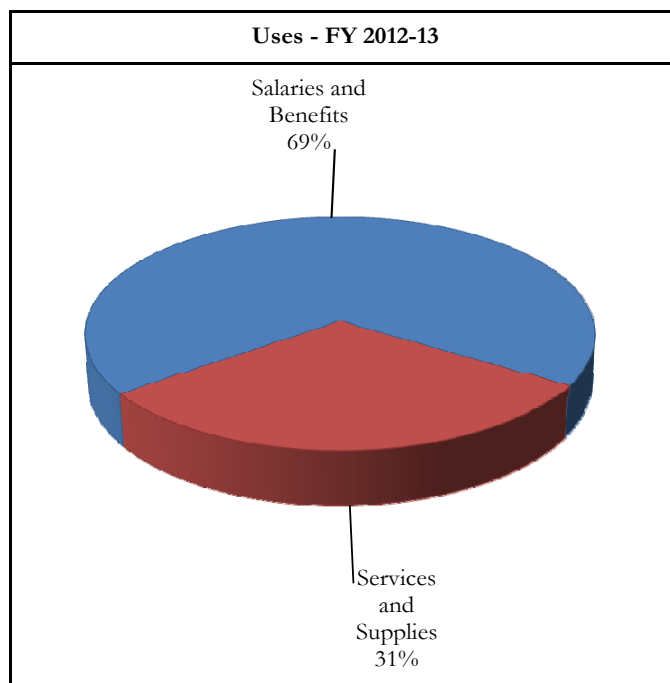
Division Accomplishments & Goals

to work with SCAG to develop and receive federal approval for the Federal Transportation Improvement Program.

- Complete M2 FY 2012-13 eligibility process for local agencies and award M2 grants for regional capacity and signal synchronization projects.
- Award \$38 million of funding for major regional water quality enhancement projects and continue to provide funding for storm drain filters.
- Award funding to projects for the Bicycle Corridor Improvement Program, and State-Local Partnership Program calls for projects.
- Develop and seek Board approval of M2020 Plan for expediting M2 project and program delivery.
- Complete the 2009-2012 M2 Triennial Performance Assessment seeking input and findings to ensure that the M2 Program is on track for successful delivery of the Investment Plan.

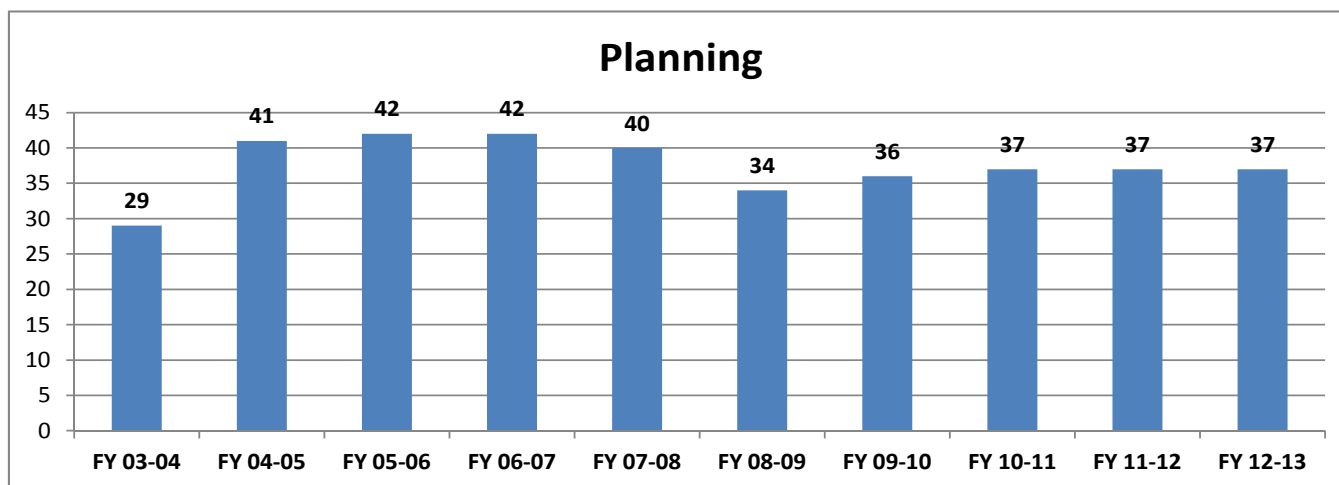
Planning

Planning



Uses	Amount
Salaries and Benefits	\$ 5,117,739
Services and Supplies	2,314,813
Total Uses	\$ 7,432,552

Staffing Plan



Division Staffing

Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
Executive Director, Planning	2	3	3
Director, Strategic Planning	4	4	4
Planning and Analysis	22	21	21
Capital and Local Programs	9	9	9
Total Planning	37	37	37

Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Executive Director, Planning</u>			
Administrative Assistant	1	1	1
Executive Director	1	1	1
Project Manager	0	1	1
Subtotal Executive Director, Planning	2	3	3
<u>Director, Strategic Planning</u>			
Administrative Assistant	1	1	1
Department Manager	1	1	1
Director	1	1	1
Project Manager	1	1	1
Subtotal Director, Strategic Planning	4	4	4
<u>Planning and Analysis</u>			
Department Manager	1	1	1
Project Manager	1	1	2
Section Manager	4	4	4
Special Assignment	1	1	0
Traffic Engineer	1	1	1
Transportation Analyst	14	13	13
Subtotal Planning and Analysis	22	21	21
<u>Capital and Local Programs</u>			
Department Manager	1	1	1
Office Specialist	1	1	1
Section Manager	3	3	3
Transportation Analyst	4	4	4
Subtotal Capital and Local Programs	9	9	9
Total Planning	37	37	37

Division Expenses

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	2,603,845	2,694,478	2,729,707
7150 Extra Help Employees	137,140	172,000	192,500
7209 Deferred Compensation	32,008	47,268	52,621
7210 Pensions	738,930	908,433	952,603
7220 Insurances	84,598	94,207	90,813
7240 Health Care	366,781	476,828	490,307
7260 Compensated Absences	302,509	347,940	352,488
7270 Workers Compensation	93,086	75,976	54,846
7280 Other Benefits	140,356	111,578	201,854
Subtotal Salaries and Benefits	\$ 4,499,253	\$ 4,928,708	\$ 5,117,739
<u>Services and Supplies</u>			
7510 Professional Services	1,757,813	1,584,111	2,221,895
7650 Travel, Training, and Mileage	11,063	42,090	41,985
7660 Office Expense	21,636	14,920	17,040
7670 Miscellaneous Expense	5,391	13,724	12,793
7830 Contributions to Other Agencies	1,814,303	800,000	21,100
Subtotal Services and Supplies	\$ 3,610,206	\$ 2,454,845	\$ 2,314,813
<u>Capital Expenditure</u>			
9080 Construction in Progress	1,685,170	0	0
Subtotal Capital Expenditure	\$ 1,685,170	\$ 0	\$ 0
Total Uses	\$ 9,794,629	\$ 7,383,553	\$ 7,432,552

Division Expenses by Department

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
400 Executive Director, Planning	420,177	579,605	591,785
401 Director, Strategic Planning	585,959	647,787	673,851
402 Planning and Analysis	2,584,341	2,686,574	2,800,685
404 Capital and Local Programs	906,203	1,014,742	1,051,418
411 Transit Systems Development	2,573	0	0
Subtotal Salaries and Benefits	\$ 4,499,253	\$ 4,928,708	\$ 5,117,739
<u>Services and Supplies</u>			
400 Executive Director, Planning	-2,362	3,180	3,740
401 Director, Strategic Planning	16,103	17,410	18,297
402 Planning and Analysis	1,692,603	2,199,155	2,037,841
404 Capital and Local Programs	1,815,156	235,100	254,935
411 Transit Systems Development	88,706	0	0
Subtotal Services and Supplies	\$ 3,610,206	\$ 2,454,845	\$ 2,314,813
<u>Capital Expenditure</u>			
411 Transit Systems Development	1,685,170	0	0
Subtotal Capital Expenditure	\$ 1,685,170	\$ 0	\$ 0
Total Expenses	\$ 9,794,629	\$ 7,383,553	\$ 7,432,552

Planning

Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Executive Director, Planning			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	235,961	325,718	316,013
7150 Extra Help Employees	0	0	13,000
7209 Deferred Compensation	7,220	9,995	8,345
7210 Pensions	79,319	109,596	112,301
7220 Insurances	6,797	10,282	10,133
7240 Health Care	26,515	52,812	55,633
7260 Compensated Absences	20,542	42,075	40,820
7270 Workers Compensation	8,534	8,689	6,352
7280 Other Benefits	35,289	20,438	29,188
Subtotal Salaries and Benefits	\$ 420,177	\$ 579,605	\$ 591,785
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	-3,300	0	250
7660 Office Expense	1,125	2,030	1,500
7670 Miscellaneous Expense	-187	1,150	1,990
Subtotal Services and Supplies	\$ -2,362	\$ 3,180	\$ 3,740
Executive Director, Planning Total Expenses	\$ 417,815	\$ 582,785	\$ 595,525
Director, Strategic Planning			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	379,650	353,049	363,642
7150 Extra Help Employees	0	20,000	20,000
7209 Deferred Compensation	11,984	11,527	13,230
7210 Pensions	75,753	118,793	128,265
7220 Insurances	10,695	11,616	11,818
7240 Health Care	40,182	56,159	50,398
7260 Compensated Absences	26,719	45,607	46,976
7270 Workers Compensation	12,719	10,455	7,309
7280 Other Benefits	28,257	20,581	32,213
Subtotal Salaries and Benefits	\$ 585,959	\$ 647,787	\$ 673,851
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	5,086	6,310	7,172
7660 Office Expense	10,081	10,000	10,000
7670 Miscellaneous Expense	936	1,100	1,125
Subtotal Services and Supplies	\$ 16,103	\$ 17,410	\$ 18,297
Director, Strategic Planning Total Expenses	\$ 602,062	\$ 665,197	\$ 692,148

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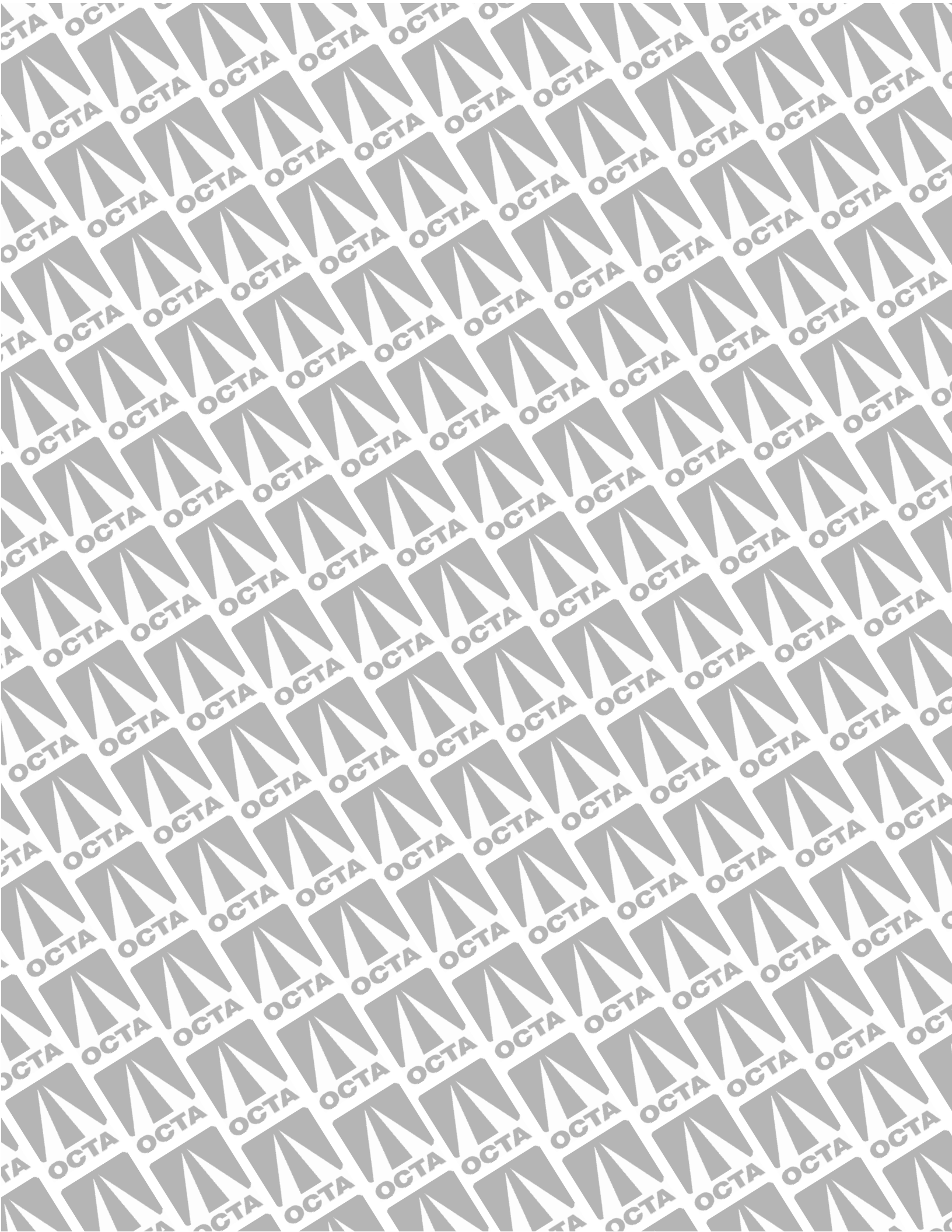
Department Expenses

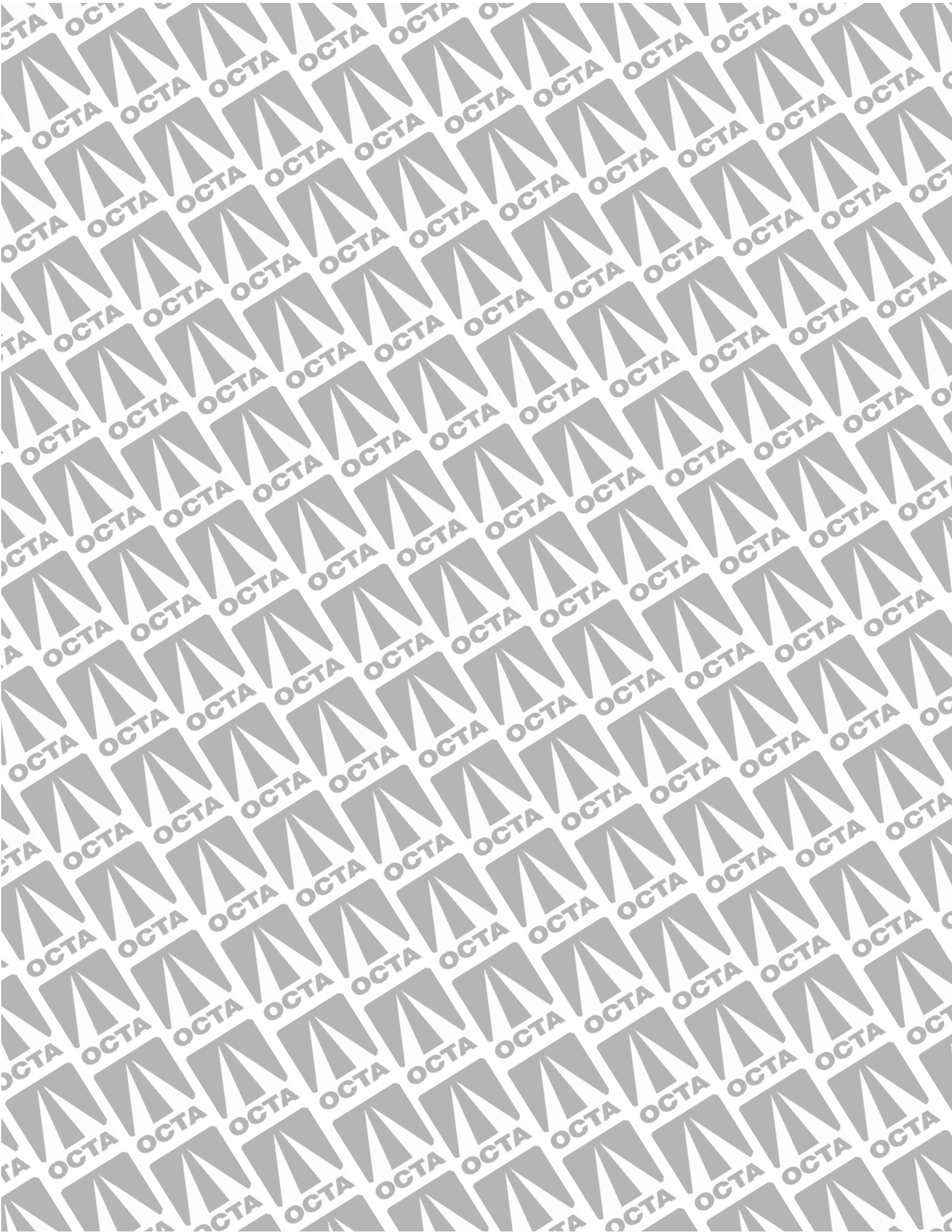
Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Planning and Analysis			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,464,097	1,462,789	1,505,493
7150 Extra Help Employees	94,578	104,000	92,500
7209 Deferred Compensation	11,073	18,849	22,524
7210 Pensions	430,109	494,334	522,151
7220 Insurances	48,110	46,353	49,161
7240 Health Care	227,554	280,906	280,156
7260 Compensated Absences	187,141	188,962	194,478
7270 Workers Compensation	52,997	37,644	30,260
7280 Other Benefits	68,682	52,737	103,962
Subtotal Salaries and Benefits	\$ 2,584,341	\$ 2,686,574	\$ 2,800,685
<u>Services and Supplies</u>			
7510 Professional Services	1,663,720	1,369,111	2,006,895
7650 Travel, Training, and Mileage	5,158	18,630	18,678
7660 Office Expense	3,217	2,190	4,990
7670 Miscellaneous Expense	3,483	9,224	7,278
7830 Contributions to Other Agencies	17,025	800,000	0
Subtotal Services and Supplies	\$ 1,692,603	\$ 2,199,155	\$ 2,037,841
Planning and Analysis Total Expenses	\$ 4,276,944	\$ 4,885,729	\$ 4,838,526
Capital and Local Programs			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	523,756	552,922	544,559
7150 Extra Help Employees	41,277	48,000	67,000
7209 Deferred Compensation	1,723	6,897	8,522
7210 Pensions	153,515	185,710	189,886
7220 Insurances	18,966	25,956	19,701
7240 Health Care	72,397	86,951	104,120
7260 Compensated Absences	67,693	71,296	70,214
7270 Workers Compensation	18,748	19,188	10,925
7280 Other Benefits	8,128	17,822	36,491
Subtotal Salaries and Benefits	\$ 906,203	\$ 1,014,742	\$ 1,051,418
<u>Services and Supplies</u>			
7510 Professional Services	5,400	215,000	215,000
7650 Travel, Training, and Mileage	4,119	17,150	15,885
7660 Office Expense	7,200	700	550
7670 Miscellaneous Expense	1,159	2,250	2,400
7830 Contributions to Other Agencies	1,797,278	0	21,100
Subtotal Services and Supplies	\$ 1,815,156	\$ 235,100	\$ 254,935
Capital and Local Programs Total Expenses	\$ 2,721,359	\$ 1,249,842	\$ 1,306,353

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Department Expenses

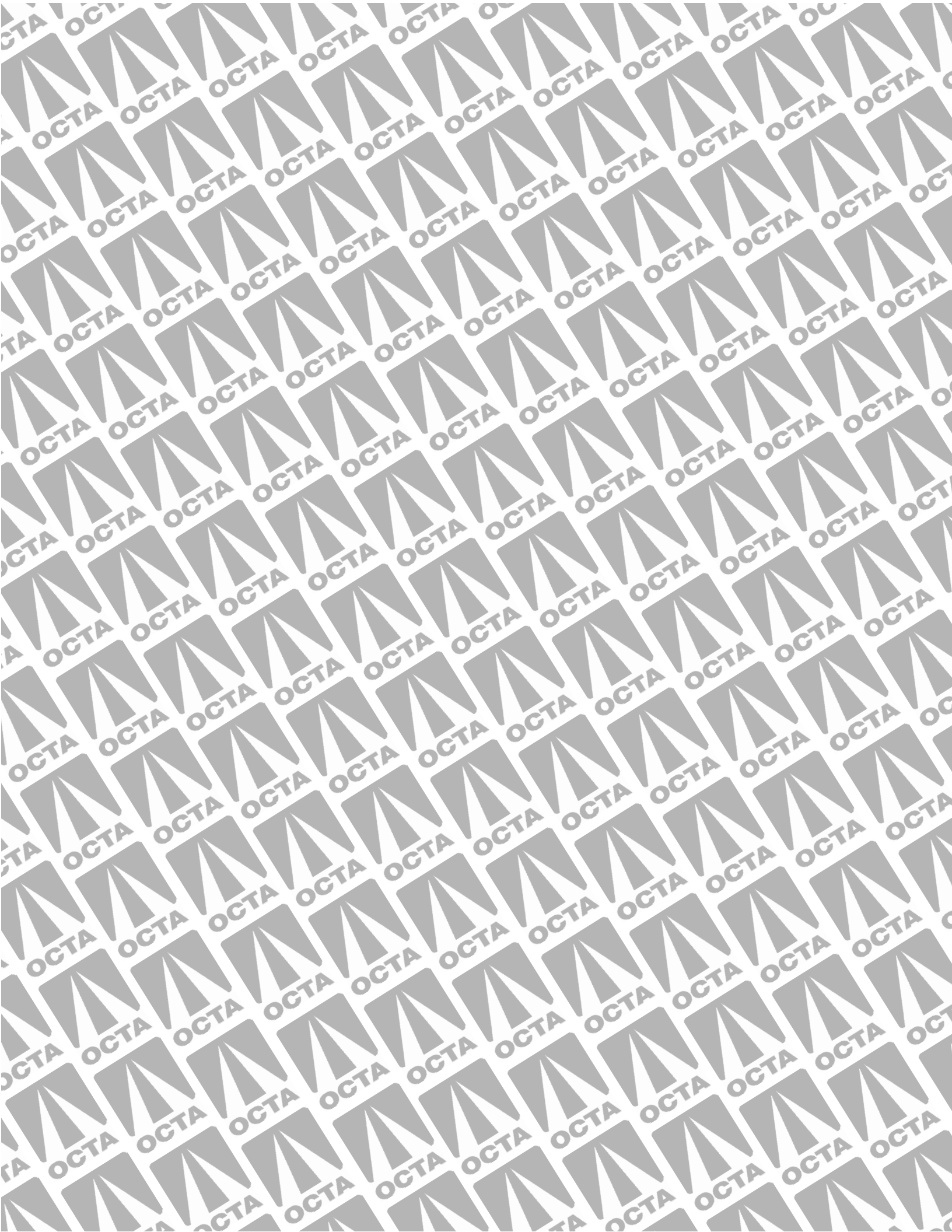
Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Transit Systems Development			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	381	0	0
7150 Extra Help Employees	1,285	0	0
7209 Deferred Compensation	8	0	0
7210 Pensions	234	0	0
7220 Insurances	30	0	0
7240 Health Care	133	0	0
7260 Compensated Absences	414	0	0
7270 Workers Compensation	88	0	0
Subtotal Salaries and Benefits	\$ 2,573	\$ 0	\$ 0
<u>Services and Supplies</u>			
7510 Professional Services	88,693	0	0
7660 Office Expense	13	0	0
Subtotal Services and Supplies	\$ 88,706	\$ 0	\$ 0
<u>Capital Expenditure</u>			
9080 Construction in Progress	1,685,170	0	0
Subtotal Capital Expenditure	\$ 1,685,170	\$ 0	\$ 0
Transit Systems Development Total Expenses	\$ 1,776,449	\$ 0	\$ 0



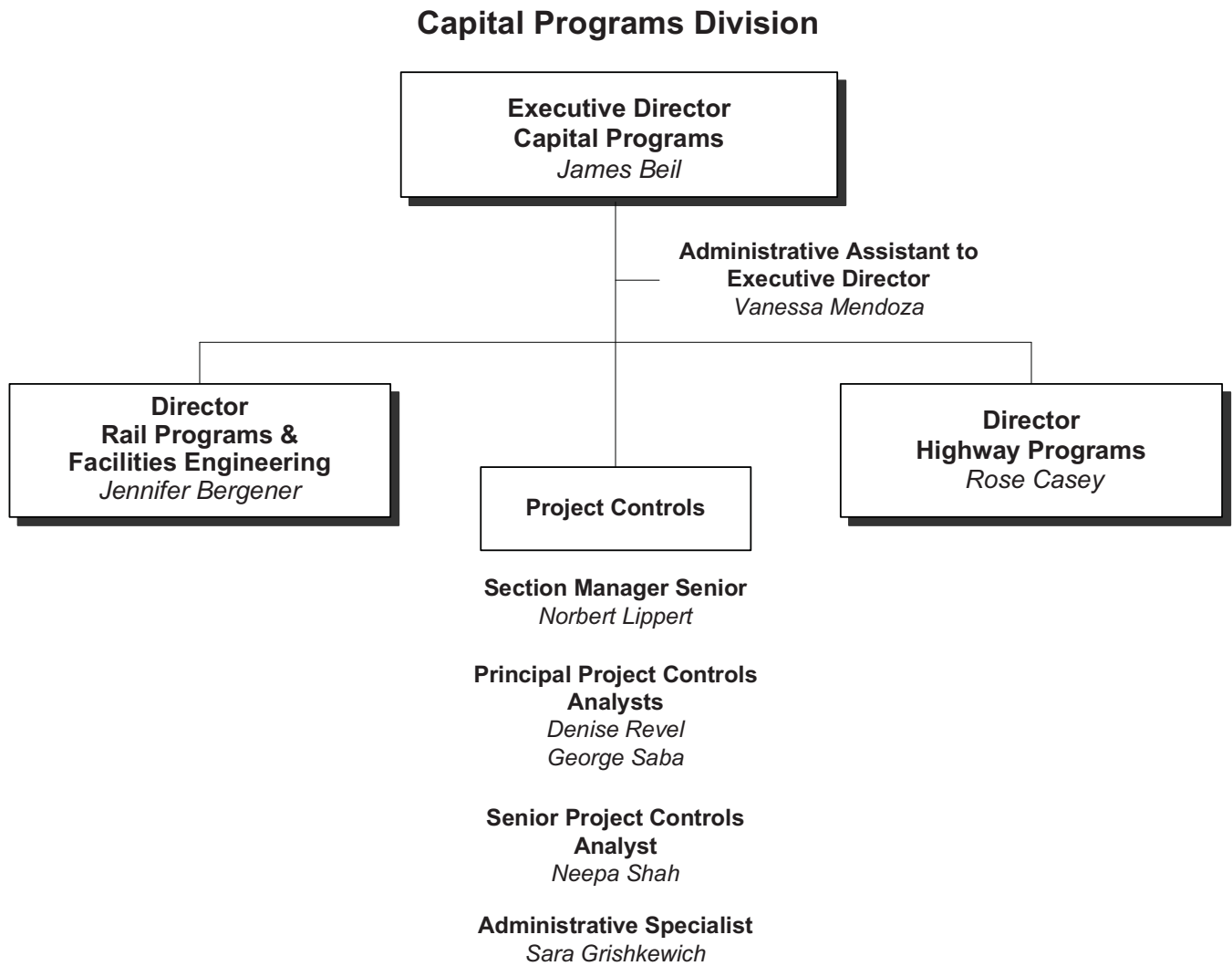




CAPITAL PROGRAMS



Division Organization Chart



Division Narrative

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 Highway Programs, Rail Programs, and Project Controls. The role of these functions in meeting the mission and goals of the agency is delineated below.

The **Highway Programs Department** makes sure that the freeway and highway improvement projects are delivered as promised; this includes Measure M (M1) and Measure M2 (M2), state, and federal projects.

The department works closely with the California Department of Transportation (Caltrans) to expedite delivery of freeway projects. This team also manages the design and construction of other capital projects sponsored by OCTA, such as railroad grade separations, rail stations, and soundwalls. The work required to build projects encompasses environmental analysis and approval, final design, right of way acquisition, construction, and project close out. Completion of M1 and M2 projects is critical. Furthermore, collaboration with other transportation agencies and local jurisdictions is important for an integrated transportation system that works at all levels – from neighborhood collectors, to divided arterials, to major freeways.

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.

Program of Projects

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.

Individual Project Management

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.

Real Property

Highway Programs handles all of 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 **Rail Program 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 rights 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 Division 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.

Rail Capital Project Delivery

Rail capital projects are related to a wide range of projects including those necessary to sustain existing and increased

Division Narrative (continued)

Metrolink service (Metrolink Service Expansion Program), station improvements and parking expansion, grade separations, and the grade crossing safety enhancement/quiet zone program. Rail projects carried out within railway right-of-way include safety improvements, new track capacity design and construction, signal system improvements, regular maintenance, and rail facilities. The Rail Division defines the scope, schedule, and budget of each project based on the program needs and then works toward the implementation of those projects. Day-to-day tasks may include capital project planning, developing scenarios for financing, coordinating with external agencies, managing cooperative agreements with other agencies, and managing project delivery consultants for successful delivery of projects.

Local Initiatives

The Local Initiatives Department is responsible for M1 activities related to joint development as well as M2 programs such as the Go Local Program, which bridges local transit planning under M1 with the implementation of the M2 transit programs. These programs include transit extensions to Metrolink (Project S) and Regional Gateways (Project T). OCTA and the City of Anaheim are working together on the Anaheim Regional Transportation Intermodal Center (ARTIC) as the first Regional Gateways project. ARTIC is funded through State, Federal and Local sources, including Projects T and R. The local initiatives department is also responsible for developing the Transit Extensions to Metrolink Program. This program is intended to broaden the reach of Orange County's backbone rail system to key employment, population, and activity centers. There are currently two projects advancing through this program: the City of Anaheim's, Anaheim Rapid Connection serving ARTIC through the Anaheim Resort, Platinum Triangle, and Anaheim Convention Center area, and the partnered cities of Santa Ana and Garden Grove which will serve the Santa Ana Regional Transportation Center through downtown to the Civic Center and ultimately to Harbor Boulevard in the City of Garden Grove. The Anaheim fixed-guideway project is expected to achieve environmental clearance in late 2013, and the Santa Ana/Garden Grove fixed-guideway project is expected to complete this phase in early 2013.

High-Speed Rail Corridor Development

Orange County and Anaheim are at the center of two proposed high-speed rail projects. This section participates in all planning and development activities related to high speed rail on the OCTA owned railroad rights-of-way in Orange County as well as ensuring coordination with existing rail operations and the development of ARTIC.

In 2006, OCTA entered into an agreement with the California High Speed Rail Authority (CHSRA) to contribute \$7 million for the completion of the project level environmental impact report and environmental impact statement for the Anaheim to Los Angeles segment of the planned high speed train system in California. In November 2008, California voters approved Proposition 1A which provides \$9.95 billion for the development of the high speed train system between Anaheim and San Francisco. Following on that, numerous federal funding obligations have been made to the CHSRA. State and regional coordination is required to ensure Orange County is positioned to receive the maximum benefit from High-Speed Rail funding and implementation.

Rail Operations and Service Planning

As one of the five member agencies that comprise the Southern California Regional Rail Authority, OCTA participates in the design and operation of Metrolink service in Orange County. Commuter rail operations staff serves as the liaison with Metrolink, Amtrak, and freight operators involved in route and service planning, funding, and implementation. In addition to coordination of daily Metrolink operations, the team coordinates the StationLink service and special trains, promotional activities and outreach. The Commuter Rail Operations staff is also responsible for the on-going coordination and service integration efforts on the LOSSAN Corridor.

Transit Facilities Capital Projects

The Transit facilities department plans, develops and delivers rail and bus facilities such as improvements and modification to OCTA's five bus bases and parking and facility improvements at passenger rail stations.

Project Controls is a support function to the Highway Programs and Rail Departments. Its primary role is to develop master schedules and establish budgets and expenditure plans for the various capital programs and projects managed by the Capital Programs Division. Project Controls also monitors the schedule delivery, budget, and cost status of projects throughout the multi-year project development and delivery process. In addition to its primary role, Project Controls also assists in the Division's annual fiscal year budget development process, reviews all purchase requisitions, and vendor payments related to capital projects.

Project Scheduling

Project Controls, in conjunction with the assigned project manager, develops a project or program Master Schedule providing milestone and schedule activity durations to guide

Division Narrative (continued)

implementation. This Master Schedule is the baseline delivery plan for the duration of the project. It is updated on a monthly basis, and reported on quarterly, to identify actual milestone dates versus planned dates, and schedule activity actual start and completion, and progress versus planned durations. Review of consultant work progress is included in the schedule along with milestone delivery tracking.

Project Budget and Cost Forecasts

At the outset of a project, Project Controls works with project managers to develop the overall project budget to ensure that all phases of work required to complete the project are accounted for in the initial approved budget. Once the project budget is established, Project Controls monitors contract commitments, actual expenditures, and construction cost estimates for comparison against the approved project budget.

Reporting

Project Controls utilizes an industry standard enterprise software program for its scheduling, cost control, and project management reporting functions. The software database contains the Division's major capital projects and facilitates project status reporting on a regular basis for all active projects.

Division Accomplishments & Goals

Accomplishments Fiscal Year 2011-12

Highway Programs

- Started construction of two grade separation projects along the Orangethorpe railroad corridor.
- Completed design of the remaining five grade separation projects along the Orangethorpe railroad corridor.
- Completed environmental and started final design of three freeway HOV projects on Interstate 5 in San Clemente. (Note: CAP plan shows design began in June 2011, but this was part of our FY 2011-12 budget goals).
- Completed final design of the Interstate 5/Ortega Highway interchange and State Route 91 (WB), Interstate 5 to State Route 57 projects.
- Completed construction of the Avenida Vaquero and El Camino Real soundwall projects along Interstate 5 in San Clemente and one landscape project on Interstate 5
- Started construction of the State Route 57 (NB), Katella to Lincoln project.
- Began preparing the environmental document for improvements to Interstate 5 in Mission Viejo between State Route 73 and El Toro Road.
- Developed an implementation strategy for the improvements on Interstate 405 between State Route 55 and Interstate 605.

- Started project development on the conversion of the HOV striping on Interstate 5 and Interstate 405 to continuous access.

Rail Program

- Completed construction of the Metrolink Service Expansion Program capital projects.
- Completed construction of the M2 Rail-Highway Grade Crossing Safety Enhancement and Quiet Zone project.
- Completed construction of the Tustin Station parking structure.
- Completed construction of the Fullerton Station parking structure.
- Completed construction of Video Surveillance Systems at three Metrolink Stations.
- Completed design and advertised the ARTIC for construction.
- Completed Project Study Reports for five grade separation projects along the LOSSAN rail corridor.
- Completed Step 2 of the Go Local program for the Fixed Guideway projects.
- Established OCTA as the grantee and the cities of Anaheim and Santa Ana as sub recipients to the Federal Transit Administration for purposes of applying for future federal funding on behalf of the Anaheim fixed-guideway projects.
- Continued coordination and collaboration with CHSRA on the development of the Anaheim to Los Angeles segment; ensure successful integration of service with MSEP and ARTIC.
- Launched intra-county Metrolink service with six new trains between Laguna Niguel and Fullerton.
- Introduced Angels Express Metrolink trains, which provided service to 46 Angels home games.
- Worked with LOSSAN Rail Corridor Agency to introduce authorizing legislation to allow formation of a new local JPA that could assume administrative responsibility for state-funded intercity rail service on the Pacific Surfliner corridor.
- Completed conceptual design and environmental analysis for new track capacity in Orange County.
- Substantially completed installation of new fiber optics backbone along the OCTA-owned railroad right-of-ways.
- Continued design efforts for a new Metrolink station in the City of Placentia.
- Completed ARTIC Master Planning effort.
- Completed study of Metrolink stations capital improvement program.

Division Accomplishments & Goals

Goals Fiscal Year 2012-13

Highway Programs

- Complete final design of two freeway HOV projects on Interstate 5 in San Clemente.
- Begin construction of the Interstate 5/Ortega Highway interchange project.
- Complete environmental document for the Interstate 5, State Route 55 to State Route 57 project.
- Complete design and advertise the Interstate 5 and Interstate 405 HOV Continuous Access projects for construction.
- Begin construction of the State Route 91 (WB), Interstate 5 to State Route 57 project.
- Complete design of the State Route 91(WB), Tustin Avenue to State Route 55 project.
- Complete construction of the State Route 91, State Route 55 to State Route 241 project.
- Begin preliminary design and issue Request For Qualifications for the Interstate 405, State Route 55 to Interstate 405 Design-Build project.
- Begin construction on two of the five remaining grade separation projects along the Orangethorpe railroad corridor.

Rail Program

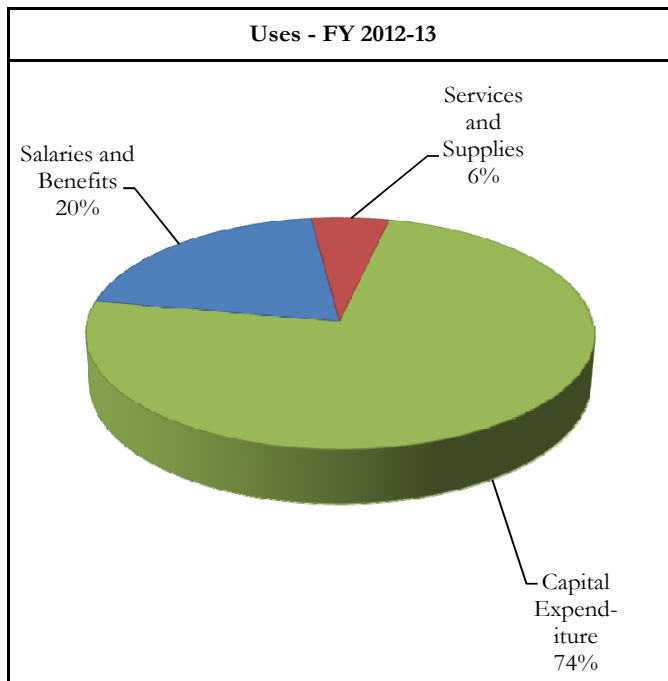
- Complete project study reports on five LOSSAN corridor grade separations.
- Begin construction on the ARTIC.
- Work with the City of Anaheim on new alternative analysis for the Anaheim Rapid Connection project.
- Begin construction of the Placentia Metrolink Station project.
- Complete the environmental document and design for the Orange Station Parking Expansion project and advertise for construction.
- Complete implementation of Positive Train Control system throughout Orange County.
- Construct additional elevators at Fullerton Transportation Center.
- Finalize environmental analysis and design of Anaheim Canyon station.
- Construct additional parking at Laguna Niguel/Mission Viejo Metrolink station.
- Continue coordination on the California High Speed Rail connection to Orange County in Anaheim.
- Continue coordination of improvements to rail service and organizational structure for the LOSSAN corridor.
- Work with the LOSSAN Rail Corridor Agency to secure approval of authorizing legislation to allow formation of a new local JPA that could assume administrative

responsibility for state-funded intercity rail service on the Pacific Surfliner corridor.

- Expand Metrolink service in Orange County through the addition of two peak Metrolink trains on the Inland Empire-Orange County line and four new midday intra-county trains between Laguna Niguel/Mission Viejo and Fullerton, as well as four new weekend trips on the Orange County Line.
- Complete environmental clearance for the Santa Ana/Garden Grove fixed-guideway project.
- Identify a project delivery structure for the Anaheim fixed-guideway project and Santa Ana/Garden Grove fixed-guideway project.

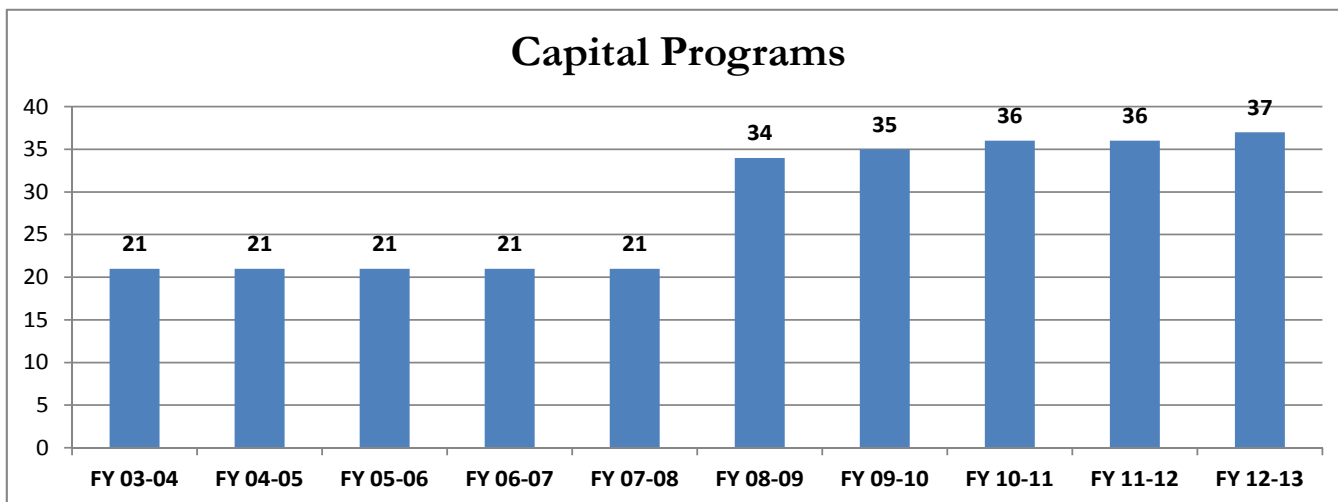
Capital Programs

Capital Programs



Uses	Amount
Salaries and Benefits	\$ 5,862,581
Services and Supplies	1,598,079
Capital Expenditure	21,545,000
Total Uses	\$ 29,005,660

Staffing Plan



Division Staffing

Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
Executive Director, Capital Programs	8	8	8
Rail	11	11	11
Highway Programs	17	17	18
Total Capital Programs	36	36	37

Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Executive Director, Capital Programs</u>			
Administrative Assistant	1	1	1
Department Manager	2	2	2
Executive Director	1	1	1
Project Controls Analyst	2	3	3
Project Manager	1	1	1
Special Assignment	1	0	0
Subtotal Executive Director, Capital Programs	8	8	8
<u>Rail</u>			
Administrative Assistant	0	1	1
Civil Engineer	1	1	1
Department Manager	3	2	2
Director	0	1	1
Office Specialist	1	0	0
Project Manager	2	3	3
Rail Right-of-Way Administrator	1	1	0
Section Manager	1	1	1
Special Assignment	1	0	1
Transit Planner	0	0	1
Transportation Analyst	1	1	0
Subtotal Rail	11	11	11
<u>Highway Programs</u>			
Administrative Assistant	1	1	1
Director	1	1	1
Office Specialist	1	1	1
Program Manager	3	3	5
Project Manager	5	5	5
Right-of-Way Administrator	5	5	5
Section Manager	1	1	0
Subtotal Highway Programs	17	17	18
Total Capital Programs	36	36	37

Capital Programs

Division Expenses

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	2,943,002	3,058,598	3,239,525
7150 Extra Help Employees	36,345	66,000	67,000
7209 Deferred Compensation	36,231	64,838	76,605
7210 Pensions	921,369	1,031,627	1,129,412
7220 Insurances	89,940	95,640	102,125
7240 Health Care	419,870	564,030	524,540
7260 Compensated Absences	332,578	395,104	418,470
7270 Workers Compensation	101,344	76,762	65,114
7280 Other Benefits	154,675	123,860	239,790
Subtotal Salaries and Benefits	\$ 5,035,354	\$ 5,476,459	\$ 5,862,581
<u>Services and Supplies</u>			
7510 Professional Services	142,521	2,515,000	685,000
7610 Outside Services	110,188	325,000	365,000
7650 Travel, Training, and Mileage	22,634	39,667	51,172
7660 Office Expense	11,719	24,540	28,190
7670 Miscellaneous Expense	8,067	11,620	12,317
7690 Leases	24,852	75,000	56,400
7830 Contributions to Other Agencies	146,701	750,000	400,000
Subtotal Services and Supplies	\$ 466,682	\$ 3,740,827	\$ 1,598,079
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	1,930,501	2,434,000	4,945,000
9080 Construction in Progress	2,170,315	275,000	16,600,000
Subtotal Capital Expenditure	\$ 4,100,816	\$ 2,709,000	\$ 21,545,000
Total Uses	\$ 9,602,852	\$ 11,926,286	\$ 29,005,660

Division Expenses by Department

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
700 Executive Director, Capital Programs	1,039,757	1,271,650	1,334,609
701 Rail	1,452,634	1,576,008	1,628,376
708 Highway Programs	2,542,963	2,628,801	2,899,596
Subtotal Salaries and Benefits	\$ 5,035,354	\$ 5,476,459	\$ 5,862,581
<u>Services and Supplies</u>			
700 Executive Director, Capital Programs	7,859	20,563	19,334
701 Rail	585,324	1,410,823	1,103,188
708 Highway Programs	-126,501	2,309,441	475,557
Subtotal Services and Supplies	\$ 466,682	\$ 3,740,827	\$ 1,598,079
<u>Capital Expenditure</u>			
701 Rail	3,000,816	2,584,000	21,545,000
708 Highway Programs	1,100,000	125,000	0
Subtotal Capital Expenditure	\$ 4,100,816	\$ 2,709,000	\$ 21,545,000
Total Expenses	\$ 9,602,852	\$ 11,926,286	\$ 29,005,660

Department Expenses

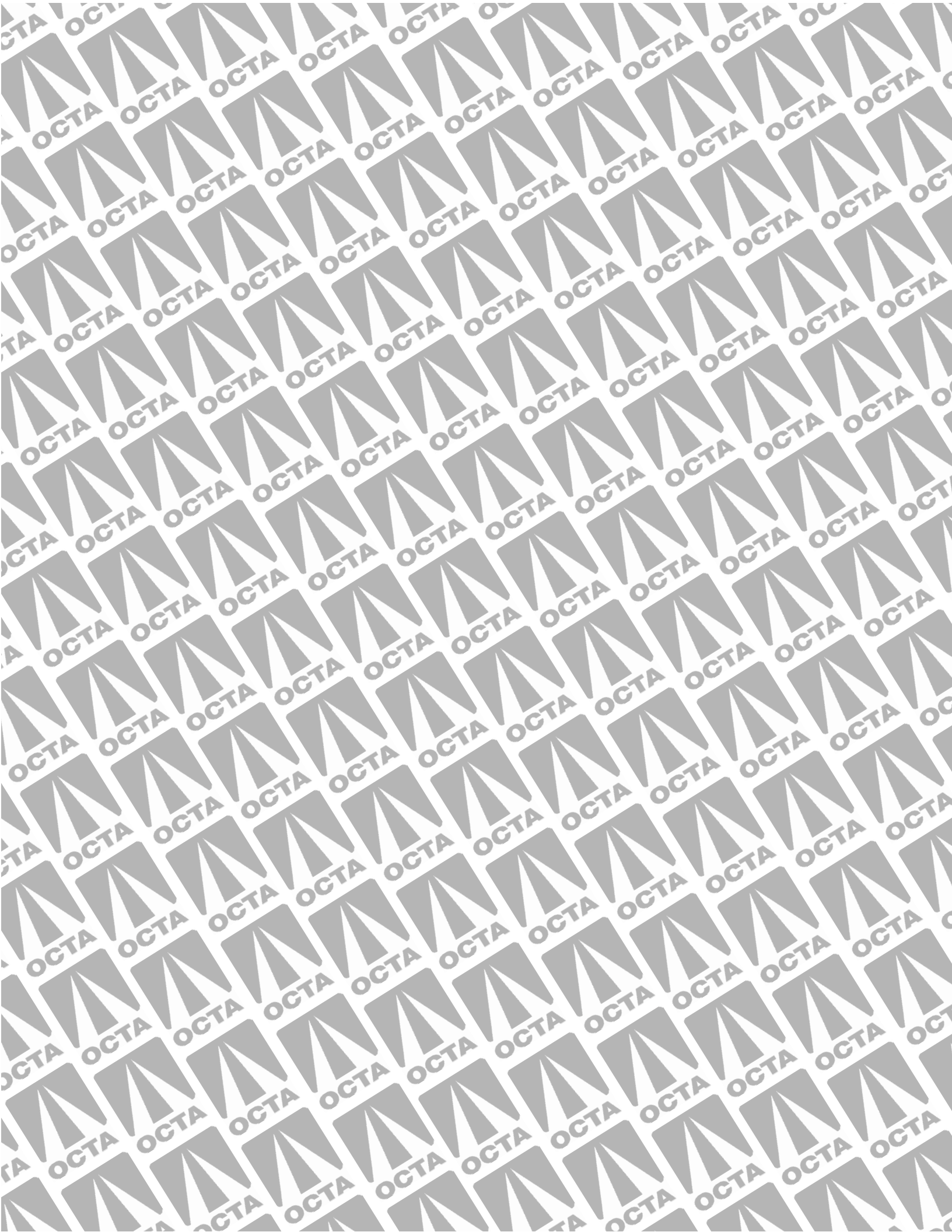
Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Executive Director, Capital Programs			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	615,207	696,627	719,669
7150 Extra Help Employees	-128	0	0
7209 Deferred Compensation	6,996	19,570	14,549
7210 Pensions	186,363	234,400	251,240
7220 Insurances	18,422	22,202	22,493
7240 Health Care	109,600	159,752	162,563
7260 Compensated Absences	64,058	89,990	92,965
7270 Workers Compensation	20,402	17,271	14,464
7280 Other Benefits	18,837	31,838	56,666
Subtotal Salaries and Benefits	\$ 1,039,757	\$ 1,271,650	\$ 1,334,609
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	1,419	11,653	9,779
7660 Office Expense	5,715	7,520	8,120
7670 Miscellaneous Expense	725	1,390	1,435
Subtotal Services and Supplies	\$ 7,859	\$ 20,563	\$ 19,334
Executive Director, Capital Programs Total Expense	\$ 1,047,616	\$ 1,292,213	\$ 1,353,943
Rail			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	828,020	886,304	907,692
7150 Extra Help Employees	18,563	27,000	28,000
7209 Deferred Compensation	13,748	17,890	21,776
7210 Pensions	252,411	299,234	317,197
7220 Insurances	26,528	27,330	29,217
7240 Health Care	126,546	147,772	118,402
7260 Compensated Absences	112,321	114,491	117,254
7270 Workers Compensation	29,347	22,644	18,245
7280 Other Benefits	45,150	33,343	70,593
Subtotal Salaries and Benefits	\$ 1,452,634	\$ 1,576,008	\$ 1,628,376
<u>Services and Supplies</u>			
7510 Professional Services	287,521	230,000	235,000
7610 Outside Services	110,188	325,000	365,000
7650 Travel, Training, and Mileage	13,193	16,823	29,136
7660 Office Expense	1,327	10,500	12,550
7670 Miscellaneous Expense	1,542	3,500	5,102
7690 Leases	24,852	75,000	56,400
7830 Contributions to Other Agencies	146,701	750,000	400,000
Subtotal Services and Supplies	\$ 585,324	\$ 1,410,823	\$ 1,103,188
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	1,930,501	2,434,000	4,945,000
9080 Construction in Progress	1,070,315	150,000	16,600,000
Subtotal Capital Expenditure	\$ 3,000,816	\$ 2,584,000	\$ 21,545,000
Rail Total Expenses	\$ 5,038,774	\$ 5,570,831	\$ 24,276,564

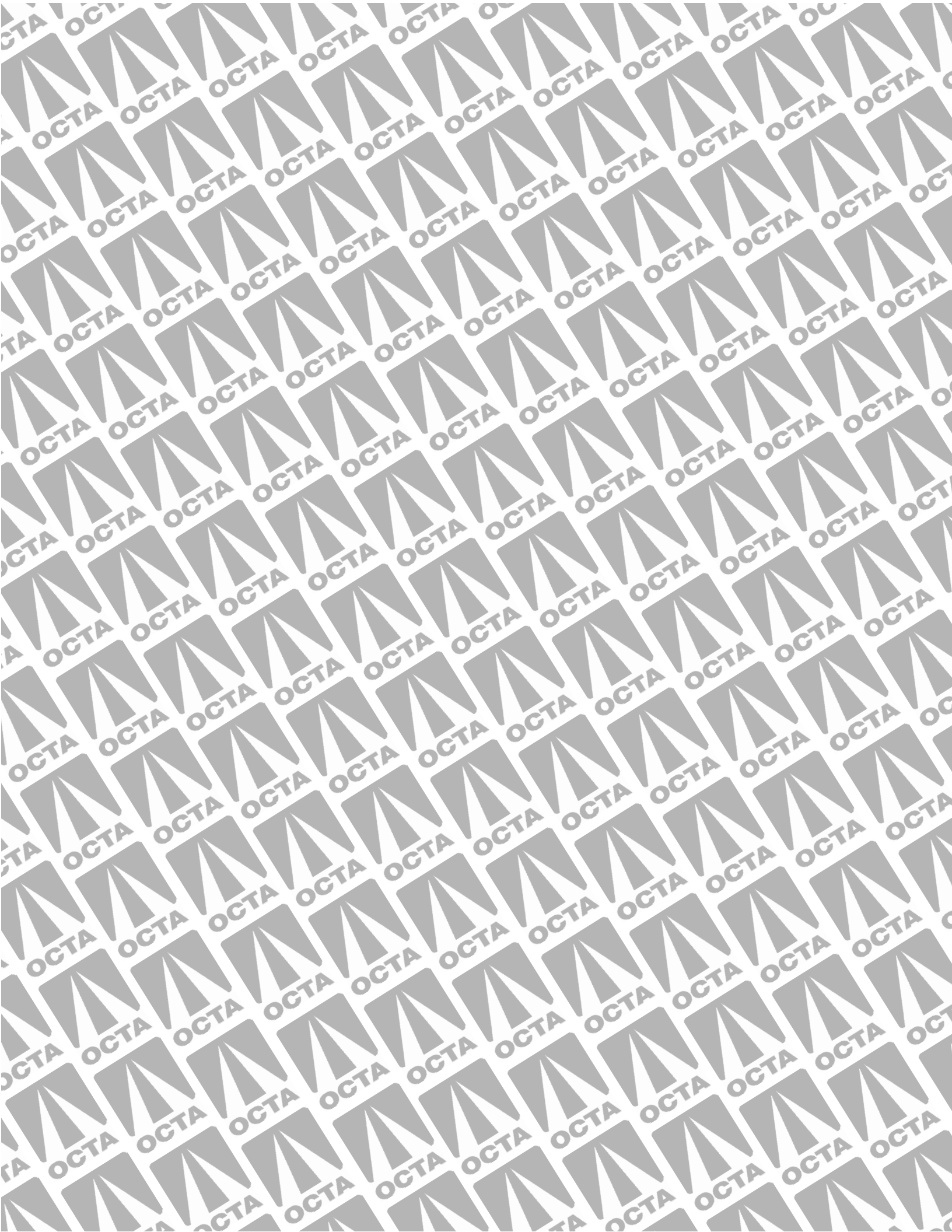
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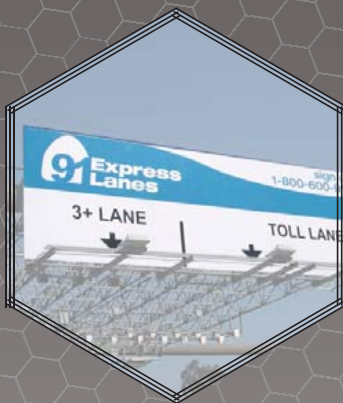
Capital Programs

Department Expenses

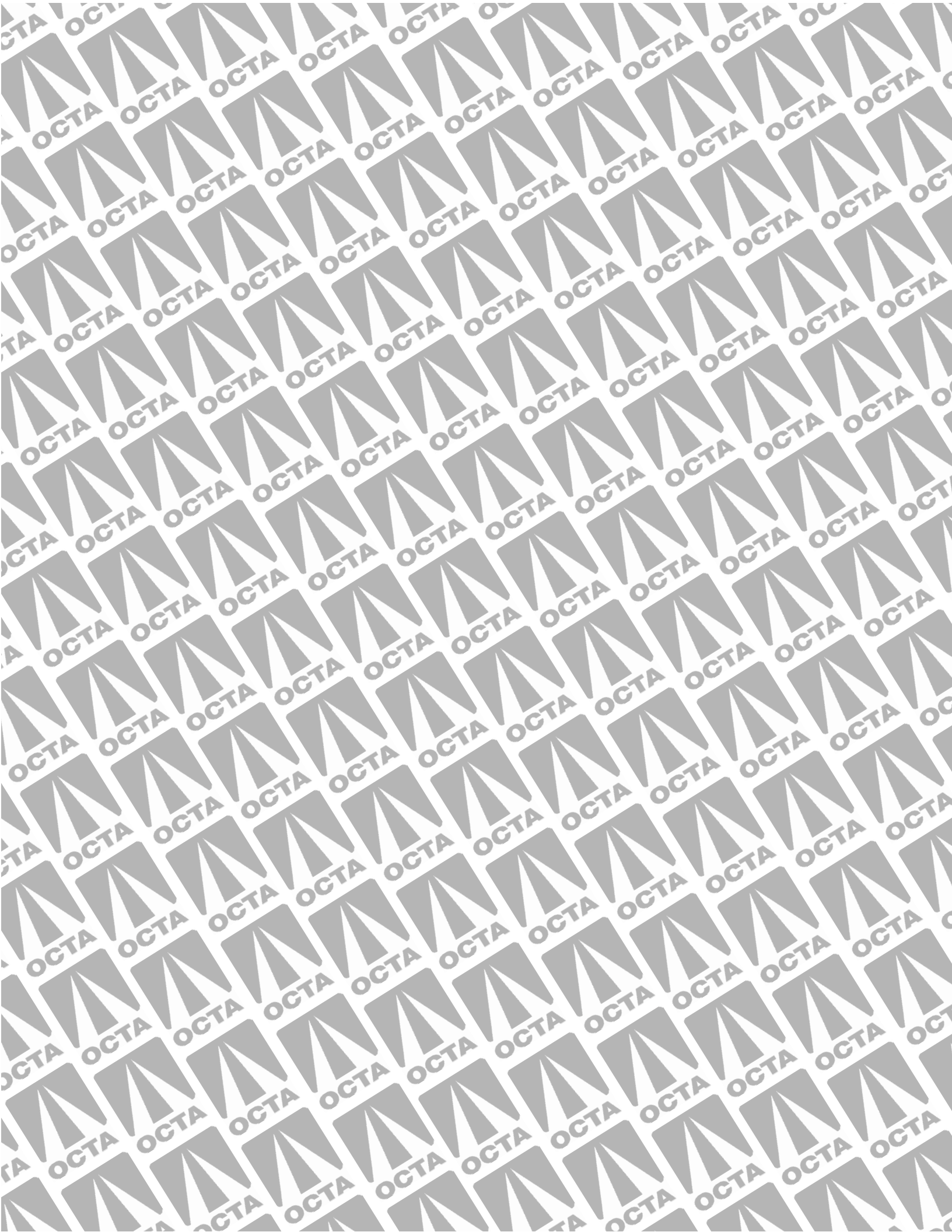
Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Highway Programs			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,499,775	1,475,667	1,612,164
7150 Extra Help Employees	17,910	39,000	39,000
7209 Deferred Compensation	15,487	27,378	40,280
7210 Pensions	482,595	497,993	560,975
7220 Insurances	44,990	46,108	50,415
7240 Health Care	183,724	256,506	243,575
7260 Compensated Absences	156,199	190,623	208,251
7270 Workers Compensation	51,595	36,847	32,405
7280 Other Benefits	90,688	58,679	112,531
Subtotal Salaries and Benefits	\$ 2,542,963	\$ 2,628,801	\$ 2,899,596
<u>Services and Supplies</u>			
7510 Professional Services	-145,000	2,285,000	450,000
7650 Travel, Training, and Mileage	8,022	11,191	12,257
7660 Office Expense	4,677	6,520	7,520
7670 Miscellaneous Expense	5,800	6,730	5,780
Subtotal Services and Supplies	\$ -126,501	\$ 2,309,441	\$ 475,557
<u>Capital Expenditure</u>			
9080 Construction in Progress	1,100,000	125,000	0
Subtotal Capital Expenditure	\$ 1,100,000	\$ 125,000	\$ 0
Highway Programs Total Expenses	\$ 3,516,462	\$ 5,063,242	\$ 3,375,153







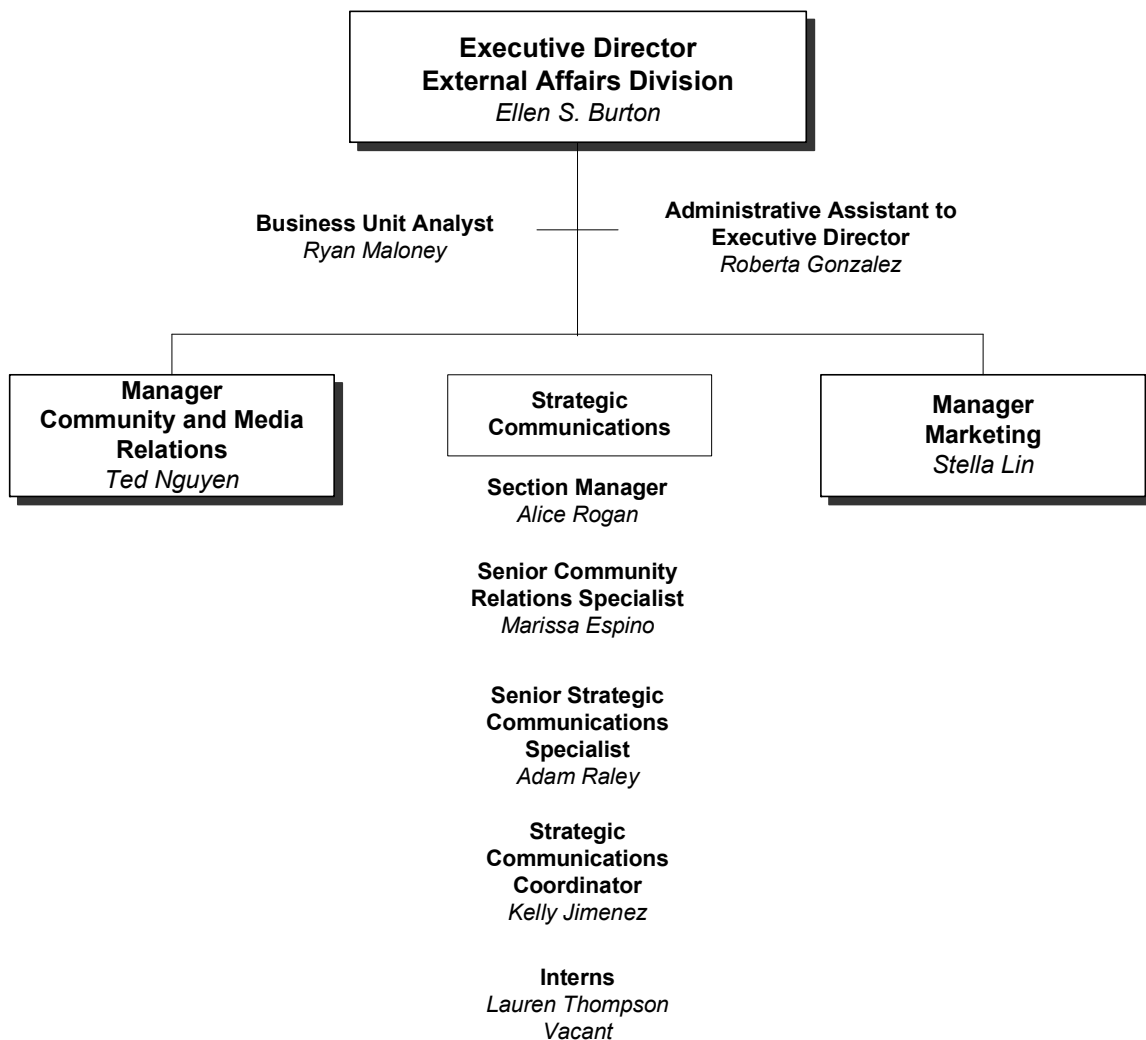
EXTERNAL AFFAIRS



Division Organizational Chart

Orange County Transportation Authority

External Affairs Division



Division Narrative

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

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 three work units: marketing and customer relations, community and media relations, and strategic communications. The roles and responsibilities of the various work units within the division are summarized below.

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

Digital communications and creative services staff provide technical expertise and tools to support OCTA communication and marketing goals. Staff develops 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.

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 ultimately build ridership.

The *transportation demand management marketing staff* conduct outreach and provides rideshare services to employers, employees, and colleges to encourage usage of alternatives to single occupant vehicle travel. In addition, staff market and administer OCTA's growing vanpool and bicycle programs.

The *customer engagement section* is OCTA's customer advocacy group, providing customer feedback primarily 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 810,000 calls per year. This section

also staffs the OCTA Store and administers OCTA's retail pass program which includes more than 190 outlets.

The **Community and Media Relations Department** focuses on public communications in support of capital project development. Community relations staff implements public outreach and involvement programs to inform and advance the development of transportation projects. Staff works 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.

Media relations staff develops public information programs. In addition to issuing news releases, updating online media communications, and fulfilling media requests for information, staff work strategically and creatively to gain media coverage of OCTA policies, programs, promotions, and services. Staff regularly file press releases, organize media briefings and roundtables, arrange tours and schedule interviews and filming sessions.

The **Strategic Communications** department handles market research and supports transparency initiatives. This group also responds to various OCTA initiatives such as more performance-based management/metrics, an expanded speaker's bureau, and performance assessments. This section handles Measure M reporting and dashboard content management, Citizen / Other committee staffing (Taxpayers Oversight, Citizen Advisory, Special Needs in Transit Advisory, and Environmental / Water Quality committees), OCTA speaker's bureau, stakeholder database, corporate communications such as annual reports, Board Briefing Book, and customer and constituent research.

Division Accomplishments & Goals

Accomplishments Fiscal Year 2011-12

- Developed and implemented cost-effective public information programs to build awareness of OCTA services and programs, while growing bus and Metrolink ridership.
 - Secured grant funding to provide the OC Fair Express bus service after a three-year hiatus. The returning summer bus service resulted in a 320 percent increase over 2008 boardings.
 - Launched bus ridership holiday promotion with "Jingle Pass." The holiday pass contributed to a ridership increase of more than 5 percent during

Division Accomplishments & Goals

- the promotional period.
- Launched Angels Express Metrolink service, partnering with the Angels Baseball to serve 47 weekday home games, resulting in an overwhelming response carrying more than 20,000 people to and from the games.
- Coordinated and conducted youth, senior and general public outreach events, and presentations, reaching more than 100,000 people with information on OCTA programs and services.
- Administered a comprehensive research program to gauge customer satisfaction, public attitudes, and awareness with four surveys. Created a research baseline for public and service awareness levels and prepared groundwork for future service improvements.
- Launched updated OCTA and Measure M websites, enhancing OCTA's transparency and ensuring public accountability. Expanded social media communications and increased the number of Facebook fans by 89 percent to 5,500 fans (February 2012).
- Strategically managed OCTA's six public committees to gain customer feedback and insight while proactively managing issues and concerns.
- Informed and engaged the public and key stakeholders on progress of OCTA project studies and major capital projects:
 - Construction projects such as West County Connectors, SR-91, SR-57, O.C. Bridges and O.C. Rail Crossing construction projects
 - Freeway environmental and water quality mitigation
- Provided opportunities for public and business interactions at major forums such as the O.C. Jobs Now Summit, the Small Business Conference and Leadership Forums as well as community-based and business-based events.
- Enhanced OCTA's rideshare and non-motorized transportation alternative planning efforts by creating new vanpool, bike and pedestrian programs and outreach materials.
 - Expanded the vanpool program by 15 percent compared to FY 2009-10 to more than 400 active vanpools (February 2012) and provided more than 1 million passenger trips while reducing more than 30 million vehicles miles traveled.
 - Developed a grant-funded Bike-share pilot program set to launch in FY 2012-13.
 - Created a Bicycle / Pedestrian subcommittee and supported a 4th District Bikeways Forum to gain community feedback on new regional bikeways.
 - Increased participation in countywide rideshare events including Rideshare Week, Bike Month, and

Dump the Pump.

- Managed and expanded revenue-generating programs such as the prepaid fare media program, bus advertising program, and bus book sales.
 - Added a major chain store as a retail pass sales vendor allowing greater ease for customers to purchase bus passes and ACCESS fare coupons.
 - Introduced several promotional passes, including the OCLink, Jingle Pass, and Metrolink Weekends pass, which contributed to increases in ridership and encouraged conversion of cash paying customers to pass purchasing customers.

Goals Fiscal Year 2012-13

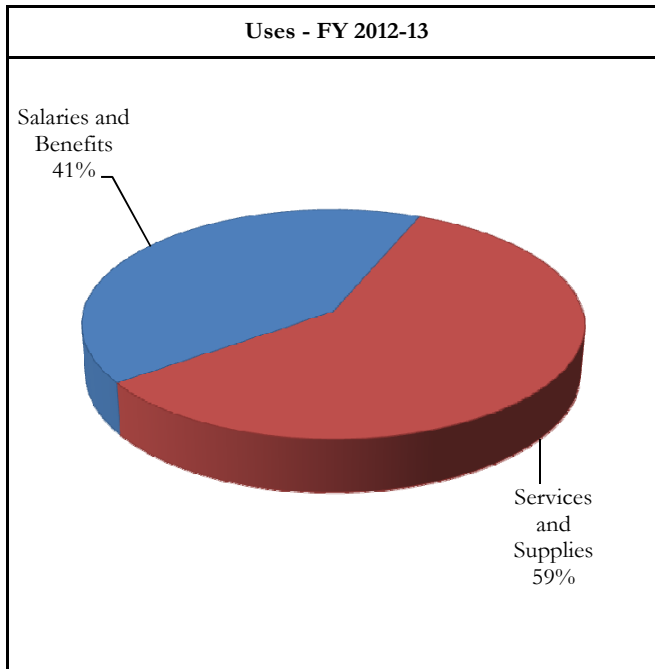
- Encourage the use of OCTA's programs and services while ensuring transparency and accountability to the public through comprehensive, proactive communications efforts.
- Build awareness and usage of OCTA's bus and Metrolink services.
- Increase public awareness of OCTA's programs and projects with cost-effective media relations and an enhanced public outreach programs.
- Ensure two-way communication between OCTA and its customers and stakeholders by listening, sharing, recording information, and responding to public comments.
- Continue to strategically manage OCTA's public committees and create additional opportunities for input.
- Educate and engage the public to participate in planning and capital project development.
 - Raise public understanding of freeway capital improvement projects and rail services with outreach and education efforts.
 - Continue to maximize public participation opportunities and reach out to diverse communities to provide them with meaningful opportunities to engage with OCTA.
- Promote alternatives to single occupant vehicle travel.
 - Continue to expand rideshare and non-motorized alternatives through Bike-share pilot program, Station Van program and growing the overall vanpool program.
 - Increase usage of rideshare alternatives through strategic employer outreach and commuter promotions.
- Administer and grow revenue-generating programs such as the bus advertising program, bus book sales, and prepaid fare media program.
- Cultivate new relationships and partnerships to enhance

Division Accomplishments & Goals (continued)

OCTA's leadership role countywide, regionwide and nationwide.

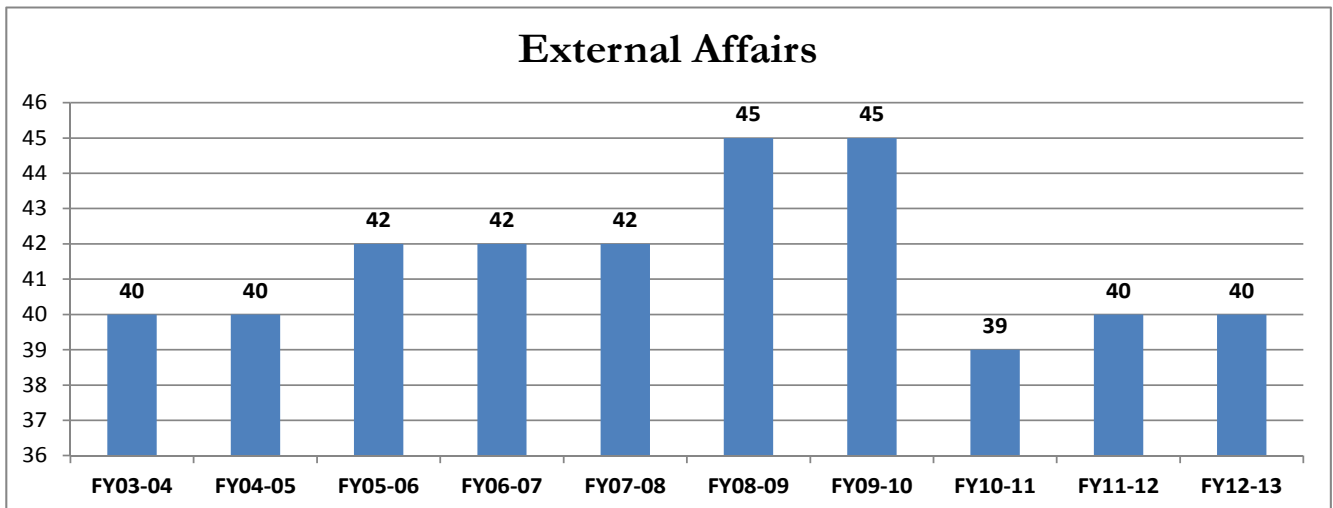
- Provide OCTA customers and stakeholders with quality, cost-effective public information that enhances awareness of services and programs, encourages use, supports transparency in government, and creates positive perceptions of the agency.
- Provide communications in support of Board and CEO initiatives.

External Affairs



Uses	Amount
Salaries and Benefits	\$ 4,751,584
Services and Supplies	6,764,522
Total Uses	\$ 11,516,106

Staffing Plan



External Affairs

Division Staffing

Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
Executive Director, External Affairs	4	3	3
Marketing	11	11	11
Customer Relations	14	0	0
OCTD Marketing	1	8	8
Public Communications	8	10	10
Vanpool	0	3	3
Rideshare	1	1	1
Strategic Communications	0	4	4
Total External Affairs	39	40	40

Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Executive Director, External Affairs</u>			
Administrative Assistant	1	1	1
Business Unit Analyst	0	1	1
Community Relations Officer	1	0	0
Executive Director	1	1	1
External Affairs Administrator	1	0	0
Subtotal Executive Director, External Affairs	4	3	3
<u>Marketing</u>			
Department Manager	1	1	1
External Affairs Administrator	0	1	1
Marketing Program Administrator	1	1	1
Marketing Specialist	2	2	2
Office Specialist	1	0	0
Public Information Specialist	2	2	2
Section Manager	2	2	2
Web Developer	2	2	2
Subtotal Marketing	11	11	11
<u>Customer Relations</u>			
Administrative Specialist	1	0	0
Customer Relations Representative	5	0	0
Customer Relations Specialist	3	0	0
External Affairs Administrator	2	0	0
Section Manager	1	0	0
Section Supervisor	2	0	0
Subtotal Customer Relations	14	0	0
<u>OCTD Marketing</u>			
Customer Relations Specialist	0	5	5
Marketing Specialist	0	2	2
Office Specialist	1	0	0
Section Manager	0	1	1
Subtotal OCTD Marketing	1	8	8
<u>Public Communications</u>			
Community Relations Officer	3	2	1
Community Relations Specialist	3	5	5
Department Manager	1	1	1
Media Relations	1	1	2
Special Assignment	0	1	1
Subtotal Public Communications	8	10	10

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External Affairs

Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Vanpool</u>			
Marketing Specialist	0	2	2
Office Specialist	0	1	1
Subtotal Vanpool	0	3	3
<u>Rideshare</u>			
Marketing Specialist	1	1	1
Subtotal Rideshare	1	1	1
<u>Strategic Communications</u>			
Community Relations Officer	0	1	1
Community Relations Specialist	0	2	2
Section Manager	0	1	1
Subtotal Strategic Communications	0	4	4
Total External Affairs	39	40	40

Division Expenses

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	2,327,094	2,406,826	2,491,986
7150 Extra Help Employees	130,840	131,400	142,400
7209 Deferred Compensation	34,462	41,677	49,910
7210 Pensions	725,058	809,478	861,865
7220 Insurances	79,968	75,438	84,633
7240 Health Care	460,855	648,606	567,935
7260 Compensated Absences	316,884	308,325	319,070
7270 Workers Compensation	84,279	63,522	49,645
7280 Other Benefits	106,465	93,564	184,140
Subtotal Salaries and Benefits	\$ 4,265,905	\$ 4,578,836	\$ 4,751,584
<u>Services and Supplies</u>			
7310 Contract Transportation	1,438,126	1,870,000	1,965,600
7510 Professional Services	2,474,582	2,774,000	3,991,600
7610 Outside Services	81,731	501,642	330,800
7630 Advertising Fees	48,314	108,001	180,000
7650 Travel, Training, and Mileage	7,482	21,277	31,183
7660 Office Expense	236,033	206,706	200,500
7670 Miscellaneous Expense	15,351	17,825	19,839
7750 Maintenance Expense	901	0	0
7790 Other Materials and Supplies	1,520	7,000	15,000
7830 Contributions to Other Agencies	81,421	25,000	30,000
Subtotal Services and Supplies	\$ 4,385,461	\$ 5,531,451	\$ 6,764,522
Total Uses	\$ 8,651,366	\$ 10,110,287	\$ 11,516,106

External Affairs

Division Expenses by Department

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
600 Executive Director, External Affairs	587,613	471,672	492,827
601 Marketing	1,160,028	1,339,091	1,408,787
602 Customer Relations	1,205,074	0	0
603 OCTD Marketing	83,616	671,390	681,117
604 Public Communications	1,136,702	1,276,910	1,326,199
607 Vanpool	0	220,108	214,987
608 Rideshare	92,872	114,841	111,303
609 Strategic Communications	0	484,824	516,364
Subtotal Salaries and Benefits	\$ 4,265,905	\$ 4,578,836	\$ 4,751,584
<u>Services and Supplies</u>			
600 Executive Director, External Affairs	115,880	13,225	18,847
601 Marketing	326,127	299,800	236,570
602 Customer Relations	3,261	0	0
603 OCTD Marketing	592,811	2,383,650	2,505,138
604 Public Communications	51,308	158,043	197,827
606 OCTD Customer Relations	1,344,285	0	0
607 Vanpool	1,547,786	2,020,000	2,165,600
608 Rideshare	404,003	656,733	1,591,940
609 Strategic Communications	0	0	48,600
Subtotal Services and Supplies	\$ 4,385,461	\$ 5,531,451	\$ 6,764,522
Total Expenses	\$ 8,651,366	\$ 10,110,287	\$ 11,516,106

Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Executive Director, External Affairs			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	322,848	254,366	261,937
7209 Deferred Compensation	12,461	10,740	11,545
7210 Pensions	96,832	84,916	92,444
7220 Insurances	9,602	7,840	8,363
7240 Health Care	68,094	57,000	54,088
7260 Compensated Absences	43,663	32,599	33,578
7270 Workers Compensation	11,389	6,799	5,225
7280 Other Benefits	22,724	17,412	25,647
Subtotal Salaries and Benefits	\$ 587,613	\$ 471,672	\$ 492,827
<u>Services and Supplies</u>			
7510 Professional Services	111,962	0	0
7650 Travel, Training, and Mileage	0	1,300	1,437
7660 Office Expense	2,335	7,800	7,800
7670 Miscellaneous Expense	1,583	4,125	9,610
Subtotal Services and Supplies	\$ 115,880	\$ 13,225	\$ 18,847
Executive Director, External Affairs Total Expenses	\$ 703,493	\$ 484,897	\$ 511,674
Marketing			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	660,910	726,114	749,053
7150 Extra Help Employees	17,140	30,000	39,000
7209 Deferred Compensation	8,067	9,931	13,046
7210 Pensions	205,840	243,091	257,776
7220 Insurances	21,454	22,587	25,641
7240 Health Care	114,911	172,439	159,399
7260 Compensated Absences	74,294	92,895	95,859
7270 Workers Compensation	23,080	18,591	14,914
7280 Other Benefits	34,332	23,443	54,099
Subtotal Salaries and Benefits	\$ 1,160,028	\$ 1,339,091	\$ 1,408,787
<u>Services and Supplies</u>			
7510 Professional Services	255,788	190,000	155,000
7610 Outside Services	0	50,000	0
7630 Advertising Fees	26,538	30,000	55,000
7650 Travel, Training, and Mileage	3,958	6,500	7,595
7660 Office Expense	34,398	20,000	12,200
7670 Miscellaneous Expense	4,153	2,300	1,775
7790 Other Materials and Supplies	1,292	1,000	5,000
Subtotal Services and Supplies	\$ 326,127	\$ 299,800	\$ 236,570
Marketing Total Expenses	\$ 1,486,155	\$ 1,638,891	\$ 1,645,357

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External Affairs

Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Customer Relations			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	641,607	0	0
7150 Extra Help Employees	56,756	0	0
7209 Deferred Compensation	7,593	0	0
7210 Pensions	206,624	0	0
7220 Insurances	24,752	0	0
7240 Health Care	119,493	0	0
7260 Compensated Absences	100,145	0	0
7270 Workers Compensation	24,010	0	0
7280 Other Benefits	24,094	0	0
Subtotal Salaries and Benefits	\$ 1,205,074	\$ 0	\$ 0
<u>Services and Supplies</u>			
7610 Outside Services	768	0	0
7650 Travel, Training, and Mileage	1,541	0	0
7660 Office Expense	538	0	0
7670 Miscellaneous Expense	186	0	0
7790 Other Materials and Supplies	228	0	0
Subtotal Services and Supplies	\$ 3,261	\$ 0	\$ 0
Customer Relations Total Expenses	\$ 1,208,335	\$ 0	\$ 0
OCTD Marketing			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	37,289	362,302	373,171
7150 Extra Help Employees	206	0	0
7209 Deferred Compensation	876	4,898	5,775
7210 Pensions	12,619	120,652	126,876
7220 Insurances	1,365	11,612	13,453
7240 Health Care	19,841	97,410	79,801
7260 Compensated Absences	6,753	45,768	47,171
7270 Workers Compensation	1,401	10,506	7,339
7280 Other Benefits	3,266	18,242	27,531
Subtotal Salaries and Benefits	\$ 83,616	\$ 671,390	\$ 681,117
<u>Services and Supplies</u>			
7510 Professional Services	337,595	2,015,000	2,085,000
7610 Outside Services	52,866	121,600	124,000
7630 Advertising Fees	21,726	70,000	115,000
7650 Travel, Training, and Mileage	0	1,650	3,688
7660 Office Expense	178,838	167,000	167,000
7670 Miscellaneous Expense	885	2,400	450
7750 Maintenance Expense	901	0	0
7790 Other Materials and Supplies	0	6,000	10,000
Subtotal Services and Supplies	\$ 592,811	\$ 2,383,650	\$ 2,505,138
OCTD Marketing Total Expenses	\$ 676,427	\$ 3,055,040	\$ 3,186,255

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Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Public Communications			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	627,212	650,909	678,117
7150 Extra Help Employees	48,187	67,400	65,400
7209 Deferred Compensation	4,971	10,330	12,580
7210 Pensions	189,976	220,535	235,646
7220 Insurances	20,779	20,286	22,358
7240 Health Care	123,207	185,763	161,612
7260 Compensated Absences	77,669	83,695	87,212
7270 Workers Compensation	22,652	16,887	13,570
7280 Other Benefits	22,049	21,105	49,704
Subtotal Salaries and Benefits	\$ 1,136,702	\$ 1,276,910	\$ 1,326,199
<u>Services and Supplies</u>			
7510 Professional Services	24,144	10,000	10,000
7610 Outside Services	12,053	115,042	154,700
7630 Advertising Fees	50	8,001	10,000
7650 Travel, Training, and Mileage	1,067	6,000	10,977
7660 Office Expense	6,124	11,000	8,000
7670 Miscellaneous Expense	7,870	8,000	4,150
Subtotal Services and Supplies	\$ 51,308	\$ 158,043	\$ 197,827
Public Communications Total Expenses	\$ 1,188,010	\$ 1,434,953	\$ 1,524,026
OCTD Customer Relations			
<u>Services and Supplies</u>			
7510 Professional Services	1,330,601	0	0
7610 Outside Services	45	0	0
7660 Office Expense	13,540	0	0
7670 Miscellaneous Expense	99	0	0
Subtotal Services and Supplies	\$ 1,344,285	\$ 0	\$ 0
OCTD Customer Relations Total Expenses	\$ 1,344,285	\$ 0	\$ 0

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External Affairs

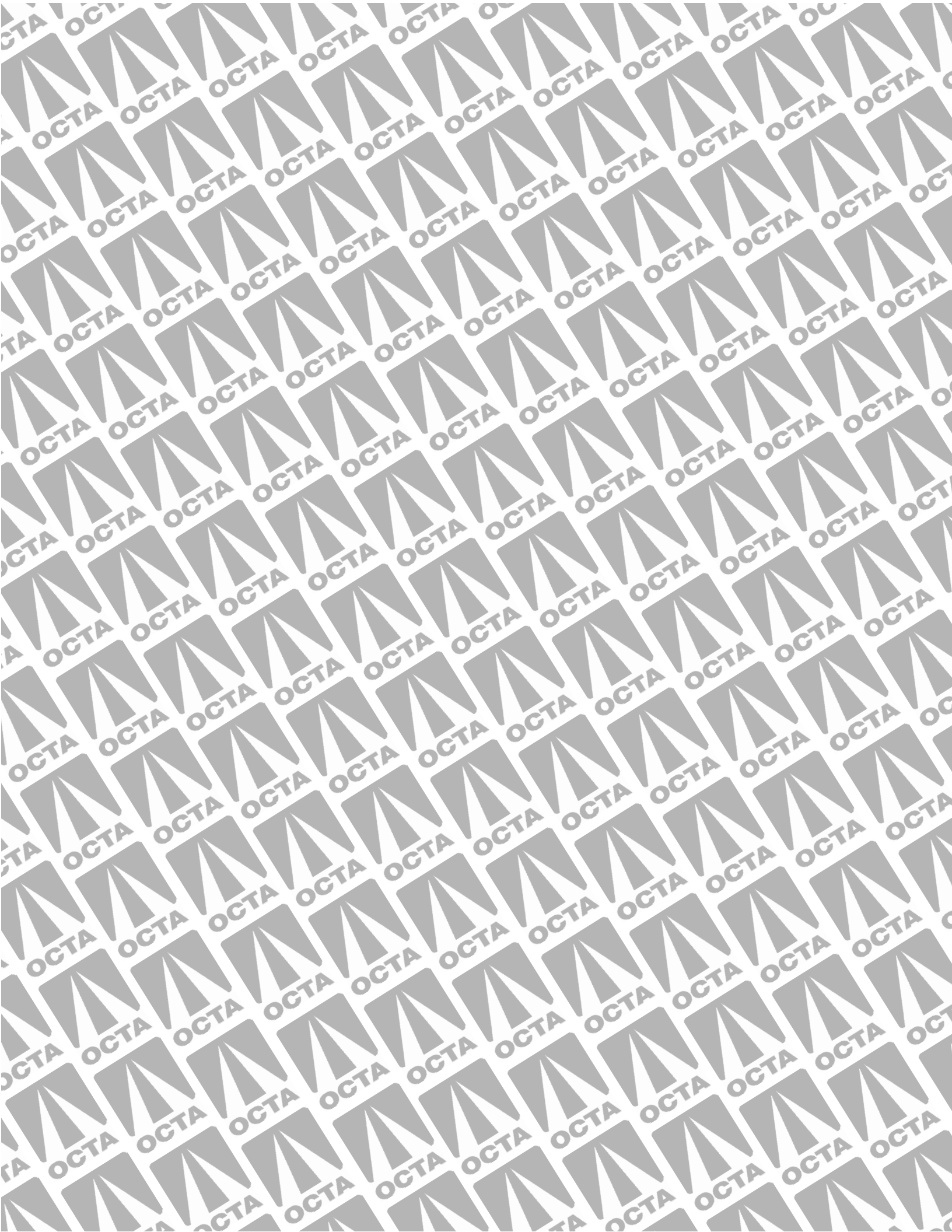
Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Vanpool			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	0	114,298	113,883
7209 Deferred Compensation	0	1,156	1,780
7210 Pensions	0	38,458	39,337
7220 Insurances	0	3,739	4,321
7240 Health Care	0	41,271	31,416
7260 Compensated Absences	0	14,765	14,712
7270 Workers Compensation	0	2,730	2,289
7280 Other Benefits	0	3,691	7,249
Subtotal Salaries and Benefits	\$ 0	\$ 220,108	\$ 214,987
<u>Services and Supplies</u>			
7310 Contract Transportation	1,438,126	1,870,000	1,965,600
7510 Professional Services	54,140	150,000	200,000
7830 Contributions to Other Agencies	55,520	0	0
Subtotal Services and Supplies	\$ 1,547,786	\$ 2,020,000	\$ 2,165,600
Vanpool Total Expenses	\$ 1,547,786	\$ 2,240,108	\$ 2,380,587
Rideshare			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	37,228	50,030	51,531
7150 Extra Help Employees	8,551	12,000	13,000
7209 Deferred Compensation	494	678	151
7210 Pensions	13,167	17,284	18,249
7220 Insurances	2,016	1,661	1,828
7240 Health Care	15,309	23,539	15,579
7260 Compensated Absences	14,360	6,463	6,656
7270 Workers Compensation	1,747	1,550	1,036
7280 Other Benefits	0	1,636	3,273
Subtotal Salaries and Benefits	\$ 92,872	\$ 114,841	\$ 111,303
<u>Services and Supplies</u>			
7510 Professional Services	360,352	409,000	1,541,600
7610 Outside Services	15,999	215,000	15,000
7650 Travel, Training, and Mileage	916	5,827	3,540
7660 Office Expense	260	906	0
7670 Miscellaneous Expense	575	1,000	1,800
7830 Contributions to Other Agencies	25,901	25,000	30,000
Subtotal Services and Supplies	\$ 404,003	\$ 656,733	\$ 1,591,940
Rideshare Total Expenses	\$ 496,875	\$ 771,574	\$ 1,703,243

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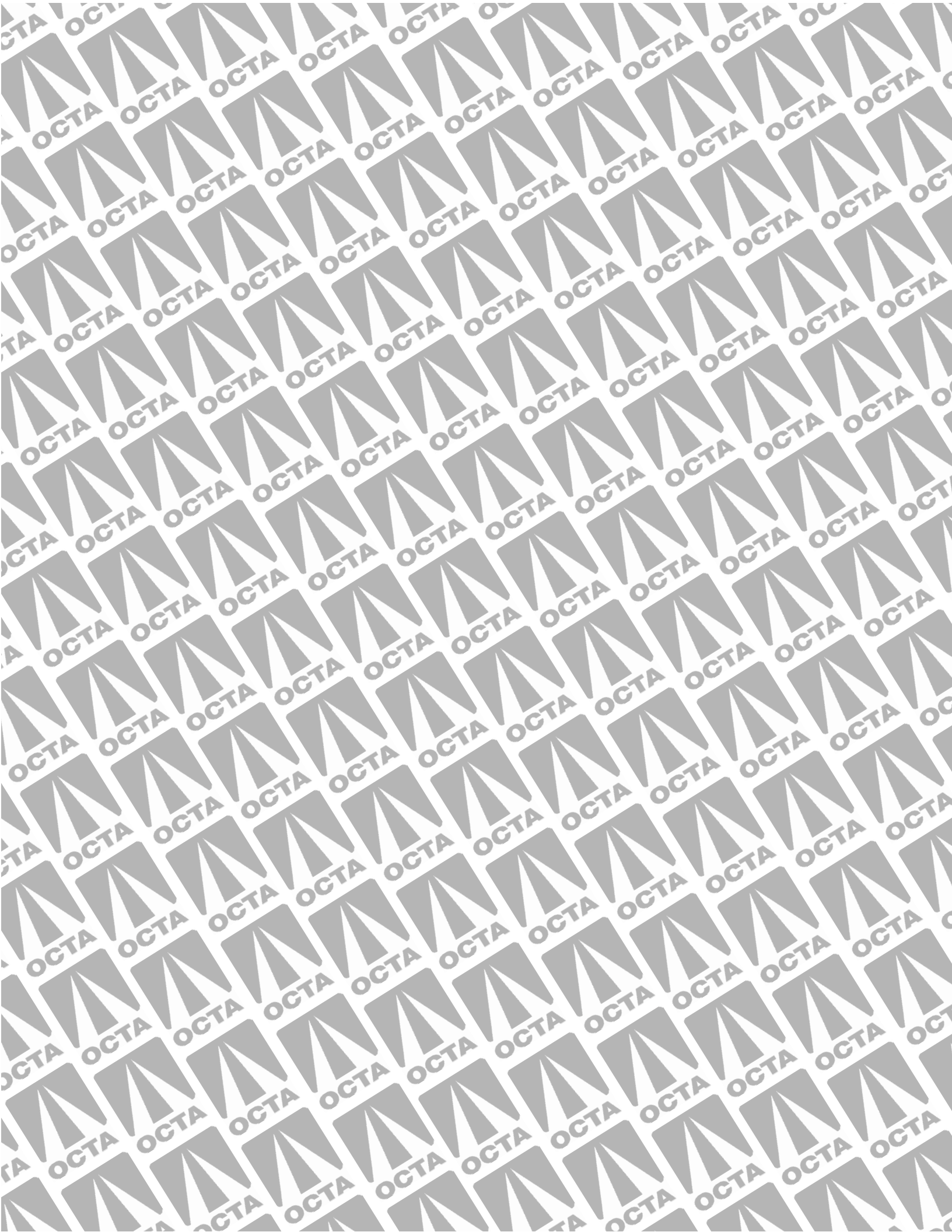
Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Strategic Communications			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	0	248,807	264,294
7150 Extra Help Employees	0	22,000	25,000
7209 Deferred Compensation	0	3,944	5,033
7210 Pensions	0	84,542	91,537
7220 Insurances	0	7,713	8,669
7240 Health Care	0	71,184	66,040
7260 Compensated Absences	0	32,140	33,882
7270 Workers Compensation	0	6,459	5,272
7280 Other Benefits	0	8,035	16,637
Subtotal Salaries and Benefits	\$ 0	\$ 484,824	\$ 516,364
<u>Services and Supplies</u>			
7610 Outside Services	0	0	37,100
7650 Travel, Training, and Mileage	0	0	3,946
7660 Office Expense	0	0	5,500
7670 Miscellaneous Expense	0	0	2,054
Subtotal Services and Supplies	\$ 0	\$ 0	\$ 48,600
Strategic Communications Total Expenses	\$ 0	\$ 484,824	\$ 564,964

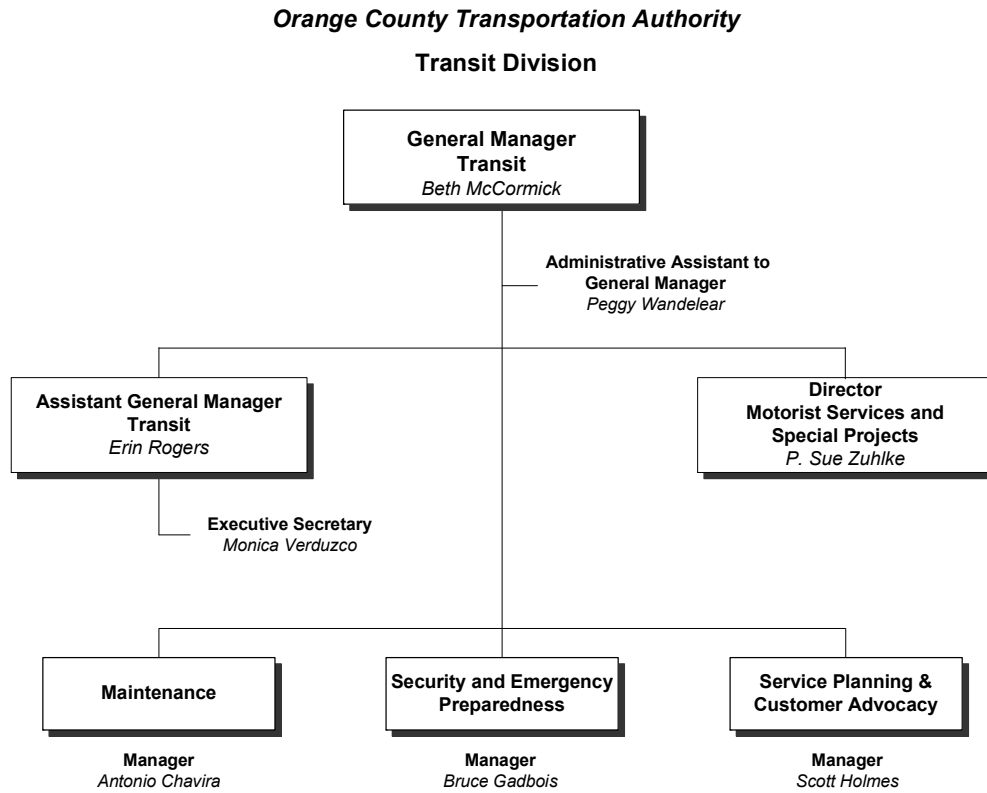




TRANSIT



Division Organization Chart



Division Narrative

The Transit Division is one of OCTA's core business units delivering fixed route and paratransit bus services and motorist services for Orange County. 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, and alternative programs providing service to seniors and persons with disabilities. Motorist services includes the Service Authority for Freeway Emergencies (SAFE), the Service Authority for Abandoned Vehicles (SAAV), and the Orange County Taxi Administration Program (OCTAP). The Transit Division is responsible for the implementation 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." 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.

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 have major roles 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 **Motorist Services Department** plans, directs, and administers several elements of the OCTA family of services. These include the Service Authority for Freeway Emergencies (SAFE), the Service Authority for Abandoned Vehicles (SAAV), 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. SAAV provides funding from a \$1 per vehicle registration fee to local agencies for the removal of abandoned vehicles. Although SAAV concluded in April 2012, local agencies will continue to receive funding for the removal of abandoned vehicles from reserves and delinquent vehicle registration fees through the end of

calendar year 2012. OCTAP regulates the taxicab industry for the County of Orange and its 34 cities and is funded through the company, vehicle, and driver permit fees. For these programs, the Motorist Services Department personnel ensure management and operational controls and resources are in place to effectively and efficiently implement these programs.

The **Bus Operations Department** manages the delivery of bus service for OCTA's countywide fixed route bus system from three facilities located in the cities of Anaheim, Garden Grove, and Santa Ana. Each operations base includes a staff of professional 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 support of the Transit Division's mission of safety, courtesy, and reliability. 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 customer service, safety, 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 service disruptions, and maintain the ability to quickly respond to emergencies. 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 Operations 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, field evaluations of service, 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 mandated by

Division Narrative (continued)

the Department of Motor Vehicles (DMV). 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.

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: three Maintenance Base Operations, Maintenance Resource Management (MRM)/Facilities Maintenance, and Transit Technical Services (TTS).

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, and heavy maintenance for directly and contracted fixed route vehicles. In addition to the revenue fleet, the department also maintains non-revenue support vehicles (miscellaneous equipment, cars, trucks, and vans), and a contingency fleet of 55 buses.

Maintenance Base Operations has three vehicle maintenance facilities located in the cities of Anaheim, Garden Grove, and Santa Ana which provide preventive maintenance, servicing, fueling, fare collection, and bus cleaning functions. The Anaheim Base operates 24 hours per day Monday through Friday, and Garden Grove and Santa Ana Bases operate 24 hours a day, seven days a week.

In addition to vehicle maintenance activities, the Santa Ana Base also houses TTS, Maintenance Training, and a number of specialty shop activities such as: body shop, upholstery shop, rebuild shop, machine shop, electronics, and the automotive shop, which handles work on approximately 230 non-revenue support vehicles.

MRM/Facilities Maintenance is comprised of four functional units: Fleet Analysis, Maintenance Administration, Contract Support Management, and Facilities Maintenance. Staff in this section is responsible for managing the systems that track, schedule, and report on all OCTA vehicle maintenance activities, movement of all vehicles between bases, and disposal of assets after they reach their useful life. Staff conducts research and analysis on fleet performance, manages the department budget, and prepares reports to track monthly maintenance performance indicators and vendor

compliance. 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), seven transit centers, and two OCTA park-and-ride centers.

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, 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 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.

The **Community Transportation Services (CTS) Department** is comprised of contract transportation oversight and the development of community partnerships to provide alternative transportation options for seniors and persons with disabilities. Oversight of contract operations includes monitoring vendor performance to effectively deliver transit services including ACCESS, OCTA's complementary paratransit service required by the Americans with Disabilities Act (ADA); contracted fixed route, including express bus service, 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 CTS 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.

Division Narrative (continued)

Under a successful effort to develop community partnerships, the department works with cities, the Orange County Office on Aging, the Regional Center of Orange County, adult day healthcare programs, Regional Center day 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.

The **Transit Programs Management Department** provides project management support for a variety of capital projects and operations analysis. The department is responsible for managing and implementing technology projects to improve the efficiency of operations. Key projects currently in place, being implemented, or in the development phase include: Text4Next for the public to obtain bus schedule information using cell phone texting; upgrading the radio communications system; managing and expanding the on-board video surveillance system (OBVSS); and upgrading the fare collection system to an open payment system to increase transit use and promote regional fare integration via the use of smart cards, credit cards, and near-field communications (NFC).

The Operations Analysis section supports the Transit Division by preparing unbiased, independent, and value-added financial and administrative analyses. Staff conducts research, analyzes operational data, and manages projects in the Transit Division. A key role of this unit is to ensure that capital and service needs for the division are accurately reflected in the Comprehensive Business Plan and the bus capital plan. This unit is responsible for a number of projects including coach operator manpower planning, revenue fleet planning, preparing the Transit Division Dashboard which summarizes quarterly performance measures, developing and tracking the division budget, preparing the National Transit Database (NTD) monthly and annual reporting, project management of the Anaheim Transportation Network and the City of Irvine iShuttle contract agreements, and conducting and managing special projects.

The **Security and Emergency Preparedness Department** performs the two essential functions described in its namesake. 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 the security field include enhancement of physical security measures at OCTA bases, initiating model programs in anti-terrorism and anti-crime within bus operations and rail right-of-way, and continuing the award-winning Tracking Automated Graffiti Reporting System (TAGRS).

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 Bureau are ongoing activities. Major projects in Emergency Preparedness include a progressive training and exercise program to enhance OCTA's disaster response capabilities, continuing to develop the emergency management training and exercise design team, providing emergency management training for senior executives, and building organization resiliency through an aggressive Continuity of Operations (COOP) program. Many projects in both Security and Emergency Preparedness are grant funded by the federal Transit Security Grant Program, State Proposition 1B funds, and other grant sources.

Division Accomplishments & Goals

Accomplishments Fiscal Year 2011-12

Motorist Services

- A cost/benefit analysis was completed for current FSP service resulting in \$7.50 congestion relief benefit for every dollar spent operating the program.
- Existing midday FSP service beats were modified to provide more coverage with a goal to increase the cost/benefit ratio based on modeling.
- Measure M2 Project N Guidelines were approved by the Board of Directors and new FSP service was implemented with anticipated average cost/benefit ratios of \$10 of congestion relief benefit for every dollar of operating cost.
- FSP construction service was procured and implemented in support of the State Route 91 widening project.
- Call answering center services were procured jointly with two other call box operators to maximize resources.
- In collaboration with Los Angeles County Service Authority for Freeway Emergencies (LA SAFE), initiated development of Go511 mobile application.
- In collaboration with LA SAFE, implemented motorist

Division Accomplishments & Goals (continued)

aid feature on 511 allowing motorists in need of aid to reach the call box answering center through 511.

- Updated and disseminated SAAV User Guide in response to audit recommendations and held meetings with local agencies on SAAV reporting requirements and sunset of the program.
- Completed two phases of an OCTAP technology project allowing Code Administrators to conduct electronic vehicle inspections both at OCTAP and in the field, reducing processing time and accumulation of paper files.
- Successfully sponsored legislation allowing OCTAP to review DMV pull notice records at taxicab companies to ensure compliance with regulations.
- Increased enforcement of OCTAP regulations by 326 percent, exceeding the goal of 75 percent.

Bus Operations Department

- Safety – met standard of no more than one accident per 100,000 miles. Continued to work with Safety and Risk Management to improve overall safety record and safety programs.
- Courtesy – worked with Customer Relations to improve the customer comment evaluation process and reporting.
- Reliability – exceeded standard of 85 percent on-time performance for directly operated fixed route service.
- Achieved satisfactory ratings from the California Highway Patrol for the terminal inspections at all three operating bases.
- Continued focus on improving communications by implementing initiatives to facilitate teamwork between all bases and support groups.
- Continued focus on succession planning including filling key department management positions and the promotion of eight Coach Operators to supervisory positions.

Maintenance Department

- Achieved satisfactory ratings on all California Highway Patrol annual terminal inspections at all three bases.
- Maintained an average of over 15,000 miles between road calls.
- Hired a consultant to review the current OCTA fluid management system.
- Supported and implemented transfer of vehicles to contracted fixed route.
- Successfully met the contract requirements for the Anaheim Transportation Network 35 bus lease and maintenance agreement and achieved a satisfactory rating from the California Highway Patrol for the

Annual Terminal Inspection for those vehicles as well.

- Maintained overall maintenance costs below budgeted amounts.
- Reengineered and enhanced fire suppression and electronics systems for the active fixed route fleet.
- Implemented a bus beautification process completing the repainting of 43 40-foot buses.

Service Planning and Customer Advocacy Department

- Continued to offer the Bus Stop Maintenance City Assistance Program providing fee-based supplemental bus stop maintenance to jurisdictions. Entered into a service agreement with the County of Orange and developed a draft agreement with the City of Fountain Valley.
- Implemented special event service to the Orange County Fair based on a successful Mobile Source Air Pollution Reduction Review Committee (MSRC) grant proposal that was developed in the spring and developed MSRC grant proposal to expand the Orange County Fair Express during the 2012 Fair Season. Implemented special event Metrolink connecting shuttle bus service to Ducks home games between Anaheim Metrolink Station and Honda Center.
- Supported the Transit System Study and continued to work with the Planning Division on the development of Pilot Projects.
- Applied for and received Federal State of Good Repair funds to install 100 new solar light displays at bus stops to improve safety and security.
- Continued working with the External Affairs and Planning divisions to coordinate public outreach events associated with the service change process.
- Developed bus schedules supporting Metrolink Service Expansion Plan.
- Assisted with the development of advanced evaluation tools using AVL data for performance monitoring.
- Assisted with the review of Federal Title VI reporting requirements.
- Participated in Transit Division succession planning activities to further develop department staff.

Community Transportation Services Department

- Completed ACCESS customer satisfaction survey and received 88 percent overall satisfaction rating.
- Negotiated with Veolia to extend the ACCESS contract through June 2013 and reduce the revenue vehicle hour rate for FY 2011-12 by 3 percent.
- Completed the procurement process for the ACCESS

Division Accomplishments & Goals (continued)

eligibility contract, resulting in a 17.7 percent reduction in the assessment rate.

- Coordinated with Service Planning and Maintenance to achieve 18.6 percent transition of service to contracted fixed route.
- Negotiated new contract terms with MV Transportation.
- Successfully administered Job Access and Reverse Commute (JARC) and New Freedom grants, executing amendments to existing grants and awarding \$4.7 million for five additional grants.
- Successfully implemented the Vocational Visions transportation program under the JARC grant.
- Transitioned the Senior Mobility Program from Transit Development Act funding to Measure M2 funding and added six cities to the program.
- Worked in coordination with Transportation Planning staff to complete an ACCESS service evaluation as part of the Transit System Study.
- Participated in Transit Division succession planning activities to further develop department staff.

Transit Programs Management Department

- Completed OBVSS retrofit on 229 buses.
- Managed and renewed the maintenance and operation contract for OBVSS.
- Completed the final Factory Acceptance Test (FAT) for the ITMS radio upgrade project.
- Completed installation of the ITMS radio system in the ACCESS fleet.
- Participated in the coach operator Annual Required Training (ART) to inform them of the ITMS radio upgrade.
- Completed training for all users on the ITMS radio upgrade.
- Completed the procurement for the Coach Operator, Field Supervisor, and Coach Operator Trainer uniform program.
- Completed and submitted the FY 2010-11 NTD Report.
- Managed the vehicle lease and maintenance agreement with the Anaheim Transportation Network.
- Secured consultant services with the United States Department Of Transportation Volpe Center to assist with the development and management of a regional Super Users group in support of the fare collection system upgrade.
- Conducted a regional vendor fair involving 19 vendors and 20 other regional public transit agencies.
- Presented an open payment option for the fare collection system upgrade to the Board of Directors.

Security and Threat Assessment Department

- Held fourteen emergency response training classes at OCTA headquarters and all five bases. Attendees included: frontline OCTA staff, supervisors, managers, and representatives from public safety agencies.
- Held six tabletop exercises at OCTA headquarters and all five bases, involving frontline OCTA staff, supervisors, managers, and representatives from public safety agencies.
- Held a senior executives tabletop exercise at headquarters.
- Held a full scale exercise at the Santa Ana base.
- Participated in Golden Guardian 2012 state-wide emergency preparedness exercise.
- Sponsored a ReadyOC emergency preparedness campaign on buses using interior signs and distributing 60,000 flyers.
- Updated and distributed Emergency Response Guides for Executives.
- Updated and distributed Emergency Response Guides for Emergency Operations Center (EOC) staff.
- Implemented a new Counter-Terrorism Team.

Goals Fiscal Year 2012-13

Motorist Services

- Redeploy existing FSP service during peak hour service to maximize cost effectiveness and increase congestion relief benefit by at least \$1.00 without increasing operating costs.
- Deploy new FSP tracking and assist data application using newer, more effective technology.
- Monitor effectiveness of 511 motorist aid feature and modify call answering procedures as needed.
- In coordination with LA SAFE, deploy Go511 smart phone mobile application.
- Conduct customer focus group to evaluate the 511 transit trip planning feature.
- Conduct audit of SAAV member agencies and prepare for close-out of the program.
- Increase inspections of taxicab vehicles to ensure that every taxi is inspected at least twice annually, once during the annual inspection and once during a random vehicle inspection or other enforcement activity.
- Conduct semiannual DMV pull notice reviews of all taxicab companies, examining a 10 percent random sample during each review.
- Implement electronic processing of taxicab driver permits, including upgrading driver permit with tamperproof features.

Division Accomplishments & Goals (continued)

Bus Operations Department

- Safety – achieve less than one accident per 100,000 miles.
- Courtesy – achieve less than six customer complaints per 100,000 passengers.
- Continue to work with Customer Engagement to streamline the customer comment evaluation and investigation process.
- Reliability – achieve 87 percent on time performance.
- Continue to support the implementation of the thirty percent contracting plan by effectively managing Coach Operator staffing levels and work assignments.
- Continue staff succession planning efforts through continued use of Halogen software and training and development initiatives.
- Prepare for and negotiate a new, three year agreement with Teamsters Local 952 representing the Coach Operators.

Maintenance Department

- Maintain an average of 15,000 miles between road calls.
- Receive satisfactory ratings on all California Highway Patrol annual terminal inspections.
- Continue vehicle beautification project to include exterior painting of 25 vehicles.
- Complete procurement to replace 30 non-revenue vehicles used to support coach operator shift changes.
- Complete fire suppression safety modifications for cutaways and New Flyer vehicles used in fixed route service.
- Close the agreement with New Flyer for the purchase of 299 40-foot compressed natural gas vehicles with the completion of all outstanding modifications.
- Implement development plans for all members of the management and supervisory team and strengthen performance of the team by implementing succession planning and corresponding training programs.
- Implement new standards for Maintenance performance in line with the CEO and Transit General Manager goals and objectives.
- Develop specifications for soliciting to replace 17 paratransit, 11 mid-sized fixed route, 17 articulated, and 58 40-foot buses.
- Complete scope for solicitation to replace the fluid management system.
- Continue to limit maintenance costs to the amount budgeted or less.

Service Planning and Customer Advocacy Department

- Support the Transit System Study and develop work

plans to implement adopted service program recommendations.

- Continue working with the External Affairs and Planning divisions to coordinate public outreach events associated with the service change process.
- Assist the Labor Relations, Planning, and External Affairs divisions with the development of revisions to the service change, public hearing, and service standards guidelines required to comply with FTA Title VI guidance.
- Incorporate use of automated and expedited data collection tools to assist in the service planning and evaluation process as tools become available.
- Develop final guidelines and priorities for the M2 Project W Safe Stops program.
- Promote the City Assistance program for supplemental bus stop maintenance and present to the Board for adoption.
- Implement the special event service plan for the 2012 Orange County Fair.
- Continue staff development and support for succession planning programs.

Community Transportation Services Department

- Initiate and complete the procurement process for a new ACCESS service contract effective in July 2013.
- Maintain performance standards for both ACCESS and contracted fixed route services.
- Coordinate with Service Planning and Maintenance departments to continue transitioning revenue vehicle hours and fleet resources from directly operated fixed route to contracted fixed route service.
- Complete successful transition and implementation of new ITMS communication upgrade for ACCESS and contracted fixed route services.
- Coordinate with the county and participating cities in administering Measure M2 programs including the Senior Mobility Program and Senior Non-Emergency Medical Transportation Program.
- Administer JARC and New Freedom grant-funded programs, ensuring compliance with all federal guidelines.
- Update the OCTA Public Transit-Human Services Transportation Coordination Plan.
- Continue to participate in staff development and succession planning activities.

Transit Programs Management Department

- Complete implementation of ITMS radio communications upgrade.

Division Accomplishments & Goals (continued)

- Implement next phase of ITMS, the upgrade of the voice enunciator system, and evaluate implementation of future phases including a Real Time Passenger Information System.
- Implement a central server solution for the OBVSS.
- Implement the HASTUS Daily Vehicle and Daily Crew modules.
- Ensure that the bus capital plan and the service plan needs for the Transit Division are accurately reflected in the Comprehensive Business Plan.
- Prepare manpower requirements for each service change and provide supporting analysis to evaluate transition of service from directly operated to contracted fixed route.
- Complete quarterly performance measure reports for all bus services and update the Transit Division Dashboard on OCTA's website.
- Successfully manage the lease and maintenance agreement with the Anaheim Transportation Network.
- Prepare and submit annual data to Accounting for the National Transit Database (NTD).
- Prepare the technical specifications package for enhancements to the fare collection system.
- Provide structure and formalize the regional Super Users group.
- Support OCTAP through background checks, investigations, and enforcement operations.
- Protect Board members, OCTA employees, and the public at Board meetings.
- Effectively manage grant funded projects in both Security and Emergency Preparedness areas.

Security and Threat Assessment Department

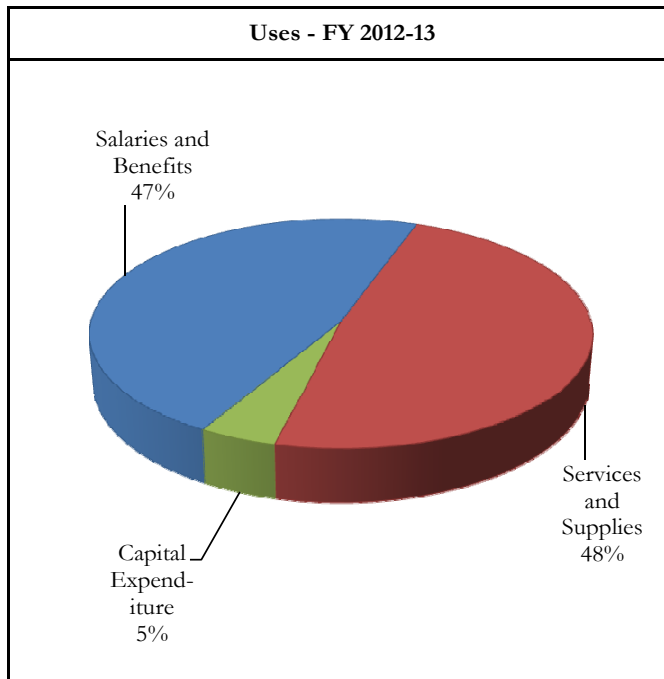
- Complete a Continuity of Operations plan for OCTA.
- Continue OCTA's progressive training and exercise program in emergency management.
- Continue OCTA's leadership role in emergency management through active participation in the Orange County Homeland Security Advisory Council, Orange County Emergency Management Council, the Orange County Emergency Management Organization, and ReadyOC.
- Continue to develop threat assessment and management capabilities to protect OCTA's workforce and customers.
- Continue active participation and information sharing with law enforcement and homeland security agencies at the local, regional, and national levels.
- Participate in the Orange County Transit Security Coalition, the Regional Transportation Security Working Group and Surface Transportation Security Committee.
- Provide security and law enforcement services on rail right-of-way, including Visible Intermodal Prevention and Response (VIPR) operations, Counter-Terrorism Team and joint operations to enhance regional rail security.

OCTD Fiscal Year 2012-13 Services & Cost Analysis

	Performance Indicators	Directly Operated Fixed Route	Contracted Fixed Route	ACCESS	ADA Taxi Service	Same Day Taxi Service	Special Agency Services	System Total
Service Provided	Vehicle Hours (VH)	1,325,748	409,423	577,066				2,312,237
	Vehicle Miles (VM)	17,360,933	6,944,055	9,194,550				33,499,538
	Revenue Hours (RVH)	1,229,406	323,468	495,089				2,047,963
	Revenue Miles (RVM)	14,795,427	4,721,657	7,507,406				27,024,490
Passenger Usage	Boardings	47,537,013	4,359,763	1,029,634	190,000	56,063	212,707	53,385,180
	Boardings per VH	35.86	10.65	1.78				23.09
	Boardings per VM	2.74	0.63	0.11				1.59
	Boardings per RVH	38.67	13.48	2.08				26.07
	Boardings per RVM	0.31	1.08	7.29				0.51
Operating Costs	Costs	\$175,055,240	\$36,144,661	\$45,041,648	\$7,417,707	\$480,460	\$3,392,932	\$267,532,648
	Cost per VH	\$132.04	\$88.28	\$78.05				\$115.70
	Cost per VM	\$10.08	\$5.21	\$4.90				\$7.99
	Cost per RVH	\$142.39	\$111.74	\$90.98				\$130.63
	Cost per RVM	\$11.83	\$7.66	\$6.00				\$9.90
	Cost per Boarding	\$3.68	\$8.29	\$43.75	\$39.04	\$8.57	\$15.95	\$5.01
Fare Revenues	Revenue	\$46,013,399	\$5,108,783	\$4,870,963				\$55,993,145
	Revenue per VH	\$34.71	\$12.48	\$8.44				\$24.22
	Revenue per VM	\$2.65	\$0.74	\$0.53				\$1.67
	Revenue per RVH	\$37.43	\$15.79	\$9.84				\$27.34
	Revenue per RVM	\$3.11	\$1.08	\$0.65				\$2.07
	Revenue per Boarding	\$0.97	\$1.17	\$4.73				\$1.05
Farebox Recovery Ratio		26.29%	14.13%	10.81%				20.93%
* Taxi Service and Special Agency passenger usage and related metrics are reported in terms of trips.								

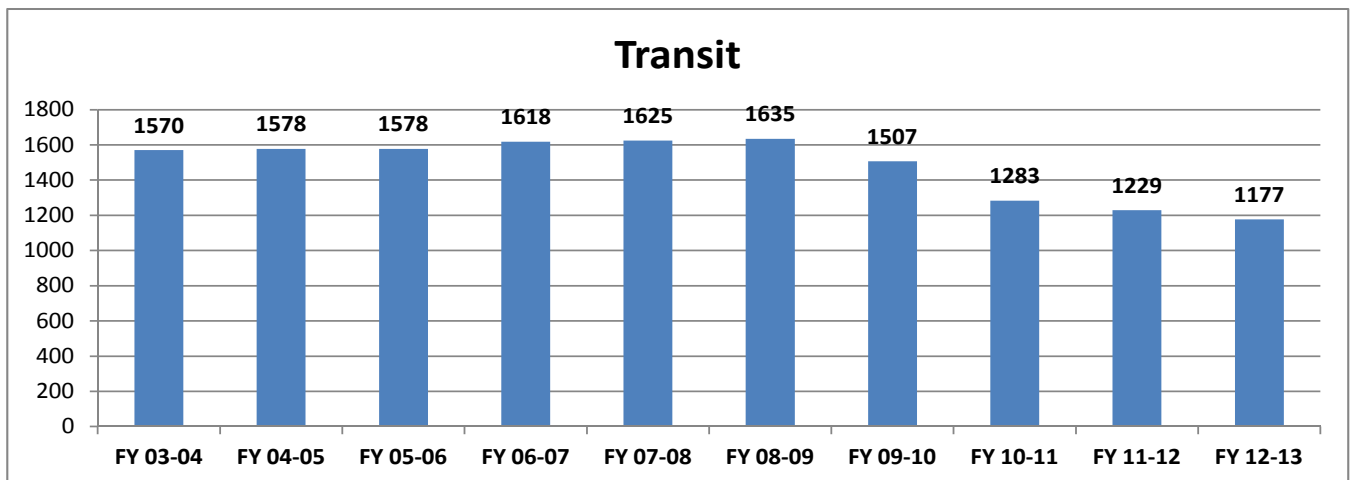
Note: Farebox recovery ratio is used to determine the amount of costs that are recovered from passenger fares. The Transportation Development Act requires transit agencies to achieve a 20 percent farebox recovery ratio in order to receive the maximum available sales taxes for public transit purposes.

Transit



Uses	Amount
Salaries and Benefits	\$ 108,331,427
Services and Supplies	111,198,065
Capital Expenditure	10,438,574
Total Uses	\$ 229,968,066

Staffing Plan



Division Staffing

Department	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
O.C. Taxicab Administration Program	4	4	4
Motorist Services	2	3	3
Executive Director, Bus Operations	3	3	3
Bus Operations	973	923	871
Community Transportation Services	10	11	12
Maintenance	276	266	263
Service Planning and Customer Advocacy	9	12	12
Transit Programs Management	5	5	6
Security Assessment	1	2	3
Total Transit	1,283	1,229	1,177

Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>O.C. Taxicab Administration Program</u>			
Code Administrator	2	2	2
OCTAP Administrator	1	1	1
Office Specialist	1	1	1
Subtotal O.C. Taxicab Administration Program	4	4	4
<u>Motorist Services</u>			
Administrative Specialist	0	1	1
Director	1	1	1
Section Manager	1	1	1
Subtotal Motorist Services	2	3	3
<u>Executive Director, Bus Operations</u>			
Administrative Assistant	1	1	1
Assistant General Manager	1	1	1
General Manager	1	1	1
Subtotal Executive Director, Bus Operations	3	3	3
<u>Bus Operations</u>			
Administrative Assistant	1	1	1
Base Manager	3	3	3
Base Manager, Assistant	0	3	3
Coach Operator	903	854	803
Department Manager	1	1	1
Field Supervisor	15	15	15
Instructor	6	6	6
Office Specialist	7	6	6
Radio Dispatcher	10	10	10
Section Manager	1	1	1
Section Supervisor	9	6	6
Window Dispatcher	17	17	16
Subtotal Bus Operations	973	923	871
<u>Community Transportation Services</u>			
Administrative Specialist	0	0	1
Department Manager	1	1	1
Maint Field Administrator	2	3	3
Office Specialist	2	2	2
Section Manager	3	3	3
Section Supervisor	1	1	1
Special Assignment	1	1	1
Subtotal Community Transportation Services	10	11	12

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Division Staffing by Department - Job Family

Department / Job Classification	FY 2010-11 Approved Budget	FY 2011-12 Approved Budget	FY 2012-13 Approved Budget
<u>Maintenance</u>			
Automotive Mechanic	5	5	5
Base Manager	3	3	3
Certified Journeyman Mechanic	124	117	118
Department Manager	1	1	1
Facilities Technician	18	18	18
Fleet Analyst	6	7	7
Journeyman Electronic Technician	13	13	13
LNG Technology Specialist	1	1	0
Machinist	2	2	2
Maintenance Analyst	1	0	0
Maintenance Instructor	3	3	3
Maintenance Supervisor	15	15	15
Mechanic	7	7	7
Office Specialist	4	4	4
Operations Analyst	1	1	1
Secretary	1	1	1
Section Manager	5	5	5
Section Supervisor	1	1	2
Service Worker	62	62	58
Stops & Zones Analyst	3	0	0
Subtotal Maintenance	276	266	263
<u>Service Planning and Customer Advocacy</u>			
Department Manager	1	1	1
Schedule Analyst	4	4	4
Schedule Checker	2	2	2
Section Manager	2	2	2
Special Assignment	0	0	1
Stops & Zones Analyst	0	3	2
Subtotal Service Planning and Customer Advocacy	9	12	12
<u>Transit Programs Management</u>			
Department Manager	1	1	1
Operations Analyst	2	2	2
Project Manager	1	1	1
Section Manager	1	1	1
Transit Project Manager	0	0	1
Subtotal Transit Programs Management	5	5	6
<u>Security Assessment</u>			
Department Manager	1	1	1
Emergency Management	0	0	1
Office Specialist	0	1	1
Subtotal Security Assessment	1	2	3
Total Transit	1,283	1,229	1,177

Division Expenses

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	61,184,354	59,128,635	58,586,896
7150 Extra Help Employees	219,150	246,793	250,800
7209 Deferred Compensation	977,337	919,557	1,010,039
7210 Pensions	16,368,468	17,149,302	17,033,432
7220 Insurances	1,626,862	1,444,333	1,624,616
7240 Health Care	14,242,155	15,045,235	13,703,311
7260 Compensated Absences	8,741,575	8,499,737	8,178,383
7270 Workers Compensation	5,976,900	4,938,879	5,193,898
7280 Other Benefits	2,969,093	2,636,126	2,750,052
Subtotal Salaries and Benefits	\$ 112,305,894	\$ 110,008,597	\$ 108,331,427
<u>Services and Supplies</u>			
7310 Contract Transportation	50,879,063	61,580,835	64,977,446
7510 Professional Services	1,963,622	3,117,489	2,439,698
7540 Insurance Claims Expense	4,974	0	0
7610 Outside Services	9,000,272	10,987,170	12,513,668
7640 Utilities	0	500	0
7650 Travel, Training, and Mileage	57,800	106,855	146,826
7660 Office Expense	152,602	154,892	181,742
7670 Miscellaneous Expense	119,274	226,679	232,611
7690 Leases	464,709	219,804	219,804
7710 Fuels and Lubricants	9,154,399	12,774,764	16,049,104
7740 Tires and Tubes	1,996,561	2,160,962	2,131,804
7750 Maintenance Expense	5,650,187	6,435,606	6,001,039
7780 General Equipment/Structures	0	2,000	0
7790 Other Materials and Supplies	959,728	1,199,983	1,325,885
7820 Taxes	50,405	300	300
7830 Contributions to Other Agencies	183,290	2,105,963	4,978,138
Subtotal Services and Supplies	\$ 80,636,886	\$ 101,073,802	\$ 111,198,065
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	2,434,152	2,736,514	10,438,574
Subtotal Capital Expenditure	\$ 2,434,152	\$ 2,736,514	\$ 10,438,574
Total Uses	\$ 195,376,932	\$ 213,818,913	\$ 229,968,066

Division Expenses by Department

Description	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
<u>Salaries and Benefits</u>			
034 O.C. Taxicab Administration Program	322,501	339,316	367,227
408 Motorist Services	399,175	485,929	515,462
900 Executive Director, Bus Operations	641,570	632,515	663,093
901 Bus Operations	82,327,136	79,184,874	76,981,309
902 Community Transportation Services	1,096,686	1,215,460	1,388,052
904 Maintenance	25,198,009	25,805,690	25,665,005
906 Service Planning and Customer Advocacy	1,435,427	1,378,443	1,457,364
911 Transit Programs Management	705,596	699,337	870,333
913 Security Assessment	179,794	267,033	423,582
Subtotal Salaries and Benefits	\$ 112,305,894	\$ 110,008,597	\$ 108,331,427
<u>Services and Supplies</u>			
034 O.C. Taxicab Administration Program	49,184	77,207	0
408 Motorist Services	831	6,153	4,585
900 Executive Director, Bus Operations	214,302	26,623	39,579
901 Bus Operations	139,988	168,575	195,694
902 Community Transportation Services	58,174,229	71,877,149	78,918,179
904 Maintenance	16,285,585	21,988,518	24,819,698
906 Service Planning and Customer Advocacy	896,765	890,342	806,583
911 Transit Programs Management	437,139	779,688	1,190,826
913 Security Assessment	4,438,863	5,259,547	5,222,921
Subtotal Services and Supplies	\$ 80,636,886	\$ 101,073,802	\$ 111,198,065
<u>Capital Expenditure</u>			
904 Maintenance	85,850	1,483,000	5,686,000
911 Transit Programs Management	2,348,302	1,193,514	1,669,000
913 Security Assessment	0	60,000	3,083,574
Subtotal Capital Expenditure	\$ 2,434,152	\$ 2,736,514	\$ 10,438,574
Total Expenses	\$ 195,376,932	\$ 213,818,913	\$ 229,968,066

Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
O.C. Taxicab Administration Program			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	182,655	180,190	188,763
7209 Deferred Compensation	1,743	2,153	3,250
7210 Pensions	53,513	60,630	62,437
7220 Insurances	6,117	6,204	6,721
7240 Health Care	46,466	55,084	66,633
7260 Compensated Absences	16,759	23,275	23,350
7270 Workers Compensation	6,088	4,899	3,633
7280 Other Benefits	9,160	6,881	12,440
Subtotal Salaries and Benefits	\$ 322,501	\$ 339,316	\$ 367,227
<u>Services and Supplies</u>			
7510 Professional Services	40,000	40,000	0
7640 Utilities	0	500	0
7650 Travel, Training, and Mileage	1,030	2,863	0
7660 Office Expense	5,417	28,400	0
7670 Miscellaneous Expense	2,737	3,444	0
7780 General Equipment/Structures	0	2,000	0
Subtotal Services and Supplies	\$ 49,184	\$ 77,207	\$ 0
O.C. Taxicab Administration Program Total Expense	\$ 371,685	\$ 416,523	\$ 367,227
Motorist Services			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	228,429	264,752	276,390
7209 Deferred Compensation	8,172	7,408	8,732
7210 Pensions	70,407	90,968	98,127
7220 Insurances	6,608	8,501	9,053
7240 Health Care	30,561	50,867	55,215
7260 Compensated Absences	29,136	34,200	35,704
7270 Workers Compensation	8,014	11,443	5,555
7280 Other Benefits	17,848	17,790	26,686
Subtotal Salaries and Benefits	\$ 399,175	\$ 485,929	\$ 515,462
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	52	2,528	610
7660 Office Expense	683	3,000	3,000
7670 Miscellaneous Expense	96	625	975
Subtotal Services and Supplies	\$ 831	\$ 6,153	\$ 4,585
Motorist Services Total Expenses	\$ 400,006	\$ 492,082	\$ 520,047

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Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Executive Director, Bus Operations			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	359,761	351,087	361,618
7209 Deferred Compensation	12,960	11,136	12,032
7210 Pensions	117,865	118,134	130,224
7220 Insurances	10,352	10,675	11,307
7240 Health Care	42,242	55,205	50,691
7260 Compensated Absences	44,260	45,354	46,712
7270 Workers Compensation	13,008	9,243	7,268
7280 Other Benefits	41,122	31,681	43,241
Subtotal Salaries and Benefits	\$ 641,570	\$ 632,515	\$ 663,093
<u>Services and Supplies</u>			
7510 Professional Services	189,139	0	0
7650 Travel, Training, and Mileage	11,057	8,748	20,054
7660 Office Expense	4,392	7,000	7,000
7670 Miscellaneous Expense	9,714	10,875	12,525
Subtotal Services and Supplies	\$ 214,302	\$ 26,623	\$ 39,579
Executive Director, Bus Operations Total Expenses	\$ 855,872	\$ 659,138	\$ 702,672
Bus Operations			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	45,052,788	42,579,582	41,819,386
7150 Extra Help Employees	76,223	95,000	81,000
7209 Deferred Compensation	853,055	795,760	863,879
7210 Pensions	11,708,387	12,148,822	11,867,961
7220 Insurances	1,172,510	1,015,015	1,133,627
7240 Health Care	10,505,401	10,792,779	9,704,718
7260 Compensated Absences	6,513,222	6,204,419	5,842,324
7270 Workers Compensation	4,627,723	3,959,776	3,980,117
7280 Other Benefits	1,817,827	1,593,721	1,688,297
Subtotal Salaries and Benefits	\$ 82,327,136	\$ 79,184,874	\$ 76,981,309
<u>Services and Supplies</u>			
7510 Professional Services	667	0	0
7540 Insurance Claims Expense	4,974	0	0
7610 Outside Services	37,175	39,400	62,010
7650 Travel, Training, and Mileage	12,484	13,769	26,180
7660 Office Expense	59,784	51,192	44,692
7670 Miscellaneous Expense	12,026	41,089	37,437
7750 Maintenance Expense	136	0	0
7790 Other Materials and Supplies	12,742	23,125	25,375
Subtotal Services and Supplies	\$ 139,988	\$ 168,575	\$ 195,694
Bus Operations Total Expenses	\$ 82,467,124	\$ 79,353,449	\$ 77,177,003

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Department Expenses

Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Community Transportation Services			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	643,653	692,185	759,232
7150 Extra Help Employees	0	0	15,000
7209 Deferred Compensation	8,977	13,237	15,909
7210 Pensions	200,507	235,835	262,808
7220 Insurances	20,289	21,945	25,832
7240 Health Care	79,253	115,375	144,292
7260 Compensated Absences	72,640	89,412	98,077
7270 Workers Compensation	22,342	21,416	15,259
7280 Other Benefits	49,025	26,055	51,643
Subtotal Salaries and Benefits	\$ 1,096,686	\$ 1,215,460	\$ 1,388,052
<u>Services and Supplies</u>			
7310 Contract Transportation	50,879,063	61,580,835	64,977,446
7510 Professional Services	686,144	966,757	605,080
7610 Outside Services	85,166	183,903	182,607
7650 Travel, Training, and Mileage	681	5,058	8,635
7660 Office Expense	9,306	11,084	46,500
7670 Miscellaneous Expense	1,644	1,556	6,556
7690 Leases	421,372	219,804	219,804
7710 Fuels and Lubricants	5,084,154	6,034,414	7,008,336
7740 Tires and Tubes	687,938	767,775	785,077
7750 Maintenance Expense	133,496	0	100,000
7790 Other Materials and Supplies	1,490	0	0
7820 Taxes	485	0	0
7830 Contributions to Other Agencies	183,290	2,105,963	4,978,138
Subtotal Services and Supplies	\$ 58,174,229	\$ 71,877,149	\$ 78,918,179
Community Transportation Services Total Expenses	\$ 59,270,915	\$ 73,092,609	\$ 80,306,231

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Department Expenses

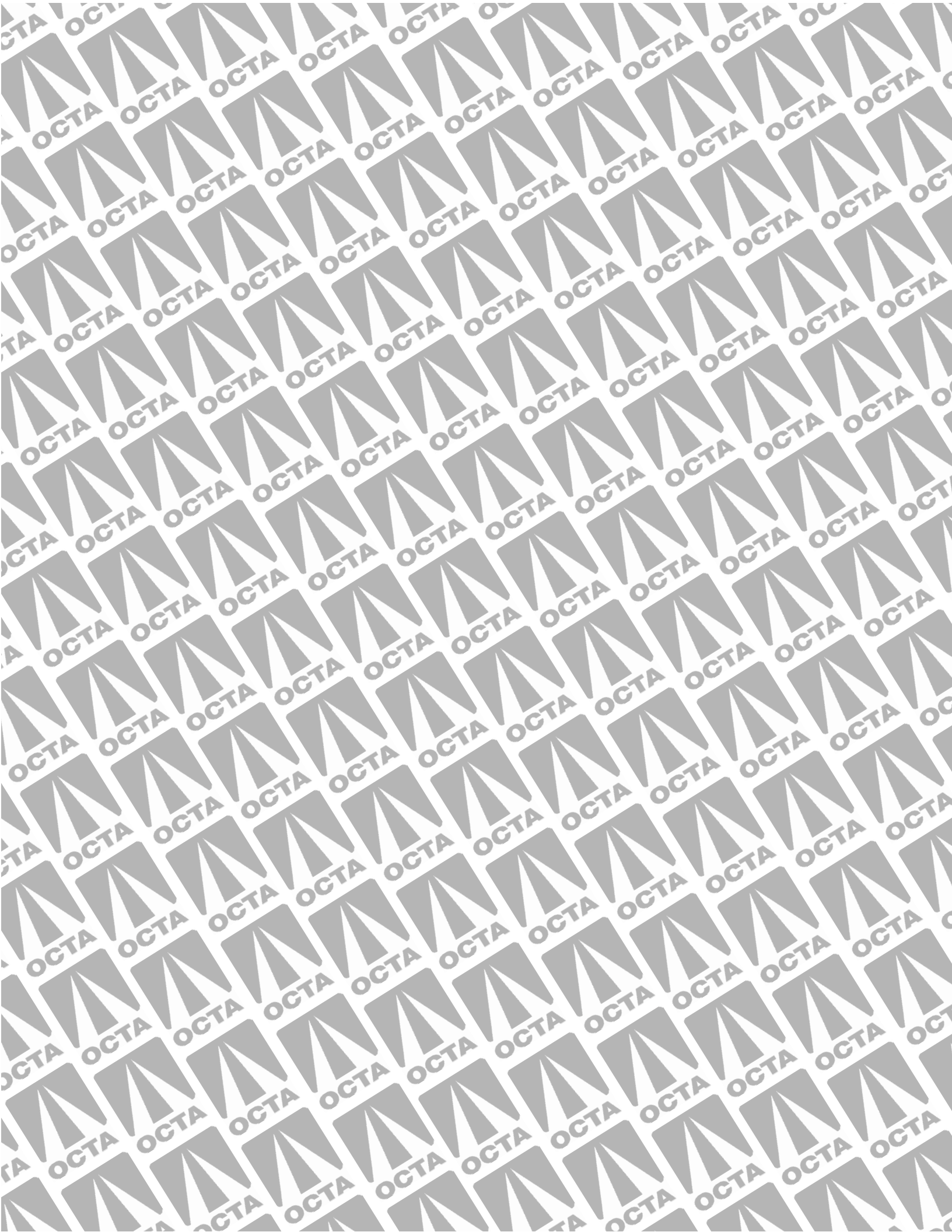
Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Maintenance			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	13,454,375	13,819,331	13,726,402
7150 Extra Help Employees	38,569	39,000	39,000
7209 Deferred Compensation	66,503	65,397	73,939
7210 Pensions	3,814,236	4,075,635	4,110,325
7220 Insurances	370,064	343,019	390,045
7240 Health Care	3,343,862	3,705,268	3,395,415
7260 Compensated Absences	1,924,100	1,943,735	1,946,226
7270 Workers Compensation	1,252,524	900,394	1,153,127
7280 Other Benefits	933,776	913,911	830,526
Subtotal Salaries and Benefits	\$ 25,198,009	\$ 25,805,690	\$ 25,665,005
<u>Services and Supplies</u>			
7510 Professional Services	71,192	299,000	50,000
7610 Outside Services	4,112,793	5,751,388	6,970,899
7650 Travel, Training, and Mileage	19,841	31,919	23,247
7660 Office Expense	71,559	43,200	76,200
7670 Miscellaneous Expense	90,960	166,710	167,508
7690 Leases	43,337	0	0
7710 Fuels and Lubricants	4,070,245	6,740,350	9,040,768
7740 Tires and Tubes	1,308,623	1,393,187	1,346,727
7750 Maintenance Expense	5,515,575	6,435,606	5,901,039
7790 Other Materials and Supplies	931,540	1,126,858	1,243,010
7820 Taxes	49,920	300	300
Subtotal Services and Supplies	\$ 16,285,585	\$ 21,988,518	\$ 24,819,698
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	85,850	1,483,000	5,686,000
Subtotal Capital Expenditure	\$ 85,850	\$ 1,483,000	\$ 5,686,000
Maintenance Total Expenses	\$ 41,569,444	\$ 49,277,208	\$ 56,170,703
Service Planning and Customer Advocacy			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	736,094	703,506	745,264
7150 Extra Help Employees	94,895	100,793	103,800
7209 Deferred Compensation	15,066	14,327	17,373
7210 Pensions	239,332	237,802	255,916
7220 Insurances	25,313	22,340	25,112
7240 Health Care	133,242	164,996	151,056
7260 Compensated Absences	87,869	89,844	94,298
7270 Workers Compensation	29,238	18,642	14,672
7280 Other Benefits	74,378	26,193	49,873
Subtotal Salaries and Benefits	\$ 1,435,427	\$ 1,378,443	\$ 1,457,364
<u>Services and Supplies</u>			
7510 Professional Services	248,967	257,732	263,118
7610 Outside Services	631,045	600,000	509,131
7650 Travel, Training, and Mileage	1,942	5,585	8,579
7660 Office Expense	210	1,750	500
7670 Miscellaneous Expense	645	275	255
7790 Other Materials and Supplies	13,956	25,000	25,000
Subtotal Services and Supplies	\$ 896,765	\$ 890,342	\$ 806,583
Service Planning and Customer Advocacy Total Expe	\$ 2,332,192	\$ 2,268,785	\$ 2,263,947

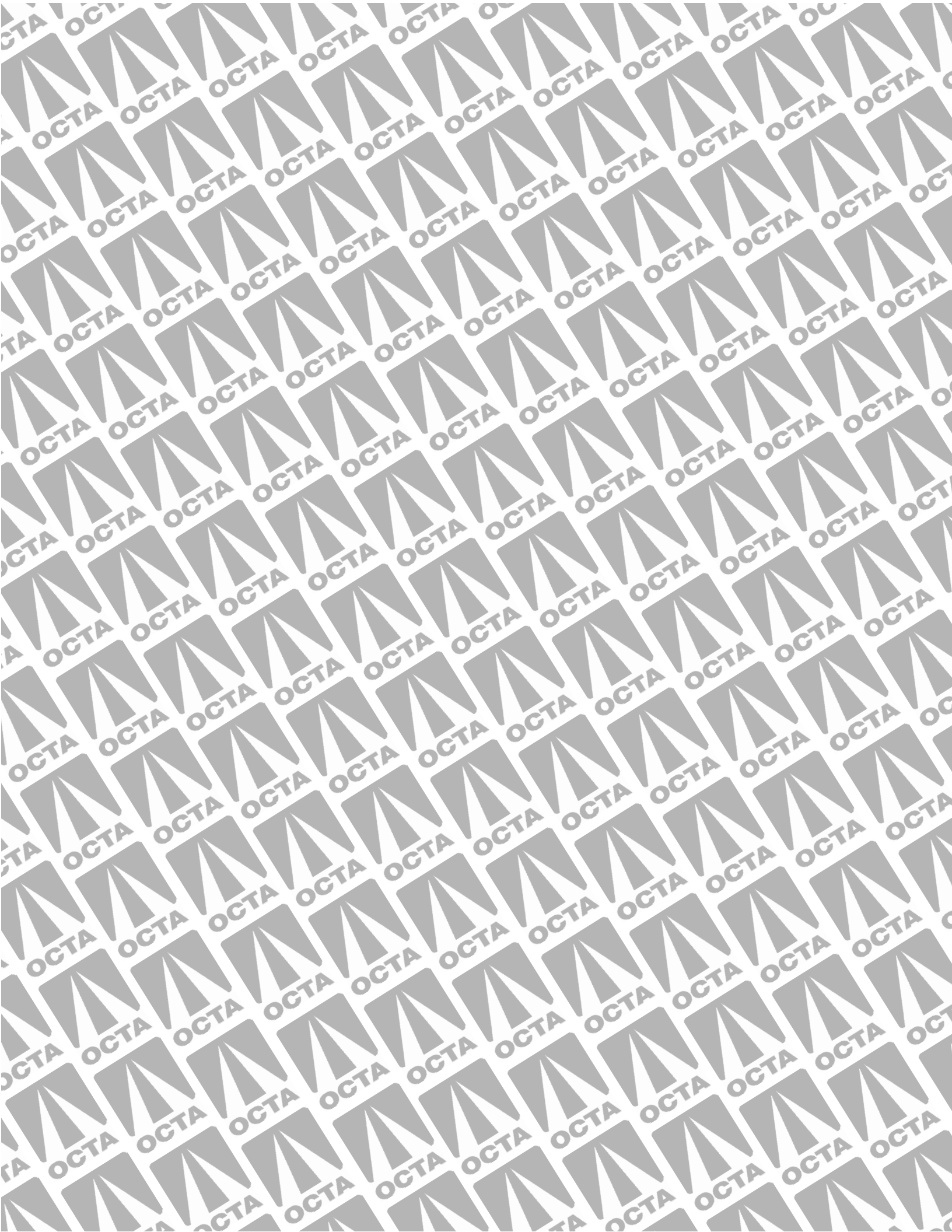
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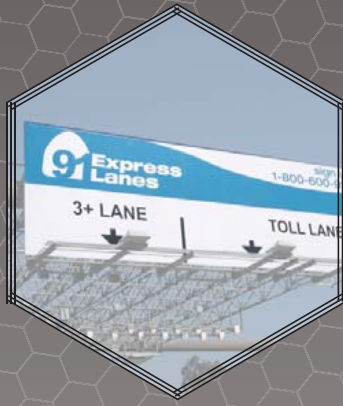
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Department Expenses

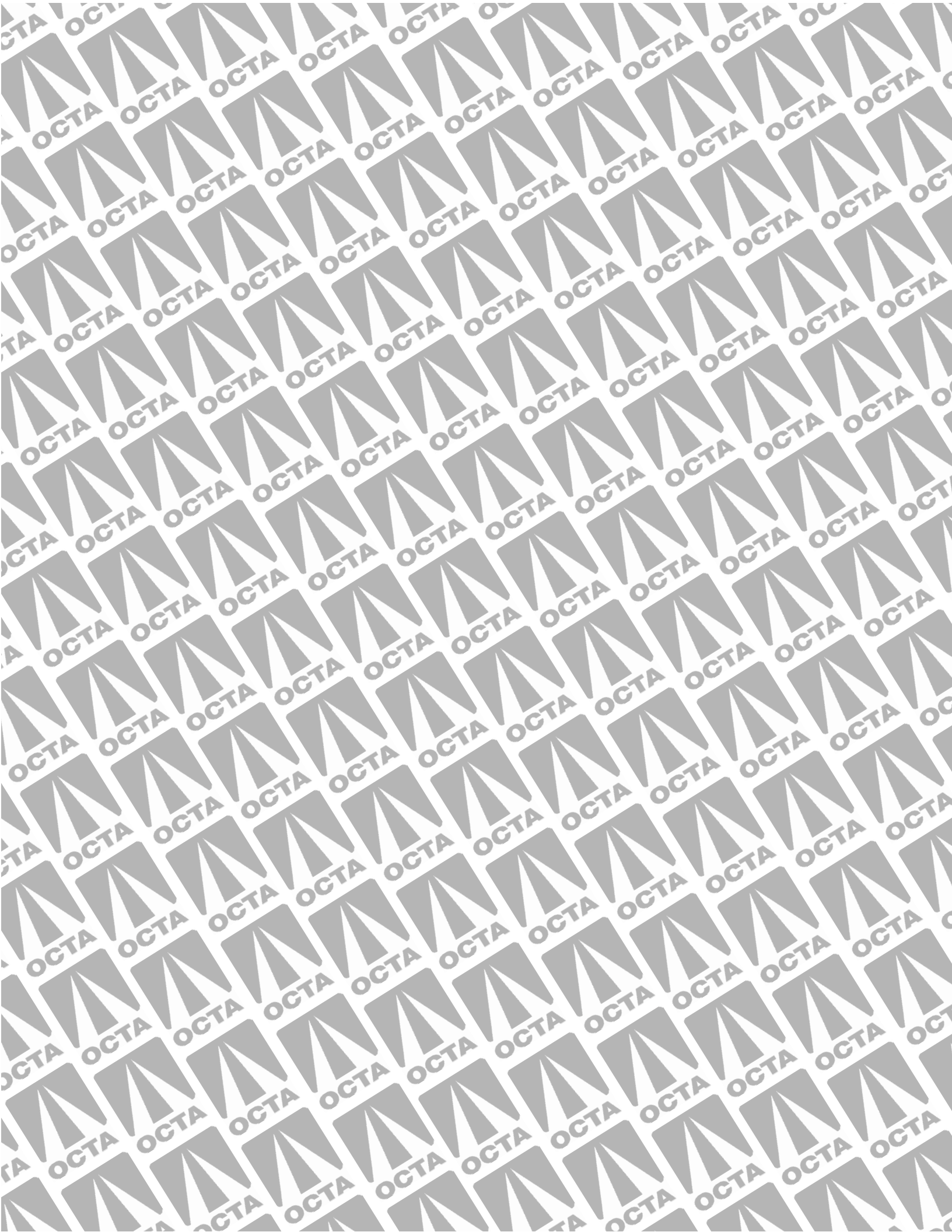
Expenses	FY 2010-11 Actuals	FY 2011-12 Budget	FY 2012-13 Budget
Transit Programs Management			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	412,982	390,896	475,361
7150 Extra Help Employees	9,463	12,000	12,000
7209 Deferred Compensation	8,358	7,383	9,939
7210 Pensions	127,221	131,978	164,644
7220 Insurances	12,504	12,071	15,412
7240 Health Care	52,781	69,576	89,513
7260 Compensated Absences	42,032	50,495	61,404
7270 Workers Compensation	14,298	9,815	9,554
7280 Other Benefits	25,957	15,123	32,506
Subtotal Salaries and Benefits	\$ 705,596	\$ 699,337	\$ 870,333
<u>Services and Supplies</u>			
7510 Professional Services	0	200,000	500,000
7610 Outside Services	427,313	540,000	650,681
7650 Travel, Training, and Mileage	9,740	31,897	32,420
7660 Office Expense	0	7,616	2,200
7670 Miscellaneous Expense	86	175	5,525
Subtotal Services and Supplies	\$ 437,139	\$ 779,688	\$ 1,190,826
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	2,348,302	1,193,514	1,669,000
Subtotal Capital Expenditure	\$ 2,348,302	\$ 1,193,514	\$ 1,669,000
Transit Programs Management Total Expenses	\$ 3,491,037	\$ 2,672,539	\$ 3,730,159
Security Assessment			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	113,617	147,106	234,480
7209 Deferred Compensation	2,503	2,756	4,986
7210 Pensions	37,000	49,498	80,990
7220 Insurances	3,105	4,563	7,507
7240 Health Care	8,347	36,085	45,778
7260 Compensated Absences	11,557	19,003	30,288
7270 Workers Compensation	3,665	3,251	4,713
7280 Other Benefits	0	4,771	14,840
Subtotal Salaries and Benefits	\$ 179,794	\$ 267,033	\$ 423,582
<u>Services and Supplies</u>			
7510 Professional Services	727,513	1,354,000	1,021,500
7610 Outside Services	3,706,780	3,872,479	4,138,340
7650 Travel, Training, and Mileage	973	4,488	27,101
7660 Office Expense	1,251	1,650	1,650
7670 Miscellaneous Expense	1,366	1,930	1,830
7750 Maintenance Expense	980	0	0
7790 Other Materials and Supplies	0	25,000	32,500
Subtotal Services and Supplies	\$ 4,438,863	\$ 5,259,547	\$ 5,222,921
<u>Capital Expenditure</u>			
9020 Capital Exp-Locally Funded	0	60,000	3,083,574
Subtotal Capital Expenditure	\$ 0	\$ 60,000	\$ 3,083,574
Security Assessment Total Expenses	\$ 4,618,657	\$ 5,586,580	\$ 8,730,077







APPENDIX



Fund Descriptions

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 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.

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).

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 Property Liability & Property Damage (PL&PD), and Workers' Compensation.

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.

Bus Operations Fund (BOF)

The Board of Directors established the BOF on December 11, 1995 to address the financial shortfalls resulting from the diversion of Transportation Development Act (TDA) funds to the County of Orange for bankruptcy relief. Staff was directed to deposit \$108 million into this fund to subsidize the cost of

bus operations during the 15-year period of the TDA diversion.

Gasoline Tax Fund

The Gasoline Tax Fund was established to account for the receipt and exchange of gasoline tax revenues with local cities and the Southern California Regional Rail Authority (SCRRA). As part of the TDA Diversion Plan, OCTA will receive \$23 million for a 16-year period that began in FY 1997-98. This revenue is exchanged for general fund dollars with cities and SCRRA which can be used for bus operations.

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. As part of the Orange County Consensus Recovery Plan, \$38 million is being transferred to Orange County annually from FY 1996-97 to FY 2010-11. Total diversion for 15 years is \$570 million.

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.

State Transit Assistance (STA) Fund

The STA, created by the California Legislature in 1979, provides a second source of funds for transportation planning and mass transportation purposes. The primary source of revenue to STA is a portion of gasoline sales and diesel fuel tax revenue that is appropriated annually by the State Legislature. These revenues may be used for capital and operating expenditures related to public transportation.

Local Transportation Authority (LTA)– Measure M (M1)

The LTA fund incorporates all activities associated with the M1 ordinance approved in November 1990. The ordinance established a one-half percent sales tax to fund transportation-related projects and the law sunset in FY 2011. All sales tax revenues, bond proceeds, interest earnings, and project expenditures were accounted for in this fund.

LTA Measure M2 (M2)

The LTA II 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

Fund Descriptions (continued)

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 M1 Bond Debt Service Fund

The M1 Bond Debt Service Fund accumulates the financial resources required for the payment of interest and the retirement of long-term debt.

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. FY 2011-12 will represent the start of the principal and interest payments made for the M2 Debt obligation.

Commuter Rail Endowment (CURE I) Fund

The Commuter Rail Endowment Fund finances the OCTA's participation in Metrolink's Orange County Line, the Inland Empire-Orange County Line (IEOC Line), and the Riverside-Fullerton-L.A. Line.

Commuter Urban Rail Endowment (CURE III) Fund

CURE III was originally established to provide an operating endowment for a light rail line but was transferred to the BOF in response to the TDA diversion caused by the Orange County Bankruptcy. Remaining capital in this fund is minimal and is slated to provide operating support for the OCTA's participation in Metrolink services in Orange County.

SR-91 Toll Road Fund

The SR-91 Toll Road Fund is an enterprise fund that supports the operational and capital functions of the 91 Express Lanes.

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.

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 operation of the SAAV program is made possible through a \$1 per year assessment on motor vehicle registration. Proceeds from the SAAV Fund reimburse participants for abatement costs.

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 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.

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.

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.

Capital Projects Fund

The Capital Projects Fund was established to track capital projects administered by OCTA.

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.

Glossary (continued)

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 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.



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