

APPROVED BUDGET FISCAL YEAR 2021-22



ORANGE COUNTY TRANSPORTATION AUTHORITY



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- Mark A. Murphy
Vice Chairman
- Lisa A. Bartlett
Director
- Doug Chaffee
Director
- Barbara Delgleize
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- Katrina Foley
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Director
- Tim Shaw
Director
- Harry S. Sidhu
Director
- Donald P. Wagner
Director
- Ryan Chamberlain
Ex-Officio Member

CHIEF EXECUTIVE OFFICE

Darrell E. Johnson
Chief Executive Officer

June 14, 2021

Chairman Andrew Do and Members of the Orange County Transportation Authority Board of Directors:

Consistent with the Orange County Transportation Authority's (OCTA) vision, mission, values, and in accordance with the Board of Directors' (Board) Strategic Initiatives, I present to you the fiscal year (FY) 2021-22 budget for OCTA. The FY 2021-22 budget is balanced at \$1.27 billion and commits the necessary resources to deliver on OCTA's promises to Orange County residents.

Although OCTA has been negatively impacted by the coronavirus (COVID-19) pandemic over the past year, we are hopeful that improved conditions and current vaccination efforts will allow OCTA to emerge from the pandemic as we move into FY 2021-22.

OCTA anticipates a return to growth for both sales taxes in the coming year based on the planned reopening of the Orange County economy. In FY 2021-22, the growth rate for the Measure M2 (M2) sales tax is forecasted to be 3.6 percent. The growth rate for the Transportation Development Act sales tax, which supports bus operations, is forecasted to be 3.2 percent.

Under the M2 Program, improvements to freeways, streets and roads, and transit programs will continue. Included in the M2 Program budget is \$334.6 million to fund freeway improvement projects and \$141.5 million is budgeted to improve streets and roads. The budget also includes \$63.7 million for M2 Transit programs, including \$35.5 million for ongoing construction of the OC Streetcar.

Though Bus Program revenues have been negatively impacted due to COVID-19, the use of federal supplemental revenue will help backfill the decreases in revenue. The FY 2021-22 budget includes the flexibility to increase service hours from the current levels of 1.2 million to 1.45 million based on ridership demand and public health considerations.

Federal supplemental revenue will also provide OCTA the ability to sustain current Metrolink service levels, which include 41 weekday trips and 16 weekend trips within Orange County.

Usage of the 91 Express Lanes has continued to recover from the early impacts of the COVID-19 pandemic. Trips are anticipated to increase from 10.9 million in FY 2020-21 budget to 14 million in the FY 2021-22 budget.

The FY 2021-22 budget delivers on the Board's Initiatives and demonstrates OCTA's responsibility to the community in providing a balanced and sustainable multimodal transportation network, which keeps the residents of Orange County moving safely.

Sincerely,

Darrell E. Johnson
Chief Executive Officer

Orange County Transportation Authority
550 South Main Street / P.O. Box 14184 / Orange / California 92863-1584 / (714) 560-OCTA (6282)

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EXECUTIVE SUMMARY



ORANGE COUNTY TRANSPORTATION AUTHORITY

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

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



2021 BOARD OF DIRECTORS

Andrew Do
Chairman
Supervisor, 1st District



Mark A. Murphy
Vice Chairman
City Member, 3rd District



Lisa A. Bartlett
Director
Supervisor, 5th District



Doug Chaffee
Director
Supervisor, 4th District



Barbara Delgleize
Director
City Member, 2nd District



Katrina Foley
Director
Supervisor, 2nd District



Brian Goodell
Director
City Member, 5th District



Patrick Harper
Director
City Member, 2nd District



Michael Hennessey
Director
Public Member



Gene Hernandez
Director
City Member, 3rd District



Steve Jones
Director
City Member, 1st District



Joe Muller
Director
City Member, 5th District



Tam Nguyen
Director
Public Member



Vicente Sarmiento
Director
City Member, 1st District



Tim Shaw
Director
City Member, 4th District



Harry S. Sidhu
Director
City Member, 4th District



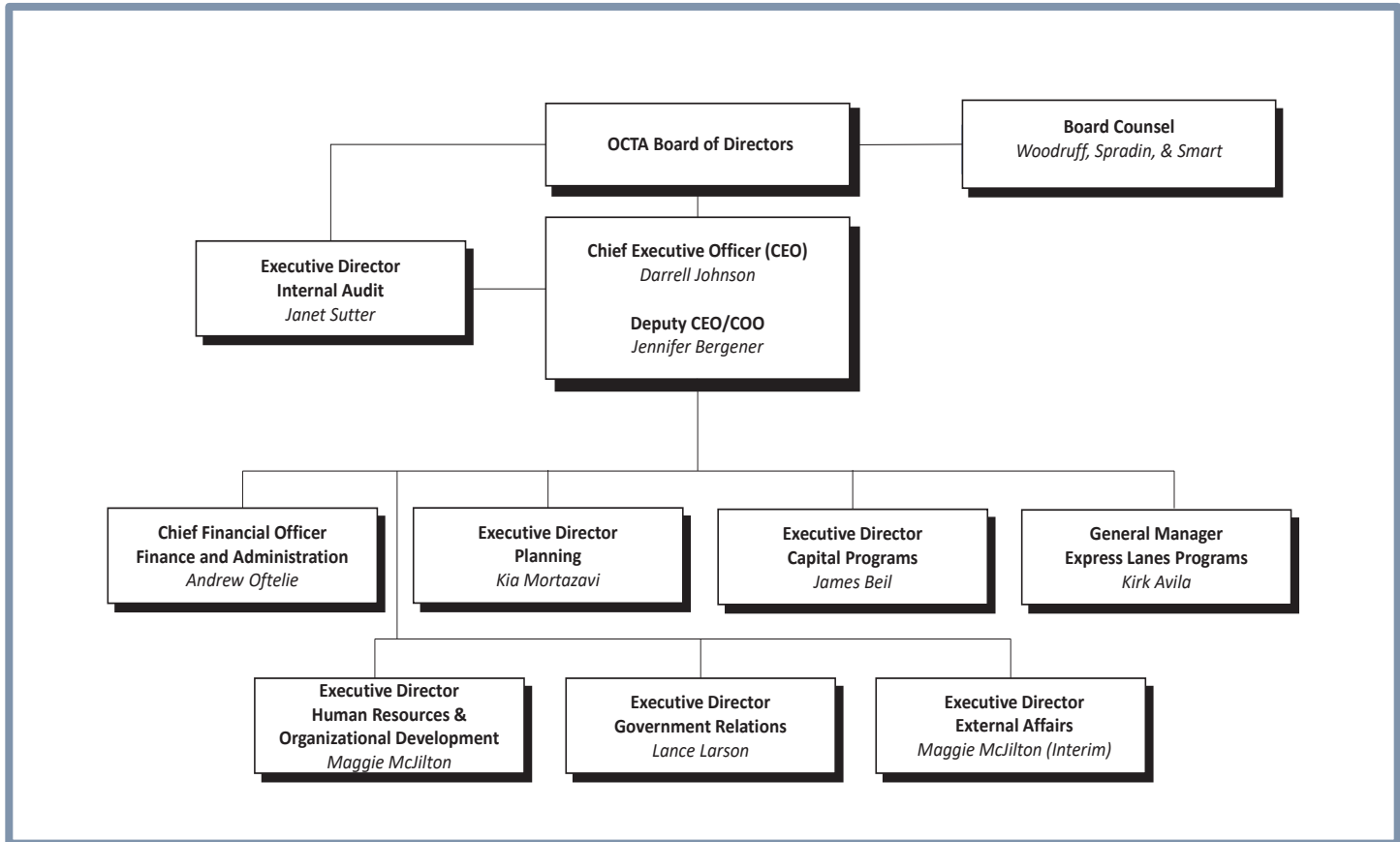
Donald P. Wagner
Director
Supervisor, 3rd District



Ryan Chamberlain
Governor's Ex-Officio Member
Caltrans District 12
District Director



Organizational Chart



Organizational Profile

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.

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

Strategic initiatives by OCTA’s Board addresses Orange County’s many transportation needs. In Fiscal Year (FY) 2021-22, OCTA will continue to work on important transportation projects and the Board approved Measure M2 (M2) (also known as OC Go) Next 10 Delivery Plan which demonstrates fiscal sustainability and the continuation of critical programs and projects. These include the \$2.1 billion I-405 Improvement Project between Costa Mesa and the border with Los Angeles County, and ongoing work on OC Streetcar, Orange County’s 4.1-mile modern electric streetcar that will run through Santa Ana into Garden Grove.

Even as the coronavirus (COVID-19) pandemic remains, OCTA will continue to provide essential transit services to those who rely upon it, keeping the health and safety of the public and employees as the guiding priority. OCTA will work to enhance efforts to reach



diverse communities and small and minority-owned businesses to connect with OCTA, hear their voices, and help them grow.

The initiatives will also enhance OCTA’s efforts to attract and maintain a strong workforce, while continu-

ing to build relationships with external partners and stakeholders. Examples include extending the College Bus Pass Program and collaborating with neighboring counties, including San Diego County on Interstate 5 improvements between Avenida Pico in San Clemente and the county border.





Strategic Plan Framework

OCTA’s Strategic Plan provides a detailed approach to address Orange County’s transportation needs and provides the framework used for the development of the annual budget. OCTA’s core values describe the behaviors, attributes, principles, and beliefs that guide all OCTA staff. The Strategic Plan Goals and Board Strategic Initiatives are reflected in all of OCTA’s efforts.

Long-Range Transportation Plan

OCTA updates the Long-Range Transportation Plan (LRTP) every four years. The multi-modal projects and programs included are the basis for the Southern California Association of Governments’ Regional Transportation Plan (RTP). The LRTP provides a visionary blueprint for transportation improvements in Orange County and for development of the RTP.

Strategic Plan Goals

MOBILITY

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

PUBLIC SERVICE

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

FISCAL SUSTAINABILITY

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

STEWARDSHIP

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

ORGANIZATIONAL EXCELLENCE

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

OCTA’s Core Values

INTEGRITY

Do what we say we are going to do and deliver as promised; be accountable for our actions; apply the golden rule as we work with others; practice ethical behavior.

CAN-DO SPIRIT

Do all we can to always improve what we do; strive to be “outstanding; be creative and innovative in our approach to new challenges; take risks and learn from past mistakes; practice visionary and forward thinking.

CUSTOMER FOCUS

Know our customers; be courteous, friendly and responsive to their needs; treat others with care, consideration, and respect; provide safe, timely reliable, professional service.

COMMUNICATION

Communicate openly, honestly, and in a straightforward manner; strive to be responsive to the knowledge and information that others need; provide consistent, timely, and reliable information to build trust in others.

TEAMWORK/PARTNERSHIP

Build cooperative, supportive relationships across all lines of business; build and sustain relationships characterized by shared goals and success, shared knowledge, and mutual respect; understand and adapt to the diverse background at OCTA.

SAFETY

Committed to the safety of our employees, customers, and the communities of which we serve; drive safety accountability throughout all levels of the organization; ensure prompt responsiveness towards hazard mitigation; expect the engagement of our entire employee population.



2021 BOARD & CEO INITIATIVES



FINANCIAL STEWARDSHIP, SUSTAINABILITY, AND RESILIENCE



- Demonstrate Fiscal Responsibility and Effective Measure M2 Administration
- Plan and Adapt to a Changing Environment
- Champion Environmental Stewardship and Sustainability



RELIABLE, ACCESSIBLE, AND BALANCED TRANSPORTATION CHOICES



- Provide Balanced Public Transportation Options and Solutions
- Deliver Improvements to Fulfill Measure M Promises
- Engage with Diverse and Disadvantaged Communities



ORGANIZATIONAL EXCELLENCE AND COLLABORATION



- Enhance Workforce Diversity and Inclusive Work Culture
- Adapt to a Changing Workplace and Promote Employee Development and Safety
- Provide Quality Customer Service and Collaborate with Regional Partners

ANDREW DO
CHAIRMAN

DARRELL E. JOHNSON
CHIEF EXECUTIVE OFFICER

ORANGE COUNTY TRANSPORTATION AUTHORITY



The goals of the 2018 LRTP, *Designing Tomorrow*, are to assess the performance of the transportation system over a 20+ year horizon, and to identify the projects that best address the needs of the system based on expected population, housing, and employment growth, while taking forecasted financial assumptions into account at the same time. The LRTP provides both a financially constrained plan, which takes into account funding limitations, and an unconstrained plan, which contains a vast array of potential improvements should additional funding sources become available. The LRTP, which looks out to the year 2040, focuses on:

- Demographic changes and market forces, including projected population, and employment growth in the region
- The introduction of emerging technologies, including connected infrastructure, Transportation Network Companies, and autonomous and electric vehicles
- Influence from state and federal policies, including the need to meet challenging emission standards
- The unpredictability of transportation funding programs

In addition, because vacant land adjacent to freeways is scarce, there are few opportunities for significant freeway expansion beyond what is already planned through the M2. Therefore, future transportation projects will focus on improving the efficiency of the existing system to accommodate the growing travel demand. Proposed solutions include enhancing mass transit, ridesharing, and utilizing managed lanes.

Comprehensive Business Plan

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



Through the use of financial modeling and divisional input and review, a comprehensive study of economic influences and programmatic needs and objectives are incorporated into a business-planning document. The CBP validates the feasibility of proposed program and service levels, anticipates a variable economic environment, and identifies and proposes policy direction. The CBP is an evolving document that is Board-approved and responds to the ever-changing social, political, and economic environment. The CBP lays the foundation for the annual budget process.

Transit Master Plan

OCTA developed a Transit Master Plan titled the OC Transit Vision to define the future of transit in Orange County. The OC Transit Vision takes a high-level look at long-term transit needs throughout the county, which includes bus, rail, paratransit, and new types of transportation services. The OC Transit Vision identifies the corridors countywide with the greatest demand and potential, and assesses which modes of high-capacity or premium transit, such as streetcar or bus rapid transit (BRT), may be appropriate for each corridor. Finally, the OC Transit Vision prioritizes the projects of most immediate need for near-term development.



Orange County Profile

Orange County occupies 789 square miles and is located in Southern California—south of Los Angeles County, north of San Diego County, and west of Riverside and San Bernardino Counties. Its prime location within the Los Angeles basin offers residents an ideal climate, access to mountains and coastlines, a diverse housing market, and excellent schools. Orange County boasts a thriving business economy and a well-educated workforce.

Thirty-four cities are within Orange County, which together with county unincorporated areas have a current population of approximately 3.2 million, making it the third most populous county in California and the sixth most populous in the United States. Based on OCTA's LRTP, Orange County's population is anticipated to grow by ten percent (about 311,000 residents) by 2040.

Orange County's economic success is partially attributed to the amenities provided to its residents. These amenities include prestigious financial centers, numerous shopping and entertainment centers, community colleges, California State University campus, and University of California campus. Also, Orange County offers well-known amusement parks, including Disneyland, Disney California Adventure, and Knott's Berry Farm. Convenient air travel is provided through John Wayne Airport and countywide bus and rail services are provided by OCTA.

Public bus service was launched in 1972 in response to the county's growing population and increasing traffic congestion. In 1990, Orange County voters passed Measure M (M1), which provided additional sales tax revenues for freeways, regional and local street and road projects, and transit projects.

In 2006, OCTA requested and received voter approval for a 30-year extension of the M1 sales tax. This Measure M Renewal has allowed OCTA to continue making transportation improvements throughout the county.

Economic & Financial Condition

The COVID-19 pandemic represented a significant challenge to both the global and national economies. State and local governments across the United States issued orders for residents to self-quarantine and refrain from non-essential travel to slow the spread of the virus. These efforts have resulted in severe economic hardships that exceeded peak losses experienced during the global financial crisis in 2008. The unemployment rate in Orange County was 7.4 percent in December 2020, compared to 2.4 percent in December 2019. Statewide unemployment was 9 percent and national unemployment increased to 6.7 percent as of December 2020.

Between December 2019 and December 2020, the total non-farm employment decreased by 142,700 jobs, representing an 8.4 percent decrease. The most substantial decrease in Orange County was in the leisure and hospitality sector losing 60,100 jobs. This sector lost 44,900 jobs in accommodation and food services, 15,800 jobs in professional and business services and 11,400 jobs in administrative, support, and waste services. Construction was the only sector to have year-over-year growth with an addition of 1,900 jobs.

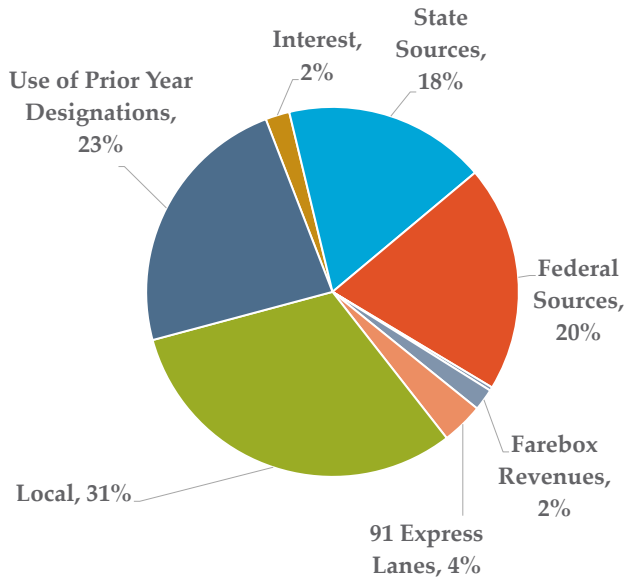
For the residential real estate sector, residential permits have decreased by 42.6 percent in 2020 compared to 2019, single-family permits have decreased by 8.4 percent, and multi-family permits have decreased by 57.5 percent. Due to the low level of housing units listed for sale during 2020, it took 1.8 months to sell the inventory in quarter four compared to an historical average of 5.3 months. The median single-family home price reached an average of \$893,000 in 2020 and is expected to reach over \$926,000 in 2021.

OCTA anticipates that sales tax revenues for both M2 and Local Transportation Fund (LTF) will increase in FY 2021-22. Based on the forecast provided by MuniServices, LLC., sales tax revenue is estimated to increase by 3.6 percent for M2 and 3.2 percent for LTF in FY 2021-22. Other major revenue sources are expected to increase as well, such as farebox, State Transit Assistance Funds (STAF), and Express Lanes revenues. However, these revenues will not reach pre pandemic levels in FY 2021-22.



Sources and Uses

In an effort to continue fiscal sustainability, OCTA has balanced the FY 2021-22 budget. Sources and uses of funds are outlined in the executive summary.



Sources of Funds

Total sources of funds are a combination of \$971.1 million in revenue and the planned use of prior year designations of \$296 million for a total of \$1,267.1 million. The following highlights each funding source within these categories.

Local Sources

It is anticipated that OCTA will receive \$349.1 million from local sources in FY 2021-22. Most of the local sources come from the one-half cent sales tax receipts collected under M2 (\$313 million). In FY 2021-22, OCTA anticipates growth of 3.6 percent. This forecast is based on the forecast provided by MuniServices, LLC. Additional local sources include property tax, advertising revenue, and contributions for projects from local jurisdictions.

Federal Sources

OCTA receives federal assistance on a formula and competitive basis. OCTA anticipates receiving \$250.7 million from federal sources in FY 2021-22, which consist of \$110.9 million in operating assistance and \$139.8 million in capital assistance. CARES Act funding of \$42.9 million to supplement federal funding is included in FY 2021-22. It is anticipated \$105.7 million will be received in association with bus improvements, bus operations, preventive maintenance, and other transit program initiatives. In addition, the Rail Program includes \$5.9 million in federal assistance.

State Sources

It is expected that \$272.5 million will be received from state sources in FY 2021-22. The sources of state revenue include the one-quarter cent LTF sales tax (\$162.6 million) and the STAF (\$36.4 million). These revenue sources help fund the operations, administration, and capital expenditures of the bus program. It is estimated LTF will grow by 3.2 percent based on the forecast provided by MuniServices, LLC. STAF includes the transportation Road Repair and Accountability Act (RRAA) and is forecasted in the amount of \$19.9 million for the Bus Program. OCTA will also receive \$21.5 million in RRAA funds for Freeway Service Patrol (FSP) and other projects.

State sources also include \$52 million in reimbursements from other agencies, including the State Transportation Improvement Program (STIP), and other discretionary funding sources. The State notifies OCTA of available grant funding based on bond sales, the State budget, etc. These funds will be used primarily for freeway projects, rail improvement projects, and capital planning.





Farebox Revenue

Farebox revenue will continue to be impacted by the COVID-19 pandemic. Farebox revenue is derived from passenger fares generated from fixed-route bus service and paratransit service, including senior and disabled fare subsidies. The farebox revenue represents one of the primary sources used by OCTA to offset the costs of bus service. Farebox revenue is projected to be \$26.1 million in FY 2021-22 which consists of \$24.1 million in passenger fares and \$2 million in fare subsidies.

91 Express Lanes Revenue

91 Express Lanes revenues are anticipated to grow as we recover from the COVID-19 pandemic. It is anticipated that 91 Express Lanes toll revenues will reach \$42.3 million. Non-toll revenues are expected to reach \$3.8 million resulting in 91 Express Lanes total revenues in the amount of \$46.1 million.

Interest Income

OCTA’s Treasury Department anticipates OCTA will earn \$26.6 million in interest income on its investment portfolio in FY 2021-22. The funds that generate the largest interest earnings are the M2 and Orange County Transit District (OCTD) funds. Interest earnings are projected at a conservative rate of 0.85 percent. Interest income also includes funds that are anticipated to be received from the Internal Revenue Service for the Build America Bonds debt.

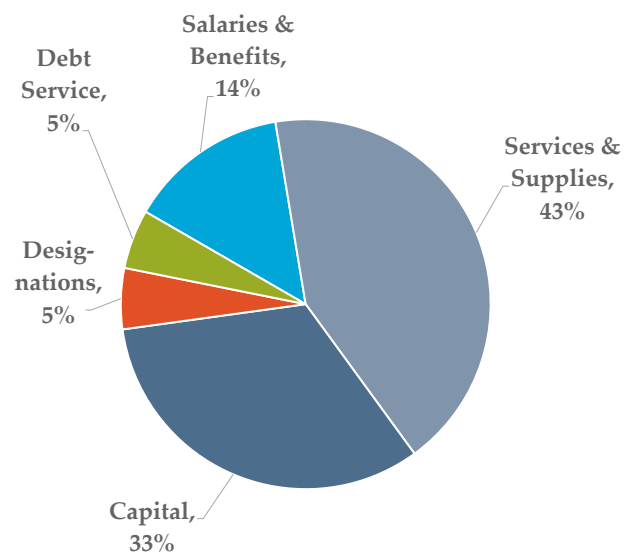
Planned Use of Prior Year Designations

In prior years, OCTA has set aside revenue, known as designations, for future capital and program requirements. OCTA will utilize \$296 million of prior year designations in FY 2021-22. A draw on M2 prior year designations of \$181.4 million is planned to fund freeways, streets and roads, and M2 transit (Project S) projects. The 405 Express Lanes will utilize \$63 million for contributions to the 405 Express Lanes project. The 91

Express Lanes will utilize \$31.7 million for contributions to the State Route 91 (SR-91) improvement projects (M2 Projects I and J) and 91 Express Lanes capital projects. Prior year designations of \$19.1 million will be utilized from OCTD to support fixed asset and bus base capital projects.

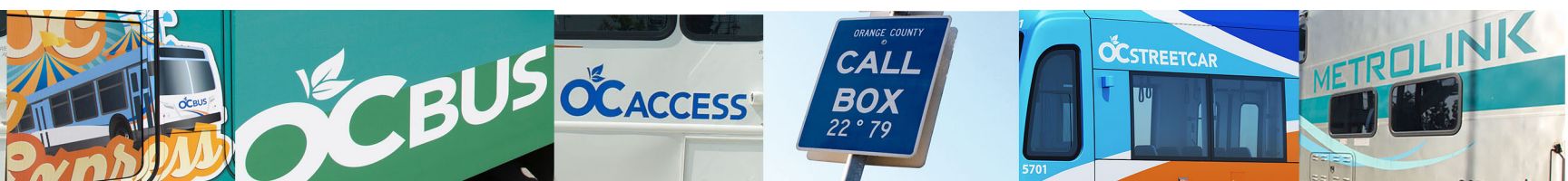
Uses of Funds

The expenditures projected for FY 2021-22 are expected at \$1,199.6 million, with \$67.5 million designated for future use. Appropriations are allocated in five categories and summarized below.



Services and Supplies

These items include appropriations for the purchase of services (e.g., engineering, design, contract transportation services, and consultant services) and supplies (e.g., fuel, maintenance parts, office supplies, and software). Total budgeted services and supplies for FY 2021-22 is \$539.9 million with \$171 million related





Services and Supplies continued

to contributions to other agencies including M2 Local Fair Share, M2 Regional Capacity Program grant payments, Environmental Mitigation Program, and the Regional Traffic Signal Synchronization Program. Contract transportation is budgeted for \$97.7 million.

Capital and Fixed Assets

This category of expenses includes all capital equipment purchases (\$5,000 minimum and an initial useful life in excess of one year), which includes freeway and capital construction projects, and right-of-way acquisitions totaling \$416.1 million. Most of the capital investments will be made in freeway projects and station improvements.

Salaries and Benefits

This category includes the cost for salaries and employee benefits budgeted at \$177.9 million. This represents a 3.1 percent increase from the FY 2020-21 budget. Los Angeles – San Diego – San Luis Obispo Rail (LOSSAN) salaries and employee benefits account for 3.8 million of total salaries and employee benefits.

Debt Service

Debt service requirements for FY 2021-22 will be \$65.7 million. Funds in this category are used to account for the accumulation of resources for, and payment of, OCTA's long-term debt obligations, including principal and interest costs. The M2 Debt Service Fund will expend \$43.8 million, 405 Express Lanes Fund \$11.1 million, and 91 Express Lanes Fund \$10.8 million in principal and interest expense.

Designation of Funds

Funds in this category are set aside for future use. FY 2021-22 has \$67.5 million in designations, of which \$47.8 million is designated for future bus program capital projects. The 91 Express Lanes revenue of \$13.3 million will be designated for future improvements, with an additional \$6.4 million of Commuter Rail revenue set aside for future expenditures.





The External Sources and Uses Summary below provides a high-level summary of OCTA's sources and uses, including use of prior year designations and designations in the FY 2021-22 budget.

External Sources and Uses Summary			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
5100 Passenger Fares	33,056,727	17,543,424	24,130,656
5500 91 Express Lanes Revenue	43,944,481	34,990,000	46,137,423
6010 State Transit Assistance	3,655,338	3,072,281	3,151,200
6020 State Assistance	22,515,230	4,812,497	15,937,441
6030 Federal Operating Assistance Grants	65,394,767	131,821,535	110,942,871
6040 Federal Capital Assistance Grants	63,480,395	220,115,790	139,768,701
6050 Reimbursement from Other Agencies	31,889,178	33,674,244	33,806,543
6100 Property Taxes	17,828,885	17,030,400	17,374,414
6101 Taxes	530,929,609	465,023,664	533,512,510
6103 DMV Fees	2,773,200	2,700,000	2,600,000
6110 License Fees	157,710	115,255	0
6200 Interest Income	83,439,127	24,231,278	26,612,756
6300 Other Non-operating Revenue	20,096,091	14,800,240	13,144,742
6550 Proceeds Sale of Capital Asset	3,605,223	3,605,198	4,000,000
Subtotal Revenues	\$ 922,765,961	\$ 973,535,806	\$ 971,119,257
Use of Prior Year Designations	58,142,506	575,587,991	295,995,168
Total Sources	\$ 980,908,467	\$ 1,549,123,797	\$ 1,267,114,425
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7100 Salaries and Benefits	166,754,996	172,227,938	177,945,145
7300 Purchased Transportation Services	88,502,843	86,920,303	97,713,274
7500 Professional Services	145,213,039	266,642,304	220,401,131
7540 Insurance Claims/Premiums	9,187,163	11,580,973	12,641,000
7600 General and Administrative	13,660,628	13,922,408	17,869,618
7700 Maintenance Parts and Fuel	14,004,393	14,100,621	20,202,503
7800 Contributions to Other Agencies	103,765,835	173,284,171	171,074,033
8111 Interest Expense	48,874,521	51,650,844	50,502,858
8112 Principal Payment On Long Term Debt	8,530,000	14,485,000	15,205,000
9000 Capital Expenditures	181,268,598	685,513,119	416,040,070
Subtotal Expenses	\$ 779,762,016	\$ 1,490,327,681	\$ 1,199,594,632
Designations	201,146,451	58,796,116	67,519,793
Total Uses	\$ 980,908,467	\$ 1,549,123,797	\$ 1,267,114,425



The Designations Detail and Use of Designations Detail reports on this page present the designations and planned use of prior year designations by the project or activity for which they will be utilized.

Use of Designations Detail			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
91 Express Lanes	0	53,361,495	31,702,958
Bus Capital	0	7,769,262	19,112,076
Bus Operations	3,805,075	0	0
Freeways	0	297,159,712	84,761,016
General Fund Balance	1,157,563	2,076,126	0
I-405 Express Lanes	21,845,073	99,030,854	63,036,043
M2 Debt Service	17,724,441	0	0
OC Streetcar	0	31,977,747	30,973,276
OCTAP	0	5,839	0
Planning Studies	0	813,512	784,799
Rail Capital	13,609,065	18,915,444	0
SAFE	385	0	0
Scholarships	904	0	0
Streets and Roads	0	64,425,000	65,625,000
Use of Reserves for M1	0	53,000	0
Total Use of Prior Year Designations	\$ 58,142,506	\$ 575,587,991	\$ 295,995,168
Designations Detail			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
ARBA Contributions	191,390	0	0
Bus Capital	23,867	0	0
Designations for OCTAP	67,120	0	0
Designations for OC Streetcar	39,689,205	0	0
Designation for SAFE Service/Capital	6,443,906	0	0
Designation for M2 Projects	80,124,141	0	0
Designated for Future SR-91 Projects	18,875,039	6,886,385	13,316,702
Fixed Asset Reserve	49,830,549	43,471,988	47,767,416
OC Streetcar	19	0	0
Personal Liability & Property Damage	911,521	0	0
Planning Studies	744,180	0	0
Reserve for Rail Capital	3,675,509	8,437,743	6,435,675
WC Designation	570,005	0	0
Total Designations	\$ 201,146,451	\$ 58,796,116	\$ 67,519,793



The External Fund Level Summary reports, on this page and the next page, summarize the Sources and Uses by Fund.

External Fund Level Summary - Sources			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
405 Express Lanes	22,527,421	99,030,854	63,036,043
91 Express Lanes	53,751,136	91,072,990	80,310,622
ARBA Trust Fund	1,564,798	1,332,707	1,431,016
Commuter and Urban Rail Endowment	4,145,943	0	0
Commuter Rail	40,765,658	62,613,351	37,633,168
General Fund	9,678,367	17,739,070	20,003,031
Internal Service Fund-PL and PD	918,919	479,234	658,612
Internal Service Fund-Workers' Compensation	1,812,862	1,058,556	410,552
Local Transportation Authority Measure M2	420,077,281	776,317,245	650,625,939
Local Transportation Fund	169,092,136	145,800,304	162,668,029
Measure M2 Bond Debt Service	21,543,775	5,540,306	5,453,693
OC Streetcar	4	0	0
Orange County Taxi Administration Program	420,541	434,310	0
Orange County Transit District	151,663,802	296,658,242	182,410,719
Orange County Unified Transportation Trust	762,162	894,180	885,000
Scholarship Fund	20,374	18,311	15,330
Service Authority for Abandoned Vehicles	553	0	0
Service Authority for Freeway Emergencies	11,456,055	6,854,225	6,761,300
State Transit Assistance Fund	41,670,103	28,048,342	36,440,524
Transit Development Capital Project	29,036,577	15,231,570	18,370,847
Total Authority	\$ 980,908,467	\$ 1,549,123,797	\$ 1,267,114,425





External Fund Level Summary - Uses

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
405 Express Lanes	21,295,781	95,592,099	59,729,187
91 Express Lanes	35,580,457	46,240,084	53,325,087
American Public Transportation Association (APTA)	8,260	40,000	40,000
ARBA Trust Fund	1,564,798	1,332,707	1,431,016
Commuter and Urban Rail Endowment	4,129,629	0	0
Commuter Rail	33,050,124	80,266,144	71,616,367
General Fund	85,024,427	102,230,704	111,972,702
Internal Service Fund-PL and PD	4,001,965	5,119,083	5,851,102
Internal Service Fund-Workers' Compensation	7,597,354	10,057,990	7,900,000
Local Transportation Authority Measure M2	337,320,810	697,011,141	527,077,228
Local Transportation Fund	4,174,477	3,581,132	4,017,147
Measure M2 Bond Debt Service	44,123,080	43,839,650	43,826,400
OC Streetcar	7,178	252,675	126,150
Orange County Taxi Administration Program	225,334	165,362	0
Orange County Transit District	312,916,448	409,915,918	320,530,178
Orange County Unified Transportation Trust	762,162	894,180	885,000
Scholarship Fund	20,374	18,311	15,330
Service Authority for Abandoned Vehicles	3	0	0
Service Authority for Freeway Emergencies	14,057,875	8,655,590	8,526,758
State Transit Assistance Fund	24,777	0	0
Transit Development Capital Project	75,023,154	43,911,027	50,244,773
Total Authority	\$ 980,908,467	\$ 1,549,123,797	\$ 1,267,114,425

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MEASURE M2



ORANGE COUNTY TRANSPORTATION AUTHORITY

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Measure M2

Description

On November 7, 2006, the voters of Orange County chose to extend the M1 half-cent sales tax for another 30 years from 2011 through 2041. The M2, administered by the Orange County Transportation Authority (OCTA), will generate billions of dollars to improve transportation in Orange County. M2 is designed to reduce traffic congestion and enhance overall mobility. Improvements in the plan include improving key freeways, upgrading major interchanges, adding capacity, and maintaining streets and roads. M2 allocates 43 percent of funds to freeway projects, 32 percent to streets and roads, and 25 percent to transit projects.

Next 10 Delivery Plan

When the M2 Investment Plan was initially developed, forecasts projected M2 sales tax revenue available for projects and programs at \$24.3 billion. Since the Great Recession in 2008, projected sales tax revenue has been

reduced by \$10.9 billion and previous estimates project the total at \$13.4 billion. However, considering the economic impacts of COVID-19, that amount has further decreased to \$11.6 billion.

In April 2021, a 2020 update to the Next 10 Delivery Plan was approved by the Board, reflecting new cash flows, schedules, and project information. This comprehensive plan reviewed priorities and funding commitments over a ten fiscal year period (FY 2020-21 - FY 2029-30) to ensure that promises made in the M2 Investment Plan can continue to be delivered despite changing economic and revenue shortfall impacts. While the updated Next 10 Delivery Plan incorporates the lower M2 sales tax revenue forecast, OCTA has been fortunate in leveraging external state and federal funding to help deliver projects. This review confirmed that the Next 10 Delivery Plan remains deliverable.





Measure M2 Program

Freeway Program

Description

The largest component of the overall M2 Program is the Freeway Program. It receives 43 percent of the net sales tax revenue. In the approved 2020 update to the Next 10 Delivery Plan, \$4.3 billion in freeway projects will be delivered, and by FY 2029-30, an estimated 25 out of 30 total M2 freeway project segments are scheduled to be completed. The Interstate 405 (I-405) Improvement Project, at \$2.1 billion in estimated cost, will be the largest capital project that OCTA has delivered in its history. The project, slated to open in FY 2022-23, is concurrently under construction. Another major freeway project that OCTA has been working on is the \$577 million Interstate 5 (I-5) widening project in south Orange County. Construction began in FY 2018-19 and will be completed in three segments with the first segment scheduled for completion in FY 2023-24 and the last segment scheduled for completion in FY 2024-25.

Within the Freeway Program, the Environmental Mitigation Program (EMP) is designed to address biological impacts from the M2 freeway projects and is achieved through a comprehensive mitigation effort in exchange for streamlined approval by state and federal agencies of the M2 freeway projects. OCTA contributes approximately \$2.9 million annually into an endowment fund for long-term management of seven OCTA Preserves, areas of protected land in Orange County. The M2 Environmental Cleanup Program helps improve overall water quality in Orange County from transportation-generated pollution. Program funds are allocated on a competitive basis to assist jurisdictions in meeting the federal Clean Water Act's goals of controlling transportation-generated pollution.





Freeway Program, continued

Accomplishments in FY 2020-21

- The I-5 High-Occupancy Vehicle (HOV) project between State Route 55 (SR-55) and State Route 57 (SR-57) (Project A) was completed, adding another carpool lane in each direction.
- Design contracts awarded for the State Route 91 (SR-91) improvements between SR-57 and SR-55. After design work is complete, construction will add a general-purpose lane in the eastbound direction and provide westbound operational improvements.
- OCTA was awarded \$140 million in competitive state transportation funding to help build the SR-55 Improvement Project between I-5 and I-405 in central Orange County.
- Reconstructed two new overpasses as part of the I-405 Improvement Project. The two bridges are among 18 to be built, widened, or replaced.

Goals in FY 2021-22

- In FY 2021-22, the Freeway Program will continue construction on the I-405 Improvement Project. The project improvements include adding a general-purpose lane in each direction of the I-405 Freeway from Euclid Street to the Interstate 605 (I-605) Interchange (Project K) and adding an additional lane in each direction that will combine with the existing HOV lane to provide dual tolled express lanes in each direction on the I-405 from State Route 73 (SR-73) to I-605. The project is anticipated to be completed in the fall of 2023.
- The right-of-way phase will be completed and construction will begin on the SR-55 project from I-405 to the I-5 (Project F). This project will add one general purpose lane and one additional HOV lane in each direction of the freeway segment.
- The Freeway Program will continue to seek external, state, and federal grant funding opportunities to leverage sales tax revenue and deliver all M2 freeway projects as promised to the voters of Orange County.

Freeway Program

Project	FY 2021-22 Budget
SR-55, I-405 to I-5 (Project F)	117,283,919
I-405, SR-73 to I-605 (Project K)	98,021,750
I-5, SR-73 to El Toro Road (Project C)	85,775,292
I-5, I-405 to SR-55 (Project B)	15,632,000
SR-57, Orangewood Ave. to Katella Ave. (Project G)	7,355,000
SR-91, SR-241 to SR-71 (Project J)	6,233,779
SR-91, SR-55 to SR-57 (Project I)	3,432,500
I-605, Katella Ave. Interchange (Project M)	746,000
I-5, El Toro Road Interchange (Project D)	75,000
Freeway Program Total	\$ 334,555,240



Measure M2 Program



Streets and Roads Program

Description

The M2 Streets and Roads Program comprises the Regional Capacity Program, Regional Traffic Signal Synchronization Program (RTSSP), and Local Fair Share Program, which are designed to help fix potholes, improve intersections, synchronize traffic signals county-wide, and make the existing network of streets and roads safer and more efficient. The Streets and Roads Program receives 32 percent of net sales tax revenue.

Goals in FY 2021-22

- OCTA looks to continue to allocate money to local agencies to repair aging local streets and roads under Local Fare Share (Project Q), in an amount of \$54 million in FY 2021-22.
- The Streets and Roads Program aims to provide \$44.1 million to local agencies under Regional Capacity Program (Project O) to fund additional capacity and roadway improvements throughout Orange County, and \$43.4 million to local agencies under RTSSP (Project P).

Accomplishments in FY 2020-21

- The OCTA board approved programming \$2.8 million in competitive funds for 12 projects focused on removing visible pollutants, such as litter and debris, from roads before they reach waterways and the ocean. These projects include purchasing or upgrading screens, filters, and inserts for catch basins, as well as other devices designed to remove pollutants. The Regional Capacity Program (Project O) enabled OCTA to release the 2021 Call for Projects for \$22 million for this competitive grant program. This funding is available to local agencies for additional road improvements throughout Orange County. Since 2011, over 140 projects totaling more than \$319 million have been awarded by OCTA.
- Through the RTSSP 2021 Call for Projects, approximately \$8 million was made available for signal synchronization projects in Orange County. To date, OCTA and local agencies have synchronized more than 2,700 intersections along more than 700 miles of streets improving travel times and reducing delays in local commutes.

Streets and Roads Program

Project	FY 2021-22 Budget
Local Fair Share (Project Q)	54,007,213
Regional Capacity Program (Project O)	44,142,800
Regional Traffic Signal Synchronization (Project P)	43,387,362
Streets and Roads Program Total	\$ 141,537,375



M2 Transit Program

Description

The M2 Transit Program consists of various programs targeted to improve rail and bus service and facilities in Orange County. M2 Transit Program receives 25 percent of the net sales tax revenue. These funds are used to support Metrolink service, add transit extensions to the Metrolink corridor, reduce bus fares for senior citizens and persons with disabilities, and establish local circulators.

Accomplishments in FY 2020-21

- Construction of the OC Streetcar reached a major milestone as construction crews have set the first rail into place that will eventually carry the streetcar vehicles through the streets of Santa Ana and Garden Grove.
- In FY 2020-21, OCTA provided over \$1.2 million in M2 funds to lower fares for Seniors and Persons with Disabilities under Program (Project U). This resulted in over 3 million boardings for the fiscal year.

Goals in FY 2021-22

- Through the use of M2 High Frequency Metrolink funds (Project R), OCTA continues to allocate funds to support Metrolink service in Orange County.
- Through the use of Transit Extensions to Metrolink funding (Project S), continue construction of the OC Streetcar Project including a new maintenance and storage facility. The facility will house the streetcar vehicles which are anticipated to be delivered by the manufacturer early in the upcoming FY.
- Through the community-based transit/circulators program (Project V), continue to allocate M2 funds and facilitate successful community transit/circulators to offer expanded service in local communities of Orange County.
- OCTA also looks forward to continuing the Expand Mobility Choices for Seniors and Persons with Disabilities Program (Project U) which provides funds to support mobility options for this demographic. In FY 2021-22, this program will allocate 3.47 percent of M2 sales tax revenues to over 35 cities and agencies to provide services and stabilize transit fares.

M2 Transit Program

Project	FY 2021-22 Budget
Community-Based Transit Circulator (Project V)	12,820,949
Senior Mobility and Non-Emergency Medical Programs (Project U)	6,185,865
iShuttle Operations (Project R)	4,734,965
Rail Project Support (Project R)	2,156,000
Safe Transit Stops (Project W)	2,005,000
Transit Extensions to Metrolink (Project S)	340,000
M2 Transit Program Total	\$ 28,242,779



Measure M2 Program

M2 Program Funds

Local Transportation Authority (LTA) M2 Fund

The LTA Fund incorporates all activities associated with the M2 Ordinance approved in November 2006. The M2 Ordinance extended the already established one-half percent sales tax to fund transportation-related projects.

The M2 Ordinance covers a 30-year period beginning April 1, 2011 to March 31, 2041. All sales tax revenues, bond proceeds, interest earnings, and project expenditures are accounted for in this fund.

Local Transportation Authority Measure M2

FY 2021-22 Sources	Amount	
Taxes	\$ 312,959,259	47%
Use of Prior Year Designations	181,359,292	27%
Federal Capital Assistance Grants	112,225,555	18%
Road Repair and Accountability Act	19,383,000	3%
State Assistance	15,106,004	2%
Operating Transfers In	15,017,472	2%
Interest Income	7,761,978	1%
Reimbursement from Other Agencies	1,683,569	0%
Other Non-operating Revenue	147,282	0%
Total Sources	\$ 665,643,411	

Local Transportation Authority Measure M2

FY 2021-22 Uses	Amount	
Services and Supplies	\$ 276,006,557	41%
Capital Expenditure	275,216,961	41%
Operating Transfers Out	114,419,893	18%
Total Uses	\$ 665,643,411	





Local Transportation Authority Measure M2 Sources & Uses

Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6020 State Assistance	15,724,045	0	15,106,004
6040 Federal Capital Assistance Grants	29,711,578	81,682,919	112,225,555
6050 Reimbursement from Other Agencies	14,619,769	8,000,000	1,683,569
6101 Taxes	317,963,821	282,893,506	312,959,259
6107 Road Repair and Accountability Act	0	0	19,383,000
6200 Interest Income	41,813,771	9,848,323	7,761,978
6300 Other Non-operating Revenue	244,297	330,038	147,282
6500 Operating Transfers In	37,124,928	47,251,456	15,017,472
Subtotal Revenues	\$ 457,202,209	\$ 430,006,242	\$ 484,284,119
Use of Prior Year Designations	0	393,562,459	181,359,292
Total Sources	\$ 457,202,209	\$ 823,568,701	\$ 665,643,411
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7400 Overhead Allocation	18,845,906	19,990,076	24,146,290
7500 Professional Services	56,799,809	131,951,218	95,404,802
7600 General and Administrative	309,654	725,744	277,780
7800 Contributions to Other Agencies	93,497,677	160,211,546	156,177,685
8111 Interest Expense	22,017	0	0
8200 Operating Transfers Out	101,035,493	106,567,484	114,419,893
9000 Capital Expenditures	106,567,512	404,122,633	275,216,961
Subtotal Expenses	\$ 377,078,068	\$ 823,568,701	\$ 665,643,411
Designations	80,124,141	0	0
Total Uses	\$ 457,202,209	\$ 823,568,701	\$ 665,643,411





Measure M2 Program

M2 Program Funds, continued

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. This fund

also accounts for the federal government payment to OCTA of a 35 percent subsidy (subject to federal tax code adjustments) that offsets interest expense for taxable Build America Bonds.

Measure M2 Bond Debt Service Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6200 Interest Income	3,819,334	5,540,306	5,453,693
6500 Operating Transfers In	44,530,139	43,839,650	43,826,400
Subtotal Revenues	\$ 48,349,473	\$ 49,379,956	\$ 49,280,093
Use of Prior Year Designations	17,724,441	0	0
Total Sources	\$ 66,073,914	\$ 49,379,956	\$ 49,280,093
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
8111 Interest Expense	35,593,080	35,774,650	35,371,400
8112 Principal Payment On Long Term Debt	8,530,000	8,065,000	8,455,000
8200 Operating Transfers Out	21,950,834	5,540,306	5,453,693
Subtotal Expenses	\$ 66,073,914	\$ 49,379,956	\$ 49,280,093
Total Uses	\$ 66,073,914	\$ 49,379,956	\$ 49,280,093



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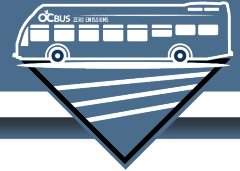
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TRANSIT



ORANGE COUNTY TRANSPORTATION AUTHORITY

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Bus Program

Description

As a multi-modal transportation agency serving Orange County, OCTA’s bus service is one of the agency’s core programs. OCTA’s goal is to provide Orange County residents and visitors with safe, reliable, and convenient service throughout the county that is sustainable over the long-term.

In March of 2020, COVID-19 pandemic began and created significant challenges to OCTA’s Bus Program. Such challenges arose from state and local government orders for residents to quarantine within their homes and avoid any non-essential travel to mitigate the spread of the virus. Additionally, it was advised that residents “Social Distance” keeping 6 feet away from those not within their household. These stay-at-home and social distancing orders caused a significant reduction in demand for bus services. Since the pandemic, OCTA has worked to provide bus service that is safe and meets ridership demand.

OCTA’s bus system currently offers 50 different routes serving nearly 5,500 bus stops. This was adjusted down from 58 routes to match current demand during the pandemic. The bus routes are broken down into three distinct types of services. Local and community routes travel between cities throughout the service area. Limited stop service is provided on some of the local routes providing faster travel times through the service area. Express routes travel on freeways to get commuters to their destination quickly, and the Stationlink service

provides a link from Metrolink stations to work centers. In addition, OCTA provides special services funded through the Federal Transit Administration (FTA) to serve persons of low income, seniors, and persons with disabilities under the Section 5316 Jobs Access Reverse Commute (JARC) and Section 5310 Enhanced Mobility for Seniors and Disabled (EMSD) Grant Programs.

OCTA also provides OC ACCESS, which is a shared-ride service for people who are unable to use the regular, fixed-route OC Bus service because of functional limitations. This service is required by the Americans with Disabilities Act (ADA). OCTA offers a non-ADA Same-Day Taxi Program to OC ACCESS eligible customers as well. In addition, OCTA funds and administers community transportation services offered through the Senior Mobility Program (SMP) and EMSD.

Measure M2 (M2) allocates 1.47 percent of net revenues to stabilize fares for seniors and persons with disabilities. This is included as farebox revenue and the calculation of the farebox recovery ratio. Bus Operations are dependent upon external revenue sources to supplement farebox revenue and help offset operating expenditures for fixed-route and paratransit services. The primary revenue sources are: Local Transportation Fund (LTF), State Transit Assistance Fund (STAF), federal operating grants, Road Repair and Accountability Act (RRAA), and property tax contributions.





Bus Program



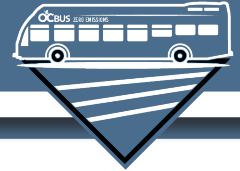
Fixed-Route

The current fixed-route network provides bus service on 36 local lines, eight community lines, five Stationlink rail feeder lines, and one temporary city shuttles line. The local lines, of which three are limited-stop, represent the majority of transit options offered throughout Orange County and operate along major arterials

comprising a “grid” network. The limited-stop lines are provided on select local route corridors and are designed to provide an attractive rapid transit option by decreasing travel time and improving travel speed within high use corridors, while offering connections to key destinations, major attractions, and Metrolink

Bus Capital Program

Project	FY 2021-22 Budget
Near Zero Engine Repower	12,661,960
Bus Base and Transit Center Projects	5,563,400
Transit Technology and Communications Capital	340,000
Bus Capital Program Total	\$ 18,565,360



train services. Community lines use smaller buses to accommodate roadway constraints or lower passenger demand and provide connections to the local lines. The Inter-county and Intra-county express lines have fewer stops and operate only during peak morning and afternoon times Monday through Friday, traveling to popular business centers in Los Angeles and Orange County. Stationlink rail feeder service is provided to the Metrolink commuter rail stations in Orange County that are considered destination stations, ensuring a connection between rail stations and employment centers for Metrolink commuters. One temporary city shuttles line is used during OC Streetcar construction to connect with Metrolink trains and other bus routes.

Paratransit

The OC ACCESS Program provides complementary transit service within a ¼ mile corridor of all OCTA fixed-route service to persons with disabilities. These passengers must be certified by OCTA to use the OC ACCESS system by meeting the ADA eligibility criteria. The use of supplemental taxi services is one of a

variety of cost mitigation measures being employed. OCTA also continues its focus on developing partnerships to provide alternative transportation options for seniors and persons with disabilities. In addition, OCTA offers a non-ADA Same-Day Taxi service, which allows OC ACCESS eligible customers to schedule a partially subsidized trip.

Goals in FY 2021-22

- Restore fixed-route revenue hours up to 1.45 million, subject to demand and public health considerations.
- Evaluate the introduction of the Near Zero Cummins engine for the 40-foot segment of the bus fleet. These engines will be nine times cleaner than the existing engines.
- Install motorized security gates with access control at the Anaheim, Garden Grove, and Santa Ana bases.
- Modernize OCTA’s seven Park and Ride facilities based on the Transit Center Modernization and Parking Study.

Accomplishments in FY 2020-21

- Distributed more than 560,000 free face-coverings to passengers since May 2020 to help combat the COVID-19 pandemic.
- Installed plexiglass barriers on all OCTA buses creating a barrier between coach operators and passengers to mitigate COVID-19 transmission.
- Extended OC Flex Pilot program in South Orange County through December 2021.
- Introduced Tesla Model X as OCTA’s first all-electric vanpool vehicle.
- Approved the purchase of ten plug-in battery-electric buses for a pilot program to test how the buses will perform on Orange County streets.
- Purchased 165 compressed natural gas buses made by New Flyer to replace a sub-fleet that has reached its useful life.





Bus Program

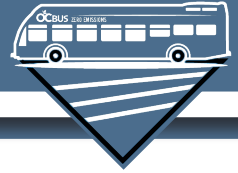
Cost Summary

FY 2021-22 Approved Budget

	Performance Indicators	Directly Operated Fixed-Route	Contracted Fixed-Route	ACCESS	ADA Taxi Service	Same Day Taxi Service	Special Agency Services	Flex	System Total
Service Provided	Vehicle Hours (VH)	932,454	542,041	511,356					1,985,852
	Vehicle Miles (VM)	11,412,714	7,254,277	7,209,057					25,876,049
	Revenue Hours (RVH)	860,616	492,742	422,440				13,974	1,789,772
	Revenue Miles (RVM)	9,771,629	6,027,561	5,877,724					21,676,915
Passenger Usage	Boardings	15,400,226	5,234,404	406,307	167,184	149,778	256,833	23,730	21,638,462
	Boardings per VH	16.52	9.66	0.79					10.90
	Boardings per VM	1.35	0.72	0.06					0.84
	Boardings per RVH	17.89	10.62	0.96					12.09
	Boardings per RVM	1.58	0.87	0.07					1.00
Operating Costs	Costs	\$151,857,096	\$76,048,575	\$55,881,990	\$10,635,162	\$2,697,088	\$6,716,290	\$1,663,931	\$305,500,132
	Cost per VH	\$162.86	\$140.30	\$109.28					\$153.84
	Cost per VM	\$13.31	\$10.48	\$7.75					\$11.81
	Cost per RVH	\$176.45	\$154.34	\$132.28				\$119.08	\$170.69
	Cost per RVM	\$15.54	\$12.62	\$9.51					\$14.09
	Cost per Boarding	\$9.86	\$14.53	\$137.54	\$63.61	\$18.01	\$26.15	\$70.12	\$14.12
Fare Revenues	Revenue	\$16,594,651	\$6,571,874	\$2,224,876	\$681,319			\$42,064	\$26,114,784
	Revenue per VH	\$17.80	\$12.12	\$5.15					\$13.15
	Revenue per VM	\$1.45	\$0.91	\$0.37					\$1.01
	Revenue per RVH	\$19.28	\$13.34	\$6.23				\$3.01	\$14.59
	Revenue per RVM	\$1.70	\$1.09	\$0.45					\$1.20
	Revenue per Boarding	\$1.08	\$1.26	\$5.48				\$1.77	\$1.21
Subsidy	Subsidy per Boarding	\$8.78	\$13.27	\$132.06				\$68.35	\$11.70
Farebox Recovery Ratio		10.93%	8.64%	3.98%					8.55%
Farebox Recovery Ratio (Per Senate Bill 508: Revisions to the Transportation Development Act (TDA))									15.22%

* All paratransit boardings are reported in terms of trips.





Bus Program Funds

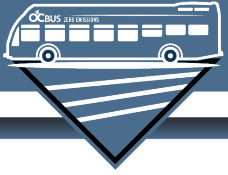
LTF

The LTF was established in 1971 through the TDA, and is derived from a one-quarter cent 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 plan-

ning, bus stop improvements, fixed-route bus operations, and paratransit services. LTF revenues may also be used as a local match for FTA grants. For budgeting purposes, OCTA utilizes sales tax forecast provided by Muni Services, LLC.

Local Transportation Fund Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6104 Sales Tax Revenue	165,146,028	145,778,786	162,624,184
6200 Interest Income	141,033	21,518	43,845
Subtotal Revenues	\$ 165,287,061	\$ 145,800,304	\$ 162,668,029
Use of Prior Year Designations	3,805,075	0	0
Total Sources	\$ 169,092,136	\$ 145,800,304	\$ 162,668,029
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7500 Professional Services	1,799,328	1,533,883	1,769,403
7600 General and Administrative	3,034	0	0
7800 Contributions to Other Agencies	2,372,115	2,047,249	2,247,744
8200 Operating Transfers Out	164,917,659	142,219,172	158,650,882
Subtotal Expenses	\$ 169,092,136	\$ 145,800,304	\$ 162,668,029
Total Uses	\$ 169,092,136	\$ 145,800,304	\$ 162,668,029



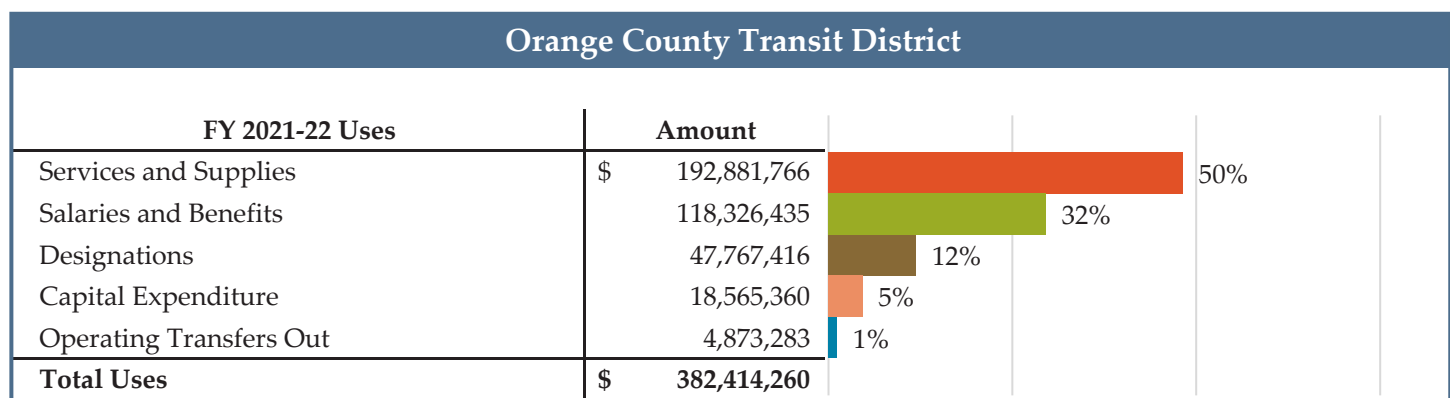
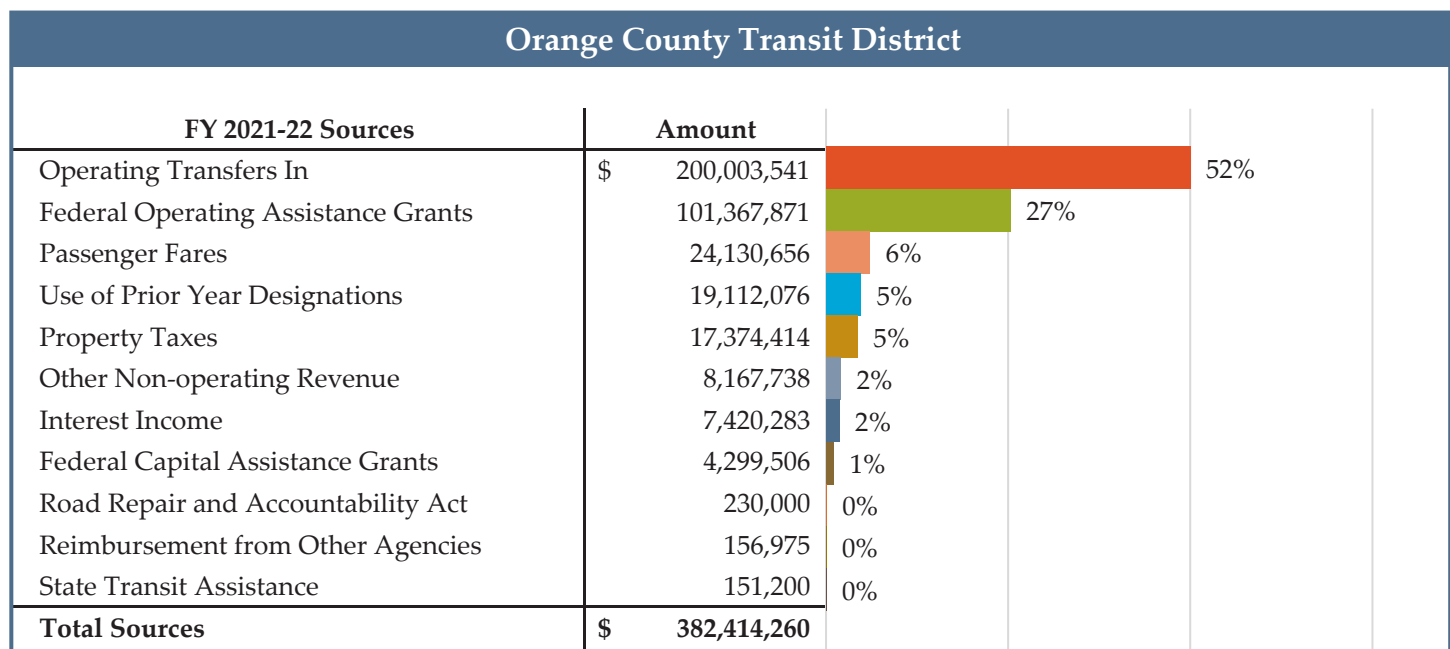


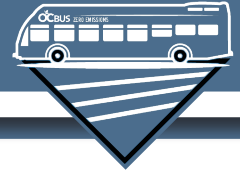
Bus Program

Bus Program Funds, continued

Orange County Transit District (OCTD)

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





Orange County Transit District

Orange County Transit District Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
5100 Passenger Fares	33,056,727	17,543,424	24,130,656
6010 State Transit Assistance	3,655,338	3,072,281	151,200
6020 State Assistance	0	3,937,497	0
6030 Federal Operating Assistance Grants	49,756,634	110,783,535	101,367,871
6040 Federal Capital Assistance Grants	4,667,414	116,068,015	4,299,506
6050 Reimbursement from Other Agencies	9,676,572	256,685	156,975
6100 Property Taxes	17,828,885	17,030,400	17,374,414
6107 Road Repair and Accountability Act	0	6,400,681	230,000
6200 Interest Income	18,874,465	4,105,468	7,420,283
6300 Other Non-operating Revenue	14,147,767	9,690,994	8,167,738
6500 Operating Transfers In	212,705,058	173,495,080	200,003,541
Subtotal Revenues	\$ 364,368,860	\$ 462,384,060	\$ 363,302,184
Use of Prior Year Designations	0	7,769,262	19,112,076
Total Sources	\$ 364,368,860	\$ 470,153,322	\$ 382,414,260
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7100 Salaries and Benefits	112,860,439	119,241,088	118,326,435
7300 Purchased Transportation Services	81,942,938	77,740,303	87,218,527
7400 Overhead Allocation	42,086,566	46,002,087	44,906,350
7500 Professional Services	21,229,168	26,835,000	26,597,081
7540 Insurance Claims/Premiums	-35,545	0	0
7600 General and Administrative	7,442,788	9,415,182	10,173,332
7700 Maintenance Parts and Fuel	14,004,393	14,121,771	20,153,936
7702 Fuel, Tires and Maintenance Parts	0	0	48,567
7800 Contributions to Other Agencies	3,161,272	1,724,352	3,783,973
8200 Operating Transfers Out	987,956	1,365,092	4,873,283
9000 Capital Expenditures	30,858,336	130,236,459	18,565,360
Subtotal Expenses	\$ 314,538,311	\$ 426,681,334	\$ 334,646,844
Designations	49,830,549	43,471,988	47,767,416
Total Uses	\$ 364,368,860	\$ 470,153,322	\$ 382,414,260



Bus Program

STAF

The STAF was created by the California Legislature in 1979, and provides a second source of TDA funding for transportation planning and mass transportation purposes. STAF revenues are derived from sales tax on diesel fuel. As of 2017, this revenue increased based

on the passage of Transportation Road Repair and Accountability Act (RRAA). These revenues may be used for capital and operating expenditures related to public transportation.

State Transit Assistance Fund Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6104 Sales Tax Revenue	19,683,830	12,292,474	16,526,460
6107 Road Repair and Accountability Act	21,961,496	15,747,949	19,889,607
6200 Interest Income	24,777	7,919	24,457
Subtotal Revenues	\$ 41,670,103	\$ 28,048,342	\$ 36,440,524
Total Sources	\$ 41,670,103	\$ 28,048,342	\$ 36,440,524
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7600 General and Administrative	910	0	0
8200 Operating Transfers Out	41,645,326	28,048,342	36,440,524
Subtotal Expenses	\$ 41,646,236	\$ 28,048,342	\$ 36,440,524
Designations	23,867	0	0
Total Uses	\$ 41,670,103	\$ 28,048,342	\$ 36,440,524



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Rail

Description

Rail service for Orange County Transportation Authority centers on Metrolink, Southern California’s commuter rail system linking residential communities to employment and activity centers. Formed in 1991, Metrolink is operated by the Southern California Regional Rail Authority (SCRRA) – a Joint Powers Authority of five agencies representing the Counties of Los Angeles, Orange, Riverside, San Bernardino, and Ventura.

Metrolink has served as the link between six Southern California counties by providing commuters transportation connectivity for medium to long-range trips. Metrolink has grown tremendously after almost 30 years in service, expanding from three service lines and 11 stations to seven service lines and 62 stations, all over a 534 route-mile network. There are three rail lines serving Orange County: Orange County Line, Inland Empire-OC Line, and 91/Perris Valley Line. The three lines serving Orange County currently provide a total of 41 trains each weekday and 16 trains each weekend serving 11 Orange County stations. Major structural, security, access, and capacity improvements are currently underway at many of the stations throughout Orange County.

Goals in FY 2021-22

- In conjunction with Metrolink, utilize the Coronavirus Aid, Relief, and Economic Security (CARES) Act stimulus to provide a demand-based approach to maintain Metrolink service on vital routes throughout Orange County.
- Begin construction of the Placentia Metrolink station. This project will provide a Metrolink Station and parking facilities in the City of Placentia for commuter rail passengers.
- Initiate final plans, specifications, and cost estimates for the Orange County Maintenance Facility project. This project will provide space and equipment to inspect, clean, and maintain cars and locomotives on a regular basis.

Accomplishments in FY 2020-21

- OCTA started construction on upgrades and improvements to the Anaheim Canyon Metrolink station, a multi-modal transit center.
- OCTA completed work on a new passing siding railroad track in Laguna Niguel and San Juan Capistrano that reduces delays and enhances safety for rail traffic traveling through the area.
- Working with local institutions in Southern California, Metrolink offered a direct connection to COVID-19 vaccination locations, aiding individuals in need of assistance.





Rail Program

Rail Program, continued

Rail Capital Program	
Project	FY 2021-22 Budget
Placentia Metrolink Rail Station	27,451,000
Orange County Maintenance Facility	19,140,000
Irvine Station Improvements	5,727,000
Anaheim Canyon Metrolink Station	3,651,000
San Juan Creek Bridge Replacement	2,180,000
Laguna Niguel to San Juan Capistrano Passing Siding	1,760,000
Serra Siding Project	1,252,000
Slope Stabilization	385,000
Miscellaneous Metrolink Rail Station Improvements	320,000
Signal Respacing and Control Point	125,000
Rail Capital Program Total	\$ 61,991,000





Rail Program Funds

Commuter Rail Fund

The Commuter Rail Fund accounts for the operation of commuter rail service and the maintenance of OCTA-owned right-of-way. Commuter rail service travels through Orange County between Los Angeles and San Diego Counties on the Orange County Line, between the cities of San Bernardino and Oceanside on the Inland Empire-Orange County Line, and between the City of Perris and Los Angeles County on the 91/Perris Valley Line. Orange County commuter rail service, part of the regional Metrolink network, is operated by

SCRRA, which is a Joint Powers Authority. As one of five member agencies, OCTA Board members participate on the SCRRA Board. OCTA staff members participate on SCRRA's Technical Advisory Committee, which makes policy and operation recommendations to the SCRRA Board. OCTA also coordinates design and construction work along Orange County's rail corridors, and coordinates all rail projects with appropriate OCTA departments, corridor cities, and other agencies impacted by necessary improvements.

Commuter Rail Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6020 State Assistance	6,114,561	0	0
6030 Federal Operating Assistance Grants	12,531,033	21,038,000	5,325,000
6040 Federal Capital Assistance Grants	0	0	600,000
6050 Reimbursement from Other Agencies	1,479,189	17,700,000	24,817,000
6200 Interest Income	6,108,334	1,451,432	1,806,784
6300 Other Non-operating Revenue	923,476	8,477	1,084,384
6500 Operating Transfers In	12,653	26,743,919	44,058,907
6550 Proceeds Sale of Capital Asset	0	3,499,998	4,000,000
Subtotal Revenues	\$ 27,169,246	\$ 70,441,826	\$ 81,692,075
Use of Prior Year Designations	13,609,065	18,915,444	0
Total Sources	\$ 40,778,311	\$ 89,357,270	\$ 81,692,075
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7400 Overhead Allocation	3,117,892	3,424,406	3,948,120
7500 Professional Services	28,274,758	46,646,196	33,353,928
7600 General and Administrative	12,659	5,405	5,264
7800 Contributions to Other Agencies	158,840	1,531,800	415,500
8200 Operating Transfers Out	4,610,295	5,666,720	6,127,588
9000 Capital Expenditures	4,603,867	23,645,000	31,406,000
Subtotal Expenses	\$ 40,778,311	\$ 80,919,527	\$ 75,256,400
Designations	0	8,437,743	6,435,675
Total Uses	\$ 40,778,311	\$ 89,357,270	\$ 81,692,075



Rail Program

Rail Program Funds, continued

Commuter Rail

FY 2021-22 Sources	Amount		
Operating Transfers In	\$ 44,058,907		54%
Reimbursement from Other Agencies	24,817,000		30%
Federal Operating Assistance Grants	5,325,000	7%	
Proceeds Sale of Capital Asset	4,000,000	5%	
Interest Income	1,806,784	2%	
Other Non-operating Revenue	1,084,384	1%	
Federal Capital Assistance Grants	600,000	1%	
Total Sources	\$ 81,692,075		

Commuter Rail

FY 2021-22 Uses	Amount		
Services and Supplies	\$ 37,722,812		46%
Capital Expenditure	31,406,000		38%
Designations	6,435,675	8%	
Operating Transfers Out	6,127,588	8%	
Total Uses	\$ 81,692,075		



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OC Streetcar

Description

Measure M2 establishes a competitive program that enables local jurisdictions to enhance regional transit capabilities through the creation of new connections to Orange County Metrolink stations. Through transit extensions to the Metrolink Program (Project S), the cities of Santa Ana and Garden Grove developed a fixed-guideway project that would address this need.

Expected to begin operations in July 2023, OC Streetcar will link the Santa Ana Regional Transportation Center (SARTC), which provides regional rail, OCTA bus, intercity, and international bus services, to a new

multimodal hub at Harbor Boulevard/Westminster Avenue in Garden Grove.

The OC Streetcar will serve the historic downtown Santa Ana and Civic Center which includes government offices, federal, state, and local courthouses, unique restaurants and shops, an artists' village, several colleges, and a variety of community enrichment organizations.

OCTA, in coordination with the Federal Transit Administration (FTA) and the cities of Santa Ana and





OC Streetcar, continued

Garden Grove, is the lead agency in designing, constructing, operating, and maintaining the 4.15-mile streetcar. With a current project budget of \$424.4 million, the streetcar system will connect the SARTC through downtown Santa Ana to Harbor Boulevard and Westminster Avenue in the City of Garden Grove. Along the path, OC Streetcar is expected to connect directly with 18 OCTA bus routes.

Public outreach on the project has commenced. Despite coronavirus protocols adding atypical restrictions on outreach efforts, staff have relied on electronic and phone events as part of its efforts. The Eat Shop Play Program has expanded to 47 participants, exceeding the original goal of 40 businesses.

Through January 2021, \$57.4 million has been drawn down on the Full Funding Grant Agreement.



Accomplishments in FY 2020-21

- Public outreach efforts began in compliance with COVID-19 protocols. OCTA's Eat Shop Play Program has expanded to 47 participants, surpassing the original goal of 40.
- Storm drain, sewer, and water system relocations within the City of Santa Ana have been completed.
- Production of the eight vehicles are currently underway with the first four vehicles undergoing static and dynamic testing and final detail.

Goals in FY 2021-22

- The OC Streetcar project expects production of the eight vehicles to be completed by April 27, 2021, with delivery coming soon after to allow for preliminary testing.
- Construction of the track and systems are expected to be completed by January 2023, before the official launch planned in July 2023.



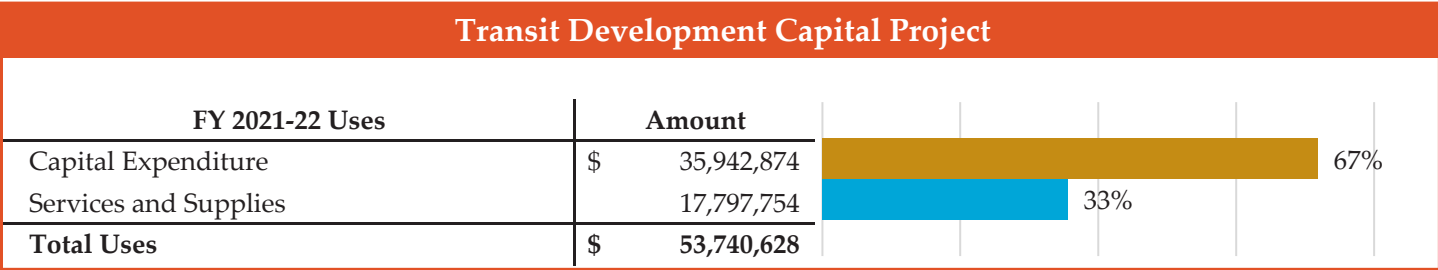
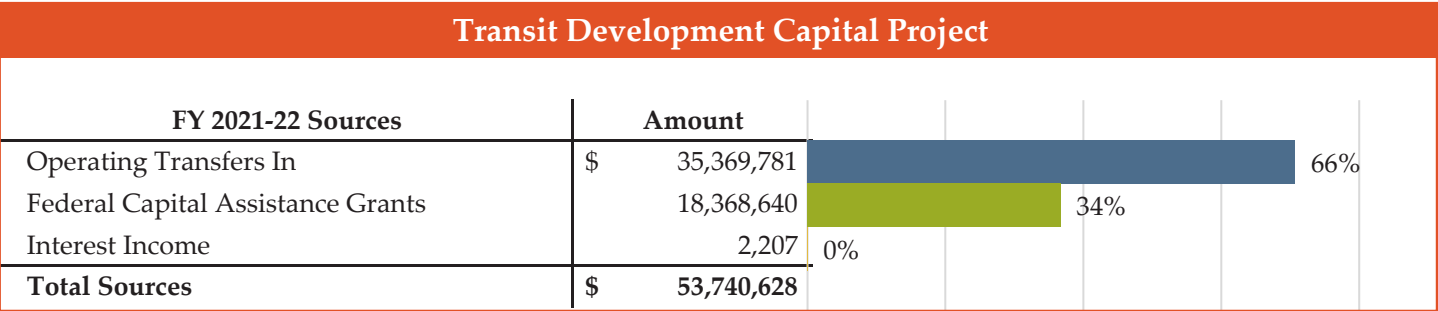


OC Streetcar Program Funds

Transit Development Capital Projects Fund

The Transit Development Capital Projects Fund was established to track capital projects administered by OCTA. This fund is primarily used to track OC Streetcar right-of-way property acquisition, utility relocation, engineering and design services, accumulation

of construction costs, manufacture, and quality assurance monitoring of the streetcars. The Transit Security and Operations Center (TSOC) project, \$500,000 in FY 2021-22 for design, is also included within the fund.





OC Streetcar Program Funds, continued

Transit Development Capital Project Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6040 Federal Capital Assistance Grants	29,036,577	15,199,856	18,368,640
6200 Interest Income	0	31,714	2,207
6500 Operating Transfers In	47,192,602	32,143,880	35,369,781
Subtotal Revenues	\$ 76,229,179	\$ 47,375,450	\$ 53,740,628
Total Sources	\$ 76,229,179	\$ 47,375,450	\$ 53,740,628
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7300 Purchased Transportation Services	0	1,980,000	2,819,747
7400 Overhead Allocation	791,117	3,464,423	3,495,855
7500 Professional Services	1,043,937	8,679,450	10,480,894
7600 General and Administrative	11,603	10,000	21,258
7800 Contributions to Other Agencies	400,458	830,000	980,000
9000 Capital Expenditures	34,292,859	32,411,577	35,942,874
Subtotal Expenses	\$ 36,539,974	\$ 47,375,450	\$ 53,740,628
Designations	39,689,205	0	0
Total Uses	\$ 76,229,179	\$ 47,375,450	\$ 53,740,628



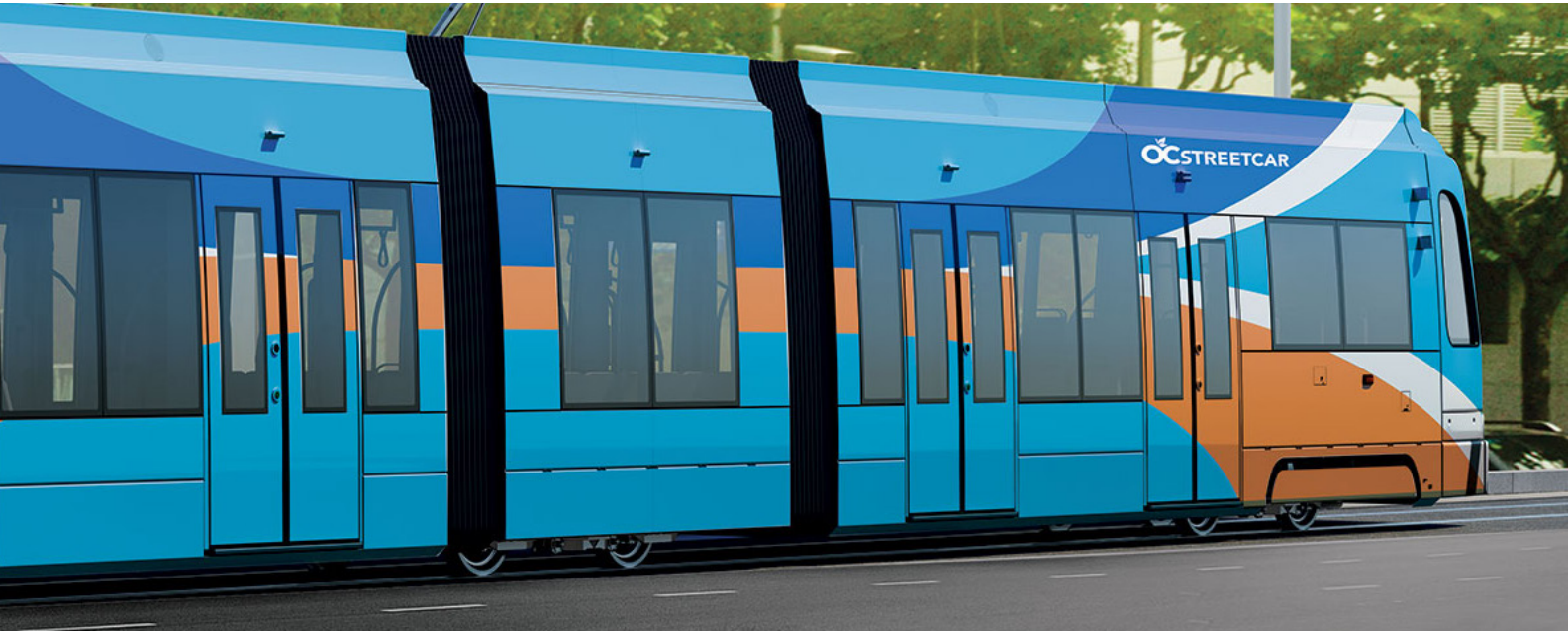


OC Streetcar Fund

The OC Streetcar Fund was established to account for the administration and operations of the OC Streetcar. The OC Streetcar is a 4.15-mile route modern streetcar line that connects the SARTC to downtown Santa Ana and a new transportation hub near the intersection of

Harbor Boulevard and Westminster Avenue in Garden Grove. The project will include ten stops, with platforms in each direction, and a new maintenance and storage facility to accommodate a streetcar fleet of up to 15 vehicles.

OC Streetcar Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6200 Interest Income	4	0	0
6500 Operating Transfers In	379,422	656,247	567,890
Subtotal Revenues	\$ 379,426	\$ 656,247	\$ 567,890
Total Sources	\$ 379,426	\$ 656,247	\$ 567,890
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7400 Overhead Allocation	372,248	403,572	441,740
7500 Professional Services	0	252,675	126,150
7600 General and Administrative	7,033	0	0
7800 Contributions to Other Agencies	126	0	0
Subtotal Expenses	\$ 379,407	\$ 656,247	\$ 567,890
Designations	19	0	0
Total Uses	\$ 379,426	\$ 656,247	\$ 567,890



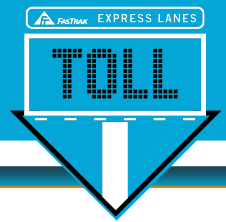
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EXPRESS LANES



ORANGE COUNTY TRANSPORTATION AUTHORITY

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Express Lanes

Description

Built at a cost of \$135 million, the Orange County section of the 91 Express Lanes project was authorized as a toll road by the State of California in 1989. In 1995, this ten-mile toll facility was opened.

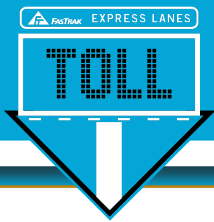
An agreement with the State of California Department of Transportation (Caltrans) included a non-compete provision that created a 1.5-mile protection zone along each side of State Route 91 (SR-91). This zone prohibited improvements along the corridor and created mobility problems as the region and corresponding transportation demands grew.

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

In cooperation with Caltrans, OCTA is widening the San Diego Freeway (I-405) between State Route 73 (SR-73) and Interstate 605 (I-605). The project will improve 16 miles of I-405 and includes adding one regular lane in each direction from Euclid Street to I-605 and making improvements to freeway entrances, exits, and bridges.

It will also construct the 405 Express Lanes from SR-73 to I-605. The new express lanes, with the construction of one new lane in each direction and incorporating the existing carpool lanes and connectors that opened in 2014, will include two lanes in each direction.

The new 405 Express Lanes, which are expected to be completed in 2023, will be a key component to maximizing throughput along the corridor.



Express Lanes

91 Express Lanes

Description

The 91 Express Lanes is a four-lane, 18-mile toll road in Orange and Riverside counties. Located in the median of SR-91 between the SR-55/SR-91 interchange and the SR-91/I-15 interchange, the toll road is jointly managed by OCTA and the Riverside County Transportation Commission (RCTC).

In 2008, RCTC received authority to extend the Express Lanes an additional eight miles into Riverside County. The RCTC 91 Corridor Improvement Project added regular lanes, tolled express lanes, auxiliary lanes, and direct express lane connectors from the northbound Interstate 15 (I-15) to the westbound SR-91 and from the eastbound SR-91 to the southbound I-15. The Riverside County section of the 91 Express Lanes opened in March 2017.

The COVID-19 pandemic resulted in traffic declines for the 91 Express Lanes Program. Fortunately, traffic along the 91 Express Lanes has begun to recover and is anticipated to continue to recover through FY 2021-22, with trips projected at 14 million.

Goals in FY 2021-22

- The 91 Express Lanes is aiming to launch a new re-designed website by the end of calendar year 2021.
- A new back-office system is expected to be completed in October 2021. The new system will facilitate transaction management and automated replenishment of customer accounts.

Accomplishments in FY 2020-21

- Despite COVID-19, the 91 Express Lanes have maintained strong ratings from all three credit agencies. The ratings reflect consistent revenues and long-term prospects for continued traffic growth.
- A new technology, 6C transponders, allowing for more economical transponders and simplified account plans was implemented.
- Excess toll revenue funded improvements to the 91 corridor, benefiting the entire community.
- To help reduce financial pressure on 91 Express Lanes customers during the COVID-19 pandemic, the toll policy was temporarily modified to stop automatic toll increases and customer account maintenance fees were waived.
- A new Electronic Toll and Traffic Management System will be installed, and new toll gantries constructed.

SR-91 Express Lanes Fund

The 91 Express Lanes Fund captures revenues and expenses associated with the operations of the program. This fund is an enterprise fund with program related expenses being covered by program generated revenue. Revenue includes both toll and non-toll related revenues.

91 Express Lanes

FY 2021-22 Sources	Amount	
91 Express Lanes Revenue	\$ 42,354,013	53%
Use of Prior Year Designations	31,702,958	39%
Other Fee Revenue	3,783,410	5%
Interest Income	1,720,241	2%
Reimbursement from Other Agencies	750,000	1%
Total Sources	\$ 80,310,622	



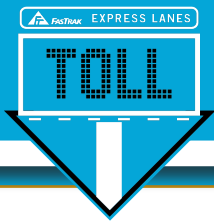
Express Lanes

91 Express Lanes

FY 2021-22 Uses	Amount		
Services and Supplies	\$ 35,330,141		44%
Operating Transfers Out	23,863,779		29%
Designations	13,316,702		17%
Capital Expenditure	7,800,000		10%
Total Uses	\$ 80,310,622		

91 Express Lanes Sources & Uses

Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
5500 91 Express Lanes Revenue	43,136,580	32,670,000	42,354,013
5550 Other Fee Revenue	807,901	2,320,000	3,783,410
6050 Reimbursement from Other Agencies	1,208,921	1,250,000	750,000
6200 Interest Income	8,558,805	1,471,495	1,720,241
6300 Other Non-operating Revenue	38,929	0	0
Subtotal Revenues	\$ 53,751,136	\$ 37,711,495	\$ 48,607,664
Use of Prior Year Designations	0	53,361,495	31,702,958
Total Sources	\$ 53,751,136	\$ 91,072,990	\$ 80,310,622
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7300 Purchased Transportation Services	6,559,905	7,200,000	7,675,000
7400 Overhead Allocation	2,996,585	3,121,756	3,121,756
7500 Professional Services	4,517,862	10,253,329	11,599,160
7540 Insurance Claims/Premiums	394,046	825,000	825,000
7600 General and Administrative	531,504	764,670	1,148,400
7800 Contributions to Other Agencies	51,186	345,000	165,000
8111 Interest Expense	4,599,387	4,400,700	4,045,825
8112 Principal Payment On Long Term Debt	0	6,420,000	6,750,000
8200 Operating Transfers Out	15,174,094	41,711,150	23,863,779
9000 Capital Expenditures	51,528	9,145,000	7,800,000
Subtotal Expenses	\$ 34,876,097	\$ 84,186,605	\$ 66,993,920
Designations	18,875,039	6,886,385	13,316,702
Total Uses	\$ 53,751,136	\$ 91,072,990	\$ 80,310,622



Express Lanes

405 Express Lanes

Description

When construction is complete by the end of calendar year 2023, the I-405 Express Lanes will be a four-lane, High-Occupancy Toll (HOT) corridor on I-405, stretching from SR-55 to I-605. The Express Lanes will provide commuters with a reliable travel option compared to the adjacent general-purpose lanes. It will have a variable toll rate depending on traffic demand, with the purpose of maximizing throughput in the corridor while keeping the HOT lanes free flowing.

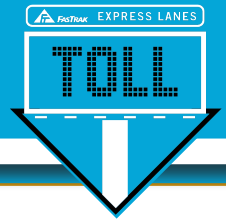
A mix of toll-paying and carpool vehicles will utilize the lanes, which will be cost free for carpool vehicles with two or more riders (HOV2+) during non-peak hours, and cost free all day for carpool vehicles with three or more riders (HOV3+). After the initial three and a half years in operation, HOV2+ will begin paying tolls, but HOV3+ will remain cost free.

Because the I-405 is owned by Caltrans, OCTA entered into a cooperative agreement with Caltrans to define

the roles and responsibilities of each agency. The 405 Express Lanes will be owned by Caltrans but leased to OCTA for a period of 40 years, beginning on the first day the 405 Express Lanes opens for public use and toll operations.

OCTA, in cooperation with Caltrans, is widening the I-405 between SR-73 and I-605. The project will improve 16 miles of the I-405 between the SR-73 in Costa Mesa and the I-605 near the Los Angeles County line. The project will add one general-purpose lane in each direction between Euclid Street and the I-605, and will include making improvements to freeway entrances, exits, and bridges. It will also add one additional lane and use the existing carpool lane to construct the 405 Express Lanes, two lanes in each direction from SR-73 to I-605. The new express lanes will be a key component to maximizing throughput along the corridor. The 405 Express Lanes Fund will account for the operating and capital expenses of the 405 Express Lanes.



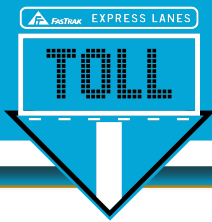


Accomplishments in FY 2020-21

- Design is substantially complete, but work continues on right-of-way acquisition, utility coordination, public outreach, and bridge construction.
- The toll lanes system integrator, Kapsch, is under contract and working with OCTA and the design-builder.
- Two one-stage bridges have been completed and construction continues on three more.
- Construction on two-stage bridges at five locations is underway, as well as the widening of railroad crossings.
- OCTA was awarded \$140 million in competitive state funding from the California Transportation Commission.

Goals in FY 2021-22

- Continue construction activities involving the replacement and widening of bridges related to the 405 Express Lanes project.
- Minimize the impact of construction on commuters by working on a schedule during traffic down times when possible.
- Complete implementation of a Back-Office System/ Customer Service Center to service the future 405 Express Lanes.
- Continue outreach with residents on upcoming construction activities and receiving their input on what can help benefit their needs.
- Develop a violation ordinance that lays out the structure and procedure for toll lane violations.



Express Lanes

405 Express Lanes Fund

The 405 Express Lanes Fund captures revenues and expenses associated with the operations of the program. This fund is an enterprise fund with program-related expenses being covered by program-generated revenue. Revenue includes both toll and non-toll revenues such as violation fees and account maintenance fees.

405 Express Lanes Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6050 Reimbursement from Other Agencies	682,348	0	0
Subtotal Revenues	\$ 682,348	\$ 0	\$ 0
Use of Prior Year Designations	21,845,073	99,030,854	63,036,043
Total Sources	\$ 22,527,421	\$ 99,030,854	\$ 63,036,043
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7400 Overhead Allocation	1,017,094	3,438,755	3,306,856
7500 Professional Services	410,768	4,204,700	3,209,750
7600 General and Administrative	0	2,380	754,104
7800 Contributions to Other Agencies	0	200	200
8111 Interest Expense	8,660,037	11,475,494	11,085,633
9000 Capital Expenditures	12,439,522	79,909,325	44,679,500
Subtotal Expenses	\$ 22,527,421	\$ 99,030,854	\$ 63,036,043
Total Uses	\$ 22,527,421	\$ 99,030,854	\$ 63,036,043

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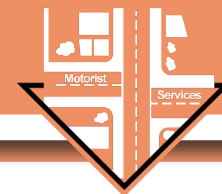
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MOTORIST SERVICES



ORANGE COUNTY TRANSPORTATION AUTHORITY

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Motorist Services

Description

Motorist Services includes the Service Authority for Freeway Emergencies Program (SAFE). The SAFE Program is comprised of Freeway Services Patrol (FSP), Freeway Call Box Network, and Orange County 511 Service, all designed and operated to assist motorists on Orange County’s network of freeways.

SAFE

Description

California statute authorized SAFE in 1985 to enable counties to generate revenue for purchasing, installing, operating, and maintaining a system of motorist aid call boxes.

The Call Box Program consists of the freeway call box system that assists motorists requiring roadside aid. It was developed to allow motorists to report road hazards, mechanical breakdowns, traffic accidents, and other incidents.

The FSP service is operated jointly by the California Highway Patrol (CHP), California Department of Transportation (Caltrans), and OCTA. The service includes a fleet of 34 tow trucks patrolling freeways during peak commuting hours to assist motorists with disabled vehicles and improve traffic flow. SAFE partners with the Los Angeles County SAFE (LA SAFE), Caltrans, CHP, and Ventura County Transportation Commission in the development of a motorist aid and traffic information system known as 511. This service offers a toll-free number with an interactive voice response telephone system, mobile application, and web interface that can provide callers with traffic speeds and travel times on state highways, help callers plan a public transit trip, and provide information on commuter services such as carpool/vanpool, bicycling, and park and ride.

SAFE is funded through a \$1 per year fee collected from motor vehicle registration within Orange County as authorized by California Streets and Highways Code Section 2555. Additionally, SAFE receives fund-

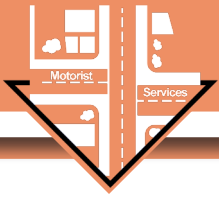
ing from the State Highway Account through Caltrans, and from Orange County’s half-cent transportation sales tax, Measure M2 Project N, for FSP operations. On April 28, 2017, the Senate Bill 1 (SB1) transportation funding package was signed into law and provides additional annual funding to the FSP Program.

Accomplishments in FY 2020-21

- Executed State Highway Accounting (SHA) and Road Repair and Accountability Act (RRAA) funding agreements.
- Developed and implemented the callbox 4G radio upgrade plan to enhance reliability of the system.
- Released a procurement to replace agreements for six FSP service areas consisting of 22 peak-hour, five midday, and three weekend beats.
- Released a procurement for replacement of Call Box Maintenance Services.

Goals in FY 2021-22

- Transition FSP services for six service areas to new contracted service providers.
- Transition Call Box maintenance services to a new contracted service provider.
- Release a procurement for radio maintenance services and a procurement to replace mobile routers for FSP vehicles.
- Develop and implement replacement Call Box TeleType (TTY) Solution.



Motorist Services

Service Authority for Freeway Emergencies Sources & Uses

Sources Summary

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6030 Federal Operating Assistance Grants	1,280	0	0
6050 Reimbursement from Other Agencies	2,185	1,000	4,800
6103 DMV Fees	2,773,198	2,700,000	2,600,000
6107 Road Repair and Accountability Act	6,174,434	1,910,268	1,900,000
6200 Interest Income	-14,440	7,500	8,500
6300 Other Non-operating Revenue	2,519,398	2,235,457	2,248,000
6500 Operating Transfers In	3,456,143	2,727,175	2,839,858
Subtotal Revenues	\$ 14,912,198	\$ 9,581,400	\$ 9,601,158
Total Sources	\$ 14,912,198	\$ 9,581,400	\$ 9,601,158

Uses Summary

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7400 Overhead Allocation	854,323	925,810	1,074,400
7500 Professional Services	7,018,422	7,633,236	7,472,570
7600 General and Administrative	554,099	579,229	1,004,188
7800 Contributions to Other Agencies	14,088	0	0
9000 Capital Expenditures	27,360	443,125	50,000
Subtotal Expenses	\$ 8,468,292	\$ 9,581,400	\$ 9,601,158
Designations	6,443,906	0	0
Total Uses	\$ 14,912,198	\$ 9,581,400	\$ 9,601,158

SAFE Fund

The SAFE Fund was created to collect revenue and facilitate the operation of the SAFE Program. The fund captures revenues and expenses associated with the operations of the program.



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ADMINISTRATION



ORANGE COUNTY TRANSPORTATION AUTHORITY

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Administration Program

Description

OCTA's Administration Program provides the staff to oversee Rail, Freeways, Streets and Roads, Express Lanes, OC Streetcar, Motorist Services, and Bus Programs.

OCTA is organized into divisions that provide specialized services to the programs, such as accounting, financial analysis, procurement, planning, marketing, government relations, and human resources. Staff that support the Bus Program charge directly to the Orange County Transit District fund. Staff that support the Orange County Taxicab Administration Program (OCTAP) charge directly to the OCTAP fund. All other staff charge to the General Fund. These General Fund salaries and benefits are allocated to the funds that support each of the programs.

Cost Allocation

In addition to salaries and benefits, the General Fund is a cost center for other overhead costs, such as insurance, information technology software and hardware, utilities, leases, and general capital expenditures.

The General Fund expenditures, less the General Fund revenues, are allocated to the proprietary funds using a cost allocation methodology.

OCTA uses a robust cost allocation plan methodology that maximizes the direct charge of OCTA's personnel, materials, supplies, and contractors to projects whenever possible. Indirect costs for each internal service are then allocated using a basis of allocation that has been determined after evaluation of usage and benefit received. Cost Allocation bases include factors such as square feet of space occupied, number of personnel recruitments, purchase orders, accounting transactions, dollar volume, among others. Each department may have cost allocation bases specific to the internal services that department provides.

The Accounting Department applies the cost allocation methodology to allocate costs monthly, with an annual adjustment at the end of the fiscal year. The

budget uses the allocation rates from the most recent complete fiscal year as a starting point.





Administration

Administrative Program Staffing

OCTA is comprised of eight divisions. Each division is organized by department. The table below shows staffing levels for FY 2019-20 through FY 2021-22.

Division / Department	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Executive Office</u>			
Executive Office - CEO	5.00	5.00	5.00
Internal Audit	6.00	6.00	6.00
Express Lanes Program	7.00	7.00	7.00
Public Information Office	4.00	4.00	4.00
Clerk of the Board	4.00	4.00	4.00
Security and Emergency Preparedness	4.00	4.00	5.00
Executive Office	30.00	30.00	31.00
<u>Finance and Administration</u>			
Chief Financial Officer	4.00	4.00	4.00
Accounting and Financial Reporting	20.00	20.00	20.00
Financial Planning and Analysis	11.00	11.00	12.00
Revenue Administration	7.00	8.00	8.00
Contracts Administration and Materials Management	57.00	57.00	57.00
Information Systems	39.00	39.00	38.00
General Services	20.00	19.00	19.00
Treasury Department	2.00	2.00	2.00
Finance and Administration	160.00	160.00	160.00
<u>Human Resources and Organizational Development</u>			
Executive Director, HR&OD	3.00	3.00	3.00
Human Resources	26.00	26.00	26.00
Learning and Development	5.00	5.00	5.00
Risk Management	7.00	7.00	7.00
Safety	9.00	9.00	9.00
Human Resources and Organizational Development	50.00	50.00	50.00
<u>Government Relations</u>			
Executive Director, Government Relations	9.50	9.50	9.50
Government Relations	9.50	9.50	9.50
<u>Planning</u>			
Executive Director, Planning	5.00	5.00	5.00
Director, Strategic Planning	3.00	3.00	3.00
Planning and Analysis	23.50	23.50	24.00
Capital and Local Programs	11.50	11.50	11.50
Planning	43.00	43.00	43.50

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

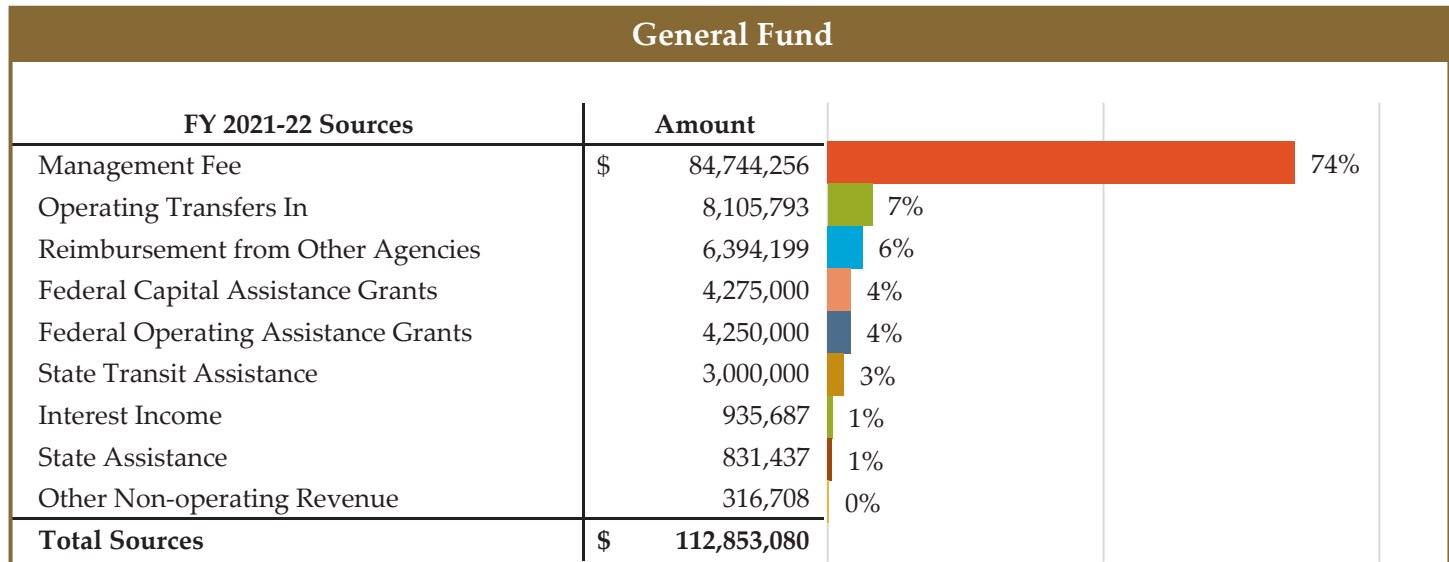
The OCTA was selected to serve as the managing agency for the LOSSAN Rail Corridor Agency in August 2013. The LOSSAN is currently administered by 18 dedicated OCTA staff. These positions are funded through the Interagency Transfer Agreement (ITA) with the State of California.

Division / Department	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
Capital Programs			
Executive Director, Capital Programs	18.00	19.00	19.00
Rail	5.00	4.00	4.00
Highway Project Delivery	11.00	11.00	11.00
Capital Programs	34.00	34.00	34.00
External Affairs			
Director, Marketing and Public Outreach	2.00	2.00	2.00
Marketing and Customer Engagement	21.00	21.00	21.00
Public Outreach	12.00	12.00	12.00
External Affairs	35.00	35.00	35.00
Operations			
Chief Operating Officer	3.00	3.00	3.00
Executive Director, Bus Operations	3.00	3.00	3.00
Motorist Services	7.50	7.50	7.50
Bus Operations	699.50	699.50	665.50
Contract Transportation Services	17.50	17.50	17.50
Maintenance	223.50	223.50	215.50
Scheduling and Bus Operations Support	12.00	12.00	13.00
Rail Operations	4.00	4.00	5.00
OC Streetcar	1.00	1.00	2.00
LOSSAN Staff Administration	14.00	14.00	18.00
Operations	985.00	985.00	950.00
Total Authority	1,346.50	1,346.50	1,313.00



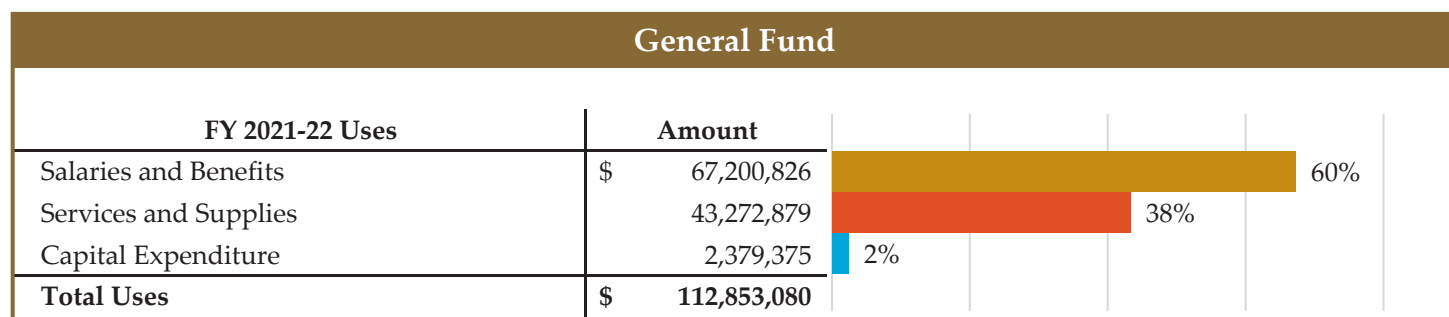
Administration

Administrative Funds



General Fund

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





General Fund, continued

General Fund Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6010 State Transit Assistance	0	0	3,000,000
6020 State Assistance	676,624	875,000	831,437
6030 Federal Operating Assistance Grants	3,089,202	0	4,250,000
6040 Federal Capital Assistance Grants	64,826	7,165,000	4,275,000
6050 Reimbursement from Other Agencies	4,220,194	6,466,559	6,394,199
6200 Interest Income	78,085	719,307	935,687
6300 Other Non-operating Revenue	286,648	278,878	316,708
6400 Management Fee	71,145,276	81,369,276	84,744,256
6500 Operating Transfers In	4,912,452	4,220,859	8,105,793
6550 Proceeds Sale of Capital Asset	105,225	105,200	0
Subtotal Revenues	\$ 84,578,532	\$ 101,200,079	\$ 112,853,080
Use of Prior Year Designations	1,157,563	2,129,126	0
Total Sources	\$ 85,736,095	\$ 103,329,205	\$ 112,853,080
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7100 Salaries and Benefits	59,611,106	61,967,523	67,200,826
7500 Professional Services	15,038,795	23,097,836	26,986,387
7540 Insurance Claims/Premiums	1,431	0	0
7600 General and Administrative	8,626,310	8,171,377	11,161,414
7800 Contributions to Other Agencies	853,865	4,492,469	5,125,078
9000 Capital Expenditures	1,604,588	5,600,000	2,379,375
Subtotal Expenses	\$ 85,736,095	\$ 103,329,205	\$ 112,853,080
Total Uses	\$ 85,736,095	\$ 103,329,205	\$ 112,853,080





Administration

American Public Transportation Association (APTA)

Fund

The City of Anaheim has been selected to host the APTA Expo in September 2021. OCTA generates revenues in the form of external contributions from vendors which will help support OCTA's APTA efforts. The balance of uses will be offset by transfers in from Orange County Transit District (OCTD).

American Public Transportation Association (APTA) Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6500 Operating Transfers In	8,260	40,000	40,000
Subtotal Revenues	\$ 8,260	\$ 40,000	\$ 40,000
Total Sources	\$ 8,260	\$ 40,000	\$ 40,000
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7500 Professional Services	0	40,000	40,000
7600 General and Administrative	8,260	0	0
Subtotal Expenses	\$ 8,260	\$ 40,000	\$ 40,000
Total Uses	\$ 8,260	\$ 40,000	\$ 40,000



Additional Retirement Benefit Account (ARBA) Trust Fund

OCTA currently provides a supplemental retirement benefit known as ARBA. This benefit is offered to retired members of Orange County Employees Retirement System (OCERS) in order to assist OCTA employees in maintaining health insurance coverage following their retirement from OCTA. OCTA does not provide retiree medical benefits. The ARBA benefit was funded and administered pursuant to a 1994 Memorandum of Understanding (and its subsequent amendments) with OCERS. The ARBA benefit was originally fund-

ed through excess earnings of the retirement system and held as part of the unallocated fund balance. As the unallocated fund balance was reduced due to benefit payments and market performance, participating agencies began contributing 0.5 percent of payroll. In April 2008, OCTA entered into a new agreement with OCERS to administer ARBA. OCTA currently funds ARBA based on biennial actuarial valuations. The most recent actuarial study recommended 0.98 percent of payroll be set aside in the budget to fund the benefit.

ARBA Trust Fund Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6200 Interest Income	942,602	305,743	663,660
6300 Other Non-operating Revenue	622,196	1,026,964	767,356
Subtotal Revenues	\$ 1,564,798	\$ 1,332,707	\$ 1,431,016
Total Sources	\$ 1,564,798	\$ 1,332,707	\$ 1,431,016
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7800 Contributions to Other Agencies	1,373,408	1,332,707	1,431,016
Subtotal Expenses	\$ 1,373,408	\$ 1,332,707	\$ 1,431,016
Designations	191,390	0	0
Total Uses	\$ 1,564,798	\$ 1,332,707	\$ 1,431,016



Administration

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

The PL and PD Fund was established to consolidate the accounting of revenues and expenditures associated with personal liability and property damage for the entirety of OCTA.

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

Internal Service Fund-PL and PD Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
5300 Charges for Services	3,238,107	4,862,663	5,402,711
6200 Interest Income	709,318	229,234	358,612
6300 Other Non-operating Revenue	209,601	250,000	300,000
Subtotal Revenues	\$ 4,157,026	\$ 5,341,897	\$ 6,061,323
Total Sources	\$ 4,157,026	\$ 5,341,897	\$ 6,061,323
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7400 Overhead Allocation	155,061	222,814	210,221
7500 Professional Services	901,119	1,349,500	1,360,102
7540 Insurance Claims/Premiums	2,114,633	3,769,583	4,491,000
7800 Contributions to Other Agencies	74,692	0	0
Subtotal Expenses	\$ 3,245,505	\$ 5,341,897	\$ 6,061,323
Designations	911,521	0	0
Total Uses	\$ 4,157,026	\$ 5,341,897	\$ 6,061,323



ISF - Workers' Compensation Fund

The Workers' Compensation Fund was established to consolidate the accounting of revenues and expenditures associated with workers' compensation for the entirety of OCTA. The revenues recorded in these funds are comprised of charges, insurance recoveries, and interest earnings. The expenses are comprised of insurance payouts, claims, and stop-loss insurance coverage.

Internal Service Fund-Workers' Compensation Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
5300 Charges for Services	5,852,845	9,109,252	7,582,116
6200 Interest Income	1,132,253	408,556	312,552
6300 Other Non-operating Revenue	680,609	650,000	98,000
Subtotal Revenues	\$ 7,665,707	\$ 10,167,808	\$ 7,992,668
Total Sources	\$ 7,665,707	\$ 10,167,808	\$ 7,992,668
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7400 Overhead Allocation	68,353	109,818	92,668
7500 Professional Services	21,360	2,771,600	275,000
7540 Insurance Claims/Premiums	6,712,598	6,986,390	7,325,000
7800 Contributions to Other Agencies	293,391	300,000	300,000
Subtotal Expenses	\$ 7,095,702	\$ 10,167,808	\$ 7,992,668
Designations	570,005	0	0
Total Uses	\$ 7,665,707	\$ 10,167,808	\$ 7,992,668



Administration

Scholarship Fund

The OCTA Scholarship Fund is funded through employee payroll deductions, cash contributions, and the recycling of bottles and cans. The scholarship fund benefits college age children, grandchildren of OCTA employees, and OCTA interns. To be eligible for this scholarship, students are required to write an essay as

to why they want to attend college, or if applying for a second consecutive year, how their previous scholarship award was utilized to benefit their education or career. The essays are judged and recipients notified; award amounts vary based on contributions and earnings in that fiscal year.

Scholarship Fund Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6200 Interest Income	844	198	56
6300 Other Non-operating Revenue	18,626	18,113	15,274
Subtotal Revenues	\$ 19,470	\$ 18,311	\$ 15,330
Use of Prior Year Designations	904	0	0
Total Sources	\$ 20,374	\$ 18,311	\$ 15,330
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7500 Professional Services	16	0	0
7800 Contributions to Other Agencies	20,358	18,311	15,330
Subtotal Expenses	\$ 20,374	\$ 18,311	\$ 15,330
Total Uses	\$ 20,374	\$ 18,311	\$ 15,330



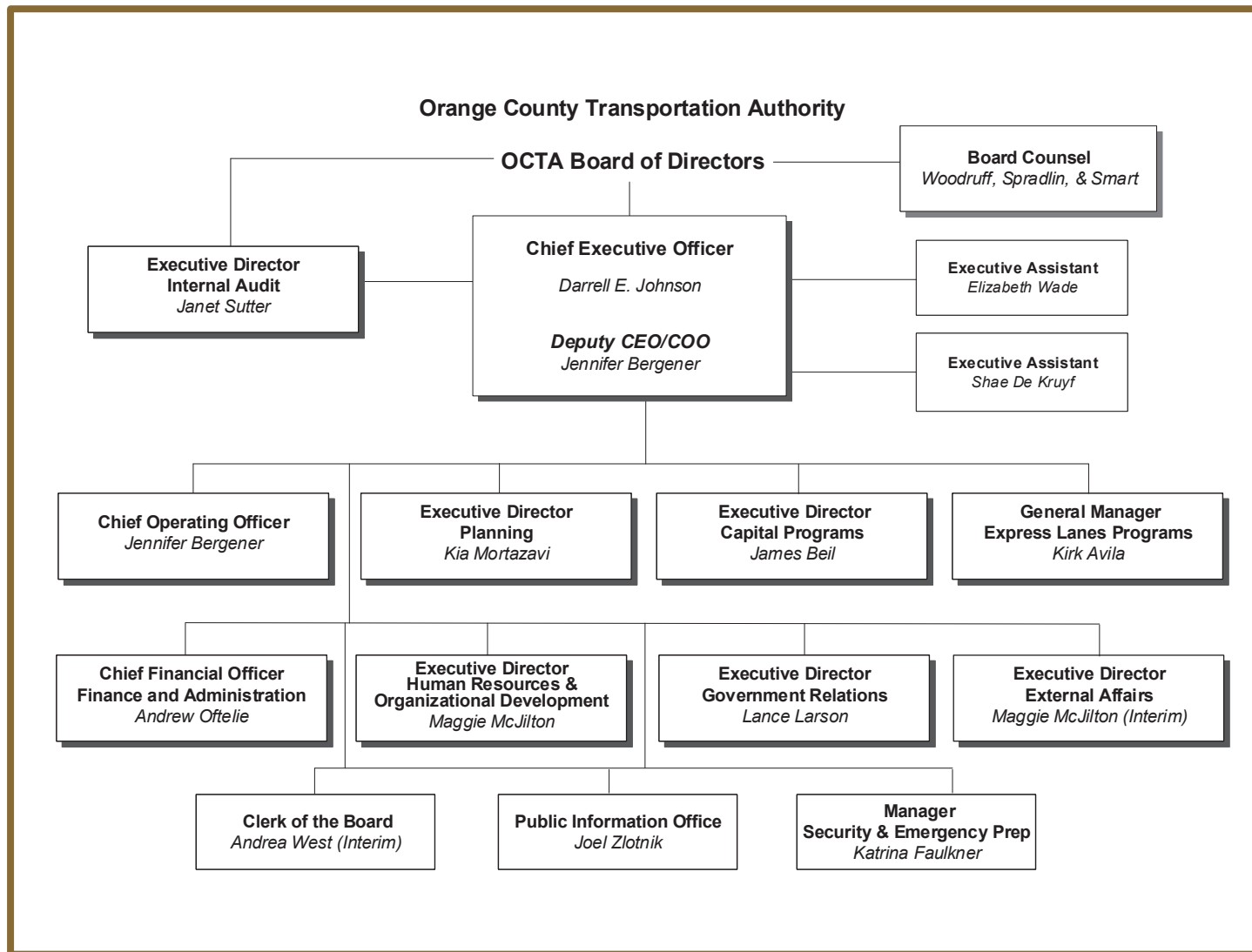
**Orange County Unified Transportation Trust (OCUTT)
Fund**

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

Orange County Unified Transportation Trust Sources & Uses			
Sources Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
6200 Interest Income	762,162	80,668	100,201
Subtotal Revenues	\$ 762,162	\$ 80,668	\$ 100,201
Use of Prior Year Designations	0	813,512	784,799
Total Sources	\$ 762,162	\$ 894,180	\$ 885,000
Uses Summary			
Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
7500 Professional Services	17,982	894,180	885,000
Subtotal Expenses	\$ 17,982	\$ 894,180	\$ 885,000
Designations	744,180	0	0
Total Uses	\$ 762,162	\$ 894,180	\$ 885,000



Executive Office Division Organizational Chart



Executive Office Division

The Executive Office Division is comprised of six departments and is responsible for providing management direction to all divisions. It also ensures to accurately record and preserve OCTA’s official and historical records as well as examine and evaluate financial, administrative, operational activities, and controls.

The Executive Office division oversees OCTA’s operations of the 91 Express Lanes and future I-405 Express Lanes. In addition, it is responsible for keeping the public up-to-date with any and all matters pertaining to OCTA. Lastly, this division handles the physical security, as well as emergency preparedness for OCTA.



Executive Office Division Staffing

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Executive Office - CEO</u>			
Chief Executive Officer	1.00	1.00	1.00
Deputy Executive Officer	1.00	1.00	1.00
Executive Assistant	3.00	3.00	3.00
Executive Office - CEO	5.00	5.00	5.00
<u>Internal Audit</u>			
Executive Assistant	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
Internal Auditor	3.00	3.00	3.00
Section/Department Manager	1.00	1.00	1.00
Internal Audit	6.00	6.00	6.00
<u>Express Lanes Program</u>			
Executive Assistant	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
Financial Analyst	1.00	1.00	1.00
IS Project Manager	2.00	2.00	2.00
Project Manager	2.00	2.00	2.00
Express Lanes Program	7.00	7.00	7.00
<u>Public Information Office</u>			
Communications Specialist	4.00	3.00	3.00
Department/Program Manager	0.00	1.00	1.00
Public Information Office	4.00	4.00	4.00
<u>Clerk of the Board</u>			
Clerk of the Board Specialist	2.00	2.00	2.00
Department/Program Manager	1.00	1.00	1.00
Section/Department Manager	1.00	1.00	1.00
Clerk of the Board	4.00	4.00	4.00
<u>Security and Emergency Preparedness</u>			
Department/Program Manager	1.00	1.00	1.00
Emergency Management Specialist	1.00	1.00	1.00
Executive Assistant	1.00	1.00	1.00
Project Manager	0.00	0.00	1.00
Systems Software Analyst	0.00	1.00	1.00
Security Access Administrator	1.00	0.00	0.00
Security and Emergency Preparedness	4.00	4.00	5.00
Total Executive Office	30.00	30.00	31.00



Executive Office

Executive Office Expenses by Account

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	3,351,664	3,208,533	3,745,905
7150 Extra Help Employees	85,875	103,700	104,125
7209 Deferred Compensation	172,208	96,424	111,486
7210 Pensions	1,026,922	1,148,597	1,354,334
7220 Insurances	86,672	86,355	100,387
7240 Health Care	575,774	504,964	559,841
7260 Compensated Absences	347,905	432,301	456,201
7270 Workers' Compensation	72,638	95,663	77,641
7280 Other Benefits	359,877	333,995	441,076
Subtotal Salaries and Benefits	\$ 6,079,535	\$ 6,010,532	\$ 6,950,996
<u>Services and Supplies</u>			
7510 Professional Services	203,016	551,000	1,380,000
7540 Insurance Claims Expense	179	0	0
7610 Outside Services	6,725,837	7,938,662	8,057,511
7650 Travel, Training, and Mileage	41,819	59,830	65,410
7660 Office Expense	12,651	23,140	22,500
7670 Miscellaneous Expense	363,939	386,814	373,134
7750 Maintenance Expense	18,752	17,858	14,850
7790 Other Materials and Supplies	16,804	28,000	28,000
Subtotal Services and Supplies	\$ 7,382,997	\$ 9,005,304	\$ 9,941,405
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	90,263	0	0
Subtotal Capital Expenditure	\$ 90,263	\$ 0	\$ 0
Total Uses	\$ 13,552,795	\$ 15,015,836	\$ 16,892,401



Executive Office – Chief Executive Officer (CEO)

The CEO is responsible for providing management direction to all divisions and programs within OCTA while 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.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Executive Office - CEO			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	885,453	776,154	836,466
7209 Deferred Compensation	78,397	23,316	24,867
7210 Pensions	256,270	280,551	305,241
7220 Insurances	22,193	20,881	22,389
7240 Health Care	97,136	111,705	105,280
7260 Compensated Absences	93,380	104,530	101,752
7270 Workers' Compensation	19,562	15,945	12,519
7280 Other Benefits	132,701	61,391	75,311
Subtotal Salaries and Benefits	\$ 1,585,092	\$ 1,394,473	\$ 1,483,825
<u>Services and Supplies</u>			
7510 Professional Services	0	12,000	15,000
7650 Travel, Training, and Mileage	9,364	14,223	18,068
7660 Office Expense	1,310	4,000	4,000
7670 Miscellaneous Expense	354,645	345,274	334,794
Subtotal Services and Supplies	\$ 365,319	\$ 375,497	\$ 371,862
Executive Office - CEO Total	\$ 1,950,411	\$ 1,769,970	\$ 1,855,687



Executive Office

Internal Audit

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

The department provides a wide range of auditing services including: oversight of the annual independent financial audit, performing operational audits, contract compliance audits, federal and state 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.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Internal Audit			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	755,682	702,319	769,492
7209 Deferred Compensation	27,472	21,132	22,910
7210 Pensions	242,122	251,931	278,749
7220 Insurances	18,751	18,925	20,630
7240 Health Care	112,511	107,310	110,855
7260 Compensated Absences	84,596	94,739	93,747
7270 Workers' Compensation	16,135	19,132	15,028
7280 Other Benefits	75,809	47,456	60,915
Subtotal Salaries and Benefits	\$ 1,333,078	\$ 1,262,944	\$ 1,372,326
<u>Services and Supplies</u>			
7510 Professional Services	44,160	125,000	736,000
7650 Travel, Training, and Mileage	3,525	7,260	7,894
7660 Office Expense	355	2,800	1,000
7670 Miscellaneous Expense	2,426	2,975	2,610
Subtotal Services and Supplies	\$ 50,466	\$ 138,035	\$ 747,504
Internal Audit Total	\$ 1,383,544	\$ 1,400,979	\$ 2,119,830



Express Lanes

The Express Lanes Department oversees the operations of the 91 Express Lanes and the 405 Express Lanes (to be operational in the year 2023). It oversees all aspects of OCTA's toll road franchise from contracted operations and maintenance to customer service, violations

processing, marketing, budgeting, and reporting. Staff also provide Express Lanes policy recommendations for OCTA Board consideration and serves as the key liaison with the State Route 91 Advisory Committee.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Express Lanes Program			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	573,798	654,075	827,822
7209 Deferred Compensation	27,654	19,725	24,698
7210 Pensions	178,277	235,354	300,275
7220 Insurances	14,780	17,663	22,242
7240 Health Care	84,265	123,870	137,616
7260 Compensated Absences	41,375	88,433	101,064
7270 Workers' Compensation	12,247	22,321	17,533
7280 Other Benefits	83,728	44,906	64,953
Subtotal Salaries and Benefits	\$ 1,016,124	\$ 1,206,347	\$ 1,496,203
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	1,972	1,362	1,440
Subtotal Services and Supplies	\$ 1,972	\$ 1,362	\$ 1,440
Express Lanes Program Total	\$ 1,018,096	\$ 1,207,709	\$ 1,497,643



Executive Office

Public Information Office

The Public Information Office develops public information programs related to the various projects and services which OCTA delivers. Staff works strategically and creatively to gain consistent, clear media coverage of OCTA policies, programs, promotions, and services. In addition to issuing news releases, updating online media communications, and fulfilling media requests

for information. Staff regularly files press releases, organizes media briefings and roundtables, arranges tours, and schedules interview and filming sessions. The Public Information Office is responsible for OCTA speaker's bureau and corporate communications such as annual reports, Board briefing book, and fact sheets.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Public Information Office			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	422,634	384,662	430,796
7150 Extra Help Employees	10,875	10,200	10,625
7209 Deferred Compensation	19,407	11,554	12,852
7210 Pensions	130,545	136,750	155,132
7220 Insurances	10,734	10,349	11,574
7240 Health Care	19,878	24,231	31,595
7260 Compensated Absences	46,692	51,805	52,592
7270 Workers' Compensation	8,645	12,755	10,019
7280 Other Benefits	19,260	20,928	29,024
Subtotal Salaries and Benefits	\$ 688,670	\$ 663,234	\$ 744,209
<u>Services and Supplies</u>			
7510 Professional Services	5,585	10,000	200,000
7540 Insurance Claims Expense	179	0	0
7610 Outside Services	35,499	50,000	50,000
7650 Travel, Training, and Mileage	5,097	1,587	2,034
7660 Office Expense	2,831	4,340	5,500
7670 Miscellaneous Expense	2,118	18,790	18,790
Subtotal Services and Supplies	\$ 51,309	\$ 84,717	\$ 276,324
Public Information Office Total	\$ 739,979	\$ 747,951	\$ 1,020,533



Clerk of the Board

The Clerk of the Board oversees the accurate recording and preserving of OCTA's official and historical records, in addition to providing them to the public upon request. The department is responsible for the entire Board and Committee agenda process, including: preparation and distribution of agendas, ensuring

public meetings are held in compliance with California open meeting laws, recording of actions taken by the Board and Committees, and maintaining a comprehensive records management system supporting Board and Committee actions.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Clerk of the Board			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	332,475	341,106	373,591
7150 Extra Help Employees	75,000	93,500	93,500
7209 Deferred Compensation	10,140	10,136	11,011
7210 Pensions	102,793	119,533	132,569
7220 Insurances	11,016	9,079	9,915
7240 Health Care	210,281	83,476	84,648
7260 Compensated Absences	29,531	45,442	45,060
7270 Workers' Compensation	8,513	12,755	10,019
7280 Other Benefits	47,838	140,184	176,667
Subtotal Salaries and Benefits	\$ 827,587	\$ 855,211	\$ 936,980
<u>Services and Supplies</u>			
7610 Outside Services	14,591	39,196	28,600
7650 Travel, Training, and Mileage	8,049	24,579	21,963
7660 Office Expense	7,262	8,500	8,500
7670 Miscellaneous Expense	2,549	14,370	12,200
Subtotal Services and Supplies	\$ 32,451	\$ 86,645	\$ 71,263
Clerk of the Board Total	\$ 860,038	\$ 941,856	\$ 1,008,243



Executive Office

Security and Emergency Preparedness

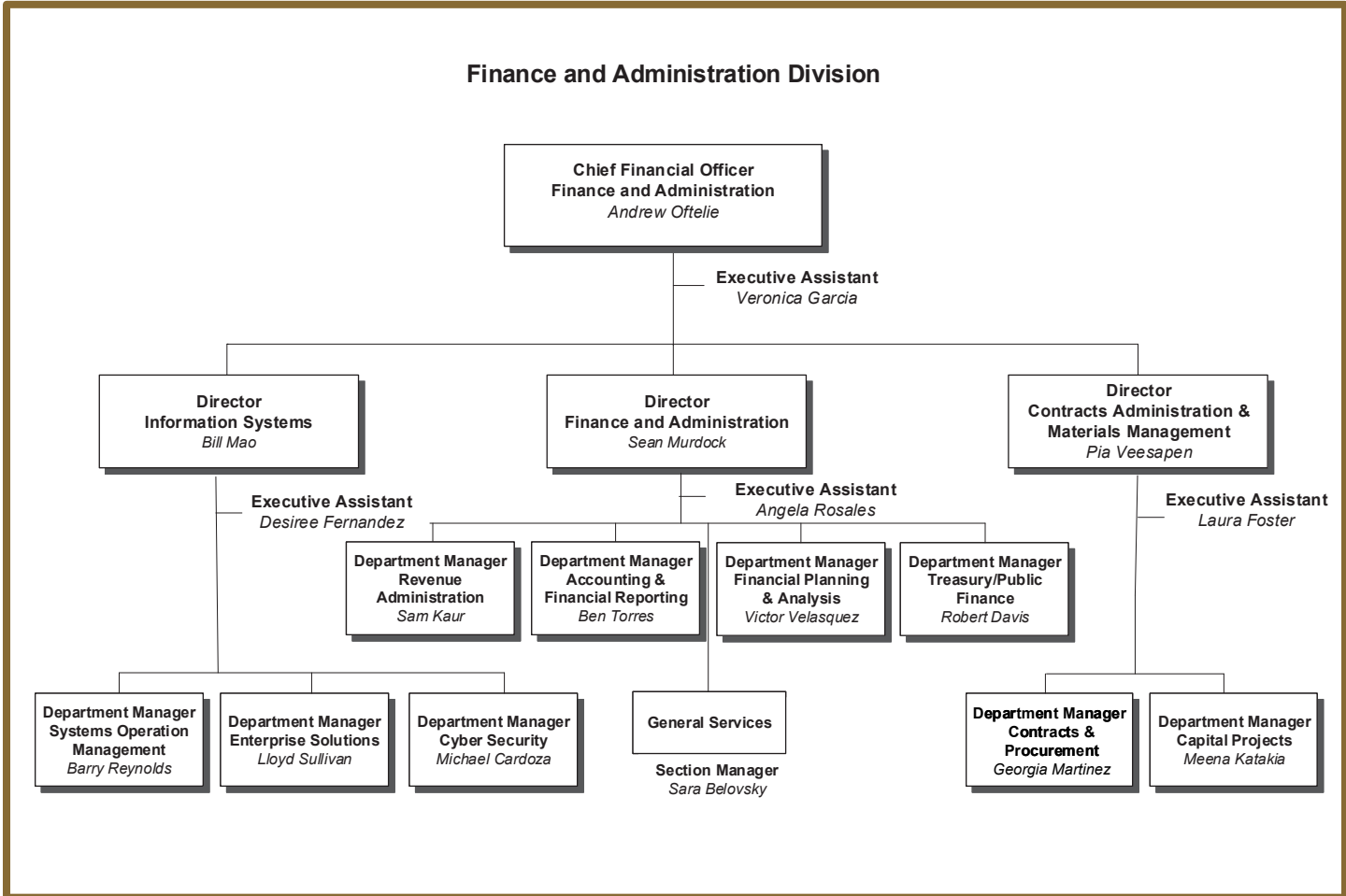
Security and Emergency Preparedness oversees physical security concerns such as protecting employees, customers, visitors, and assets. The department does this by conducting: regular activities including threat assessments, intelligence gathering, monitoring homeland security issues and trends, and maintaining communication with relevant agencies and other jurisdictions. In addition, the department manages a contract

with the Orange County Sheriff's Department (OCSD) for Transit Police services. Under this contract, the OCSD provides security and law enforcement services for OCTA's bus operations, OCTA-owned transit and operating facilities, OCTA-owned railroad right-of-way, and security at OCTA Board meetings. The department encompasses all OCTA actions to prepare for, respond to, and recover from disasters.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Security and Emergency Preparedness			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	381,622	350,217	507,738
7209 Deferred Compensation	9,138	10,561	15,148
7210 Pensions	116,915	124,478	182,368
7220 Insurances	9,198	9,458	13,637
7240 Health Care	51,703	54,372	89,847
7260 Compensated Absences	52,331	47,352	61,986
7270 Workers' Compensation	7,536	12,755	12,523
7280 Other Benefits	541	19,130	34,206
Subtotal Salaries and Benefits	\$ 628,984	\$ 628,323	\$ 917,453
<u>Services and Supplies</u>			
7510 Professional Services	153,271	404,000	429,000
7610 Outside Services	6,675,747	7,849,466	7,978,911
7650 Travel, Training, and Mileage	13,812	10,819	14,011
7660 Office Expense	893	3,500	3,500
7670 Miscellaneous Expense	2,201	5,405	4,740
7750 Maintenance Expense	18,752	17,858	14,850
7790 Other Materials and Supplies	16,804	28,000	28,000
Subtotal Services and Supplies	\$ 6,881,480	\$ 8,319,048	\$ 8,473,012
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	90,263	0	0
Subtotal Capital Expenditure	\$ 90,263	\$ 0	\$ 0
Security and Emergency Preparedness Total	\$ 7,600,727	\$ 8,947,371	\$ 9,390,465



Finance and Administration Division Organizational Chart



Finance and Administration Division

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 (Board) in the areas of long-term financing, fund planning, annual budgeting, treasury, debt management, and compliance with generally accepted accounting standards. Staff work closely with federal,

state, and local agencies to ensure continued and successful receipt of grant funding and compliance with enabling regulations. The division is responsible for contract management, purchasing, materials management, guidance for the implementation of technology, oversight of facilities management, records management, and a variety of other support functions.



Finance and Administration

Finance and Administration Staffing

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Chief Financial Officer</u>			
Chief Financial Officer	1.00	1.00	1.00
Director	1.00	1.00	1.00
Executive Assistant	2.00	2.00	2.00
Chief Financial Officer	4.00	4.00	4.00
<u>Accounting and Financial Reporting</u>			
Accountant	4.00	4.00	4.00
Accounting Specialist	9.00	9.00	9.00
Business Systems Analyst	1.00	1.00	1.00
Department/Program Manager	1.00	1.00	1.00
Section/Department Manager	5.00	5.00	5.00
Accounting and Financial Reporting	20.00	20.00	20.00
<u>Financial Planning and Analysis</u>			
Department/Program Manager	1.00	1.00	1.00
Financial Analyst	7.00	7.00	8.00
Section/Department Manager	3.00	3.00	3.00
Financial Planning and Analysis	11.00	11.00	12.00
<u>Revenue Administration</u>			
Department/Program Manager	1.00	1.00	1.00
Financial Analyst	4.00	5.00	5.00
Section/Department Manager	2.00	2.00	2.00
Revenue Administration	7.00	8.00	8.00
<u>Contracts Administration and Materials Management</u>			
Business Systems Analyst	1.00	1.00	1.00
Business Unit Analyst	0.00	1.00	1.00
Contract Administrator	19.00	19.00	19.00
Department/Program Manager	2.00	2.00	2.00
Director	1.00	1.00	1.00
Executive Assistant	3.00	2.00	2.00
Inventory Analyst	1.00	1.00	1.00
Materials Management Planner	1.00	1.00	1.00
Section Supervisor	3.00	3.00	3.00
Section/Department Manager	5.00	5.00	5.00
Warranty Coordinator	2.00	2.00	2.00
Equipment Parts Clerk	17.00	17.00	17.00
Stockroom Clerk	2.00	2.00	2.00
Contracts Administration and Materials Management	57.00	57.00	57.00

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Finance and Administration Staffing, continued

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Information Systems</u>			
Business Computing Solutions Specialist	9.00	9.00	9.00
Data Warehouse Architect	2.00	3.00	3.00
Database Administrator	1.00	1.00	1.00
Department/Program Manager	2.00	3.00	3.00
Director	1.00	1.00	1.00
Executive Assistant	1.00	1.00	1.00
Help Desk Technician	3.00	3.00	3.00
Intranet/Multimedia Specialist	1.00	1.00	0.00
IS Project Manager	4.00	4.00	4.00
IS Security Analyst	1.00	2.00	2.00
Network Administrator	0.00	0.00	1.00
Network Analyst	1.00	1.00	1.00
Programmer Analyst	2.00	1.00	1.00
Section/Department Manager	4.00	4.00	4.00
Systems Software Analyst	5.00	4.00	3.00
Telecommunications	1.00	1.00	1.00
Transportation Analyst	1.00	0.00	0.00
Information Systems	39.00	39.00	38.00
<u>General Services</u>			
Accounting Specialist	1.00	0.00	0.00
Digital Reprographic Specialist	3.00	3.00	3.00
Executive Assistant	10.00	9.00	9.00
Pass Sales Coordinator	0.00	1.00	1.00
Records Administrator	1.00	1.00	1.00
Section Supervisor	3.00	3.00	3.00
Section/Department Manager	2.00	2.00	2.00
General Services	20.00	19.00	19.00
<u>Treasury Department</u>			
Department/Program Manager	1.00	1.00	1.00
Deputy Treasurer	1.00	1.00	1.00
Treasury Department	2.00	2.00	2.00
Total Finance and Administration	160.00	160.00	160.00



Finance and Administration

Finance and Administration Expenses by Account

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Salaries and Benefits			
7110 Salaries-Regular Employees	14,241,370	13,885,265	14,542,705
7150 Extra Help Employees	102,461	102,000	101,250
7209 Deferred Compensation	370,522	404,723	421,295
7210 Pensions	4,489,702	4,923,085	5,214,775
7220 Insurances	361,391	368,435	384,609
7240 Health Care	2,664,177	2,673,251	2,730,875
7260 Compensated Absences	1,703,840	1,872,761	1,783,813
7270 Workers' Compensation	298,836	488,427	383,862
7280 Other Benefits	1,032,735	797,087	1,020,696
Subtotal Salaries and Benefits	\$ 25,265,034	\$ 25,515,034	\$ 26,583,880
Services and Supplies			
7510 Professional Services	6,098,468	7,807,850	9,037,602
7540 Insurance Claims Expense	894	0	0
7610 Outside Services	7,017,177	7,901,175	8,890,437
7630 Advertising Fees	71,052	56,500	62,500
7640 Utilities	2,801,041	2,998,526	3,045,622
7650 Travel, Training, and Mileage	124,125	96,188	113,963
7660 Office Expense	2,865,966	1,566,072	4,359,359
7670 Miscellaneous Expense	173,000	198,653	202,652
7690 Leases	4,254,087	4,566,370	4,774,895
7750 Maintenance Expense	235,132	102,000	402,000
7790 Other Materials and Supplies	30,476	42,553	34,000
7820 Taxes	11,025	0	0
7830 Contributions to Other Agencies	10,148	13,530	13,530
Subtotal Services and Supplies	\$ 23,692,591	\$ 25,349,417	\$ 30,936,560
Capital Expenditure			
9020 Capital Expenditure-Locally Funded	3,300,948	5,785,000	2,835,775
Subtotal Capital Expenditure	\$ 3,300,948	\$ 5,785,000	\$ 2,835,775
Total Uses	\$ 52,258,573	\$ 56,649,451	\$ 60,356,215



**Chief Financial Officer,
Finance and Administration (F&A)**

The Chief Financial Officer provides general oversight and management of the division. The department is responsible for initiating division-wide policy directives and the attainment of goals and objectives. The department undertakes all F&A personnel actions and ensures compliance with personnel related policies and procedures.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Chief Financial Officer			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	610,679	550,728	592,664
7150 Extra Help Employees	405	0	0
7209 Deferred Compensation	31,330	16,608	17,680
7210 Pensions	198,584	201,495	218,749
7220 Insurances	14,902	14,874	15,920
7240 Health Care	81,339	74,750	78,972
7260 Compensated Absences	65,848	74,460	72,355
7270 Workers' Compensation	13,010	12,755	10,019
7280 Other Benefits	65,514	48,442	58,288
Subtotal Salaries and Benefits	\$ 1,081,611	\$ 994,112	\$ 1,064,647
<u>Services and Supplies</u>			
7510 Professional Services	868,713	880,000	880,000
7650 Travel, Training, and Mileage	21,404	3,624	4,702
7660 Office Expense	3,032	2,500	2,000
7670 Miscellaneous Expense	8,140	35,170	35,170
7830 Contributions to Other Agencies	10,148	13,530	13,530
Subtotal Services and Supplies	\$ 911,437	\$ 934,824	\$ 935,402
Chief Financial Officer Total	\$ 1,993,048	\$ 1,928,936	\$ 2,000,049



Finance and Administration

Accounting and Financial Reporting

The Accounting and Financial Reporting Department is responsible for general accounting, financial reporting, fixed-asset accounting, treasury accounting, accounts payable, accounts receivable, billing, and payroll functions. The department also produces annual reports and audited financial statements including

the Comprehensive Annual Financial Report, Orange County Local Transportation Authority financial statements, National Transit Database report, Cost Allocation Plan, Measure M2 financial status reports, and 91 Express Lanes financial statements.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Accounting and Financial Reporting			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,723,418	1,559,053	1,688,855
7209 Deferred Compensation	34,458	46,852	50,118
7210 Pensions	530,061	552,243	603,432
7220 Insurances	43,525	41,956	45,126
7240 Health Care	359,291	341,675	369,194
7260 Compensated Absences	184,603	210,041	205,079
7270 Workers' Compensation	35,805	63,774	50,093
7280 Other Benefits	150,326	85,057	113,376
Subtotal Salaries and Benefits	\$ 3,061,487	\$ 2,900,651	\$ 3,125,273
<u>Services and Supplies</u>			
7510 Professional Services	80,480	0	55,700
7610 Outside Services	49,150	83,400	67,900
7630 Advertising Fees	2,136	2,500	2,500
7650 Travel, Training, and Mileage	15,945	9,555	11,699
7660 Office Expense	147,346	15,590	41,480
7670 Miscellaneous Expense	9,042	10,890	11,670
Subtotal Services and Supplies	\$ 304,099	\$ 121,935	\$ 190,949
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	20,280	10,000	25,000
Subtotal Capital Expenditure	\$ 20,280	\$ 10,000	\$ 25,000
Accounting and Financial Reporting Total	\$ 3,385,866	\$ 3,032,586	\$ 3,341,222



Financial Planning and Analysis

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, and fixed-asset replacement planning. The department is also respon-

sible for conducting various fiscal studies, monitoring expenditures, reporting budget variances, overseeing bus transit contracts, and verifying budget authority for requisitions.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Financial Planning and Analysis			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	924,719	1,012,796	993,646
7150 Extra Help Employees	5,588	10,880	11,250
7209 Deferred Compensation	19,599	30,452	29,437
7210 Pensions	282,146	359,514	354,805
7220 Insurances	24,361	27,270	26,504
7240 Health Care	152,685	162,139	163,024
7260 Compensated Absences	113,316	136,527	120,452
7270 Workers' Compensation	18,980	35,076	30,056
7280 Other Benefits	55,813	55,158	66,472
Subtotal Salaries and Benefits	\$ 1,597,207	\$ 1,829,812	\$ 1,795,646
<u>Services and Supplies</u>			
7510 Professional Services	585,117	323,988	236,000
7650 Travel, Training, and Mileage	7,118	4,681	5,869
7660 Office Expense	277,237	11,809	6,440
7670 Miscellaneous Expense	423	800	575
Subtotal Services and Supplies	\$ 869,895	\$ 341,278	\$ 248,884
Financial Planning and Analysis Total	\$ 2,467,102	\$ 2,171,090	\$ 2,044,530



Finance and Administration

Revenue Administration

The Revenue Administration Department is tasked with the management and administration of all federal and state grants from the point of grant award through the close-out process. The department ensures accurate and timely receipt of all grant funds and certifies that OCTA meets all federal and state compliance require-

ments. In addition, this department is responsible for all revenue administration, including fare policy and adjustments, fare stabilization revenue, administration of the Transportation Development Act, and local sales tax revenue administration.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Revenue Administration			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	627,060	708,798	698,195
7150 Extra Help Employees	11,441	9,520	11,250
7209 Deferred Compensation	17,655	21,376	20,831
7210 Pensions	200,283	252,528	251,198
7220 Insurances	17,175	19,142	18,752
7240 Health Care	81,448	96,079	95,769
7260 Compensated Absences	92,926	95,827	85,237
7270 Workers' Compensation	13,475	25,509	20,037
7280 Other Benefits	48,341	38,716	47,039
Subtotal Salaries and Benefits	\$ 1,109,804	\$ 1,267,495	\$ 1,248,308
<u>Services and Supplies</u>			
7510 Professional Services	446,913	493,752	526,160
7610 Outside Services	301,589	427,000	429,369
7650 Travel, Training, and Mileage	6,162	6,546	7,405
7660 Office Expense	7,700	4,500	7,700
7670 Miscellaneous Expense	0	1,010	1,010
Subtotal Services and Supplies	\$ 762,364	\$ 932,808	\$ 971,644
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	363,349	0	16,400
Subtotal Capital Expenditure	\$ 363,349	\$ 0	\$ 16,400
Revenue Administration Total	\$ 2,235,517	\$ 2,200,303	\$ 2,236,352



Contracts Administration and Materials Management (CAMM)

The 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 handles all procurement activity

including the preparation of solicitation documents, conducting pre-proposal meetings, chairing vendor evaluation meetings, negotiating contract terms and conditions, and administering the contractual aspects of the project through completion.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Contracts Administration and Materials Management			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	4,458,213	4,422,683	4,591,012
7150 Extra Help Employees	60,794	61,200	57,500
7209 Deferred Compensation	120,069	120,733	125,530
7210 Pensions	1,435,642	1,564,276	1,643,462
7220 Insurances	110,793	114,114	118,293
7240 Health Care	942,948	941,720	961,218
7260 Compensated Absences	620,551	599,561	573,519
7270 Workers' Compensation	94,539	159,994	125,884
7280 Other Benefits	263,790	254,969	325,045
Subtotal Salaries and Benefits	\$ 8,107,339	\$ 8,239,250	\$ 8,521,463
<u>Services and Supplies</u>			
7510 Professional Services	221,622	283,000	398,000
7610 Outside Services	67,457	13,000	35,800
7630 Advertising Fees	68,916	54,000	60,000
7650 Travel, Training, and Mileage	849	11,889	12,360
7660 Office Expense	12,156	12,700	27,700
7670 Miscellaneous Expense	85,478	97,992	95,087
7750 Maintenance Expense	233,752	100,000	400,000
7790 Other Materials and Supplies	3,171	2,000	2,000
Subtotal Services and Supplies	\$ 693,401	\$ 574,581	\$ 1,030,947
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	0	0	144,000
Subtotal Capital Expenditure	\$ 0	\$ 0	\$ 144,000
Contracts Administration and Materials Management Total	\$ 8,800,740	\$ 8,813,831	\$ 9,696,410



Finance and Administration

Information Systems

The Information Systems Department manages the effective and secure delivery of computing and communication solutions to all OCTA business units. The department is responsible for providing reliable computing, systems and business support, business intelligence/

analytics, cybersecurity, and technology training. The department is also responsible for OCTA's Innovation Office which researches and deploys innovative ideas and technologies in the transportation industry.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Information Systems			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	4,509,603	4,354,473	4,605,632
7150 Extra Help Employees	24,233	20,400	21,250
7209 Deferred Compensation	114,584	131,163	137,252
7210 Pensions	1,424,226	1,550,610	1,656,187
7220 Insurances	114,901	117,459	123,595
7240 Health Care	711,513	710,859	687,701
7260 Compensated Absences	491,708	588,056	561,661
7270 Workers' Compensation	95,333	124,357	95,175
7280 Other Benefits	393,725	246,759	319,139
Subtotal Salaries and Benefits	\$ 7,879,826	\$ 7,844,136	\$ 8,207,592
<u>Services and Supplies</u>			
7510 Professional Services	3,872,367	5,777,110	6,871,192
7540 Insurance Claims Expense	894	0	0
7610 Outside Services	5,946,280	6,507,494	7,409,352
7640 Utilities	993,238	985,540	1,023,520
7650 Travel, Training, and Mileage	65,966	50,560	61,950
7660 Office Expense	1,104,913	689,350	3,413,625
7670 Miscellaneous Expense	3,642	2,716	2,750
7750 Maintenance Expense	1,380	2,000	2,000
7820 Taxes	11,025	0	0
Subtotal Services and Supplies	\$ 11,999,705	\$ 14,014,770	\$ 18,784,389
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	2,717,575	5,775,000	2,635,000
Subtotal Capital Expenditure	\$ 2,717,575	\$ 5,775,000	\$ 2,635,000
Information Systems Total	\$ 22,597,106	\$ 27,633,906	\$ 29,626,981



General Services

General Services provides a variety of support services to OCTA, including all matters relating to lease agreements, office renovations, furniture assignment and upkeep, and communication between property man-

agement and OCTA. In addition, the department oversees records management, mail services, reprographics, OCTA Store, and OCTA’s receptionist staff.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
General Services			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,162,053	1,083,185	1,162,948
7209 Deferred Compensation	27,503	31,702	34,189
7210 Pensions	353,317	373,625	411,603
7220 Insurances	30,435	28,392	30,785
7240 Health Care	303,879	312,134	339,185
7260 Compensated Absences	125,257	142,120	139,903
7270 Workers' Compensation	23,535	60,585	47,589
7280 Other Benefits	54,956	57,414	77,205
Subtotal Salaries and Benefits	\$ 2,080,935	\$ 2,089,157	\$ 2,243,407
<u>Services and Supplies</u>			
7510 Professional Services	808	0	550
7610 Outside Services	652,701	870,281	948,016
7640 Utilities	1,807,803	2,012,986	2,022,102
7650 Travel, Training, and Mileage	899	7,169	7,439
7660 Office Expense	1,183,792	703,923	671,714
7670 Miscellaneous Expense	16,797	14,090	15,090
7690 Leases	4,254,087	4,566,370	4,774,895
7790 Other Materials and Supplies	27,305	40,553	32,000
Subtotal Services and Supplies	\$ 7,944,192	\$ 8,215,372	\$ 8,471,806
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	199,744	0	15,375
Subtotal Capital Expenditure	\$ 199,744	\$ 0	\$ 15,375
General Services Total	\$ 10,224,871	\$ 10,304,529	\$ 10,730,588



Finance and Administration

Treasury

The Treasury Department is responsible for OCTA's 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.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Treasury Department			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	225,625	193,549	209,753
7209 Deferred Compensation	5,324	5,837	6,258
7210 Pensions	65,443	68,794	75,339
7220 Insurances	5,299	5,228	5,634
7240 Health Care	31,074	33,895	35,812
7260 Compensated Absences	9,631	26,169	25,607
7270 Workers' Compensation	4,159	6,377	5,009
7280 Other Benefits	270	10,572	14,132
Subtotal Salaries and Benefits	\$ 346,825	\$ 350,421	\$ 377,544
<u>Services and Supplies</u>			
7510 Professional Services	22,448	50,000	70,000
7650 Travel, Training, and Mileage	5,782	2,164	2,539
7660 Office Expense	129,790	125,700	188,700
7670 Miscellaneous Expense	49,478	35,985	41,300
Subtotal Services and Supplies	\$ 207,498	\$ 213,849	\$ 302,539
Treasury Department Total	\$ 554,323	\$ 564,270	\$ 680,083



Human Resources and Organizational Development Organizational Chart



Human Resources and Organizational Development Division (HR&OD)

The HR&OD Division supports OCTA's goals and objectives by contributing to the development and welfare of its employees by implementing long-term strategic planning and partnership. The HR&OD Division carries the responsibility for OCTA's functions

in relation to employment compensation and benefits, risk management, training, labor, employee relations, health, safety, environmental compliance, management services, internal communications, and organizational development.



Human Resources and Organizational Development

Human Resources and Organizational Development Staffing

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Executive Director, HR&OD</u>			
Communications Specialist	0.00	0.00	1.00
Employee Relations Representative	1.00	1.00	0.00
Executive Assistant	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
Executive Director, HR&OD	3.00	3.00	3.00
<u>Human Resources</u>			
Benefit Analyst	4.00	3.00	3.00
Business Systems Analyst	0.00	1.00	1.00
Compensation Analyst	2.00	2.00	2.00
Department/Program Manager	2.00	2.00	2.00
Employee Relations Representative	2.00	1.00	1.00
Executive Assistant	2.00	2.00	2.00
Human Resources Representative	6.00	7.00	7.00
Section Supervisor	1.00	1.00	1.00
Section/Department Manager	4.00	4.00	4.00
Talent Acquisition Specialist	2.00	2.00	2.00
Wellness Coordinator	1.00	1.00	1.00
Human Resources	26.00	26.00	26.00
<u>Learning and Development</u>			
Department/Program Manager	1.00	1.00	1.00
Executive Assistant	1.00	1.00	1.00
Learning and Development Specialist	3.00	3.00	3.00
Learning and Development	5.00	5.00	5.00
<u>Risk Management</u>			
Claims Representative	1.00	1.00	1.00
Department/Program Manager	1.00	1.00	1.00
Executive Assistant	3.00	3.00	3.00
Section/Department Manager	1.00	1.00	1.00
Worker's Compensation Program Specialist	1.00	1.00	1.00
Risk Management	7.00	7.00	7.00
<u>Safety</u>			
Department/Program Manager	2.00	2.00	2.00
Executive Assistant	1.00	1.00	1.00
Safety Specialist	6.00	6.00	6.00
Safety	9.00	9.00	9.00
Total HR&OD	50.00	50.00	50.00



Human Resources and Organizational Development Expenses by Account

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	4,401,670	4,275,701	4,715,432
7150 Extra Help Employees	70,464	179,820	237,375
7209 Deferred Compensation	113,129	128,775	140,590
7210 Pensions	1,363,457	1,536,874	1,712,630
7220 Insurances	114,512	115,308	126,599
7240 Health Care	725,863	784,444	886,537
7260 Compensated Absences	482,115	577,355	575,317
7270 Workers' Compensation	95,790	159,434	125,232
7280 Other Benefits	502,621	779,434	754,572
Subtotal Salaries and Benefits	\$ 7,869,621	\$ 8,537,145	\$ 9,274,284
<u>Services and Supplies</u>			
7510 Professional Services	918,128	1,046,432	1,402,950
7540 Insurance Claims Expense	358	0	0
7610 Outside Services	153,733	266,410	301,779
7630 Advertising Fees	53,207	130,000	150,000
7650 Travel, Training, and Mileage	84,853	57,935	72,285
7660 Office Expense	62,264	142,540	96,560
7670 Miscellaneous Expense	116,538	215,872	208,134
7790 Other Materials and Supplies	43,147	69,375	75,544
7830 Contributions to Other Agencies	0	13,470	0
Subtotal Services and Supplies	\$ 1,432,228	\$ 1,942,034	\$ 2,307,252
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	-170	45,000	0
Subtotal Capital Expenditure	\$ -170	\$ 45,000	\$ 0
Total Uses	\$ 9,301,679	\$ 10,524,179	\$ 11,581,536



Human Resources and Organizational Development

Executive Director, HR&OD

The Executive Director of HR&OD provides strategic initiatives in support of the operational, financial, and long-term functions of the HR&OD Division and OCTA. The Executive Director, in alignment with di-

rection from the Board of Directors, aligns the divisions within OCTA for talent acquisition and management, as well as workforce development, compliance with state and federal regulations, and risk mitigation.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Executive Director, HR&OD			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	395,548	340,674	380,062
7209 Deferred Compensation	11,040	10,260	11,325
7210 Pensions	91,556	124,403	139,288
7220 Insurances	9,260	9,189	10,198
7240 Health Care	30,083	26,012	27,457
7260 Compensated Absences	31,440	46,000	46,345
7270 Workers' Compensation	7,512	9,566	7,514
7280 Other Benefits	20,423	27,765	34,755
Subtotal Salaries and Benefits	\$ 596,862	\$ 593,869	\$ 656,944
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	3,137	2,896	3,401
7660 Office Expense	11,247	19,000	16,000
7670 Miscellaneous Expense	2,628	7,600	6,200
7790 Other Materials and Supplies	228	500	500
Subtotal Services and Supplies	\$ 17,240	\$ 29,996	\$ 26,101
Executive Director, HR&OD Total	\$ 614,102	\$ 623,865	\$ 683,045



Human Resources

The Human Resources Department is responsible for human resource planning, employment processes, administering employees benefits and compensation, resolving employee grievances, and overseeing labor and employee relations. Activities include performance management, employee health insurance, retirement and benefit programs, recruitment and selection, wage

administration, and job evaluations. The department is also responsible for administering three collective bargaining agreements with represented employees, facilitating resolution of workplace conflicts, and administering dispute resolution procedures for both represented and non-represented employees.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Human Resources			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	2,125,198	2,047,161	2,308,264
7150 Extra Help Employees	36,969	159,420	216,125
7209 Deferred Compensation	47,061	61,582	68,791
7210 Pensions	689,923	740,901	844,449
7220 Insurances	57,033	55,138	61,945
7240 Health Care	391,546	419,886	466,268
7260 Compensated Absences	242,999	276,107	281,496
7270 Workers' Compensation	50,224	82,906	65,121
7280 Other Benefits	340,980	548,551	483,245
Subtotal Salaries and Benefits	\$ 3,981,933	\$ 4,391,652	\$ 4,795,704
<u>Services and Supplies</u>			
7510 Professional Services	664,972	559,082	913,400
7610 Outside Services	44,489	121,410	116,779
7630 Advertising Fees	53,207	130,000	150,000
7650 Travel, Training, and Mileage	25,609	17,181	21,656
7660 Office Expense	23,632	98,740	54,800
7670 Miscellaneous Expense	44,821	84,707	84,719
7790 Other Materials and Supplies	40,233	58,175	64,344
7830 Contributions to Other Agencies	0	13,470	0
Subtotal Services and Supplies	\$ 896,963	\$ 1,082,765	\$ 1,405,698
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	-170	0	0
Subtotal Capital Expenditure	\$ -170	\$ 0	\$ 0
Human Resources Total	\$ 4,878,726	\$ 5,474,417	\$ 6,201,402



Human Resources and Organizational Development

Learning and Development

The Learning and Development Department is responsible for all learning and development activities throughout the talent management lifecycle. The department functions as an internal consultant to other divisions, providing customized training, competency assessments, professional development, and assistance

with acquiring and building training. The department also administers OCTA's Mentor and Leadership Program and the Education Reimbursement Program for OCTA staff. This department retains a strategic focus by ensuring the alignment between the strategic plan and core competencies.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Learning and Development			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	429,524	422,451	451,817
7150 Extra Help Employees	15,968	10,200	21,250
7209 Deferred Compensation	14,356	12,740	13,479
7210 Pensions	139,108	150,715	163,081
7220 Insurances	11,390	11,408	12,137
7240 Health Care	73,520	70,042	82,987
7260 Compensated Absences	67,364	57,118	55,160
7270 Workers' Compensation	9,122	15,943	12,523
7280 Other Benefits	97,740	123,076	130,440
Subtotal Salaries and Benefits	\$ 858,092	\$ 873,693	\$ 942,874
<u>Services and Supplies</u>			
7510 Professional Services	58,433	63,500	64,500
7650 Travel, Training, and Mileage	45,619	26,231	33,913
7660 Office Expense	26,569	24,800	25,760
7670 Miscellaneous Expense	16,075	22,790	16,890
Subtotal Services and Supplies	\$ 146,696	\$ 137,321	\$ 141,063
Learning and Development Total	\$ 1,004,788	\$ 1,011,014	\$ 1,083,937



Risk Management

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

coverage. Additionally, the department manages OCTA's self-insured liability, subrogation, and workers' compensation programs. This department develops and recommends strategically focused loss control programs to reduce claims losses.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Risk Management			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	638,822	586,547	635,654
7150 Extra Help Employees	2,760	0	0
7209 Deferred Compensation	23,469	17,689	18,964
7210 Pensions	196,681	208,477	228,314
7220 Insurances	15,863	15,841	17,076
7240 Health Care	114,027	117,852	127,319
7260 Compensated Absences	62,489	79,304	77,603
7270 Workers' Compensation	12,676	22,321	17,532
7280 Other Benefits	15,849	32,037	42,826
Subtotal Salaries and Benefits	\$ 1,082,636	\$ 1,080,068	\$ 1,165,288
<u>Services and Supplies</u>			
7610 Outside Services	1,790	0	40,000
7650 Travel, Training, and Mileage	1,080	4,446	4,308
7660 Office Expense	123	0	0
7670 Miscellaneous Expense	1,618	2,550	2,100
Subtotal Services and Supplies	\$ 4,611	\$ 6,996	\$ 46,408
Risk Management Total	\$ 1,087,247	\$ 1,087,064	\$ 1,211,696



Human Resources and Organizational Development

Safety

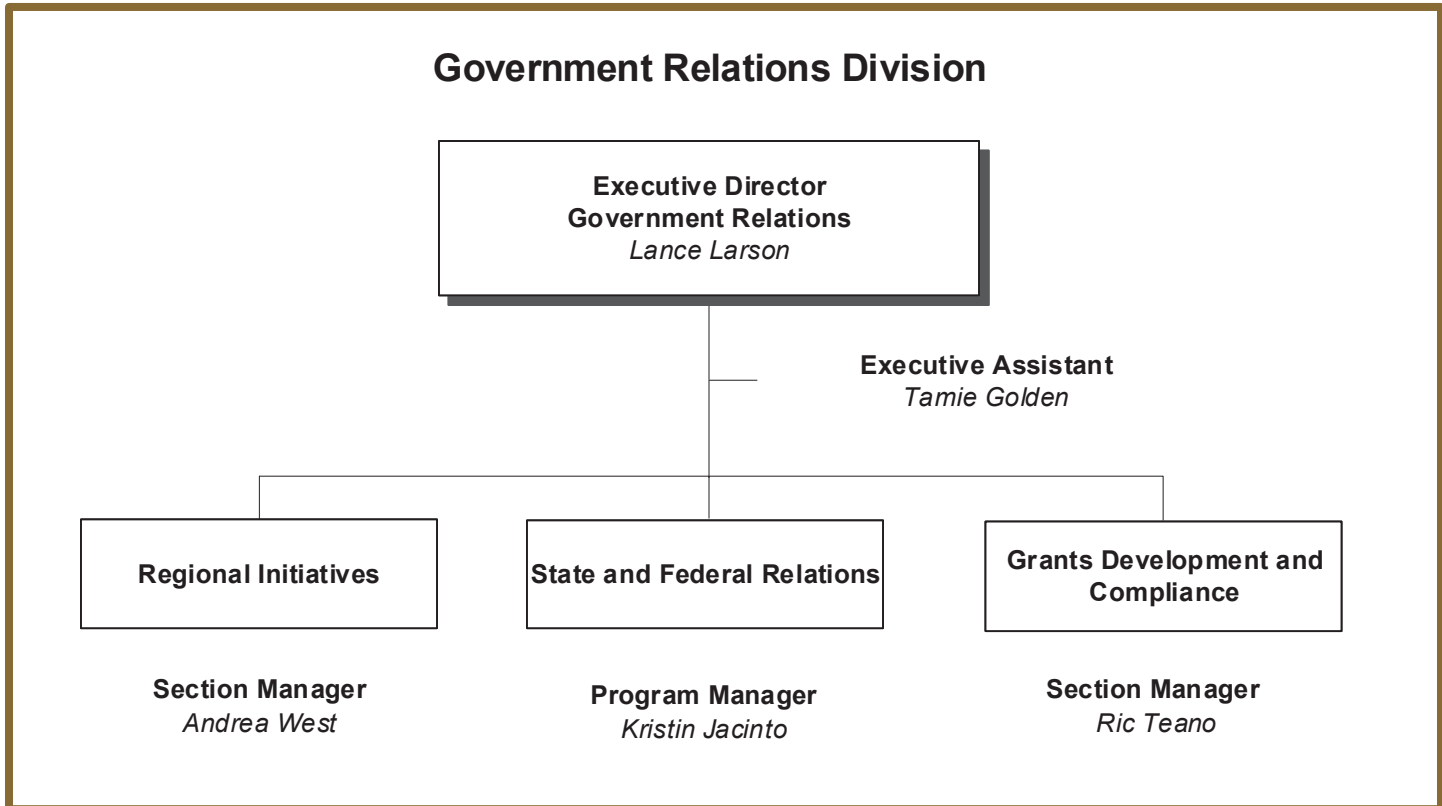
The Safety and Environmental Department is responsible for ensuring OCTA is compliant with all applicable health, safety, and environmental standards,

codes, and regulations. The department develops and implements authority-wide employee, fleet, and system safety programs.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Safety			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	812,578	878,868	939,635
7150 Extra Help Employees	14,767	10,200	0
7209 Deferred Compensation	17,203	26,504	28,031
7210 Pensions	246,189	312,378	337,498
7220 Insurances	20,966	23,732	25,243
7240 Health Care	116,687	150,652	182,506
7260 Compensated Absences	77,823	118,826	114,713
7270 Workers' Compensation	16,256	28,698	22,542
7280 Other Benefits	27,629	48,005	63,306
Subtotal Salaries and Benefits	\$ 1,350,098	\$ 1,597,863	\$ 1,713,474
<u>Services and Supplies</u>			
7510 Professional Services	194,723	423,850	425,050
7540 Insurance Claims Expense	358	0	0
7610 Outside Services	107,454	145,000	145,000
7650 Travel, Training, and Mileage	9,408	7,181	9,007
7660 Office Expense	693	0	0
7670 Miscellaneous Expense	51,396	98,225	98,225
7790 Other Materials and Supplies	2,686	10,700	10,700
Subtotal Services and Supplies	\$ 366,718	\$ 684,956	\$ 687,982
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	0	45,000	0
Subtotal Capital Expenditure	\$ 0	\$ 45,000	\$ 0
Safety Total	\$ 1,716,816	\$ 2,327,819	\$ 2,401,456



Government Relations Division Organizational Chart



Government Relations Division

The Government Relations Division serves as OCTA’s liaison with members of the California State Legislature, United States Congress, and regional elected of-

icials and representatives. In addition, the division is the agency’s focal point for state and federal compliance oversight and sub-recipient monitoring activities.

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Executive Director, Government Relations</u>			
Business Unit Analyst	1.00	1.00	1.00
Department/Program Manager	1.00	1.00	1.00
Executive Assistant	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
Government Relations Representative	3.50	3.50	3.50
Section/Department Manager	2.00	2.00	2.00
Executive Director, Government Relations	9.50	9.50	9.50
Total Government Relations	9.50	9.50	9.50



Government Relations

Executive Director, Government Relations

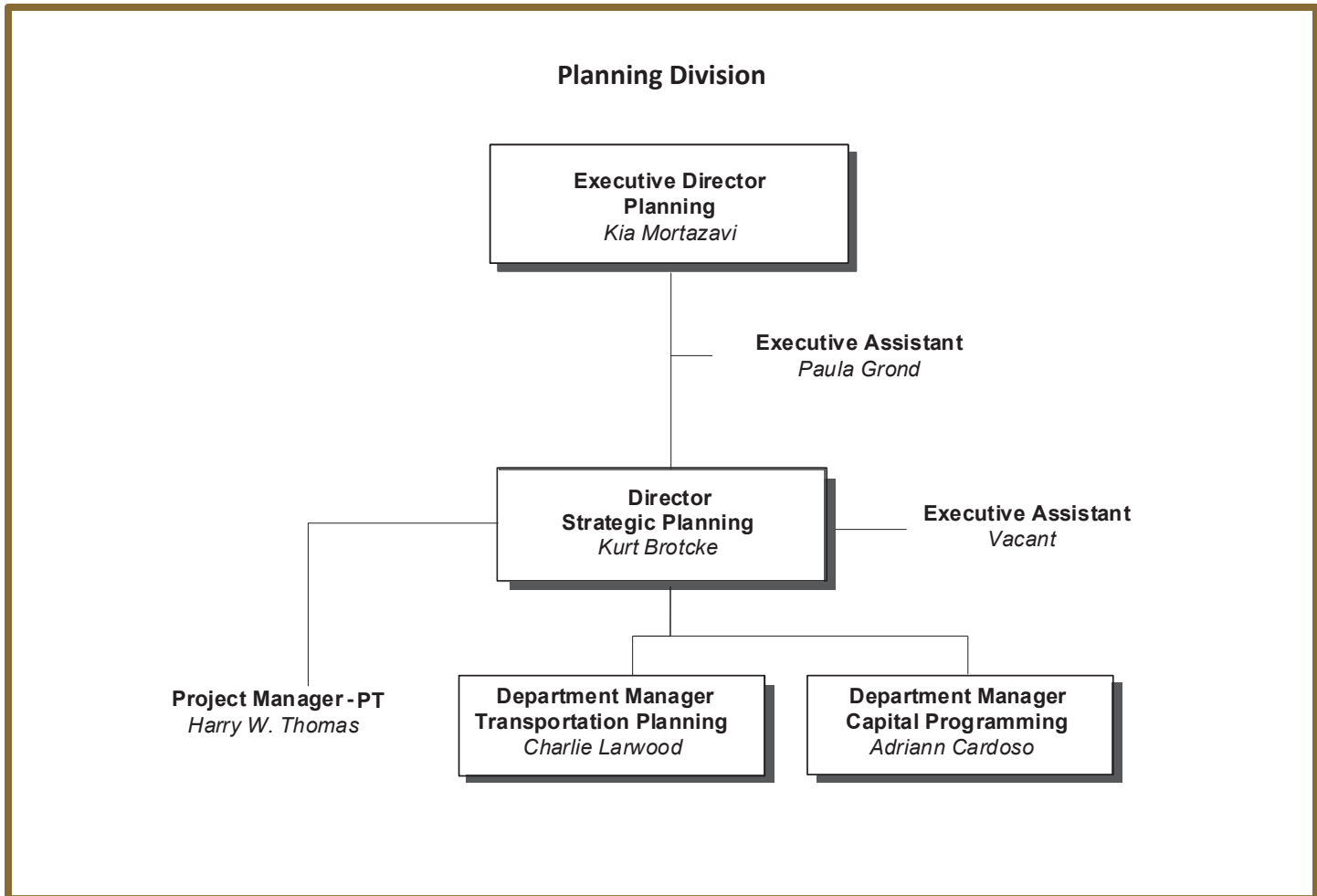
The Executive Director of Government Relations is responsible for providing overall management and strategic direction for the advocacy of all OCTA's projects, programs, and services. This includes monitoring, analyzing, and responding to government actions and decisions that affect how OCTA receives funding,

plans for projects, and delivers services. The Executive Director is responsible for providing management direction for federal, state, and regional government relations including direction for the application of external grant funding opportunities.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Executive Director, Government Relations			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	977,818	907,953	994,612
7150 Extra Help Employees	19,965	24,480	25,000
7209 Deferred Compensation	24,871	27,274	29,643
7210 Pensions	307,128	325,265	360,760
7220 Insurances	25,102	24,429	26,692
7240 Health Care	142,808	138,820	146,697
7260 Compensated Absences	104,744	122,282	121,304
7270 Workers' Compensation	20,144	30,292	25,046
7280 Other Benefits	45,259	58,584	76,120
Subtotal Salaries and Benefits	\$ 1,667,839	\$ 1,659,379	\$ 1,805,874
<u>Services and Supplies</u>			
7510 Professional Services	168,630	1,000,000	45,000
7610 Outside Services	0	500	500
7650 Travel, Training, and Mileage	34,503	35,868	44,133
7660 Office Expense	2,198	5,700	4,450
7670 Miscellaneous Expense	31,808	34,975	32,140
7790 Other Materials and Supplies	0	200	400
Subtotal Services and Supplies	\$ 237,139	\$ 1,077,243	\$ 126,623
Executive Director, Government Relations Total	\$ 1,904,978	\$ 2,736,622	\$ 1,932,497



Planning Division Organizational Chart



Planning Division

OCTA’s Planning Division is responsible for developing future transportation solutions and securing funding for transportation improvements in collaboration with local and regional transportation agencies, while ensuring adherence to Board of Directors (Board) policies and direction, Measure M2 requirements, and

compliance with state and federal mandates. The stated mission of the Planning Division is to provide planning and programming for transportation initiatives that meet the mobility needs of Orange County, consistent with the OCTA Strategic Plan.



Planning

Planning Division Staffing

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Executive Director, Planning</u>			
Department/Program Manager	1.00	1.00	1.00
Executive Assistant	1.00	1.00	1.00
Executive Director	1.00	1.00	1.00
Program Management Analyst	2.00	2.00	2.00
Executive Director, Planning	5.00	5.00	5.00
<u>Director, Strategic Planning</u>			
Director	1.00	1.00	1.00
Executive Assistant	1.00	1.00	1.00
Project Manager	1.00	1.00	1.00
Director, Strategic Planning	3.00	3.00	3.00
<u>Planning and Analysis</u>			
Department/Program Manager	3.00	3.00	3.00
GIS Analyst	2.00	2.00	2.00
Project Manager	3.00	3.00	3.00
Section/Department Manager	4.00	4.00	4.00
Strategic Plan Administrator	1.00	1.00	1.00
Transportation Analyst	9.50	9.50	10.00
Transportation Funding Analyst	1.00	1.00	1.00
Planning and Analysis	23.50	23.50	24.00
<u>Capital and Local Programs</u>			
Business Unit Analyst	1.00	1.00	1.00
Department/Program Manager	1.00	1.00	1.00
Section/Department Manager	5.00	5.00	5.00
Transportation Analyst	1.00	0.00	0.00
Transportation Funding Analyst	3.50	4.50	4.50
Capital and Local Programs	11.50	11.50	11.50
Total Planning	43.00	43.00	43.50



Planning Division Expenses by Account

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	4,557,996	4,339,278	4,730,565
7150 Extra Help Employees	98,035	96,560	108,125
7209 Deferred Compensation	146,310	130,858	141,131
7210 Pensions	1,336,341	1,588,282	1,731,369
7220 Insurances	115,882	117,193	127,080
7240 Health Care	674,109	675,429	758,288
7260 Compensated Absences	483,017	586,687	577,518
7270 Workers' Compensation	93,923	137,113	108,953
7280 Other Benefits	230,232	257,785	340,373
Subtotal Salaries and Benefits	\$ 7,735,845	\$ 7,929,185	\$ 8,623,402
<u>Services and Supplies</u>			
7510 Professional Services	2,182,670	1,759,000	8,484,000
7650 Travel, Training, and Mileage	31,224	26,934	30,934
7660 Office Expense	10,426	11,973	19,160
7670 Miscellaneous Expense	6,301	25,590	28,547
7790 Other Materials and Supplies	0	12,000	0
Subtotal Services and Supplies	\$ 2,230,621	\$ 1,835,497	\$ 8,562,641
Total Uses	\$ 9,966,466	\$ 9,764,682	\$ 17,186,043



Planning

Executive Director, Planning

The Executive Director of Planning sets the division's direction and leads the planning, programming, and program management efforts, as well as coordinates supporting activities with other OCTA divisions and external parties.

The Program Management Office (PMO) ensures seamless and effective interdivisional communications of the M2 Transportation Investment Plan and Ordinance No. 3. The PMO leads the implementation of safeguard

measures called for in Ordinance No. 3, including the preparation of quarterly reports to the Board, Triennial Performance Assessments, and Ten-Year Comprehensive reviews. While multiple organizational units within OCTA carry out the various activities related to M2 including finance, delivery, and accountability, the PMO is charged with the responsibility to assess, facilitate, and provide direction as needed to ensure OCTA is successful in meeting the expectations of the public.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Executive Director, Planning			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	634,845	591,380	584,959
7150 Extra Help Employees	10,490	12,240	11,250
7209 Deferred Compensation	25,565	17,834	17,451
7210 Pensions	162,986	228,029	213,465
7220 Insurances	16,046	15,973	15,715
7240 Health Care	74,444	74,280	72,973
7260 Compensated Absences	55,910	79,956	71,413
7270 Workers' Compensation	13,456	15,943	12,523
7280 Other Benefits	62,726	41,482	48,591
Subtotal Salaries and Benefits	\$ 1,056,468	\$ 1,077,117	\$ 1,048,340
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	1,310	651	741
7670 Miscellaneous Expense	0	5,000	6,500
Subtotal Services and Supplies	\$ 1,310	\$ 5,651	\$ 7,241
Executive Director, Planning Total	\$ 1,057,778	\$ 1,082,768	\$ 1,055,581



Director, Strategic Planning

Strategic Planning identifies and recommends funding for the implementation of new major projects and programs in conjunction with external transit agencies, transit advocacy, bikeway and pedestrian stakeholders, and local jurisdictions. In addition to planning for freeways, streets and roads, transit, bikeways, and environmental initiatives, this department provides

analytic support for the overall agency. It also recommends the long-range vision for mobility in Orange County. Finally, the department recommends direction and monitors the implementation of the OCTA Strategic Plan, as well as supports the development and implementation of Board Chairman Initiatives, CEO Initiatives, and the Action Plan.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Director, Strategic Planning			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	361,992	322,029	344,658
7209 Deferred Compensation	17,271	9,711	10,283
7210 Pensions	65,284	138,169	149,050
7220 Insurances	9,076	8,698	9,258
7240 Health Care	48,616	50,384	52,855
7260 Compensated Absences	39,525	43,540	42,076
7270 Workers' Compensation	7,410	9,566	7,514
7280 Other Benefits	20,969	26,770	32,400
Subtotal Salaries and Benefits	\$ 570,143	\$ 608,867	\$ 648,094
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	989	2,621	3,394
7660 Office Expense	7,275	10,473	8,660
7670 Miscellaneous Expense	657	600	500
Subtotal Services and Supplies	\$ 8,921	\$ 13,694	\$ 12,554
Director, Strategic Planning Total	\$ 579,064	\$ 622,561	\$ 660,648



Planning

Planning and Analysis

Planning and Analysis is responsible for the long-range regional transportation planning efforts, developing transportation project concepts, plans, and strategies for near-term transit service improvements. In addition, in support of non-motorized transportation, the department conducts regional bikeway and pedestrian studies. The department leads the implemen-

tation of the M2 Freeway Environmental Mitigation Program and Environmental Cleanup Program. Planning and Analysis is also responsible for implementing multi-jurisdictional regional traffic signal synchronization projects and employs information technology to deliver analytical maps and information products by way of the geographic information system.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Planning and Analysis			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	2,489,698	2,406,242	2,650,610
7150 Extra Help Employees	55,178	59,840	60,625
7209 Deferred Compensation	73,952	72,565	79,077
7210 Pensions	777,749	858,327	954,317
7220 Insurances	63,007	64,984	71,205
7240 Health Care	369,510	369,981	415,499
7260 Compensated Absences	267,429	325,335	323,594
7270 Workers' Compensation	51,117	74,934	60,112
7280 Other Benefits	116,112	133,836	181,881
Subtotal Salaries and Benefits	\$ 4,263,752	\$ 4,366,044	\$ 4,796,920
<u>Services and Supplies</u>			
7510 Professional Services	2,182,670	1,759,000	8,484,000
7650 Travel, Training, and Mileage	11,536	9,912	11,585
7660 Office Expense	3,151	0	0
7670 Miscellaneous Expense	3,791	13,575	14,877
7790 Other Materials and Supplies	0	12,000	0
Subtotal Services and Supplies	\$ 2,201,148	\$ 1,794,487	\$ 8,510,462
Planning and Analysis Total	\$ 6,464,900	\$ 6,160,531	\$ 13,307,382



Capital and Local Programs

Capital and Local Programs is responsible for the funding of local, state, and federal programs by identifying, pursuing, and securing new state and federal funds. The department develops, implements, and administers the M2 Grant Programs for streets and roads, transit extensions to Metrolink, community-based transit/

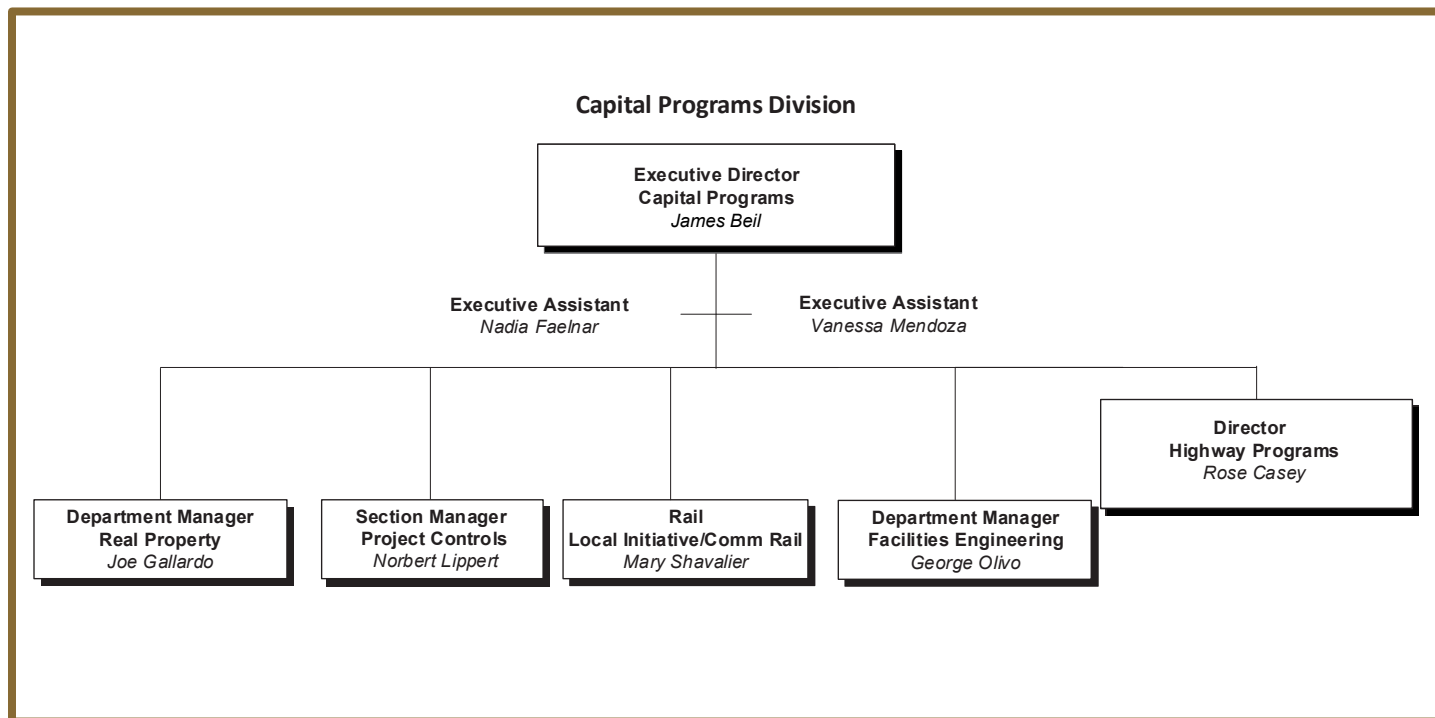
circulators, transit stop amenities, and assists in the administration of water quality grants. In addition, it is responsible for ensuring that local jurisdictions meet eligibility requirements for M2 funding as required by Ordinance No. 3.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Capital and Local Programs			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,071,461	1,019,627	1,150,338
7150 Extra Help Employees	32,367	24,480	36,250
7209 Deferred Compensation	29,522	30,748	34,320
7210 Pensions	330,322	363,757	414,537
7220 Insurances	27,753	27,538	30,902
7240 Health Care	181,539	180,784	216,961
7260 Compensated Absences	120,153	137,856	140,435
7270 Workers' Compensation	21,940	36,670	28,804
7280 Other Benefits	30,425	55,697	77,501
Subtotal Salaries and Benefits	\$ 1,845,482	\$ 1,877,157	\$ 2,130,048
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	17,389	13,750	15,214
7660 Office Expense	0	1,500	10,500
7670 Miscellaneous Expense	1,853	6,415	6,670
Subtotal Services and Supplies	\$ 19,242	\$ 21,665	\$ 32,384
Capital and Local Programs Total	\$ 1,864,724	\$ 1,898,822	\$ 2,162,432



Capital Programs

Capital Programs Division Organizational Chart



Capital Programs Division

The Capital Programs Division is responsible for implementing OCTA's highway projects, railroad grade separation projects, rail capital improvement projects, bus and transit facility improvements, and real estate services. The program of projects managed by the division includes Measure M2 (M2) and other state and federal funded projects. The division is responsible for

project development activities from the initial preliminary engineering and environmental phase through construction completion. In addition to developing a variety of capital improvement projects, the division is also responsible for OCTA-owned transit and rail right-of-way management and leasing.



Capital Programs Division Staffing

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Executive Director, Capital Programs</u>			
Civil Engineer	2.00	1.00	1.00
Department/Program Manager	3.00	3.00	3.00
Executive Assistant	1.00	2.00	2.00
Executive Director	1.00	1.00	1.00
Project Controls Analyst	4.00	4.00	4.00
Project Manager	1.00	2.00	2.00
Real Property Agent	6.00	6.00	6.00
Executive Director, Capital Programs	18.00	19.00	19.00
<u>Rail</u>			
Department/Program Manager	2.00	2.00	2.00
Executive Assistant	1.00	0.00	0.00
Project Manager	2.00	2.00	2.00
Rail	5.00	4.00	4.00
<u>Highway Project Delivery</u>			
Department/Program Manager	4.00	4.00	4.00
Director	1.00	1.00	1.00
Executive Assistant	2.00	2.00	2.00
Project Manager	4.00	4.00	4.00
Highway Project Delivery	11.00	11.00	11.00
Total Capital Programs	34.00	34.00	34.00



Capital Programs

Capital Programs Division Expenses by Account

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	4,043,120	3,924,875	4,207,160
7150 Extra Help Employees	27,331	63,240	31,875
7209 Deferred Compensation	126,755	118,302	125,453
7210 Pensions	1,259,486	1,403,437	1,517,478
7220 Insurances	99,546	105,941	112,973
7240 Health Care	548,574	539,575	587,951
7260 Compensated Absences	432,311	530,379	513,383
7270 Workers' Compensation	82,424	108,415	85,158
7280 Other Benefits	204,104	232,640	301,671
Subtotal Salaries and Benefits	\$ 6,823,651	\$ 7,026,804	\$ 7,483,102
<u>Services and Supplies</u>			
7510 Professional Services	581,918	705,000	1,055,000
7610 Outside Services	1,052,481	1,210,000	1,450,000
7630 Advertising Fees	1,375	2,000	2,000
7650 Travel, Training, and Mileage	27,376	21,889	25,945
7660 Office Expense	10,397	27,700	27,398
7670 Miscellaneous Expense	9,988	16,950	11,234
7690 Leases	83,845	104,600	90,000
Subtotal Services and Supplies	\$ 1,767,380	\$ 2,088,139	\$ 2,661,577
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	4,322,154	3,625,000	5,129,000
Subtotal Capital Expenditure	\$ 4,322,154	\$ 3,625,000	\$ 5,129,000
Total Uses	\$ 12,913,185	\$ 12,739,943	\$ 15,273,679



Executive Director, Capital Programs

The Executive Director of Capital Programs has the responsibility of ensuring that OCTA's highway and rail improvements are delivered in agreement with Board direction. The Capital Programs Division is organized around two functional areas to carry out its responsibilities and Capital Program's critical tasks through Project Controls and Real Property. Project Controls

acts as an essential support function to the Highway Programs Department by developing schedules and establishing budgets for the various capital improvement projects. Real Property handles OCTA's right-of-way and real property activity, including real estate appraisal and right-of-way acquisition, relocation assistance, and property leases.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Executive Director, Capital Programs			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	2,075,842	1,980,309	2,110,514
7150 Extra Help Employees	17,797	40,800	31,875
7209 Deferred Compensation	58,852	59,662	62,903
7210 Pensions	648,853	708,165	761,469
7220 Insurances	51,585	53,425	56,644
7240 Health Care	296,619	294,112	298,791
7260 Compensated Absences	227,401	267,467	257,417
7270 Workers' Compensation	43,077	60,585	47,588
7280 Other Benefits	137,809	117,243	151,233
Subtotal Salaries and Benefits	\$ 3,557,835	\$ 3,581,768	\$ 3,778,434
<u>Services and Supplies</u>			
7510 Professional Services	581,918	705,000	1,055,000
7610 Outside Services	1,052,481	1,210,000	1,450,000
7630 Advertising Fees	1,375	2,000	2,000
7650 Travel, Training, and Mileage	9,087	9,934	10,791
7660 Office Expense	3,850	19,700	19,200
7670 Miscellaneous Expense	3,163	7,111	6,065
7690 Leases	83,845	104,600	90,000
Subtotal Services and Supplies	\$ 1,735,719	\$ 2,058,345	\$ 2,633,056
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	4,322,154	3,625,000	5,129,000
Subtotal Capital Expenditure	\$ 4,322,154	\$ 3,625,000	\$ 5,129,000
Executive Director, Capital Programs Total	\$ 9,615,708	\$ 9,265,113	\$ 11,540,490



Capital Programs

Rail

The Rail Department is primarily responsible for sustaining, improving, and expanding Orange County's rail system by providing rail and transit facilities and upgrades that support and match the growth and development patterns of the county and region. In addition, the department is responsible for many complementary transit projects and programs such as the development and implementation of an efficient rail

transit system using OCTA owned railroad right-of-way in Orange County. These responsibilities include sustaining local transit connectors, developing grade separations and grade crossing safety improvements, which allow local agencies to establish railroad quiet zones, and constructing key rail stations and gateways to regional rail.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Rail			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	456,346	527,540	553,853
7150 Extra Help Employees	3,602	0	0
7209 Deferred Compensation	12,737	15,909	16,523
7210 Pensions	132,955	187,504	198,933
7220 Insurances	12,040	14,245	14,882
7240 Health Care	48,255	55,070	45,421
7260 Compensated Absences	53,404	71,326	67,617
7270 Workers' Compensation	9,044	12,755	10,019
7280 Other Benefits	5,887	28,815	37,315
Subtotal Salaries and Benefits	\$ 734,270	\$ 913,164	\$ 944,563
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	9,378	7,686	9,938
7660 Office Expense	2,648	3,000	3,198
7670 Miscellaneous Expense	5,068	6,250	1,710
Subtotal Services and Supplies	\$ 17,094	\$ 16,936	\$ 14,846
Rail Total	\$ 751,364	\$ 930,100	\$ 959,409



Highway Project Delivery

Highway Project Delivery ensures freeway and highway improvement projects that OCTA has promised to Orange County residents are built. The department is responsible for managing the implementation of freeway and highway projects in the M2 Program of

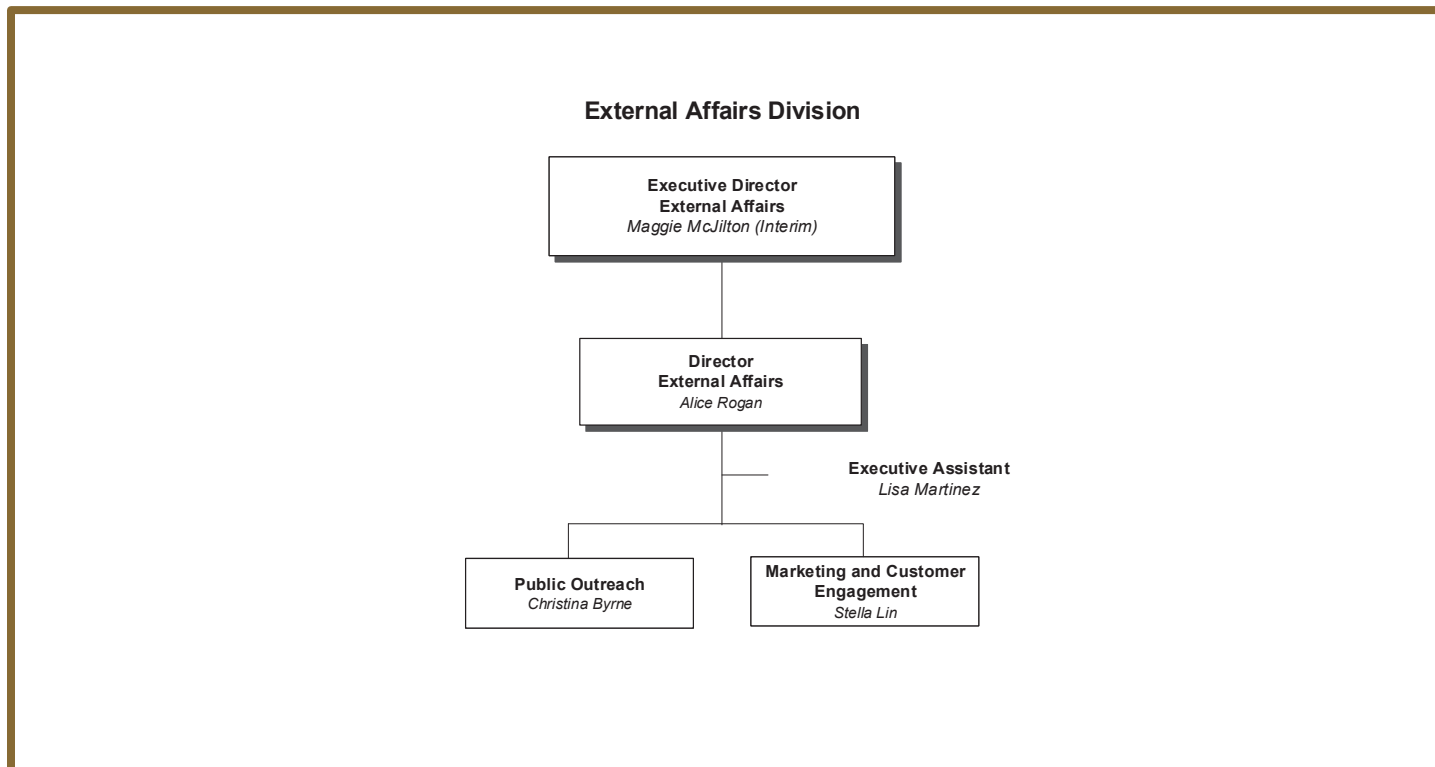
projects within Orange County. The program of projects also includes other major construction projects deemed to be regionally significant. The department also manages the implementation of individual projects within the program of projects.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Highway Project Delivery			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,510,932	1,417,026	1,542,793
7150 Extra Help Employees	5,932	22,440	0
7209 Deferred Compensation	55,166	42,731	46,027
7210 Pensions	477,678	507,768	557,076
7220 Insurances	35,921	38,271	41,447
7240 Health Care	203,700	190,393	243,739
7260 Compensated Absences	151,506	191,586	188,349
7270 Workers' Compensation	30,303	35,075	27,551
7280 Other Benefits	60,408	86,582	113,123
Subtotal Salaries and Benefits	\$ 2,531,546	\$ 2,531,872	\$ 2,760,105
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	8,911	4,269	5,216
7660 Office Expense	3,899	5,000	5,000
7670 Miscellaneous Expense	1,757	3,589	3,459
Subtotal Services and Supplies	\$ 14,567	\$ 12,858	\$ 13,675
Highway Project Delivery Total	\$ 2,546,113	\$ 2,544,730	\$ 2,773,780



External Affairs

External Affairs Division Organizational Chart



External Affairs Division

The External Affairs Division is responsible for providing overall management and strategic direction for the promotion, outreach, and customer engagement for all OCTA's projects, programs, and services. This includes oversight of all customer facing programs of public or promotional outreach.



External Affairs Division Staffing

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Director, Marketing and Public Outreach</u>			
Director	1.00	1.00	1.00
Executive Assistant	1.00	1.00	1.00
Director, Marketing and Public Outreach	2.00	2.00	2.00
<u>Marketing and Customer Engagement</u>			
Creative Services Specialist	2.00	2.00	2.00
Customer Relations Representative	2.00	2.00	3.00
Department/Program Manager	1.00	1.00	1.00
External Affairs Administrator	1.00	1.00	0.00
Marketing Specialist	9.00	9.00	9.00
Section/Department Manager	4.00	4.00	4.00
Social Media Manager	0.00	0.00	1.00
Web Developer	2.00	2.00	1.00
Marketing and Customer Engagement	21.00	21.00	21.00
<u>Public Outreach</u>			
Community Relations Specialist	9.00	9.00	9.00
Department/Program Manager	1.00	1.00	1.00
Government Relations Representative	1.00	0.00	0.00
Section/Department Manager	1.00	2.00	2.00
Public Outreach	12.00	12.00	12.00
Total External Affairs	35.00	35.00	35.00



External Affairs

External Affairs Division Expenses by Account

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Salaries and Benefits			
7110 Salaries-Regular Employees	2,977,045	2,935,871	3,180,102
7150 Extra Help Employees	69,865	102,000	80,000
7209 Deferred Compensation	80,840	87,555	94,107
7210 Pensions	941,212	1,038,875	1,138,849
7220 Insurances	77,570	78,415	84,739
7240 Health Care	550,789	579,809	628,173
7260 Compensated Absences	383,159	392,545	385,096
7270 Workers' Compensation	61,868	111,604	87,663
7280 Other Benefits	127,239	167,769	221,697
Subtotal Salaries and Benefits	\$ 5,269,587	\$ 5,494,443	\$ 5,900,426
Services and Supplies			
7510 Professional Services	2,588,512	3,005,880	2,961,380
7610 Outside Services	78,051	70,100	74,600
7630 Advertising Fees	62,448	155,000	175,000
7650 Travel, Training, and Mileage	12,323	16,044	17,932
7660 Office Expense	309,690	70,000	64,500
7670 Miscellaneous Expense	12,488	24,065	25,265
7790 Other Materials and Supplies	3,549	7,000	7,000
7830 Contributions to Other Agencies	23,619	30,000	30,000
Subtotal Services and Supplies	\$ 3,090,680	\$ 3,378,089	\$ 3,355,677
Total Uses	\$ 8,360,267	\$ 8,872,532	\$ 9,256,103



Director, Marketing and Public Outreach

The Director of Marketing and Public Outreach oversees public outreach, diverse communities’ outreach, and marketing activities in support of all phases of capital project development, planning, and construction to support OCTA’s projects, programs, and services. The director also oversees coordination of OC-

TA’s public committees. The director establishes and provides oversight to programs that create awareness to promote usage of OCTA services including Bus and Rail Transit, 91 Express Lanes, and local community services.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Director, Marketing and Public Outreach			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	254,916	232,665	250,103
7209 Deferred Compensation	11,479	6,911	7,410
7210 Pensions	84,399	84,327	92,142
7220 Insurances	6,286	6,190	6,671
7240 Health Care	42,944	39,931	42,184
7260 Compensated Absences	33,644	30,984	30,321
7270 Workers' Compensation	5,451	6,377	5,009
7280 Other Benefits	20,936	21,698	25,913
Subtotal Salaries and Benefits	\$ 460,055	\$ 429,083	\$ 459,753
<u>Services and Supplies</u>			
7510 Professional Services	260	60,000	20,000
7610 Outside Services	46	0	0
7650 Travel, Training, and Mileage	1,371	481	555
7660 Office Expense	10,644	16,000	11,000
7670 Miscellaneous Expense	2,008	5,095	5,095
Subtotal Services and Supplies	\$ 14,329	\$ 81,576	\$ 36,650
Director, Marketing and Public Outreach Total	\$ 474,384	\$ 510,659	\$ 496,403



External Affairs

Marketing and Customer Engagement

Marketing and Customer Engagement is OCTA's promotions and customer relations group. The department is responsible for providing customer feedback for OCTA bus, rail transit, and ACCESS paratransit services. The department oversees the operation of the customer information center, assisting customers with trip planning and general information to transit riders seven days a week, 365 days a year. Staff gather customer feedback through customer roundtables and the

Special Needs in Transit Advisory Committee. Staff also provides technical expertise and tools to support communication and marketing goals as well as produce public information materials in support of OCTA's internal and service communication programs. In addition, staff administer OCTA's rideshare and van-pool programs, promote usage including Bus and Rail Transit, and 91 Express Lanes.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Marketing and Customer Engagement			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,628,815	1,687,729	1,827,403
7150 Extra Help Employees	26,706	44,880	46,250
7209 Deferred Compensation	42,708	50,140	53,922
7210 Pensions	510,849	593,011	650,917
7220 Insurances	42,889	44,905	48,553
7240 Health Care	286,573	317,358	348,860
7260 Compensated Absences	213,886	224,810	220,658
7270 Workers' Compensation	33,780	66,963	52,598
7280 Other Benefits	77,292	90,821	121,769
Subtotal Salaries and Benefits	\$ 2,863,498	\$ 3,120,617	\$ 3,370,930
<u>Services and Supplies</u>			
7510 Professional Services	2,466,502	2,620,880	2,447,880
7610 Outside Services	72,160	34,600	64,600
7630 Advertising Fees	62,448	155,000	155,000
7650 Travel, Training, and Mileage	7,084	8,977	10,666
7660 Office Expense	105,546	54,000	53,500
7670 Miscellaneous Expense	2,030	7,965	6,965
7790 Other Materials and Supplies	3,549	7,000	7,000
7830 Contributions to Other Agencies	23,619	30,000	30,000
Subtotal Services and Supplies	\$ 2,742,938	\$ 2,918,422	\$ 2,775,611
Marketing and Customer Engagement Total	\$ 5,606,436	\$ 6,039,039	\$ 6,146,541



Public Outreach

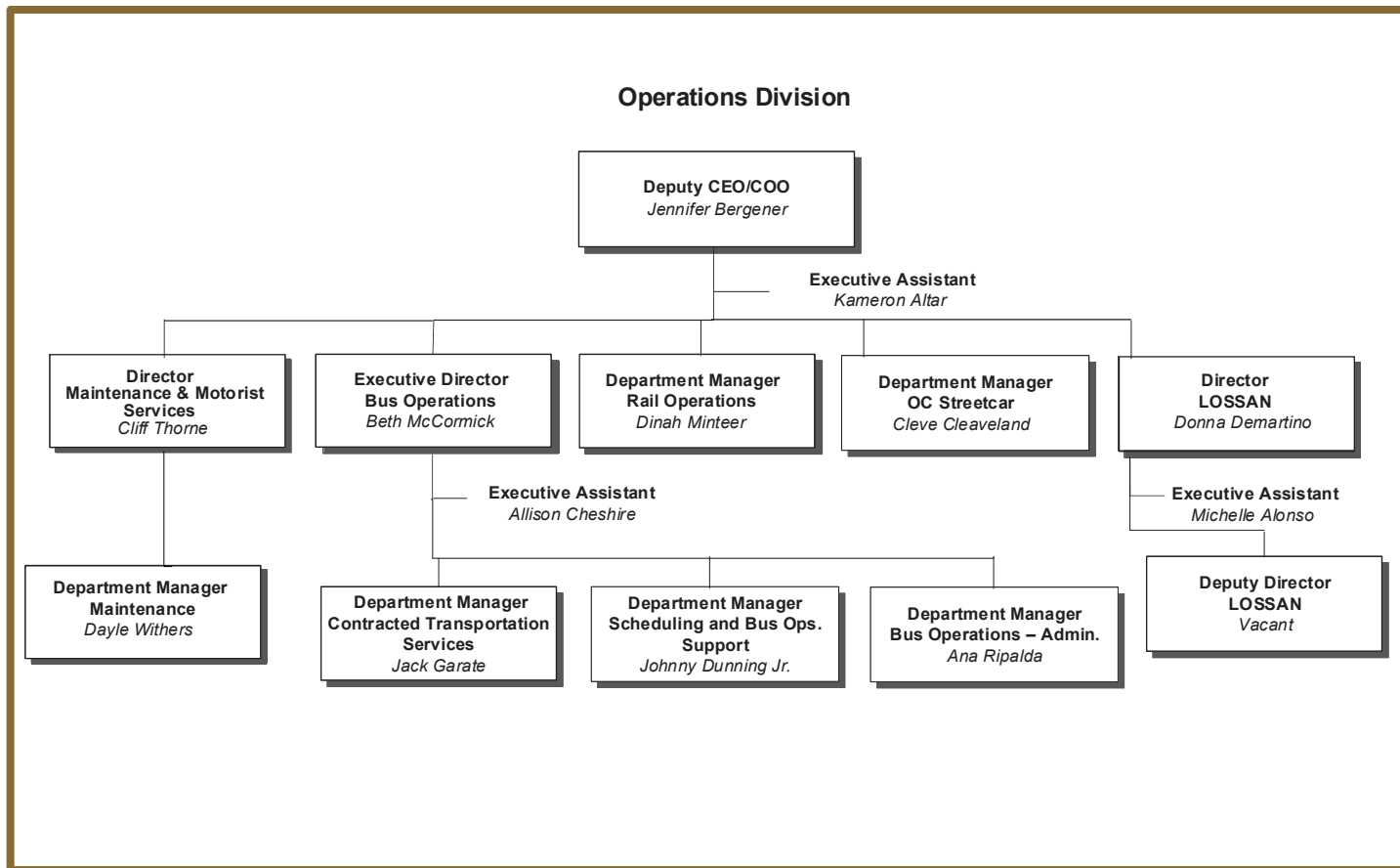
Public Outreach focuses on public communications in support of all phases of capital project development, planning, and construction for OCTA’s projects, programs, and services. The department implements public outreach and involvement programs to inform any affected parties and advance the development of transportation projects. Working with stakeholders, Public Outreach ensures that the planning and environmen-

tal review process reflects a diverse range of positions, opinions, and concerns. In addition, outreach staff inform the public about upcoming construction activities and help to mitigate construction impacts. Staff in the department also assist other departments and divisions to communicate effectively to the diverse stakeholder audiences and customers of OCTA’s projects, programs, and services.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Public Outreach			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,093,314	1,015,477	1,102,596
7150 Extra Help Employees	43,159	57,120	33,750
7209 Deferred Compensation	26,653	30,504	32,775
7210 Pensions	345,964	361,537	395,790
7220 Insurances	28,395	27,320	29,515
7240 Health Care	221,272	222,520	237,129
7260 Compensated Absences	135,629	136,751	134,117
7270 Workers' Compensation	22,637	38,264	30,056
7280 Other Benefits	29,011	55,250	74,015
Subtotal Salaries and Benefits	\$ 1,946,034	\$ 1,944,743	\$ 2,069,743
<u>Services and Supplies</u>			
7510 Professional Services	121,750	325,000	493,500
7610 Outside Services	5,845	35,500	10,000
7630 Advertising Fees	0	0	20,000
7650 Travel, Training, and Mileage	3,868	6,586	6,711
7660 Office Expense	193,500	0	0
7670 Miscellaneous Expense	8,450	11,005	13,205
Subtotal Services and Supplies	\$ 333,413	\$ 378,091	\$ 543,416
Public Outreach Total	\$ 2,279,447	\$ 2,322,834	\$ 2,613,159



Operations Division Organizational Chart



Operations Division

The Operations Division is one of OCTA’s core business units delivering fixed-route and paratransit bus services and motorist services for the citizens and visitors of Orange County. Fixed-route service includes local fixed-route, community fixed-route, express, Stationlink (rail feeder), and special shuttle services. Paratransit bus services consist of OC ACCESS service, the complementary paratransit service required by the Americans with Disabilities Act (ADA), and alternative programs providing service to seniors and persons with disabilities. Motorist Services include the Service Authority for Freeway Emergencies (SAFE) and Lost and Found. The Operations Division is responsible for the implementation, monitoring, and performance of all of transit and motorist services. To accomplish this mission, performance metrics that measure system safety, courtesy, and reliability are closely monitored.

Among the services provided, the Operations Division also includes Rail Operations, OC Streetcar, and LOSSAN Rail Corridor Agency. Rail Operations is primarily responsible for sustaining, improving, and expanding operations of Orange County’s rail system by providing coordinated Metrolink rail service. OC Streetcar is responsible for the development of a modern streetcar line that connects the Santa Ana Regional Transportation Center (SARTC) to downtown Santa Ana and a new transportation hub near the intersection of Harbor Boulevard and Westminster Avenue in Garden Grove. The LOSSAN Rail Corridor Agency is a Joint Powers Authority originally formed in 1989 that works to increase ridership, revenue, capacity, reliability, coordination and safety on the rail corridor between San Diego, Los Angeles, and San Luis Obispo.



Operations Division Staffing

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Chief Operating Officer</u>			
Chief Operating Officer	1.00	1.00	1.00
Project Manager	2.00	2.00	2.00
Chief Operating Officer	3.00	3.00	3.00
<u>Executive Director, Bus Operations</u>			
Executive Assistant	2.00	2.00	2.00
Executive Director	1.00	1.00	1.00
Executive Director, Bus Operations	3.00	3.00	3.00
<u>Motorist Services</u>			
Business Unit Analyst	1.00	1.00	1.00
Code Administrator	2.00	2.00	0.00
Department/Program Manager	1.00	1.00	1.00
Director	1.00	1.00	1.00
Executive Assistant	2.50	2.50	4.50
Motorist Services	7.50	7.50	7.50
<u>Bus Operations</u>			
Base Manager	2.00	2.00	2.00
Bus Operations Supervisor	44.00	44.00	44.00
Coach Operator	634.00	634.00	600.00
Department/Program Manager	1.00	1.00	1.00
Executive Assistant	6.50	6.50	6.50
Section Supervisor	8.00	8.00	8.00
Section/Department Manager	4.00	4.00	4.00
Bus Operations	699.50	699.50	665.50
<u>Contract Transportation Services</u>			
Business Unit Analyst	1.00	2.00	2.00
Community Transportation Coordinator	1.00	1.00	1.00
Department/Program Manager	2.00	2.00	2.00
Executive Assistant	2.50	1.50	1.50
Maintenance Field Administrator	3.00	3.00	3.00
Program Management Analyst	1.00	1.00	1.00
Section/Department Manager	7.00	7.00	7.00
Contract Transportation Services	17.50	17.50	17.50

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Operations

Operations Division Staffing, continued

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>Maintenance</u>			
Base Manager	3.00	3.00	3.00
Business Unit Analyst	1.00	1.00	1.00
Department/Program Manager	1.00	1.00	1.00
Executive Assistant	4.50	4.50	4.50
Facilities Maintenance Supervisor	2.00	2.00	3.00
Fleet Analyst	5.00	5.00	5.00
Maintenance Instructor	2.00	2.00	2.00
Maintenance Planner	1.00	1.00	1.00
Maintenance Supervisor	16.00	16.00	16.00
Mechanic	107.00	107.00	101.00
Section/Department Manager	7.00	7.00	7.00
Electronic Technician	14.00	14.00	13.00
Facilities Technician	18.00	18.00	19.00
Machinist	2.00	2.00	2.00
Service Worker	40.00	40.00	37.00
Maintenance	223.50	223.50	215.50
<u>Scheduling and Bus Operations Support</u>			
Department/Program Manager	1.00	1.00	1.00
Executive Assistant	1.00	1.00	1.00
Schedule Checker/Analyst	5.00	5.00	5.00
Section Supervisor	1.00	1.00	1.00
Section/Department Manager	2.00	2.00	3.00
Stops & Zones Analyst	1.00	1.00	1.00
Stops & Zones Planner	1.00	1.00	1.00
Scheduling and Bus Operations Support	12.00	12.00	13.00
<u>Rail Operations</u>			
Department/Program Manager	1.00	1.00	1.00
Rail Maintenance-of-Way Administrator	1.00	0.00	1.00
Section/Department Manager	1.00	2.00	2.00
Transportation Modeling Analyst	1.00	1.00	1.00
Rail Operations	4.00	4.00	5.00
<u>OC Streetcar</u>			
Department/Program Manager	1.00	1.00	1.00
Section/Department Manager	0.00	0.00	1.00
OC Streetcar	1.00	1.00	2.00

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Operations Division Staffing, continued

Division Staffing by Department - Job Family	FY 2019-20 Budget	FY 2020-21 Budget	FY 2021-22 Budget
<u>LOSSAN Staff Administration</u>			
Accountant	1.00	1.00	2.00
Department/Program Manager	1.00	2.00	1.00
Deputy Director	1.00	0.00	1.00
Director	1.00	1.00	1.00
Executive Assistant	1.00	1.00	1.00
Marketing Specialist	3.00	3.00	3.00
Project Manager	0.00	0.00	1.00
Safety Specialist	1.00	1.00	1.00
Section/Department Manager	4.00	4.00	5.00
Transportation Analyst	1.00	1.00	1.00
Transportation Funding Analyst	0.00	0.00	1.00
LOSSAN Staff Administration	14.00	14.00	18.00
Total Operations	985.00	985.00	950.00



Operations

Operations Division Expenses by Account

Description	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	58,170,305	59,380,128	58,874,512
7150 Extra Help Employees	995,972	1,030,035	947,935
7209 Deferred Compensation	1,087,169	1,230,250	1,200,289
7210 Pensions	19,874,342	21,638,700	22,467,373
7220 Insurances	1,347,057	1,481,662	1,490,723
7240 Health Care	15,270,086	15,661,757	15,744,099
7260 Compensated Absences	7,805,485	8,458,774	8,439,780
7270 Workers' Compensation	5,127,222	7,978,304	6,688,561
7280 Other Benefits	1,817,858	2,305,058	3,052,025
Subtotal Salaries and Benefits	\$ 111,495,496	\$ 119,164,668	\$ 118,905,297
<u>Services and Supplies</u>			
7310 Contract Transportation	81,942,938	77,740,303	87,218,527
7510 Professional Services	1,204,660	2,886,419	2,125,330
7540 Insurance Claims Expense	-35,545	0	0
7610 Outside Services	6,252,894	7,543,408	7,291,379
7630 Advertising Fees	3,145	10,000	6,500
7640 Utilities	0	0	1,872
7650 Travel, Training, and Mileage	67,393	142,484	174,122
7660 Office Expense	159,939	262,493	411,043
7670 Miscellaneous Expense	144,635	202,239	206,646
7710 Fuels and Lubricants	6,243,979	7,415,827	12,495,163
7740 Tires and Tubes	2,200,045	1,454,668	1,593,418
7750 Maintenance Expense	5,306,363	5,110,268	5,697,072
7780 General Equipment/Structures	0	21,150	0
7790 Other Materials and Supplies	804,074	1,198,320	1,208,934
7820 Taxes	72,147	65,819	64,787
7830 Contributions to Other Agencies	1,547,579	832,467	2,321,020
Subtotal Services and Supplies	\$ 105,914,246	\$ 104,885,865	\$ 120,815,813
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	24,812,204	126,381,459	12,979,960
Subtotal Capital Expenditure	\$ 24,812,204	\$ 126,381,459	\$ 12,979,960
Total Uses	\$ 242,221,946	\$ 350,431,992	\$ 252,701,070



Chief Operating Officer

The Chief Operating Officer works to meet the existing and future transportation needs of Orange County and is responsible for the coordination of all the divisions projects, programs, services, and initiatives including Bus Operations, Maintenance, Rail Operations, OC

Streetcar Operations, and LOSSAN. The Chief Operating Officer is also accountable for reporting the division’s financial and operational performance to the Chief Executive Officer and the Board of Directors.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Chief Operating Officer			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	305,387	322,987	350,028
7209 Deferred Compensation	12,404	9,740	10,443
7210 Pensions	101,100	117,675	128,660
7220 Insurances	8,949	8,722	9,403
7240 Health Care	51,465	47,080	51,990
7260 Compensated Absences	43,081	43,669	42,733
7270 Workers' Compensation	6,661	9,566	7,514
7280 Other Benefits	30,021	26,822	32,761
Subtotal Salaries and Benefits	\$ 559,068	\$ 586,261	\$ 633,532
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	2,035	7,053	10,100
7670 Miscellaneous Expense	0	1,185	1,185
Subtotal Services and Supplies	\$ 2,035	\$ 8,238	\$ 11,285
Chief Operating Officer Total	\$ 561,103	\$ 594,499	\$ 644,817



Operations

Executive Director, Bus Operations

The General Manager of Bus Operations is responsible for the day-to-day management of OCTA's bus operations, encompassing the scheduling, operations, and maintenance functions. The General Manager plays a major role in leading OCTA's most publicly recognized service including the development and imple-

mentation of strategies to improve the operation of the bus system. Other responsibilities include oversight of bus capital projects, managing the coach operator and maintenance collective bargaining units, and organizational development.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Executive Director, Bus Operations			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	359,443	339,038	375,398
7209 Deferred Compensation	16,910	10,224	11,199
7210 Pensions	122,267	123,379	137,773
7220 Insurances	9,327	9,154	10,082
7240 Health Care	54,111	50,142	67,361
7260 Compensated Absences	64,797	45,838	45,829
7270 Workers' Compensation	7,946	9,566	7,514
7280 Other Benefits	32,230	27,699	34,472
Subtotal Salaries and Benefits	\$ 667,031	\$ 615,040	\$ 689,628
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	2,175	7,235	7,432
7660 Office Expense	6,848	6,000	6,000
7670 Miscellaneous Expense	19,001	20,610	22,469
Subtotal Services and Supplies	\$ 28,024	\$ 33,845	\$ 35,901
Executive Director, Bus Operations Total	\$ 695,055	\$ 648,885	\$ 725,529



Motorist Services

Motorist Services plans, directs, and administers services included in the SAFE and Lost and Found. SAFE operates the Freeway Service Patrol (FSP) Program, the Freeway Call Box system, and the Southern California 511 motorist aid traveler information system. Lost and Found manages the daily maintenance and tracking of items found on the OCTA fixed-route bus system, OC

ACCESS paratransit service, and other OCTA operations facilities. This function was transitioned from an external contractor to an OCTA operated function on December 31, 2018. For these programs, the Motorist Services Department personnel ensure that management, operational controls, and resources are in place to effectively and efficiently implement these programs.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Motorist Services			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	656,976	655,630	712,388
7209 Deferred Compensation	19,113	19,696	21,178
7210 Pensions	210,773	234,999	257,897
7220 Insurances	16,788	17,639	19,070
7240 Health Care	173,532	183,298	195,961
7260 Compensated Absences	77,028	88,294	86,659
7270 Workers' Compensation	14,056	23,915	18,785
7280 Other Benefits	64,632	44,853	57,003
Subtotal Salaries and Benefits	\$ 1,232,898	\$ 1,268,324	\$ 1,368,941
<u>Services and Supplies</u>			
7610 Outside Services	398	3,600	1,200
7630 Advertising Fees	0	5,000	1,500
7650 Travel, Training, and Mileage	15	1,229	1,607
7660 Office Expense	428	2,000	3,180
7790 Other Materials and Supplies	2,642	4,000	3,504
Subtotal Services and Supplies	\$ 3,483	\$ 15,829	\$ 10,991
Motorist Services Total	\$ 1,236,381	\$ 1,284,153	\$ 1,379,932



Operations

Bus Operations

Bus Operations manages the delivery of bus service for OCTA's countywide fixed-route bus system from two facilities located in the cities of Garden Grove and Santa Ana. The primary function of the operating base is to ensure that all scheduled bus service is delivered in a quality manner. The base staff is responsible for oversight of coach operator performance including safety, courtesy, and reliability. Other responsibilities include ensuring that all coach operators comply with local, state, and federal laws, and the administration of established work rules and the collective bargaining agreement. The Bus Operations Department also includes support functions

such as Central Communications, Field Operations, and Operations Training.

Central Communications maintains a wireless communications link to all in-service buses to provide real-time service management, prevent or address service disruptions, and maintain the ability to respond to emergencies quickly. Field Operations is responsible for actively managing the bus service on the street. Operations Training is responsible for training coach operators, conducting training campaigns at bases, retraining operators, and conducting the Annual Required Training (ART) for veteran coach operators.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Bus Operations			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	39,019,188	39,319,269	37,255,584
7150 Extra Help Employees	895,848	875,495	801,450
7209 Deferred Compensation	808,404	925,224	854,707
7210 Pensions	13,438,949	14,152,290	14,341,758
7220 Insurances	912,626	1,007,065	977,567
7240 Health Care	10,906,999	11,008,212	11,049,413
7260 Compensated Absences	5,237,139	5,606,727	5,491,135
7270 Workers' Compensation	4,337,524	6,742,925	5,635,308
7280 Other Benefits	894,295	1,028,652	1,405,312
Subtotal Salaries and Benefits	\$ 76,450,972	\$ 80,665,859	\$ 77,812,234
<u>Services and Supplies</u>			
7510 Professional Services	0	250,000	0
7540 Insurance Claims Expense	-37,464	0	0
7610 Outside Services	117,883	293,200	286,068
7650 Travel, Training, and Mileage	10,273	17,846	20,907
7660 Office Expense	95,959	79,102	52,552
7670 Miscellaneous Expense	44,421	62,399	62,455
7780 General Equipment/Structures	0	21,150	0
7790 Other Materials and Supplies	19,819	30,220	30,430
Subtotal Services and Supplies	\$ 250,891	\$ 753,917	\$ 452,412
Bus Operations Total	\$ 76,701,863	\$ 81,419,776	\$ 78,264,646



Contract Transportation Services

Contract Transportation Services is responsible for contract transportation oversight. Oversight of contract operations includes monitoring vendor performance to effectively deliver transit services including OC ACCESS, OCTA’s complementary paratransit service; contracted fixed-route, including express bus service, and the Stationlink rail feeder service which provides the connection between Metrolink commuter trains and employment centers; micro-transit, vanpool and the

Same-Day Taxi Program for ADA eligible passengers. The contracted services staff provides direct oversight of the contractors’ performance to ensure OCTA’s operating and vehicle maintenance standards are achieved per contract guidelines and OCTA standards. Contracted services are operated out of three OCTA facilities, with fixed-route service operated from Anaheim and Irvine Sand Canyon and OC ACCESS service from Irvine Construction Circle.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Contract Transportation Services			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,353,191	1,452,984	1,531,430
7150 Extra Help Employees	18,736	36,720	46,250
7209 Deferred Compensation	34,353	43,816	45,690
7210 Pensions	418,732	518,350	551,797
7220 Insurances	35,842	39,240	41,144
7240 Health Care	276,159	302,805	314,270
7260 Compensated Absences	153,136	196,446	186,964
7270 Workers' Compensation	27,715	55,802	46,335
7280 Other Benefits	72,580	79,364	103,176
Subtotal Salaries and Benefits	\$ 2,390,444	\$ 2,725,527	\$ 2,867,056
<u>Services and Supplies</u>			
7310 Contract Transportation	81,942,938	77,740,303	87,218,527
7510 Professional Services	813,018	1,597,917	1,713,532
7610 Outside Services	412,658	517,575	511,209
7650 Travel, Training, and Mileage	6,875	9,956	12,222
7660 Office Expense	-23,193	38,339	202,786
7670 Miscellaneous Expense	37,517	49,012	35,539
7710 Fuels and Lubricants	4,409,936	4,310,126	7,060,148
7740 Tires and Tubes	1,151,764	737,537	845,112
7750 Maintenance Expense	417,520	457,349	483,622
7790 Other Materials and Supplies	2,445	5,000	0
7820 Taxes	29,394	22,279	21,287
7830 Contributions to Other Agencies	1,547,579	832,467	2,321,020
Subtotal Services and Supplies	\$ 90,748,451	\$ 86,317,860	\$ 100,425,004
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	7,138,136	169,787	0
Subtotal Capital Expenditure	\$ 7,138,136	\$ 169,787	\$ 0
Contract Transportation Services Total	\$ 100,277,031	\$ 89,213,174	\$ 103,292,060



Operations

Maintenance

Maintenance 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 performs routine maintenance on an active fleet of revenue vehicles. In addition to the revenue fleet, the department also maintains non-revenue support vehicles and a contingency fleet of buses.

The department consists of five sections, which include: maintenance training, base operations, Maintenance Resource Management, Transit Technical Services and Facilities.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Maintenance			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	13,579,059	14,068,607	14,661,043
7150 Extra Help Employees	19,683	23,120	23,750
7209 Deferred Compensation	122,024	126,003	139,477
7210 Pensions	4,740,784	5,357,318	5,625,006
7220 Insurances	290,741	306,490	327,578
7240 Health Care	3,327,070	3,514,191	3,446,653
7260 Compensated Absences	1,904,468	2,054,767	2,105,252
7270 Workers' Compensation	674,496	1,037,680	880,434
7280 Other Benefits	641,182	913,955	1,131,521
Subtotal Salaries and Benefits	\$ 25,299,507	\$ 27,402,131	\$ 28,340,714
<u>Services and Supplies</u>			
7510 Professional Services	185,894	783,455	174,095
7540 Insurance Claims Expense	1,919	0	0
7610 Outside Services	5,160,087	6,097,263	5,938,146
7640 Utilities	0	0	1,872
7650 Travel, Training, and Mileage	30,384	75,987	94,596
7660 Office Expense	60,067	115,912	132,300
7670 Miscellaneous Expense	39,646	55,058	70,723
7710 Fuels and Lubricants	1,834,043	3,105,701	5,435,015
7740 Tires and Tubes	1,048,281	717,131	748,306
7750 Maintenance Expense	4,888,843	4,652,919	5,213,450
7790 Other Materials and Supplies	757,500	1,140,100	1,141,000
7820 Taxes	42,753	43,540	43,500
Subtotal Services and Supplies	\$ 14,049,417	\$ 16,787,066	\$ 18,993,003
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	17,674,068	126,166,672	12,979,960
Subtotal Capital Expenditure	\$ 17,674,068	\$ 126,166,672	\$ 12,979,960
Maintenance Total	\$ 57,022,992	\$ 170,355,869	\$ 60,313,677



Scheduling and Bus Operations Support

Scheduling and Bus Operations Support Department is comprised of three functional areas: Scheduling, Stops and Zones, and Customer Advocacy. Scheduling creates bus schedules, determines vehicle requirements, and develop coach operator work assignments. The Stops and Zones function is responsible for

establishing and maintaining bus stops, layover zones and maintaining the agency’s nearly 5,500 bus stop locations. The Customer Advocacy function is designed to represent the interests of the agency’s internal and external customers as part of the Operations Division’s decision-making process.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Scheduling and Bus Operations Support			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	875,073	871,667	1,085,367
7150 Extra Help Employees	61,705	82,460	76,485
7209 Deferred Compensation	22,628	24,869	30,979
7210 Pensions	261,594	297,070	375,809
7220 Insurances	23,189	22,274	27,896
7240 Health Care	140,925	147,219	166,386
7260 Compensated Absences	88,671	111,496	126,769
7270 Workers' Compensation	18,469	38,264	30,056
7280 Other Benefits	25,402	45,044	69,957
Subtotal Salaries and Benefits	\$ 1,517,656	\$ 1,640,363	\$ 1,989,704
<u>Services and Supplies</u>			
7510 Professional Services	205,748	255,047	237,703
7610 Outside Services	499,909	571,770	554,756
7650 Travel, Training, and Mileage	12,211	6,106	5,973
7660 Office Expense	2,723	2,500	1,925
7670 Miscellaneous Expense	255	1,210	545
7790 Other Materials and Supplies	21,668	19,000	34,000
Subtotal Services and Supplies	\$ 742,514	\$ 855,633	\$ 834,902
Scheduling and Bus Operations Support Total	\$ 2,260,170	\$ 2,495,996	\$ 2,824,606



Operations

Rail Operations

Rail Operations 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. This is accomplished through the coordination of activities

with the Southern California Regional Rail Authority (SCRRA), local cities, regional entities, and state and federal agencies. Through the direction of these responsibilities, the department supports the growth of an efficient rail transit system in Orange County.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
Rail Operations			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	384,663	383,691	483,810
7150 Extra Help Employees	0	12,240	0
7209 Deferred Compensation	11,838	11,571	14,434
7210 Pensions	126,595	137,052	173,774
7220 Insurances	9,793	10,358	12,995
7240 Health Care	69,239	76,907	80,585
7260 Compensated Absences	61,719	51,878	59,063
7270 Workers' Compensation	7,896	12,755	12,523
7280 Other Benefits	5,327	20,957	32,595
Subtotal Salaries and Benefits	\$ 677,070	\$ 717,409	\$ 869,779
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	3,000	3,145	3,423
7660 Office Expense	718	2,000	2,000
7670 Miscellaneous Expense	1,093	2,820	1,140
Subtotal Services and Supplies	\$ 4,811	\$ 7,965	\$ 6,563
<u>Capital Expenditure</u>			
9020 Capital Expenditure-Locally Funded	0	45,000	0
Subtotal Capital Expenditure	\$ 0	\$ 45,000	\$ 0
Rail Operations Total	\$ 681,881	\$ 770,374	\$ 876,342



OC Streetcar

OC Streetcar supports the development of a 4.15-mile route modern streetcar line that connects the Santa Ana Regional Transportation Center (SARTC) to downtown Santa Ana and a new transportation hub

near the intersection of Harbor Boulevard and Westminster Avenue in Garden Grove. This department is responsible for the implementation of the Operations and Maintenance of the OC Streetcar.

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
OC Streetcar			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	175,488	149,294	298,290
7209 Deferred Compensation	5,265	4,502	8,899
7210 Pensions	43,103	53,064	107,140
7220 Insurances	3,812	4,032	8,011
7240 Health Care	18,358	16,828	35,180
7260 Compensated Absences	7,392	20,185	36,416
7270 Workers' Compensation	3,224	3,189	5,009
7280 Other Benefits	155	16,082	23,960
Subtotal Salaries and Benefits	\$ 256,797	\$ 267,176	\$ 522,905
<u>Services and Supplies</u>			
7650 Travel, Training, and Mileage	0	11,483	10,882
7660 Office Expense	0	4,500	1,500
7670 Miscellaneous Expense	0	5,525	7,950
Subtotal Services and Supplies	\$ 0	\$ 21,508	\$ 20,332
OC Streetcar Total	\$ 256,797	\$ 288,684	\$ 543,237



LOSSAN Staff Administration

OCTA was selected to serve as the managing agency for the LOSSAN Rail Corridor Agency in August 2013. Following execution of the Interagency Transfer Agreement (ITA) between the LOSSAN Agency and the State of California in July 2015, the LOSSAN Agency assumed full administrative responsibility for management of the Pacific Surfliner intercity rail service. The ITA was amended in July 2018 for a three-year term, with two option terms for renewal. The LOSSAN Agency is administered by dedicated OCTA staff. These positions are funded through the ITA by the State of California.

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

Department Expenses by Account	FY 2019-20 Actuals	FY 2020-21 Amended	FY 2021-22 Approved
LOSSAN Staff Administration			
<u>Salaries and Benefits</u>			
7110 Salaries-Regular Employees	1,461,837	1,816,961	2,121,174
7209 Deferred Compensation	34,230	54,605	63,283
7210 Pensions	410,445	647,503	767,759
7220 Insurances	35,990	56,688	56,977
7240 Health Care	252,228	315,075	336,300
7260 Compensated Absences	168,054	239,474	258,960
7270 Workers' Compensation	29,235	44,642	45,083
7280 Other Benefits	52,034	101,630	161,268
Subtotal Salaries and Benefits	\$ 2,444,053	\$ 3,276,578	\$ 3,810,804
<u>Services and Supplies</u>			
7610 Outside Services	61,959	60,000	0
7630 Advertising Fees	3,145	5,000	5,000
7650 Travel, Training, and Mileage	425	2,444	6,980
7660 Office Expense	16,389	12,140	8,800
7670 Miscellaneous Expense	2,702	4,420	4,640
Subtotal Services and Supplies	\$ 84,620	\$ 84,004	\$ 25,420
LOSSAN Staff Administration Total	\$ 2,528,673	\$ 3,360,582	\$ 3,836,224

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APPENDIX



ORANGE COUNTY TRANSPORTATION AUTHORITY

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Fund Descriptions

General Fund

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

Local Transportation Fund (LTF)

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

Orange County Unified Transportation Trust (OCUTT) Fund

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

Service Authority for Freeway Emergencies (SAFE) Fund

The SAFE Fund is responsible for the maintenance and operation of call boxes on Orange County freeways. This fund also includes the Freeway Service Patrol (FSP) program that consists of a fleet of tow trucks dedicated to assisting stranded motorists during peak travel hours. The operation of the SAFE program is funded by a \$1 per year assessment on motor vehicle registration.

State Transit Assistance (STA) Fund

The STA Fund, created by the California Legislature in 1979, provides a second source of Transportation Development Act (TDA) funding for transportation planning and mass transportation purposes. STA fund revenues are derived from sales tax on diesel fuel. As of 2017, this revenue was increased based on the passage of the Road Repair and Accountability Act. These revenues may be used for capital and operating expenditures related to public transportation.

LTA Measure M2 (M2) Fund

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

Commuter Rail Fund

The Commuter Rail Fund accounts for the operation of commuter rail service and the maintenance of OCTA-owned right-of-way. This fund supports OCTA's long-term operating and capital funding of Metrolink commuter rail services.

Orange County Transit District (OCTD) Fund

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

OC Streetcar Fund

The OC Streetcar Fund supports the operating costs of the OC Streetcar service. The service will launch following completion of construction in the upcoming fiscal years.



Express Lanes Funds

The Express Lanes Funds support the 91 Express Lanes and 405 Express Lanes. The 91 Express Lanes Fund is an enterprise fund that supports the operational and capital functions of the 91 Express Lanes. The 405 Express Lanes Fund supports the express lanes portion of the I-405 Improvement Project.

Internal Service Funds

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

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 the amount of funding collected in that fiscal year.

Transit Development 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. Current projects include the OC Streetcar and Transit Security Operations Center projects.

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.

American Public Transportation Association (APTA) Fund

The APTA Fund supports revenues and expenditures associated with OCTA's hosting of the APTA Expo.

Additional Retiree Benefit Account (ARBA) Trust Fund

The 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 career OCTA employees in maintaining health insurance coverage following their retirement from OCTA service. 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 approximately 1.0 percent of payroll to fund the benefit.



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 expenditures.

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, encum-

brances 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: 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.

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



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

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

Internal Budget: The legally adopted budget including all inter-fund transfers and other internally designated objects.

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.

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



Gann Appropriation Limit

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

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

The Local Transportation Authority (LTA or Measure M2) and the OCTA General Fund representing the functions of the Orange County Transportation Commission (OCTC), now a part of OCTA, are subject to the requirements of Article XIII B. Both agencies receive tax revenues, the LTA from the one-half cent local sales tax and the OCTA General Fund from one-quarter cent state sales tax allocations for administration, planning, and programming of the Local Transportation Fund (LTF), which is exempt from the Gann limits on the

spending of certain tax revenues. Appropriation limits are calculated for and applied to both legal entities and are reviewed as part of OCTA’s annual financial audit.

In accordance with the requirements of the Article XIII B implementing legislation, the Board of Directors voted to approve OCTA Resolution No. 2021-044 and LTA Resolution No. 2021-043 on June 28, 2021 establishing appropriations limits for the OCTA General Fund at \$13,113,890 and the Local Transportation Authority (LTA or Measure M2 Fund) at \$1,981,873,617 respectively. The total amount authorized to be expended by the OCTA General Fund and LTA Fund from tax proceeds and interest from tax proceeds is \$4,708,197 and \$319,737,837 respectively. Both appropriations fall within the limits set by the Gann Initiative.

Based on historic trends and future projections, it appears that 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 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 2021-22 appropriation limits are on the following pages.



**RESOLUTION NO. 2021-044 OF THE
ORANGE COUNTY TRANSPORTATION AUTHORITY - GENERAL FUND
ESTABLISHING APPROPRIATIONS LIMIT FOR
FISCAL YEAR 2021-22**

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 2021-22 is \$13,113,890.
2. The total amount authorized to be expended by the Orange County Transportation Authority - General Fund during fiscal year 2021-22 from the proceeds of taxes, including interest earned from the investment of the proceeds of taxes, is \$4,708,197.
3. The appropriations limit for fiscal year 2021-22 exceeds proceeds of taxes for fiscal year 2021-22 by \$8,405,693.

ADOPTED, SIGNED, AND APPROVED this 28th day of June 2021.

AYES:

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

NOES:

ABSENT: Directors Hennessey and Shaw

ATTEST:

Andrea West
Interim Clerk of the Board

Andrew Do, Chairman
Orange County Local Transportation Authority



**RESOLUTION NO. 2021-043 OF THE
ORANGE COUNTY LOCAL TRANSPORTATION AUTHORITY/MEASURE M2
ESTABLISHING APPROPRIATIONS LIMIT FOR
FISCAL YEAR 2021-22**

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

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

NOW, THEREFORE, BE IT RESOLVED as follows:

1. The Orange County Local Transportation Authority/Measure M2 hereby determines that pursuant to Section 7902b of the California Government Code, the appropriations limit for the Orange County Local Transportation Authority/Measure M2 for fiscal year 2021-22 is \$1,981,873,617.
2. The total amount authorized to be expended by the Orange County Local Transportation Authority/Measure M2 during fiscal year 2021-22 from the proceeds of taxes, including interest earned from the investment of the proceeds of taxes, is \$319,737,837.
3. The appropriations limit for fiscal year 2020-21 exceeds proceeds of taxes for fiscal year 2021-22 by \$1,662,135,780.

ADOPTED SIGNED AND APPROVED this 28th day of June 2021.

AYES:

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

NOES:

ABSENT: Directors Hennessey and Shaw

ATTEST:

Andrea West
Interim Clerk of the Board

Andrew Do, Chairman
Orange County Local Transportation Authority

OCLTA Resolution No. 2021-043



RESOLUTION OF THE BOARD OF DIRECTORS FOR THE ORANGE COUNTY TRANSPORTATION AUTHORITY APPROVING AN OPERATING AND CAPITAL BUDGET FISCAL YEAR 2021-22

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 \$1,267.1 million for fiscal year 2021-22;

WHEREAS, said Chief Executive Officer and staff did conduct a public workshop before the Board of Directors on May 10, 2021, in the Board Chambers, at which time the proposed budget was considered;

WHEREAS, a public hearing was conducted on June 14, 2021, 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, 2021 through June 30, 2022, 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 14th day of June 2021.

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

NOES: None

ABSENT: Director Wagner

ATTEST:

Handwritten signature of Andrea West

Andrea West
Interim Clerk of the Board

Handwritten signature of Andrew Do

Andrew Do, Chairman
Orange County Transportation Authority

OCTA Resolution No. 2021-037



Map of Orange County



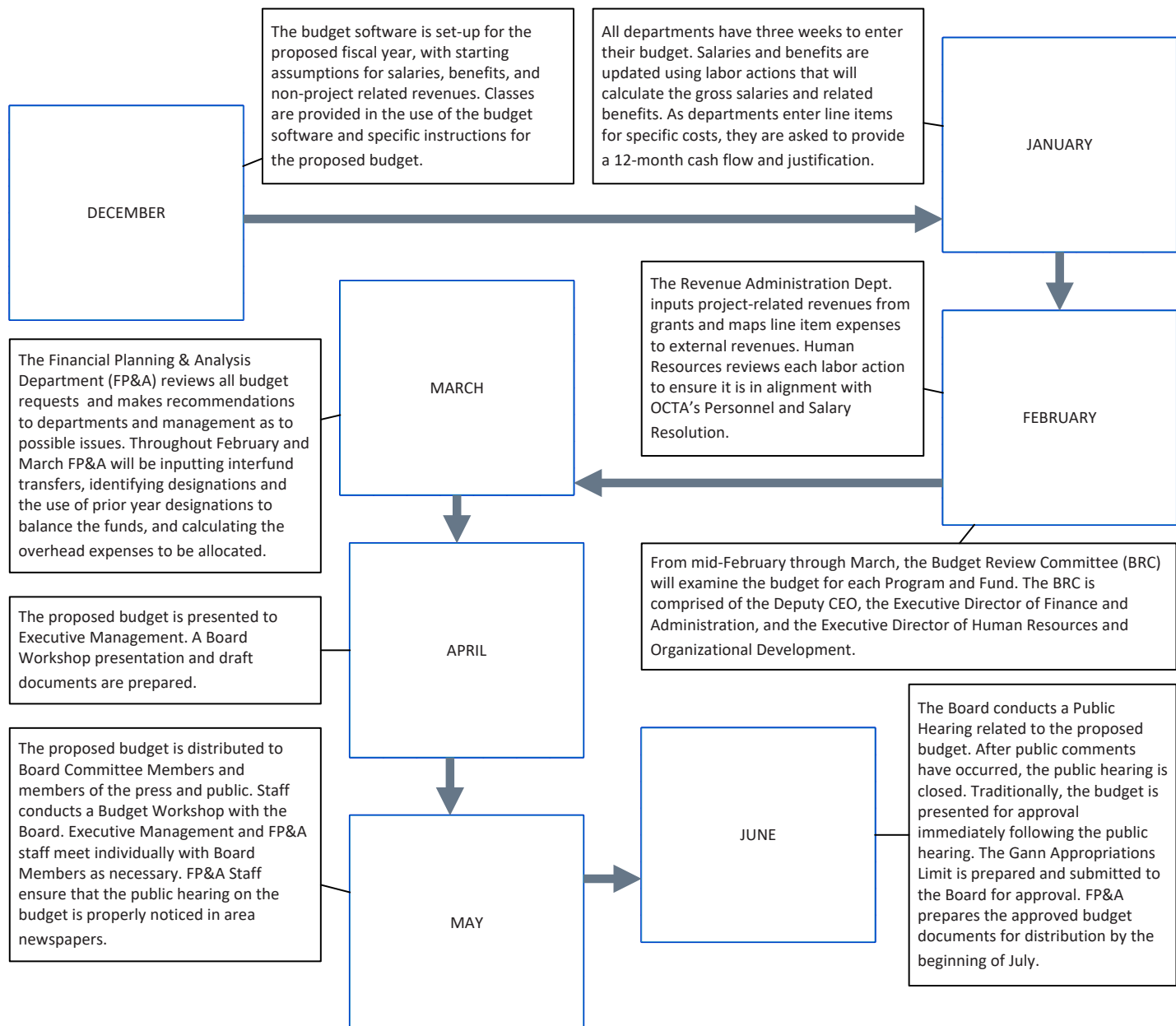
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Budget Calendar

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

Altogether, budget preparation takes approximately seven months. Work typically begins with revenue projections in December and culminates in June with a Public Hearing and Board approval of the budget. The budget calendar is outlined below.





Financial Reporting

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

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

OCTA utilizes several financial policies in guiding day-to-day operations and ensuring long-term financial sustainability. While there are overriding agency-wide financial policies, some financial policies are program-specific. A brief description of the major financial policies follows:

Budget Policy

OCTA's Budget Policy articulates that an annual budget will be prepared in accordance with the Comprehensive Business Plan (CBP), will be subject to a public hearing, and expenses will be controlled at the "Major Object" level. The three Major Objects for expenses at OCTA are salaries and benefits, services and supplies, and capital expenditures.

The approved budget can be amended by the Board to alter both appropriations and estimated revenues as unforeseen circumstances arise. Division and department heads are authorized to approve appropriation transfers within major objects. Appropriation transfers between

major objects require Board approval. Accordingly, the legal level of budgetary control at which expenditures cannot exceed appropriations for budgeted funds, is at the major object level. Apart from accounts that have been encumbered, appropriations lapse at year-end.

OCTD Capital Asset Reserve Policy

Each year, OCTA sets aside operating funds for future capital expenditures to support the transit system. The process of establishing the set-aside involves analyzing available grant revenues and capital requirements over the next 20 years to determine the amount that needs to be set-aside in the upcoming budget year.

OCTA's Debt Policy

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

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

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



OCTA transaction or underwriting pool at any time for 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.

Basis of Accounting

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

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

Principal and interest on general long-term debt are recorded when payment is due. Those revenues susceptible to accrual are sales taxes collected and held by the state at year-end on behalf of OCTA, intergovernmental revenues, interest revenue, and fines and fees. Property taxes are considered available if they are collected within 60 days after year-end.

In applying the "susceptible to accrual" concept to intergovernmental revenues, there are essentially two types of revenues. In one, monies must be expended on the specific purpose or project before any amounts will be paid to OCTA; therefore, revenues are recognized based upon the expenditures incurred. In the other, monies are virtually unrestricted and are usually revocable only for failure to comply with prescribed compliance

requirements. These resources are reflected as revenues at the time of receipt or earlier if the susceptible-to-accrual criterion is met.

OCTA's Capital Replacement Fund

OCTA undertakes a conservative approach to funding its ongoing capital requirements to support the local Bus Program. This process involves the establishment of a capital replacement fund that is funded each year during the annual budget process. Put simply, OCTA saves for a portion of each of its planned capital assets each year so that when an asset reaches its useful life, OCTA has the cash resources on-hand to replace the asset. This conservative, private sector-style approach affords OCTA the opportunity to maximize revenues for operating purposes by avoiding interest costs associated with debt service payments, protects the operation from wild fluctuations in funds available for service, and ensures that capital assets do not fall into a state of disrepair.

On a periodic basis, OCTA reviews the financial health of each of its programs by developing a long-term financial planning document called the Comprehensive Business Plan (CBP). As part of this process, each program is reviewed over a 20-year horizon. For the bus program, the goal is to determine a financially sustainable level of service and an accompanying capital plan based on anticipated revenues.

Capital requirements are listed at a granular level in the CBP, meaning that OCTA assets are cataloged with an expected cost, depreciation, and an inflation factor. After taking into consideration any expected grant revenues for each asset, OCTA uses these three factors to determine how much in local funding needs to be set aside each year so that each asset can be replaced when it reaches the end of its useful life. For example, a standard 40-foot bus costs approximately \$600,000 and is depreciated over 18 years. If a bus is entirely locally funded, it would mean that \$33,333 ($\$600,000 / 18$ years) would need to be set aside each year to replace that bus after 18 years. This process is applied to each OCTA asset and establishes a total amount of local funds that needs to be set aside each year.



OCTA's Reserve Policy

The Orange County Transportation Authority operates programs whose revenues can be greatly impacted during times of economic uncertainty or recession. These decreases in revenue can stem from reduced sales tax revenue, reduced fare or toll revenue, or less support from Federal or State sources. As a result, OCTA has a history of maintaining reserves implemented through its Comprehensive Business Plan (CBP) and annual budget process.

OCTA operates three programs: Bus, 91 Express Lanes, and Motorist Services, that are reliant on stable revenue sources and are most immediately impacted during periods of economic uncertainty. Decreases in revenue can produce immediate impacts to their ability to fund operating and capital requirements. As a result, operating and capital reserves can help mitigate the impacts to service levels and the funding of capital projects during times of economic uncertainty. In preparation for future economic downturns, OCTA has formalized a reserve policy for the three programs. The Reserve Policy addresses three reserve categories within each of the programs. The three reserve categories are: operating, capital, and debt.

*California Society of
Municipal Finance Officers*

Certificate of Award

*Operating Budget Excellence Award
Fiscal Year 2020-2021*

Presented to the

Orange County Transportation Authority

For meeting the criteria established to achieve the CSMFO Excellence Award in Budgeting

January 31, 2021



Marcus Pimentel

Marcus Pimentel
CSMFO President

Michael Manno

Michael Manno, Chair
Recognition Committee

Dedicated Excellence in Municipal Financial Reporting



Cash Flow Statement - Bus Program

(millions)	2020-21	2021-22	2022-23	2023-24	2024-25	2029-30	2034-35	2039-40
Beginning balance - operating	\$ 46.2	216.2	300.3	364.4	400.5	396.1	225.1	84.7
Cash flows from operating activities:								
Sources of funds:								
Sales tax revenue	149.1	154.8	159.3	164.2	168.2	191.3	216.4	242.8
Federal formula grant 5307	51.3	55.0	53.8	54.0	55.7	64.5	71.5	83.0
Passenger fares	21.0	30.0	33.9	37.8	40.5	47.5	48.9	54.7
State transit assistance fund	12.6	13.7	16.9	18.7	19.4	19.4	19.4	19.4
Property tax revenue	18.7	19.5	20.5	21.4	22.4	28.2	35.5	44.6
California Senate Bill 1 oper.	10.0	11.0	13.7	15.3	15.9	15.9	15.9	15.9
Federal Supplemental Funding	73.2	95.7	71.3	51.7	0.0	0.0	0.0	0.0
Miscellaneous revenues	13.2	12.0	11.9	11.3	11.6	12.8	13.6	14.8
Advertising revenue	3.5	4.0	4.1	4.2	4.3	4.8	5.3	5.9
Interest on operating investments	0.4	2.0	3.5	4.6	6.1	7.2	4.1	1.5
Total sources of funds	\$ 352.8	397.6	388.8	383.2	344.1	391.5	430.5	482.6
Cash flows from operating activities:								
Uses of funds:								
Salaries and benefits	109.1	114.6	119.8	123.7	127.7	151.2	162.8	195.7
Purchased transportation services	70.9	89.8	94.1	92.6	95.3	107.3	122.8	137.8
Administrative service expense	42.3	44.9	47.4	49.9	52.6	67.4	80.2	101.3
Professional services	21.1	24.0	25.4	26.0	26.6	29.7	33.2	37.0
Maintenance, parts and fuel	15.0	18.1	19.5	20.3	21.1	25.3	35.5	42.6
General and administrative	3.7	4.1	4.3	4.4	4.5	5.0	5.5	6.2
Other operating expense	3.5	4.2	4.5	4.6	4.8	5.3	6.0	6.7
Designation to capital	(82.6)	13.9	9.7	25.4	(72.0)	28.3	39.1	(46.7)
Total uses of funds	\$ 182.9	313.5	324.7	347.1	260.5	419.4	485.1	480.6
Net cash provided by operations	\$ 169.9	84.1	64.1	36.2	83.5	(27.9)	(54.5)	2.0
Available cash - operating	\$ 216.2	300.3	364.4	400.5	484.1	368.2	170.6	86.7
Beginning balance - capital	\$ 398.1	315.2	313.1	291.7	319.5	336.7	245.9	271.4
Contribution to capital	(82.6)	13.9	9.7	25.4	(72.0)	28.3	39.1	(46.7)
Federal Formula Grants 5337/5339	10.3	10.5	10.7	11.0	11.2	12.5	13.9	15.4
Senate Bill 1 SGR	5.1	5.2	5.3	5.4	5.5	6.2	6.8	7.6
Federal Supplemental Funding	5.0	5.0	0.0	0.0	0.0	0.0	0.0	0.0
Capital grants/other capital revenues	0.5	11.7	18.4	2.5	101.9	0.0	0.0	0.0
Capital expenditures	(24.8)	(51.0)	(69.0)	(20.2)	(158.1)	(31.4)	(34.1)	(46.5)
Interest on capital investments	3.6	2.8	3.5	3.7	4.8	6.1	4.4	4.7
Net cash used by capital and related financing activities	\$ (83.0)	(2.1)	(21.4)	27.7	(106.7)	21.6	30.1	(65.4)
Available cash - capital	\$ 315.2	313.1	291.7	319.5	212.8	358.4	276.0	206.0



Appendix

Cash Flow Statement - Rail

(millions)	2020-21	2021-22	2022-23	2023-24	2024-25	2029-30	2034-35	2039-40
Beginning balance	\$ 198.0	199.8	214.4	221.5	206.9	158.0	100.7	42.7
Cash flows from operating activities:								
Sources of funds:								
Measure M2 sales tax (Project R)	29.0	29.8	30.9	31.9	32.7	38.5	45.8	53.6
Federal operating revenue	8.5	8.5	8.5	8.5	8.5	7.5	7.3	7.3
Miscellaneous revenue	15.9	5.0	3.0	2.9	3.0	1.2	1.3	1.4
Federal Supplemental Funding	17.5	39.3	22.4	0.0	0.0	0.0	0.0	0.0
Total sources of funds	\$ 71.0	82.6	64.9	43.4	44.1	47.2	54.4	62.4
Cash flows from operating activities:								
Uses of funds:								
Subsidy to SCRRRA	46.3	39.3	33.8	35.0	28.3	31.1	34.0	37.2
Management fee expense	2.8	2.9	3.1	3.2	3.4	4.2	4.5	5.5
Professional services	7.3	6.9	6.7	6.8	6.9	7.6	8.3	9.1
Repayment of Proposition 116 Funds	3.1	3.2	3.3	3.4	3.5	4.1	4.7	5.5
Other operating expenses	2.3	2.3	2.9	2.8	2.8	3.2	3.8	4.3
Total uses of funds	\$ 61.7	54.6	49.9	51.3	45.0	50.1	55.3	61.7
Net cash provided by operations	\$ 9.3	28.0	15.0	(7.9)	(0.8)	(2.9)	(0.9)	0.7
Cash flows from capital and related financing activities:								
Capital grants/other capital revenues	47.4	22.8	15.9	3.3	3.1	2.7	21.4	110.1
Acquisition/construction of capital assets	(55.3)	(36.6)	(24.8)	(11.5)	(11.5)	(11.9)	(31.5)	(121.1)
Principal & interest paid on TECP/bonds	(1.0)	(1.0)	(1.0)	(1.0)	(1.4)	(2.0)	(2.0)	(2.0)
Net cash used by capital and related financing activities	\$ (9.0)	(14.8)	(9.9)	(9.3)	(9.8)	(11.2)	(12.0)	(13.0)
Cash flows from investing activities:								
Interest on investments	1.4	1.4	2.1	2.5	2.7	2.7	1.6	0.6
Net cash provided by investing activities	\$ 1.4	1.4	2.1	2.5	2.7	2.7	1.6	0.6
Net increase/decrease in cash	\$ 1.7	14.6	7.2	(14.6)	(7.9)	(11.5)	(11.3)	(11.7)
Available cash	\$ 199.8	214.4	221.5	206.9	199.0	146.6	89.4	31.0



Cash Flow Statement - Measure M2

(millions)	2020-21	2021-22	2022-23	2023-24	2024-25	2029-30	2034-35	2039-40
Beginning balance	\$ 1,110.7	780.6	522.7	642.6	439.4	227.5	304.9	216.3
Sources of funds:								
Sales tax revenue	304.9	315.9	327.2	338.7	346.8	409.6	481.0	558.7
Bond proceeds	-	-	573.0	-	-	-	-	-
Interest	7.5	5.2	5.3	5.2	4.9	5.2	11.5	18.0
Other revenues (private, local, state, & fed. funding)	240.9	307.0	204.4	159.8	191.9	0.0	75.6	-
Total sources of funds	\$ 553.3	628.0	1,110.0	503.8	543.6	414.8	568.1	576.8
Debt service								
Gross debt service on TECP/bonds	42.6	42.6	85.3	85.3	88.2	92.1	92.0	91.9
Total debt service payments	42.6	42.6	85.3	85.3	88.2	92.1	92.0	91.9
Program expenditures								
Freeway projects	461.2	540.8	573.6	402.3	263.2	57.2	199.0	159.1
Streets & roads projects	126.1	125.8	127.7	129.6	134.9	116.5	134.6	168.8
Transit projects	230.8	149.2	180.6	68.9	97.4	91.6	111.4	126.2
Environmental cleanup	7.8	12.0	6.8	4.2	11.8	7.7	5.2	5.6
Taxpayer safeguards & audits	6.3	6.5	6.8	7.0	7.2	8.5	9.9	11.5
Non-project related expenditures	8.7	9.1	9.4	9.7	9.9	11.7	13.8	16.0
Total program expenditures	840.9	843.3	904.8	621.7	524.4	293.2	473.9	487.3
Net cash provided by operations	\$ (330.2)	(257.9)	119.9	(203.2)	(69.0)	29.5	2.2	(2.5)
Available cash	\$ 780.6	522.7	642.6	439.4	370.4	257.0	307.0	213.8



Appendix

Cash Flow Statement - 91 Express Lanes

(millions)	2020-21	2021-22	2022-23	2023-24	2024-25	2029-30	2034-35	2039-40
Beginning balance	\$ 198.9	189.4	182.0	186.2	291.9	34.8	166.2	203.6
Cash flows from operating activities:								
Sources of funds:								
Toll revenue	40.7	42.3	44.7	47.2	49.9	65.9	79.0	89.0
Non-Toll Revenue	3.6	4.6	4.7	4.7	4.8	5.0	5.3	5.6
Total sources of funds	\$ 44.3	46.9	49.3	51.9	54.7	70.9	84.3	94.6
Cash flows from operating activities:								
Uses of funds:								
Management fee expense	3.1	3.4	3.5	3.7	3.9	5.0	6.0	7.5
Professional services	10.2	12.0	10.5	10.2	10.8	11.9	12.8	14.3
General and administrative	1.9	2.1	2.1	2.1	2.1	2.3	2.4	2.5
Other operating expenses	5.4	7.4	4.4	4.5	4.5	4.8	5.1	5.4
Total uses of funds	\$ 20.6	24.8	20.6	20.5	21.4	24.0	26.3	29.7
Net cash provided by operations	\$ 23.7	22.1	28.8	31.4	33.3	46.9	58.1	64.8
Cash flows from capital and related financing activities:								
Capital grants/other capital revenues	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Acquisition/construction of capital assets	(24.0)	(20.3)	(15.8)	(29.7)	(85.0)	(6.5)	(68.3)	(7.7)
Bond proceeds	0.0	0.0	0.0	119.6	0.0	0.0	0.0	0.0
Principal & interest paid on bonds	(10.8)	(10.8)	(10.8)	(19.2)	(19.2)	(19.2)	(8.4)	(8.4)
Net cash used by capital and related financing activities	\$ (34.7)	(31.1)	(26.6)	70.6	(104.2)	(25.8)	(76.7)	(16.1)
Cash flows from investing activities:								
Interest on investments	0.2	0.2	0.3	1.0	0.4	0.7	0.7	0.8
Interest from capital replacement fund	1.4	1.3	1.8	2.6	3.3	0.4	2.5	3.8
Net cash provided by investing activities	\$ 1.6	1.6	2.1	3.7	3.7	1.1	3.3	4.6
Net increase/decrease in cash	\$ (9.5)	(7.4)	4.2	105.7	(67.2)	22.2	(15.4)	53.3
Available cash	\$ 189.4	182.0	186.2	291.9	224.7	57.0	150.9	256.9



Cash Flow Statement - SAFE

(millions)	2020-21	2021-22	2022-23	2023-24	2024-25	2029-30	2034-35	2039-40
Beginning balance	\$ 2.8	1.4	1.3	1.5	1.5	1.5	1.7	1.9
Cash flows from operating activities:								
Sources of funds:								
Freeway Service Patrol	4.2	5.9	6.0	5.5	5.3	6.4	7.3	8.6
Callbox	3.0	3.0	3.1	3.1	3.1	3.2	3.3	3.3
Total sources of funds	\$ 7.2	9.0	9.1	8.6	8.4	9.6	10.6	11.9
Cash flows from operating activities:								
Uses of funds:								
Salaries and benefits	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Management fee expense	0.9	1.0	1.1	1.1	1.2	1.5	1.8	2.3
Professional services	7.1	7.9	7.8	7.4	7.2	7.9	8.7	9.5
General and administrative	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Other operating expenses	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total uses of funds	\$ 8.1	9.0	8.9	8.6	8.4	9.5	10.5	11.8
Net cash provided by operations	\$ (0.9)	(0.0)	0.2	0.0	(0.0)	0.1	0.1	0.1
Cash flows from capital and related financing activities:								
Capital grants/other capital revenues	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Acquisition/construction of capital assets	(0.5)	(0.1)	(0.1)	(0.1)	(0.1)	(0.1)	(0.1)	(0.1)
Net cash used by capital and related financing activities	\$ (0.5)	(0.1)	(0.1)	(0.1)	(0.1)	(0.1)	(0.1)	(0.1)
Cash flows from investing activities:								
Interest on investments	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Net cash provided by investing activities	\$ 0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Net increase/decrease in cash	\$ (1.4)	(0.1)	0.1	(0.0)	(0.0)	0.0	0.0	0.0
Available cash	\$ 1.4	1.3	1.5	1.5	1.4	1.5	1.7	1.9

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