



# **AGENDA**

## ***Finance and Administration Committee Meeting***

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### **Committee Members**

Michael Hennessey, Chairman  
Steve Jones, Vice Chairman  
Katrina Foley  
Brian Goodell  
Patrick Harper  
Gene Hernandez  
Joe Muller

Orange County Transportation Authority  
Headquarters  
Conference Room 07  
550 South Main Street  
Orange, California

**Wednesday, November 10, 2021 at 10:30 a.m.**

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

### **Agenda Descriptions**

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

### **Public Availability of Agenda Materials**

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

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

On September 16, 2021, Governor Gavin Newsom signed into law AB 361 authorizing a local legislative body to hold public meetings via teleconferencing and make public meetings accessible telephonically or electronically to all members of the public due to the state and local State of Emergency resulting from the threat of Novel Coronavirus (COVID 19).

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

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



# **AGENDA**

## ***Finance and Administration Committee Meeting***

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Members of the public may address the Board of Directors regarding any item two ways:

### **Real Time Comment**

To provide a real time public comment during the meeting, please access the Zoom at:

<https://us02web.zoom.us/j/82173189650>

**Dial In: (669) 900-6833**  
**Webinar ID: 821 7318 9650**

Speakers will be recognized by the Chairman at the time the agenda item is to be considered. A speaker's comments shall be limited to three minutes. Anyone causing disruption can be removed from the meeting at the discretion of the Chair.

### **Written Comment**

Written public comments may also be submitted by emailing them to [ClerkOffice@ocata.net](mailto:ClerkOffice@ocata.net), and must be sent **90 minutes prior to the start time of the meeting**. If you wish to comment on a specific agenda item, please identify the item number in your email. All public comments that are timely received will be part of the public record and distributed to the Board. Public comments will be made available to the public upon request.

### **Call to Order**

### **Roll Call**

### **Pledge of Allegiance**

Director Goodell

### **1. Public Comments**

### **Special Calendar**

There are no Special Calendar matters.



## **Consent Calendar (Items 2 through 6)**

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

### **2. Approval of Minutes**

Approval of the minutes of the Finance and Administration Committee meeting of October 27, 2021.

### **3. Fiscal Year 2021-22 First Quarter Grant Reimbursement Status Report** Sam Kaur/Andrew Oftelie

#### **Overview**

The Quarterly Grant Reimbursement Status Report summarizes grant activities for the Orange County Transportation Authority Board of Directors. This report focuses on activity for the first quarter of fiscal year 2021-22, covering July through September 2021.

#### **Recommendation**

Receive and file as an information item.

### **4. Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board** Sam Kaur/Andrew Oftelie

#### **Overview**

The Orange County Transportation Authority Board of Directors authorized loan agreements with the cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board. This report provides the annual update on the status of each of these agreements as requested by the Board of Directors.

#### **Recommendation**

Receive and file as an information item.



**5. Orange County Employees Retirement System Early Payment for Fiscal Year 2022-23**

Robert Davis/Andrew Oftelie

**Overview**

The Orange County Employees Retirement System has offered an early payment discount to member agencies of 5.8 percent if they elect to prepay their contributions for fiscal year 2022-23. Advance payments must be received before January 14, 2022. The estimated savings for the Orange County Transportation Authority over the next year and a half under this payment option will total approximately \$1.6 million. Board of Directors' authorization is requested for the early payment option.

**Recommendation**

Authorize the early payment of approximately \$28.9 million by January 14, 2022, to the Orange County Employees Retirement System, for member contributions for fiscal year 2022-23.

**6. Excess Liability Insurance Pricing Update**

Al Gorski/Maggie McJilton

**Overview**

The Orange County Transportation Authority has been fully self-insured for operational liability exposures since December 1, 2020, due to recent unfavorable premium pricing in the excess liability insurance market. Staff has reviewed the current insurance market and pricing remains unfavorable to procure excess liability insurance. Board of Directors approval is necessary to remain self-insured.

**Recommendation**

Authorize the Chief Executive Officer to continue to fully self-insure for liability claims until such time the insurance market pricing is more favorable.



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## Regular Calendar

**7. Amendment to the 91 Express Lanes Three-Party Operating Agreement**  
Kirk Avila

**Overview**

In April 2019, the Orange County Transportation Authority Board of Directors authorized the release of a competitive procurement for contractor services for the joint operations of the 91 Express Lanes in Orange and Riverside counties. As a part of this procurement, the contractor is to design, develop, test, and implement a new back-office system. On July 22, 2019, the Board of Directors approved an amendment which allowed for an optional extension period of up to six months to the three-party agreement for joint operations of the combined 91 Express Lanes facility in the event the approved contractor may not be ready to commence operations under the new operating agreement. An additional extension for a period of up to three months is presented for approval should additional time be required to successfully transition to the new agreement.

**Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-3-1529 among the Orange County Transportation Authority, Riverside County Transportation Commission, and Cofiroute USA, LLC, for three one-month optional extension periods from January 1, 2022 through March 31, 2022, for continued operating services on the 91 Express Lanes.

**8. 91 Express Lanes Update for the Period Ending - September 30, 2021**  
Kirk Avila

**Overview**

The Orange County Transportation Authority has owned and managed the operations of the 91 Express Lanes since January 2003. Since that time, traffic volumes and toll revenues have fluctuated with the changes in the economy, added capacity to the State Route 91 corridor, and the recent coronavirus pandemic. Over the last quarter, there were approximately 5.1 million trips taken on the 91 Express Lanes in Orange County. This report focuses on the operational and financial activities for the period ending September 30, 2021.

**Recommendation**

Receive and file as an information item.



**Discussion Items**

**9. Chief Executive Officer's Report**

**10. Committee Members' Reports**

**11. Closed Session**

There are no Closed Session items scheduled.

**12. Adjournment**

The next regularly scheduled meeting of this Committee will be held at **10:30 a.m. on Wednesday, December 8, 2021**, at the Orange County Transportation Authority Headquarters, Conference Room 07, 550 South Main Street, Orange, California.



# **MINUTES**

## ***Finance and Administration Committee Meeting***

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### **Committee Members Present**

#### **Via Teleconference:**

Michael Hennessey, Chairman  
Steve Jones, Vice Chairman  
Katrina Foley  
Brian Goodell  
Patrick Harper  
Gene Hernandez  
Joe Muller

### **Staff Present**

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

#### **Via Teleconference:**

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

### **Committee Members Absent**

None

### **Call to Order**

The October 27, 2021, regular meeting of the Finance and Administration (F&A) Committee was called to order by Committee Chairman Hennessey at 10:31 a.m.

### **Roll Call**

Sahara Meisenheimer, Clerk of the Board Specialist, conducted an attendance roll call and announced a quorum of the F&A Committee.

### **Pledge of Allegiance**

Director Foley led in the Pledge of Allegiance.

#### **1. Public Comments**

There were no public comments received.

### **Special Calendar**

There were no Special Calendar matters.

### **Consent Calendar (Items 2 through 8)**

#### **2. Approval of Minutes**

A motion was made by Director Hernandez, seconded by Director Goodell, and following a roll call vote, declared passed 7-0, to approve the minutes of the Finance and Administration Committee meeting of October 13, 2021.



**3. Fiscal Year 2021-22 Internal Audit Plan, First Quarter Update**

A motion was made by Director Hernandez, seconded by Director Goodell, and following a roll call vote, declared passed 7-0, receive and file the first quarter update to the Orange County Transportation Authority Internal Audit Department Fiscal Year 2021-22 Internal Audit Plan as an information item.

**4. Evaluation of Independent Auditor and Consideration of Contract Amendment to Extend Audit Services through the Fiscal Year Ending June 30, 2023**

A motion was made by Director Hernandez, seconded by Director Goodell, and following a roll call vote, declared passed 7-0, to:

- A. Approve draft evaluation questions and comments compiled by the Internal Audit Department for the Finance and Administration Committee.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 3 to Agreement No. C-8-1911 between the Orange County Transportation Authority and Crowe LLP, to exercise the two-year option term, in the amount of \$592,200, to provide the annual financial and agreed-upon procedures audits for the fiscal years ending June 30, 2022 and 2023. This will increase the maximum obligation of the agreement to a total contract value of \$1,497,861.

**5. Property Insurance Policy Renewal**

A motion was made by Director Hernandez, seconded by Director Goodell, and following a roll call vote, declared passed 7-0, to authorize the Chief Executive Officer to negotiate and execute Purchase Order No. A48889, in an amount not to exceed \$735,000, to Marsh Risk and Insurance Services, Inc., to purchase property insurance on behalf of the Orange County Transportation Authority for the renewal of the coverage for the period of December 1, 2021 to December 1, 2022.

**6. Orange County Transportation Authority Investment and Debt Programs Report - September 2021**

A motion was made by Director Hernandez, seconded by Director Goodell, and following a roll call vote, declared passed 7-0, to receive and file as an information item.





**7. Fiscal Year 2020-21 Fourth Quarter Budget Status Report**

A motion was made by Director Hernandez, seconded by Director Goodell, and following a roll call vote, declared passed 7-0, to receive and file as an information item.

**8. First Quarter Fiscal Year 2021-22 Procurement Status Report**

A motion was made by Director Hernandez, seconded by Director Goodell, and following a roll call vote, declared passed 7-0, to receive and file as an information item.

**Regular Calendar**

There were no Regular Calendar items scheduled.

**Discussion Items**

**9. Chief Executive Officer's Report**

Darrell E. Johnson, Chief Executive Officer, reported on the following:

- The Orange County Transportation Authority (OCTA) is hosting a Second District Mayors' Forum today at 3:00 p.m. via Zoom. The purpose of the forum is to provide the mayors, council members, and city staff with an update on OCTA's projects and programs and to get input from the cities. Most recently, OCTA hosted the forums for the Fourth and Fifth Districts.
- In September, the hikes, and equestrian rides of OCTA's permanently protected wilderness preserves were reinstated. Another hike will be scheduled on Saturday, November 6<sup>th</sup> at 9:00 a.m. at the Wren's View Preserve in Trabuco Canyon. OCTA will also be hosting an equestrian ride at the Trabuco Rose Preserve in Trabuco Canyon on Sunday, November 20<sup>th</sup> at 10:00 a.m.

**10. Committee Members' Reports**

Director Foley thanked Chairman Hennessey for keeping the F&A Committee on Zoom and requests that it remains that way.

**11. Closed Session**

There were no Closed Session items scheduled.



**12. Adjournment**

The meeting adjourned at 10:38 a.m.

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

ATTEST

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Michael Hennessey  
Committee Chairman

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Sahara Meisenheimer  
Clerk of the Board Specialist



**November 10, 2021**

**To:** Finance and Administration Committee

**From:** Darrell E. Johnson, Chief Executive Officer

**Subject:** Fiscal Year 2021-22 First Quarter Grant Reimbursement Status Report

### **Overview**

The Quarterly Grant Reimbursement Status Report summarizes grant activities for the Orange County Transportation Authority Board of Directors. This report focuses on activity for the first quarter of fiscal year 2021-22, covering July through September 2021.

### **Recommendation**

Receive and file as an information item.

### **Discussion**

The Orange County Transportation Authority (OCTA) has secured grant funding from federal and state grant agencies to deliver programs, projects, and services to improve mobility in Orange County. The use of these funds is consistent with capital programming policies approved by the OCTA Board of Directors (Board). The Quarterly Grant Reimbursement Status Report summarizes current, pending close-out, and closed grant agreements.

#### **Awarded/Executed Grant Agreements:**

OCTA executed eight formula grants and two discretionary grants during the first quarter, which are summarized below.

#### **American Rescue Plan Act of 2021 (ARPA) Federal Transit Administration (FTA) Section 5307**

OCTA executed an FTA grant agreement to secure ARPA funds for FTA Section 5307. OCTA will receive \$164 million in FTA Section 5307 funds for federal fiscal year (FFY) 2021. These funds will be used to support operating costs for fixed-route services and are provided on a reimbursement basis.

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Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA) FTA Section 5307

OCTA executed an FTA grant agreement to secure CRRSAA funds for FTA Section 5307. OCTA will receive \$38.8 million in FTA Section 5307 funds for FFY 2021. These funds will be used to support operating costs for fixed-route service and are provided on a reimbursement basis.

FFY 2021 FTA Section 5307 Formula Grant Program

OCTA executed an FTA grant agreement to secure \$60.1 million in FTA Section 5307 formula funds allocated to OCTA for FFY 2021. These funds will be used to provide capital and operating assistance for fixed-route service to cover preventative maintenance expenses, capital cost of contracting, and non-fixed-route operating assistance.

ARPA FTA Section 5310

OCTA executed an FTA grant agreement to secure ARPA funds for FTA Section 5310. OCTA will receive \$391,311 in FTA Section 5310 funds for FFY 2021. These funds will be used to support operating costs for paratransit services.

CRRSAA FTA Section 5310

OCTA executed an FTA grant agreement to secure CRRSAA funds for FTA Section 5310. OCTA will receive \$391,305 in FTA Section 5310 funds for FFY 2021. These funds will be used to support operating costs for paratransit services.

FFY 2021 FTA Section 5310 Enhanced Mobility for Seniors and Disabled

OCTA executed an FTA grant agreement to secure \$2.3 million in FTA Section 5310 funds allocated to OCTA for FFY 2021. The funds will be used to support the capital costs of contracting for ACCESS services.

FFY 2021 FTA Section 5337 Formula Grant Program

OCTA executed an FTA grant agreement to secure \$3.3 million in FTA Section 5337 funds allocated to OCTA for FFY 2021. The funds will be used to support preventative maintenance expenses and the Fullerton Transportation Center Staircase Rehabilitation Project.

Federal Highway Administration (FHWA) Surface Transportation Block Grant (STBG)

OCTA received FHWA grant funding securing \$10.9 million in STBG funds allocated to OCTA. The funds will be used for the project specifications and environmental (PA/ED) phase for improvements on Interstate 5 from Yale Avenue to State Route 55.

FY 2020-21 Low Carbon Transit Operations Program (LCTOP)

OCTA received \$6.3 million in LCTOP funds to support the College Pass Program at Orange Coast College, OCTA's "Welcome Back" Fare Reduction Program for Orange County Bus Riders, and to provide additional funding for the purchase of ten battery-electric buses, bus depot upgrades and the charging infrastructure.

FY 2021-22 SB 1 (Chapter 5, Statutes of 2017) State of Good Repair (SGR)

The Board authorized OCTA to utilize FY 2021-22 SB1 SGR funds for the Transit Security and Operations Center (TSOC) Project. OCTA received \$6.4 million for the TSOC Project, which replaces OCTA's control center facility and will provide space and equipment for Central Communications (Dispatch, Field Operations, Security and Emergency Preparedness, Transit Police Services, and OCTA operations support personnel).

Current Grant Agreements:

OCTA's FTA formula grant agreements total 18 and FTA discretionary grant agreements total five.

The 18 FTA formula grant agreements have a total federal amount of \$667.7 million. This includes coronavirus (COVID-19) relief funds that will be used for operating costs for fixed-route and paratransit service and COVID-19 labor, materials, and supplies. A total of \$212.5 million has been reimbursed, leaving a balance of approximately \$455.2 million. The balance of these FTA formula grant agreements will primarily fund the OC Streetcar, fixed-route bus procurements, and rail rehabilitation projects.

The FTA discretionary grant agreements have a total federal amount of \$164.1 million. This includes the full funding grant agreement award of \$148.9 million. A total of \$95.2 million has been reimbursed, leaving a balance of \$68.9 million. The balance of these FTA discretionary grant agreements will primarily fund the OC Streetcar and slope stabilization improvements on the railroad right-of-way from the City of Laguna Niguel to the City of Lake Forest.

The total FTA formula and discretionary grant agreements amount to \$831.8 million. The total amount reimbursed through the first quarter under these grant agreements is \$307.7 million, leaving a balance of \$524.1 million. These grant agreements are summarized in Attachment A.

OCTA has 30 active state and FHWA formula grant agreements that total \$90.7 million. The total amount reimbursed through the first quarter under these other agreements is \$27.5 million, leaving a balance of \$63.2 million. These grant agreements are summarized in Attachment B.

In addition, OCTA has 11 active state discretionary grant agreements totaling approximately \$34.1 million. The total amount reimbursed through the first quarter under these other agreements is \$16.4 million, leaving a balance of \$17.7 million. These grant agreements are summarized in Attachment C.

This report activity is as of June 30, 2021, and any grants with a deadline between the quarter end and the date this report is published will be fully reimbursed and closed out. This activity will be reflected in next quarter's report. Additionally, for these grants, staff anticipates each of the remaining balances to be fully reimbursed prior to the grant agreement expiration date.

#### **Grant Agreements Pending Close-Out**

There are four grant agreements totaling \$7.4 million that are pending close-out in the first quarter of FY 2021-22. All invoices for these grant agreements have been submitted to their external funding agency for reimbursement. OCTA is pending approval of close-out documentation. These grant agreements are summarized in Attachment D.

#### **Closed Grant Agreements**

There are ten grant agreements totaling \$49.6 million that were closed out in the first quarter of FY 2021-22. These grant agreements are summarized in Attachment E.

#### ***Summary***

This report provides an update of the grant agreement-funded activities for the first quarter of FY 2021-22, July through September 2021. Staff recommends this report be received and filed as an information item.

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***Attachments***

- A. First Quarter Grant Reimbursement Status Report, July through September 2021, Federal Transit Administration (FTA) Formula and Discretionary Grant Agreements
- B. First Quarter Grant Reimbursement Status Report, July through September 2021, State and Federal Highway Administration (FHWA) Formula Grant Agreements
- C. First Quarter Grant Reimbursement Status Report, July through September 2021, State Discretionary Grant Agreements
- D. First Quarter Grant Reimbursement Status Report, July through September 2021, Grant Agreements Pending Closeout
- E. First Quarter Grant Reimbursement Status Report, July through September 2021, Closed Grant Agreements

**Prepared by:**



Sam Kaur  
Department Manager,  
Revenue Administration  
714-560-5889

**Approved by:**



Andrew Oftelie  
Chief Financial Officer,  
Finance and Administration  
714-560-5649

# First Quarter Grant Reimbursement Status Report

July through September 2021

Federal Transit Administration (FTA) Formula and Discretionary Grant Agreements						
	FEDERAL FISCAL YEAR	GRANT NUMBER	FEDERAL AMOUNT	FEDERAL AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
<b>Formula Grants</b>						
<b>FTA Section 5307 - Coronavirus Aid, Relief and Economic Security (CARES) Act</b>						
1	2020	CA-2020-146	\$ 160,419,003	\$ 98,743,970	\$ 61,675,033	September 2022
2	2021	CA-2021-153	163,993,248	0	163,993,248	December 2023
3	2021	CA-2021-154	38,747,219	0	38,747,219	February 2022
<b>FTA Section 5307 CARES Grant Subtotal</b>			<b>\$ 363,159,470</b>	<b>\$ 98,743,970</b>	<b>\$ 264,415,500</b>	
<b>FTA Section 5307 - FTA Urbanized Area Formula Grant Program</b>						
4	2013	CA-90-Z027	\$ 53,878,508	\$ 53,688,114	\$ 190,394	December 2021
5	2021	CA-2021-187	60,143,314	0	60,143,314	March 2022
<b>FTA Section 5307 Grant Subtotal</b>			<b>\$ 114,021,822</b>	<b>\$ 53,688,114</b>	<b>\$ 60,333,708</b>	
<b>FTA Section 5307 - Federal Funds flexed from the Federal Highway Administration (FHWA):</b>						
6	2010	CA-95-X131	\$ 2,102,650	\$ 2,051,516	\$ 51,134	April 2023
7	2014	CA-95-X286	6,621,000	5,600,010	1,020,990	October 2022
8	2017	CA-2017-072	31,567,405	28,436,932	3,130,473	June 2022
9	2019	CA-2020-050	76,843,769	5,020,430	71,823,339	June 2026
10	2020	CA-2021-010	42,599,378	4,754,625	37,844,753	December 2023
<b>FTA Section 5307 Flexed Grant Subtotal</b>			<b>\$ 159,734,202</b>	<b>\$ 45,863,513</b>	<b>\$ 113,870,689</b>	
<b>FTA Section 5310 - Enhanced Mobility of Seniors &amp; Individuals with Disabilities Grant Program</b>						
11	2021	CA-2021-155	\$ 391,311	\$ 0	\$ 391,311	November 2021
12	2021	CA-2021-156	391,305	0	391,305	November 2021
13	2021	CA-2021-190	2,291,380	0	2,291,380	December 2021
<b>FTA Section 5310 Grant Subtotal</b>			<b>\$ 3,073,996</b>	<b>\$ 0</b>	<b>\$ 3,073,996</b>	
<b>FTA Section 5316 - Jobs Access and Reverse Commute (JARC) Grant Program</b>						
14	2009	CA-37-X113	\$ 13,962,491	\$ 12,862,759	\$ 1,099,732	December 2022
<b>FTA Section 5316 Grant Subtotal</b>			<b>\$ 13,962,491</b>	<b>\$ 12,862,759</b>	<b>\$ 1,099,732</b>	
<b>FTA Section 5337 - State of Good Repair Grant Program</b>						
15	2020	CA-2020-269	\$ 3,470,454	\$ 1,139,198	\$ 2,331,256	January 2022
16	2021	CA-2021-227	3,274,762	0	3,274,762	January 2023
<b>FTA Section 5337 Grant Subtotal</b>			<b>\$ 6,745,216</b>	<b>\$ 1,139,198</b>	<b>\$ 5,606,018</b>	
<b>FTA Section 5339 - Buses and Bus Facilities Grant Program</b>						
17	2020	CA-2020-276	\$ 6,794,700	\$ 0	\$ 6,794,700	December 2022
<b>FTA Section 5339 Grant Subtotal</b>			<b>\$ 6,794,700</b>	<b>\$ 0</b>	<b>\$ 6,794,700</b>	

ATTACHMENT A



# First Quarter Grant Reimbursement Status Report

July through September 2021

Federal Transit Administration (FTA) Formula and Discretionary Grant Agreements						
	FEDERAL FISCAL YEAR	GRANT NUMBER	FEDERAL AMOUNT	FEDERAL AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
<b>Formula Grants</b>						
<b>FTA Section 5304 - Sustainable Communities</b>						
18	2020	Freeway Bus Rapid Transit Concept Study	\$ 210,602	\$ 148,740	\$ 61,862	December 2021
<b>FTA Section 5304 Grant Subtotal</b>			<b>\$ 210,602</b>	<b>\$ 148,740</b>	<b>\$ 61,862</b>	
<b>FTA Formula Grants Total</b>			<b>\$ 667,702,499</b>	<b>\$ 212,446,294</b>	<b>\$ 455,256,205</b>	

	FEDERAL FISCAL YEAR	GRANT NUMBER	FEDERAL AMOUNT	FEDERAL AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
<b>Discretionary Grants</b>						
<b>FTA Section 5309 - Discretionary Capital Grant Program</b>						
19	2008	CA-04-0078	\$ 7,021,300	\$ 6,302,251	\$ 719,049	December 2021
20	2012	CA-05-0269	6,000,000	5,986,157	13,843	November 2021
21	2018	CA-2020-281	913,115	69,951	843,164	September 2025
<b>FTA Section 5309 Grant Subtotal</b>			<b>\$ 13,934,415</b>	<b>\$ 12,358,359</b>	<b>\$ 1,576,056</b>	
<b>FTA Section 5309 - Discretionary Capital Grant Program</b>						
22	2019	CA-2019-018	\$ 148,955,409	\$ 82,314,422	\$ 66,640,987	October 2023
<b>FTA Section 5309 FFGA Grant Subtotal</b>			<b>\$ 148,955,409</b>	<b>\$ 82,314,422</b>	<b>\$ 66,640,987</b>	
<b>FTA Section 5339b - Bus and Bus Facilities</b>						
23	2017	CA-2021-052	\$ 1,206,518	\$ 540,356	\$ 666,162	July 2022
<b>FTA 5339b Grant Subtotal</b>			<b>\$ 1,206,518</b>	<b>\$ 540,356</b>	<b>\$ 666,162</b>	
<b>FTA Discretionary Grants Total</b>			<b>\$ 164,096,342</b>	<b>\$ 95,213,137</b>	<b>\$ 68,883,205</b>	
<b>Total FTA Formula and Discretionary Grant Agreements</b>			<b>\$ 831,798,841</b>	<b>\$ 307,659,431</b>	<b>\$ 524,139,409</b>	

## Funding Source Notes

FTA Section 5307 - CARES Act: Federal emergency relief funds in response to coronavirus.

FTA Section 5307 - FTA Urbanized Area Formula Grant Program: Funds are used to fund preventive maintenance, capital cost of contracting, and to purchase revenue vehicles, facility modifications, and bus-related equipment.

FTA Section 5307 - Federal Funds flexed from the FHWA:: Funds are used to fund preventive maintenance, capital cost of contracting, and to purchase revenue vehicles, facility modifications, and bus-related equipment.

## First Quarter Grant Reimbursement Status Report

July through September 2021

### Federal Transit Administration (FTA) Formula and Discretionary Grant Agreements

FTA Section 5310 - Enhanced Mobility of Seniors & Individuals with Disabilities Grant Program: Formula funding to states for the purpose of assisting nonprofit groups in meeting the transportation needs of the elderly and persons with disabilities.

FTA Section 5316 - Jobs Access and Reverse Commute (JARC) Grant Program: Grants provide funds to support new transit services and to establish mobility management programs to assist low-income individuals.

FTA Section 5337 - State of Good Repair Grant Program: A formula-based State of Good Repair program dedicated to repairing and upgrading the nation's rail transit systems along with high-intensity motor bus systems that use high-occupancy lanes.

FTA Section 5339 - Buses and Bus Facilities Grant Program: A formula-based program dedicated to support capital projects such as the replacement, rehabilitation, and purchase of buses, vans, and related equipment.

FTA Section 5309 - Discretionary Capital Grant Program: Grants provide for projects that improve efficiency and coordination of transportation systems.

FTA Section 5309 - Discretionary Capital Grant Program (FFGA): Grants provide for projects that improve efficiency and coordination of transportation systems.

FTA Section 5304 - Sustainable Communities: A formula-based grant to provide a safe, sustainable, integrated and efficient transportation system.

FTA Section 5339b - Bus and Bus Facilities: Grants provide support for capital projects such as the replacement, rehabilitation, and purchase of buses, vans, and related equipment.

**First Quarter Grant Reimbursement Status Report**  
**July through September 2021**

State and Federal Highway Administration (FHWA) Formula Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
FHWA Congestion Mitigation & Air Quality (CMAQ) Grant Program						
1	2015	Interstate-5, State Route-55 to State Route-57 (PS&E)	\$ 2,800,000	\$ 2,352,003	\$ 447,997	June 2022
CMAQ Subtotal			\$ 2,800,000	\$ 2,352,003	\$ 447,997	
FHWA Grant Program - State Transportation Block Grant (STBG)						
2	2016	Interstate-405, State Route-73 to Interstate-605 (CON)	\$ 1,000	\$ 0	\$ 1,000	June 2022
3	2018	Interstate-5, State Route-55 to State Route-57 (CON)	1,340,000	129,522	1,210,478	June 2022
4	2018	State Route-55, Interstate-405 to Interstate-5 (PS&E)	18,100,000	18,064,887	35,113	June 2023
5	2019	Interstate-5, Orange/San Diego County Line to Avenida Pico (PA/ED)	5,500,000	87,855	5,412,145	June 2022
6	2020	Interstate-5 Segment 1, State Route-73 to Oso Pkwy (CON)	3,984,000	1,052,048	2,931,952	June 2022
7	2020	Interstate-5, Yale to SR-55 (PS&E)	10,900,000	257,318	10,642,682	June 2025
STBG Subtotal			\$ 39,825,000	\$ 19,591,631	\$ 20,233,369	
Low Carbon Transit Operations Program (LCTOP) - California Department of Transportation						
8	2018	Bravo! Route 529 Start-up & Operations	\$ 4,787,534	\$ 4,291,737	\$ 495,797	January 2022
9	2019	College Fare Program for Fullerton	381,523	0	381,523	August 2022
10	2019	College Fare Program for Golden West	215,279	118,709	96,570	August 2022
11	2019	College Fare Program for Santa Ana College	393,198	0	393,198	December 2022
12	2019	Travel Training	685,000	312,708	372,292	July 2022
13	2020	Battery Electric Buses, Bus Depot Upgrade & Charging Infrastructure	7,600,269	0	7,600,269	June 2023
14	2020	Bravo! Route 529 Start-up & Operations	1,470,913	0	1,470,913	January 2023
15	2020	College Fare Program - Irvine Valley, Saddleback, Cypress and Coastline	749,243	18,531	730,712	December 2023
16	2020	Youth Ride Free Program	2,000,000	82,395	1,917,605	September 2024
17	2021	College Fare Program for Orange Coast College	716,152	0	716,152	August 2022
18	2021	Welcome Back Fare Reduction Program	3,703,032	0	3,703,032	August 2022
LCTOP Subtotal			\$ 22,702,143	\$ 4,824,080	\$ 17,878,064	
State Transportation Improvement Plan (STIP) Programming, Planning & Monitoring (PPM)						
19	2021	PPM Program	\$ 1,000,000	\$ 0	\$ 1,000,000	December 2023
STIP PPM Subtotal			\$ 1,000,000	\$ 0	\$ 1,000,000	

**First Quarter Grant Reimbursement Status Report**  
**July through September 2021**

State and Federal Highway Administration (FHWA) Formula Grant Agreements						
	FISCAL YEAR (FY)	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT
<b>Senate Bill 1 (SB1): State of Good Repair (SGR)</b>						
20	2019	iShuttle Replacement Buses	\$ 5,580,604	\$ 0	\$ 5,580,604	December 2021
21	2020	El Dorado Cutaway Bus Replacement	2,070,281	0	2,070,281	September 2022
22	2020	iShuttle Replacement Buses	3,062,751	0	3,062,751	September 2023
23	2020	Replacement of Emergency Standby Generators	800,000	742,197	57,803	December 2021
24	2021	Bus Wash Drainage System Repairs at Anaheim Base	150,000	0	150,000	March 2023
25	2021	Electrical Service for Hydrogen Fueling Station at Santa Ana Bus Base	425,000	0	425,000	June 2023
26	2021	Fire Alarm Control Panel Replacement at Santa Ana Base	300,000	0	300,000	March 2023
27	2021	Replacement of Emergency Standby Generators	574,200	0	574,200	December 2021
28	2021	Security Gates	2,966,000	0	2,966,000	December 2023
29	2021	Transit Security Operation Center	2,011,278	0	2,011,278	April 2025
30	2022	Transit Security Operation Center	6,393,649	0	6,393,649	April 2025
<b>SB1 SGR Subtotal</b>			<b>\$ 24,333,763</b>	<b>\$ 742,197</b>	<b>\$ 23,591,566</b>	
<b>Total State and FHWA Formula Grant Agreements</b>			<b>\$ 90,660,906</b>	<b>\$ 27,509,910</b>	<b>\$ 63,150,996</b>	

**Project Phases:**

CON- Construction, Construction Management, Construction Engineering or Force Account expenses.  
PA/ED- Project Approval and Environmental Design.  
PS&E- Agency Preliminary Engineering.  
PSR- Development Support and Project Study Report.  
ROW- Right of Way Services, Engineering, Administration, Acquisition, Utility Relocation or Relocation Assistance.

First Quarter Grant Reimbursement Status Report  
July through September 2021

State Discretionary Grant Agreements										
	FISCAL YEAR	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE	ANTICIPATED CLOSE-OUT				
Hazard Mitigation Grant Program (HMGP) - Federal Emergency Management Agency										
	1	2020	Hazard Mitigation Plan	\$	93,750	\$	0	\$	93,750	September 2022
HMGP Subtotal				\$	93,750	\$	0	\$	93,750	
Active Transportation Program (ATP)										
	2	2020	Safe Travels Education Program Campaign	\$	500,000	\$	120,479	\$	379,521	July 2022
ATP Subtotal				\$	500,000	\$	120,479	\$	379,521	
Air Quality Management District Grant Program and Mobile Source Air Pollution Reduction Review Committee (MSRC)										
	3	2019	La Habra Union Pacific Rail Bikeway	\$	91,760	\$	0	\$	91,760	November 2023
	4	2020	College Fare Program for Fullerton		212,000		165,236		46,764	March 2022
MSRC Subtotal				\$	303,760	\$	165,236	\$	138,524	
Transit and Intercity Rail Capital Program (TIRCP)										
	5	2016	OC Streetcar (CON)	\$	25,586,000	\$	12,705,055	\$	12,880,945	May 2022
CAPITAL & TRADE TIRCP Subtotal				\$	25,586,000	\$	12,705,055	\$	12,880,945	
Transit Security Administration (TSA) National Explosives Detection Canine Team Program - Department of Homeland Security										
	6	2020	Transportation Security Administration Canine	\$	568,125	\$	249,951	\$	318,174	February 2023
TSA Canine Subtotal				\$	568,125	\$	249,951	\$	318,174	
Senate Bill 1 (SB1): Local Partnership Program LPP										
	7	2018	Garden Grove Boulevard Signal Synchronization (CON)	\$	1,353,000	\$	858,096	\$	494,904	December 2023
	8	2018	Katella Avenue Signal Synchronization (CON)		2,449,000		673,746		1,775,254	December 2023
	9	2018	Los Alisos Boulevard Signal Synchronization (CON)		1,117,000		657,922		459,078	December 2023
	10	2018	Main Street Signal Synchronization (CON)		1,926,000		968,562		957,438	December 2023
SB1 LPP Subtotal				\$	6,845,000	\$	3,158,326	\$	3,686,674	
SB1: Planning Grants (PL)										
	11	2021	OC Bike Connectors Gap Closure Feasibility Study	\$	160,000	\$	6,392	\$	153,608	April 2023
SB1 PL Subtotal				\$	160,000	\$	6,392	\$	153,608	
Total State Discretionary Grant Agreements				\$	34,056,635	\$	16,405,439	\$	17,651,196	

**Project Phases:**  
CON- Construction, Construction Management, Construction Engineering or Force Account expenses.

**First Quarter Grant Reimbursement Status Report**  
**July through September 2021**

Grant Agreements Pending Close-out						
	FISCAL YEAR (FY)	FUNDING SOURCE	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE
1	2017	LCTOP	Bus Bicycle Racks	\$ 766,345	\$ 766,345	\$ 0
2	2019	LCTOP	Battery Electric Buses, Bus Depot Upgrade & Charging Infrastructure	2,523,000	0	2,523,000
3	2020	LCTOP	Metrolink Service Expansion	2,100,000	0	2,100,000
4	2018	PROP 1B IRI	Laguna Niguel to San Juan Capistrano Passing Siding (CON)	2,000,000	2,000,000	0
<b>Total Grant Agreements Pending Close-out</b>				<b>\$ 7,389,345</b>	<b>\$ 2,766,345</b>	<b>\$ 4,623,000</b>

<b>Funding Source Notes</b> Low Carbon Transit Operations Program (LCTOP): remaining balances have been reallocated to active LCTOP projects.  State Proposition 1B - Intercity Rail Improvement (PROP 1B IRI)	<b>Project Phases:</b> CON- Construction, Construction Management, Construction Engineering or Force Account expenses.
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**First Quarter Grant Reimbursement Status Report**  
**July through September 2021**

Closed Grant Agreements						
	FISCAL YEAR (FY)	FUNDING SOURCE	PROJECT	GRANT AMOUNT	AMOUNT REIMBURSED	REMAINING BALANCE
1	2019	FTA Section 5339	FTA CA-2020-041	\$ 13,605,987	\$ 13,605,987	\$ 0
2	2019	MSRC	OC Fair Express	468,298	231,457	236,841
3	2019	PROP 116	Laguna Niguel to San Juan Capistrano Passing Siding (CON)	4,733,344	4,733,344	0
4	2014	RSTP	Interstate-5 Segment 2, Oso Pkwy to Alicia Pkwy (PS&E)	10,000,000	10,000,000	0
5	2015	RSTP	Interstate-5 Segment 1, State Route-73 to Oso Pkwy (PS&E)	9,101,000	9,101,000	0
6	2015	RSTP	State Route-91, State Route-57 to State Route-55 (PA/ED)	7,000,000	6,365,963	634,037
7	2016	RSTP	State Route-57, Orangewood to Katella Ave (PA/ED)	2,500,000	1,928,825	571,175
8	2019	SB1 APG	Orange County Rail Infrastructure Defense Against Climate Change	461,771	456,571	5,200
9	2019	SB1 PL	Safe Routes to School Action Plan	264,000	264,000	0
10	2019	STIP PPM	PPM Program	1,481,000	1,481,000	0
Total Closed Grants				\$ 49,615,400	\$ 48,168,146	\$ 1,447,254

**Funding Source Notes**

Federal Transit Administration (FTA) Section 5339 - Buses and Bus Facilities Grant Program: A formula-based program dedicated to support capital projects such as the replacement, rehabilitation, and purchase of buses, vans, and related equipment.

Mobile Source Air Pollution Reduction Review Committee (MSRC): The remaining funds were not reimbursed because the OC Fair Express service did not operate in 2020 due to coronavirus.

State Proposition 116 (PROP 116): Clean Air and Transportation Improvement Act Bond Funds

Federal Highway Administration Regional Surface Transportation Program (RSTP) Grant Program: Balance will be de-obligated and programmed to a future eligible RSTP Project.

Senate Bill 1 (SB1): Adaptation Planning Grants (APG) : Remaining funds reflect project savings

SB1: Planning Grants (PL)

State Transportation Improvement Plan (STIP) Programming, Planning & Monitoring (PPM)

**Project Phases:**

CON- Construction, Construction Management, Construction Engineering or Force Account expenses.

PA/ED- Project Approval and Environmental Design.

PS&E- Agency Preliminary Engineering.



**November 10, 2021**

**To:** Finance and Administration Committee

**From:** Darrell E. Johnson, Chief Executive Officer

**Subject:** Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board

### **Overview**

The Orange County Transportation Authority Board of Directors authorized loan agreements with the cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board. This report provides the annual update on the status of each of these agreements as requested by the Board of Directors.

### **Recommendation**

Receive and file as an information item.

### **Background**

#### **City of Anaheim**

In July 2012, the Orange County Transportation Authority (OCTA) entered into a purchase and sale agreement with the City of Anaheim (Anaheim) selling real property valued at \$32.5 million to enable the construction of the Anaheim Regional Transportation Intermodal Center. Anaheim provided \$1 million as a down payment into escrow, with the remaining \$31.5 million to be paid over a 13-year period. The interest rate on the loan is set at a fixed-interest rate of two percent, with the interest portion of the loan to be paid in the final two years of the loan period.

Anaheim uses its Measure M2 (M2) Local Fair Share (LFS) funds to repay the loan, and the funds have been automatically deducted from Anaheim's bimonthly LFS payments since July 2012. The remaining principal balance is \$4.7 million, and the accrued interest is \$3.7 million as of September 30, 2021. The loan repayments will continue to be deducted from bimonthly M2 LFS payments until the loan balance reaches zero in fiscal year (FY) 2024-25. Should Anaheim become ineligible to receive LFS, or if the LFS funds are insufficient to meet the scheduled payment, California Highway Users Tax Account funds would be utilized to make the payments.



## **Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and West Orange County Water Board**

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### **City of Buena Park (Buena Park)**

In April 2016, OCTA entered into a purchase and sale agreement with the City of Buena Park selling excess parcel remnants valued at \$1.04 million, from the Interstate 5 Freeway Widening Project. Buena Park provided \$514,000 as a down payment. Per the agreement, Buena Park will pay the balance over a five-year period until April 2021, with the balance secured by a deed of trust. In April 2017, Buena Park began making annual principal payments of \$105,200 plus interest. The interest calculation is based on OCTA's actual short-term investment portfolio earnings rate for the prior 12-month period, and resets annually. The interest rate for FY 2018-19 was 2.13 percent and for FY 2019-20 was 0.40 percent. The City of Buena Park made their final payment in April 2021.

### **City of Placentia**

In February 2010, OCTA entered into a loan agreement with the City of Placentia (Placentia) for \$4.1 million so Placentia could repay the California Department of Transportation for ineligible expenditures on rail grade separation projects. The loan amount of \$4.1 million is to be repaid over a 19-year period that began July 1, 2011 and continues through May 1, 2030. The remaining balance is \$1.9 million as of September 30, 2021, and is estimated to be paid by May 2026. The loan is anticipated to be paid in full ahead of schedule due to actual interest rates being lower than the rate assumed at the time the loan agreement was executed in February 2010. The initial assumption was that the interest rate for the life of the loan would be four percent. However, the actual interest rate on the loan is based on OCTA's actual short-term investment portfolio earnings rate for the prior 12-month period, and resets annually. Actual interest rates since the inception of the loan have been below 2.5 percent with the current interest rate at 0.35 percent.

Placentia uses its M2 LFS funds to repay the loan, and the funds are automatically deducted from Placentia's bimonthly LFS payments. The agreement allows OCTA to withhold 30 percent of Placentia's LFS funds beginning in FY 2011-12. Placentia's contribution increases by one percentage point each FY thereafter until the advance is fully repaid. Placentia's current contribution is 40 percent of their LFS payments. Should Placentia become ineligible to receive LFS, Placentia would be required to pledge other appropriate funding to repay the full amount of the advance and interest thereon.

**West Orange County Water Board (WOCWB)**

In October 2017, OCTA entered into a reimbursement agreement with the WOCWB for up to \$4.7 million for the relocation of a pipeline facility necessary to facilitate the Interstate 405 Widening Project. An amendment to the agreement was approved by the OCTA Board of Directors (Board) on November 27, 2017, to increase the loan amount by \$1.3 million to accommodate the final project cost received by the WOCWB.

Per the terms identified in the agreement, the WOCWB will make quarterly payments with the interest rate being equal to the State of California Surplus Money Investment Fund (SMIF). The SMIF interest rate on the September 2021 payment was 0.277 percent. The term of the loan has been structured to not exceed ten years. OCTA began receiving quarterly payments from the WOCWB in June 2018. In April 2020, the WOCWB returned unused principal of \$198,741 as required in the loan agreement upon project completion. The remaining balance is \$2.7 million as of September 30, 2021. The WOCWB will continue making quarterly payments until the loan has been fully repaid in March 2028.

***Discussion***

OCTA continues to withhold payments from M2 LFS funds to repay the loans established with the cities of Anaheim and Placentia. The 14th quarterly payment from the WOCWB has also been received. OCTA will continue to follow the terms identified in all loan agreements by withholding payments and invoicing responsible parties as applicable. The beginning balance, amount collected, and outstanding balance for each loan as of September 30, 2021, can be found on Attachment A.

***Summary***

The Orange County Transportation Authority Board of Directors authorized loan agreements with the cities of Anaheim, Buena Park, Placentia, and the West Orange County Water Board. The City of Buena Park has fully paid their loan. Each entity has been making payments per their respective agreements.

**Update on the Loan Agreements with the Cities of Anaheim, Buena Park, Placentia, and West Orange County Water Board** *Page 4*

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***Attachment***

A. Status of Loan Agreements as of September 30, 2021

**Prepared By:**



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**Approved By:**



Andrew Oftelie  
Chief Financial Officer,  
Finance and Administration  
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# ATTACHMENT A

## Status of Loan Agreements as of September 30, 2021

Borrower	Type of Agreement	Loan Period Begin Date	Interest Rate % Prior Payment <sup>1</sup>	Beginning Principal Balance	Principal Paid	Interest Paid	Outstanding Principal	Loan Maturity
City of Anaheim <sup>2</sup>	Purchase and Sale Agreement	July 2012	2%	32,500,000	27,833,333	-	4,666,667	May 20, 2025
City of Buena Park	Purchase and Sale Agreement	April 2016	2.13% (4/29/20-6/30/20) 0.40% (7/1/20-4/28/21)	1,040,000	1,040,000	22,384	-	April 29, 2021
City of Placentia <sup>3</sup>	Loan Agreement	February 2010	0.35%	4,227,585	2,335,212	420,136	1,892,373	May 1, 2030
West Orange County Water Board <sup>4</sup>	Reimbursement Agreement for Utility Relocation	October 2017	0.277%	5,995,394	3,293,101	191,965	2,702,293	March 1, 2028

1. Interest rates vary for the cities of Buena Park, Placentia and the West Orange County Water Board. Interest rates listed represent rates for the prior payments.

2. Interest for the City of Anaheim loan is scheduled to be paid in the final two years of the loan.

3. The City of Placentia's principal balance includes capitalized interest in the amount of \$127,586.

4. The West Orange County Water Board made an additional principal payment of \$1.5 million in September 2018 and returned unused principal of \$198,741.28 in April 2020.



**November 10, 2021**

**To:** Finance and Administration

**From:** Darrell E. Johnson, Chief Executive Officer

**Subject:** Orange County Employees Retirement System Early Payment for Fiscal Year 2022-23

### **Overview**

The Orange County Employees Retirement System has offered an early payment discount to member agencies of 5.8 percent if they elect to prepay their contributions for fiscal year 2022-23. Advance payments must be received before January 14, 2022. The estimated savings for the Orange County Transportation Authority over the next year and a half under this payment option will total approximately \$1.6 million. Board of Directors' authorization is requested for the early payment option.

### **Recommendation**

Authorize the early payment of approximately \$28.9 million by January 14, 2022, to the Orange County Employees Retirement System, for member contributions for fiscal year 2022-23.

### **Background**

The Orange County Employees Retirement System (OCERS) provides retirement benefits to Orange County Transportation Authority (OCTA) employees. The majority of OCTA employees and retirees are covered by the OCERS plan. OCERS is a defined benefit plan with benefits determined by a formula based on years of service, age at retirement, and highest average salary over a consecutive three-year period. OCERS is administered by a ten-member Board of Retirement. The OCERS Board of Retirement serves as fiduciary and has administrative authority over investments and benefits. As of June 30, 2021, the plan had over \$21.5 billion in assets. OCERS operates under the state statutory requirements of the County Employees Retirement Act of 1937, a section of the California Government Code.

Employer contributions to OCERS are calculated each pay period by OCTA and paid electronically every two weeks. During fiscal year (FY) 2022-23, based on data from the budget, OCTA will contribute approximately \$33.1 million to OCERS, based upon wages of approximately \$105.3 million. OCTA's employer rate is 31.71 percent, and the Public Employees' Pension Reform Act (PEPRA) contribution rate is 30.85 percent during this time period.

### ***Discussion***

On July 19, 2021, the OCERS Board of Retirement voted to offer an early payment discount on employer contribution payments made before January 14, 2022, for the succeeding FY. OCERS is offering to discount the contributions for FY 2022-23 by 5.8 percent. If the early payment option is exercised, OCERS will reconcile the projected payroll wages for the FY and collect appropriate additions or provide credits against future payments from OCTA for FY 2022-23.

The OCTA Board of Directors approved a similar action in previous years where the early payment option was exercised. By using available cash now, OCTA will reduce the overall cost of future budgeted expenditures.

For FY 2022-23, OCERS increased OCTA's employer rates to 31.71 percent from the FY 2021-22 rate of 31.51 percent. The PEPRA contribution rate decreased to 30.85 percent for FY 2022-23 from the 31.13 percent rate in FY 2021-22. OCTA's estimated wages for FY 2022-23 are \$105.3 million. Applying the 31.71 percent and 30.85 percent PEPRA employer's rates to the estimated wages for the year translates into an approximate contribution value of \$33.1 million for FY 2022-23. Further, there is a balance from the prepayment contribution for FY 2021-22 of \$2,424,743.77, which is required to be applied as a credit for this year's prepayment.

Under the early payment option, OCTA has the choice of paying OCERS \$28.9 million (\$33.1 million discounted by 5.8 percent for a total of \$31.3 million, less the \$2.4 million credit) by January 14, 2022, or OCTA would make the regular biweekly payments of approximately \$1,180,260 for the employer contribution, (for a total of \$30.7 million) during FY 2022-23. Given these assumptions, OCTA has calculated the savings to equal approximately \$1.6 million (which is the net between the \$1.8 million savings from the OCERS prepayment and \$200,000 estimated interest earnings by OCTA, assuming one percent in interest earnings).

Based upon this analysis, it is financially advantageous for OCTA to exercise this early payment option. If this option were to be exercised, these funds would

be deposited into OCERS on behalf of OCTA and be credited to OCTA's account. The funds will be paid from the General Fund (36.8 percent), and the Orange County Transit District Fund (63.2 percent).

***Summary***

Orange County Employees Retirement System has offered an early payment of contributions to member agencies for the upcoming fiscal year. Under this early payment option, a discount of 5.8 percent will be applied to the amounts due for employer contributions. Orange County Transportation Authority has calculated the savings to equal approximately \$1.6 million. Staff recommends exercising this early payment option.

***Attachment***

None.

**Prepared by:**



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**Approved by:**



Andrew Oftelie  
Chief Financial Officer  
Finance and Administration  
714-560-5649



**November 10, 2021**

**To:** Finance and Administration Committee   
**From:** Darrell E. Johnson, Chief Executive Officer  
**Subject:** Excess Liability Insurance Pricing Update

### **Overview**

The Orange County Transportation Authority has been fully self-insured for operational liability exposures since December 1, 2020, due to recent unfavorable premium pricing in the excess liability insurance market. Staff has reviewed the current insurance market and pricing remains unfavorable to procure excess liability insurance. Board of Directors approval is necessary to remain self-insured.

### **Recommendation**

Authorize the Chief Executive Officer to continue to fully self-insure for liability claims until such time the insurance market pricing is more favorable.

### **Discussion**

The Orange County Transportation Authority (OCTA) has been self-insured for liability claims since 1977 and has historically purchased excess liability insurance above a self-insured retention (SIR) to provide financial protection against catastrophic events and associated losses.

Excess liability insurance is a type of insurance policy purchased by OCTA to protect against liability claims for bodily injury and property damage arising out of premises, all operations (including the 91 Express Lanes), products and completed operations, advertising and personal injury liability, errors and omissions liability (including public official's coverage), employment practices, and employee benefit liability.

OCTA's Broker of Record, Marsh Risk and Insurance Services, Inc. (Marsh) provides marketing and assists OCTA in purchasing excess liability insurance coverage on behalf of OCTA. Marsh is paid a flat fee of \$110,000 for marketing and placing all of OCTA's property and casualty insurance per



Agreement No. C-7-1585 approved by the Board of Directors (Board) on May 22, 2017. This flat fee paid to Marsh is not part of the premium OCTA pays for a renewal of this policy. By agreement, Marsh does not earn any additional compensation or commission for its services. The contract further requires that any commissions offered by insurers will offset OCTA's premiums.

On December 1, 2019, OCTA purchased \$7 million in excess liability insurance provided by two insurance carriers, Gemini Insurance Company (Gemini) and Princeton Excess and Surplus Lines Insurance Company (Princeton). Gemini provided coverage of \$5 million in excess of OCTA's \$5 million SIR, for an annual premium of \$528,234. Princeton provided an additional \$2 million in coverage to OCTA beyond the Gemini policy, for an annual premium of \$206,400. The annual premiums for the two policies including taxes and fees totaled \$734,634. These policies were scheduled to expire on December 1, 2020. On September 28, 2020, the Board approved a \$1,500,000 budget to renew the current insurance and provided direction for staff to return to the Finance and Administration Committee for direction to bind coverage.

Although OCTA has a very favorable loss history, with an average annual claims payout of \$1,828,000, Marsh identified a market trend of increased premium rates of 15 to 45 percent for insurance policies renewing in 2020. Marsh solicited premium quotes for the renewal of the policies approaching insurance companies that provide public transportation excess liability insurance policies. OCTA received only one quote from incumbent carrier, Gemini, for \$719,077.40 to provide \$5 million in coverage provided that OCTA would carry a self-insured retention of \$7.5 million.

On November 11, 2020, the Finance and Administration Committee approved staff's recommendation to fully self-insure, and handle liability claims internally instead of expending \$719,077.40 to purchase commercial insurance that would only provide protection for historically unlikely claims above \$7.5 million. In addition, staff was directed to track the insurance market to readdress fully self-insuring liability claims if the market were to trend in a 40 percent reduction in premium pricing. Marsh has confirmed that the insurance market has continued to "normalize" increased premium rates of 15 to 45 percent in 2021.

Staff is recommending that OCTA continue to fully self-insure based on a historically low \$648,951 in pandemic-era claims and as the insurance market premium pricing continues to be unfavorable in 2021. Staff will continue to monitor the insurance market throughout the year and will provide an annual update to the Board or recommend purchasing excess liability coverage earlier if the market pricing becomes more favorable to OCTA.

**Fiscal Impact**

Self-insured claims will be expended per OCTA's Fiscal Year 2021-22 Budget, Human Resources and Organizational Development Division, Risk Management Department, Account No. 0040-7561-A0017-DTR, through the Internal Service Fund.

**Summary**

Based on the information provided, staff recommends the Board Authorize the Chief Executive Officer to fully self-insure for liability claims until such time the insurance market pricing is more favorable.

**Attachment**

None.

**Prepared by:**

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714-560-5817

**Approved by:**

Maggie McJilton  
Executive Director, Human Resources  
and Organizational Development  
714-560-5824



**November 10, 2021**

**To:** Finance and Administration Committee

**From:** Darrell E. Johnson, Chief Executive Officer

**Subject:** Amendment to the 91 Express Lanes Three-Party Operating Agreement

### **Overview**

In April 2019, the Orange County Transportation Authority Board of Directors authorized the release of a competitive procurement for contractor services for the joint operations of the 91 Express Lanes in Orange and Riverside counties. As a part of this procurement, the contractor is to design, develop, test, and implement a new back-office system. On July 22, 2019, the Board of Directors approved an amendment which allowed for an optional extension period of up to six months to the three-party agreement for joint operations of the combined 91 Express Lanes facility in the event the approved contractor may not be ready to commence operations under the new operating agreement. An additional extension for a period of up to three months is presented for approval should additional time be required to successfully transition to the new agreement.

### **Recommendation**

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-3-1529 among the Orange County Transportation Authority, Riverside County Transportation Commission, and Cofiroute USA, LLC, for three one-month optional extension periods from January 1, 2022 through March 31, 2022, for continued operating services on the 91 Express Lanes.

### **Background**

In May 2013, the Orange County Transportation Authority (OCTA) and the Riverside County Transportation Commission (RCTC), collectively referred to as the "Agencies", entered into a three-party agreement with Cofiroute USA, LLC (Cofiroute), for the joint operations of a combined 91 Express Lanes facility. Cofiroute is the current operator of the 91 Express Lanes that is

responsible for the day-to-day operations of the 91 Express Lanes, including the back-office system (BOS) and customer service center operations. This contract was to expire on June 30, 2021.

On April 22, 2019, the OCTA Board of Directors (Board) authorized the release of a competitive procurement for contractor services for the joint operations of the 91 Express Lanes in Orange and Riverside counties. The existing BOS for the 91 Express Lanes has been processing transactions for nearly a decade and is approaching the end of its useful life. As a part of this procurement, the contractor is to design, develop, test, and implement a new BOS. In July 2019, the Board and RCTC approved an amendment to the Cofiroute agreement, which allowed for six one-month extension periods commencing July 1, 2021 through December 31, 2021, to allow additional time for the approved contractor to complete deployment of the new BOS and commence operations in the event the additional time was needed. In October and November 2019, RCTC and the Board, respectively, approved the award to Cofiroute for the BOS and customer service center operations for the 91 Express Lanes.

### ***Discussion***

Since January 2020, the Agencies and Cofiroute have been working on the design, testing, and implementation of the new BOS. Cofiroute provided a schedule with their proposal that indicated they could complete the work by June 30, 2021. On February 16, 2021, Cofiroute requested an extension of the guaranteed completion date due to delays caused by the coronavirus (COVID-19) pandemic. The Agencies reviewed the delay claim, according to the terms in the new agreement, and awarded Cofiroute the requested extension and moved the guaranteed completion date to September 29, 2021.

Cofiroute's current schedule reflects an implementation date of mid-December 2021, which surpasses the revised guaranteed completion date. As a component of the transition to the new BOS, OCTA is required to change the format of its roadside transactions for which OCTA has been working with the toll lanes system contractor and expects completion in mid-December. In anticipation that the transition to the new Cofiroute agreement may not occur prior to December 31, 2021, due to either contractor delay, both Agencies are seeking to amend the agreement to allow for three one-month extension periods to prevent a lapse in service. Since there are sufficient funds in the agreement to pay for the extension periods, no additional funding is being requested to increase the maximum obligation. The amendment will be solely to extend the time should it be needed to successfully transition to the new agreement.

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***Summary***

Based on the information provided, staff recommends the Board of Directors authorize the Chief Executive Officer to negotiate and execute Amendment No. 6 to Agreement No. C-3-1529 among the Orange County Transportation Authority, Riverside County Transportation Commission, and Cofiroute USA, LLC, for three, one-month optional extension periods from January 1, 2022 through March 31, 2022, for continued operating services on the 91 Express Lanes.

***Attachment***

- A. Three-Party Operating Agreement No. C-3-1529 Fact Sheet

**Prepared by:**



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



---

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

**Three-Party Operating Agreement No. C-3-1529  
Fact Sheet**

1. May 24, 2013, Agreement No. C-3-1529, \$30,594,517, approved by the Board of Directors (Board).
  - Cofiroute USA, LLC (Cofiroute) to provide management and operational services for the 91 Express Lanes.
  - Agreement to be effective upon the Riverside County Transportation Commission's (RCTC) actual opening date of the 91 Express Lanes extension in Riverside County.
2. December 14, 2016, Amendment No. 1 to Agreement No. C-3-1529, \$0.00, approved by the Contracts Administration and Materials Management Department (CAMM).
  - Removed certain services associated with the customer assistance specialist role from the joint statement of work and re-assigned those services to the Orange County Transportation Authority's statement of work as requested by RCTC.
  - Revised RCTC's statement of work to remove the pre-operation costs related to the customer assistance specialist and include terms regarding maintenance vehicles to be acquired by Cofiroute.
3. March 27, 2017, Amendments Nos. 2 and 3 to Agreement No. C-3-1529, \$1,302,562, approved by the Board.
  - Amendment No. 2 for inclusion of the joint software license, software maintenance, and escrow agreements, \$0.00.
  - Amendment No. 3 for maintenance and support services for the 91 Express Lanes Electronic Toll and Traffic Management (ETTM) systems, \$1,302,562.
4. July 22, 2019, Amendment No. 4 to Agreement No. C-3-1529, \$3,437,496, approved by the Board.
  - Extended the agreement for six, one-month optional extension periods from July 1, 2021 through December 31, 2021.
5. July 1, 2019, Amendment No. 5 to Agreement No. C-3-1529, \$0.00, approved by CAMM.
  - Removed ETTM systems operation and maintenance services.

**Three-Party Operating Agreement No. C-3-1529  
Fact Sheet**

6. November 22, 2021, Amendment No. 6 to Agreement No. C-3-1529, \$0.00, pending approval by the Board.
- Extend the agreement for three, one-month optional extension periods from January 1, 2022 through March 31, 2022.

Total commitment to Agreement No. C-3-1529: \$35,334,575



**November 10, 2021**

**To:** Finance and Administration Committee

**From:** Darrell E. Johnson, Chief Executive Officer

**Subject:** 91 Express Lanes Update for the Period Ending -  
September 30, 2021

### **Overview**

The Orange County Transportation Authority has owned and managed the operations of the 91 Express Lanes since January 2003. Since that time, traffic volumes and toll revenues have fluctuated with the changes in the economy, added capacity to the State Route 91 corridor, and the recent coronavirus pandemic. Over the last quarter, there were approximately 5.1 million trips taken on the 91 Express Lanes in Orange County. This report focuses on the operational and financial activities for the period ending September 30, 2021.

### **Recommendation**

Receive and file as an information item.

### **Background**

Since January 2003, the Orange County Transportation Authority (OCTA) has owned the 91 Express Lanes (91 EL), which is a two-lane managed lane facility in each direction in the median of the State Route 91 (SR-91) freeway from the State Route 55 (SR-55) to the Orange/Riverside County Line. During OCTA ownership, toll rates have been adjusted up and down, additional capacity has been added to the general purpose lanes in the SR-91 corridor through various improvement projects, the outstanding debt has been restructured, and an extension of the facility from the Orange/Riverside County Line to Interstate 15 was completed by the Riverside County Transportation Commission (RCTC).

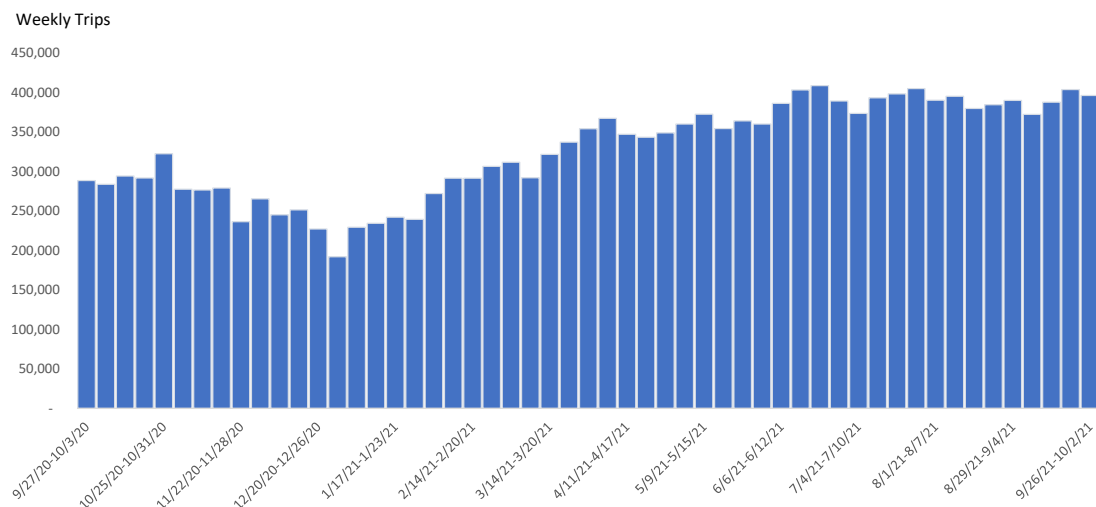
In addition to these events, the 91 EL experienced impacts of the coronavirus (COVID-19) pandemic and State of California's stay-at-home order. During calendar year 2020, state and local governments across the United States issued orders for residents to self-quarantine and refrain from



non-essential travel to slow the spread of COVID-19. These efforts caused the economy to slow and resulted in decreases in traffic volumes and toll revenues.

### ***Discussion***

The graph below provides the weekly trips on the 91 EL over the past 12 months. Since the declines in December 2020, traffic volumes have increased and stabilized over the past several months. These levels are exceeding the volumes reached in 2019. A graph of toll revenues would show a similar trend for the same period.



### **Traffic Volumes**

Total traffic volume on the OCTA 91 EL for the month of September 2021 was 1,667,305. This represents a daily average of 55,577. This is a 42.2 percent increase in total traffic volume from the same period last year when traffic levels totaled 1,172,239. The lower traffic volumes in September 2020 were a direct result of the stay-at-home orders and therefore provide a lower amount for the base comparison to 2021. A better comparison is to look at the volumes in September 2019. The September 2021 traffic volumes are 12.8 percent higher than the volumes in September 2019.

In looking at the 12-month period ending September 2021, traffic volumes totaled 17.1 million, which was a 23.3 percent increase over the same period the prior year. A comparison to 2019 shows that traffic volumes are still lower than the peaks reached during that period. For the 12-month period ending September 2021, traffic volumes were 3.3 percent lower than the 12-month

period ending September 2019. Carpool percentage for the period ending September 2021 was 21.9 percent.

#### Gross Potential Toll Revenues (GPTR)

GPTR for the month of September 2021 was \$5,247,366, which represents an increase of 37.3 percent from the prior year's total of \$3,823,078. GPTR is equal to the toll rate times the number of vehicles traveling on the 91 EL (the amount does not consider violations or discounts). In comparing to the same period in September 2019, GPTR increased by 18.2 percent. For the previous 12 months, GPTR totaled \$53.7 million and increased by 22 percent over the same period in 2020 and increased by 2.8 percent compared to the 12-month period ending in September 2019.

#### Toll Adjustments

The Board of Directors (Board)-adopted Toll Policy requires staff to review traffic volumes on the Orange County segment of the 91 EL for potential toll adjustments on a quarterly basis. The most recent toll adjustment occurred on July 1, 2021, whereby one peak hour's rate was increased, and another peak hour decreased. In addition to these adjustments, the annual cost-of-living adjustment was applied to most hours. As of the end of September 2021, toll rates ranged from a minimum of \$1.75 to a maximum of \$8.35. The next scheduled toll adjustment will occur on October 1, 2021.

#### Number of Accounts and Transponders

The number of active accounts totaled 157,794, and 613,948 transponders were assigned to those accounts as of September 30, 2021. Over the past 12 months, the number of accounts has increased by approximately 6,500 while the number of transponders in circulation has increased by 251,754. The large increase in transponders is due to the distribution of 6C transponders to customers. In 2019, a new transponder protocol was adopted by California. The new transponders are referred to as 6C transponders. The single setting 6C transponders are in the form of a sticker, whereby they are affixed to the vehicle's windshield. The previous transponder protocol was portable if customers choose to move it from vehicle to vehicle. The new 6C transponders are assigned to a specific vehicle and therefore not portable. OCTA and RCTC have been distributing these 6C transponders to 91 Express Lanes customers over the past 18 months.

### Outstanding Debt

As of September 30, 2021, the outstanding amount of the 91 EL tax-exempt 2013 Senior Lien Toll Road Revenue Refunding Bonds (Bonds) totaled \$78.5 million. The Bonds are rated “AA-” by Standard and Poor’s, “A1” by Moody’s, and “A+” by Fitch Ratings. The next scheduled debt service payment is on February 15, 2022.

### Reserve Funds

The bond indenture for the 2013 Bonds requires three reserve funds: a major maintenance fund, an operating fund, and a debt service reserve fund. All three funds are fully funded with a total balance of \$25.3 million as of September 30, 2021.

In addition to the required debt reserve funds, the Board elected to establish two additional reserve funds. An internal capital projects fund has a balance of \$25.7 million and is used for large capital projects for the 91 EL such as pavement rehabilitation and back-office systems. The other reserve fund was established in 2017 for two future Measure M2 projects on the SR-91 corridor. The balance in that reserve fund is \$74.6 million. Lastly, OCTA has approximately \$101.2 million set aside in excess toll revenues for various other SR-91 corridor projects.

### Operations

During the quarter, Cofiroute USA (CUSA) experienced staffing issues related to employee attrition and employees out on leave, which impacted the Call Center performance. Due to these impacts, CUSA was out of compliance for average call wait time and call abandonment rate for the months of July, August, and September. CUSA has taken several steps, such as increasing hourly pay rates, providing retention incentives, and engaging temporary staffing service providers, to mitigate the impacts to staffing that are impacting operations. CUSA cites the national staffing shortage and extended leave taken under the Coronavirus Aid, Relief, and Economic Security Act as reasons for the staffing shortage to date. RCTC and OCTA are working closely with CUSA to restore the level of customer service.

Subsequent to the quarter-end, on October 22, 2021, staff was notified that DeAngelo Brothers, LLC (DBI) closed the company's operations, effective immediately. DBI was responsible for providing Safety Service Patrol, which assisted stranded motorists, supported incident clearance, and removed debris that presented a safety issue. In addition, DBI coordinated, oversaw, and

provided routine maintenance and repair activities on the facility, such as landscaping, road lighting inspection and repairs, and the replacement of the channelizers.

Staff put in place interim measures, such as utilizing Freeway Service Patrol to assist stranded motorists and support incident clearance. Staff is evaluating the next steps and will update the Board accordingly.

#### Recent Events

In February 2021, CUSA notified OCTA and RCTC of a delay to the implementation of the new back-office system (BOS) for the 91 Express Lanes for both Orange and Riverside counties as a result of the COVID-19 pandemic. CUSA is the current operator of the 91 Express Lanes for both OCTA and RCTC and is the firm selected for the design, development, and implementation of the new BOS, as well as the customer service center operation.

To address the potential delay of transitioning to the new operating agreement, in October 2019, an amendment to the existing operating agreement was executed, which allowed for six one-month extension periods. In September 2021, OCTA and RCTC (Agencies) provided notice to CUSA that the Agencies will be exercising the fourth of the six one-month extension period, which will commence October 1, 2021 through October 31, 2021. Agencies' staff have been continuing to work with CUSA to meet the amended go-live date of September 29, 2021.

Subsequent to the quarter-end, the Agencies were informed that the go-live date will be delayed. The Agencies have been working with CUSA to determine when the revised go-live date is expected and will request CUSA provide an approved implementation schedule for go-live. The Agencies intend to exercise the one-month options until the transition to the new contract occurs.

Also during the quarter, the transition to 6C transponders and conversion account plans was completed.

***Summary***

An operational report for the 91 Express Lanes for the period ending September 30, 2021, is provided for Board of Directors' review. The report provides a summary of key operational and financial activities.

***Attachment***

- A. 91 Express Lanes Status Report, September 2021

**Prepared by:**

A handwritten signature in dark ink, appearing to read "Kirk Avila", is written over a light gray horizontal line.

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



**Orange County Transportation Authority  
Riverside County Transportation Commission**



Status Report  
September 2021

As of September 30, 2021

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# OPERATIONS OVERVIEW OCTA

## TRAFFIC AND REVENUE STATISTICS FOR OCTA

Total traffic volume on the 91 Express Lanes for September 2021 was 1,667,305. This represents a daily average of 55,577 vehicles. This is a 42.2 percent increase in total traffic volume from the same period last year, which totaled 1,172,239 and was the seventh month of the State of California's stay-at-home orders due to the coronavirus (COVID-19) pandemic. Potential toll revenue for September was \$5,247,366, which represents an increase of 37.3 percent from the prior year's total of \$3,823,078. Carpool percentage for September was 21.9 percent as compared to the previous year's rate of 21.6 percent. As compared to September 2019, traffic volume increased by 12.8 percent and revenue increased by 18.2 percent.

Month-to-date (MTD) traffic and revenue data is summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the Orange County Transportation Authority (OCTA) 91 Express Lanes and associated potential revenue for the month of September 2021.

### Current MTD as of September 30, 2021

	Sep-21 MTD Actual	Sep-20 MTD Actual	Yr 21-to-Yr 20 % Variance	Sep-19 MTD Actual	Yr 21-to-Yr 19 % Variance
<b>Trips</b>					
Full Toll Lanes	1,301,798	919,568	41.6%	1,095,487	18.8%
3+ Lanes	365,507	252,671	44.7%	382,094	(4.3%)
Total Gross Trips	1,667,305	1,172,239	42.2%	1,477,581	12.8%
<b>Revenue</b>					
Full Toll Lanes	\$5,197,519	\$3,770,761	37.8%	\$4,373,645	18.8%
3+ Lanes	\$49,847	\$52,317	(4.7%)	\$66,703	(25.3%)
Total Gross Revenue	\$5,247,366	\$3,823,078	37.3%	\$4,440,347	18.2%
<b>Average Revenue per Trip</b>					
Average Full Toll Lanes	\$3.99	\$4.10	(2.7%)	\$3.99	0.0%
Average 3+ Lanes	\$0.14	\$0.21	(33.3%)	\$0.17	(17.6%)
Average Gross Revenue	\$3.15	\$3.26	(3.4%)	\$3.01	4.7%



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The 2021 fiscal year-to-date (YTD) traffic volume increased by 49.8 percent and potential toll revenue increased by 42.7 percent, when compared with the same period last year. YTD average revenue per trip is \$3.09.

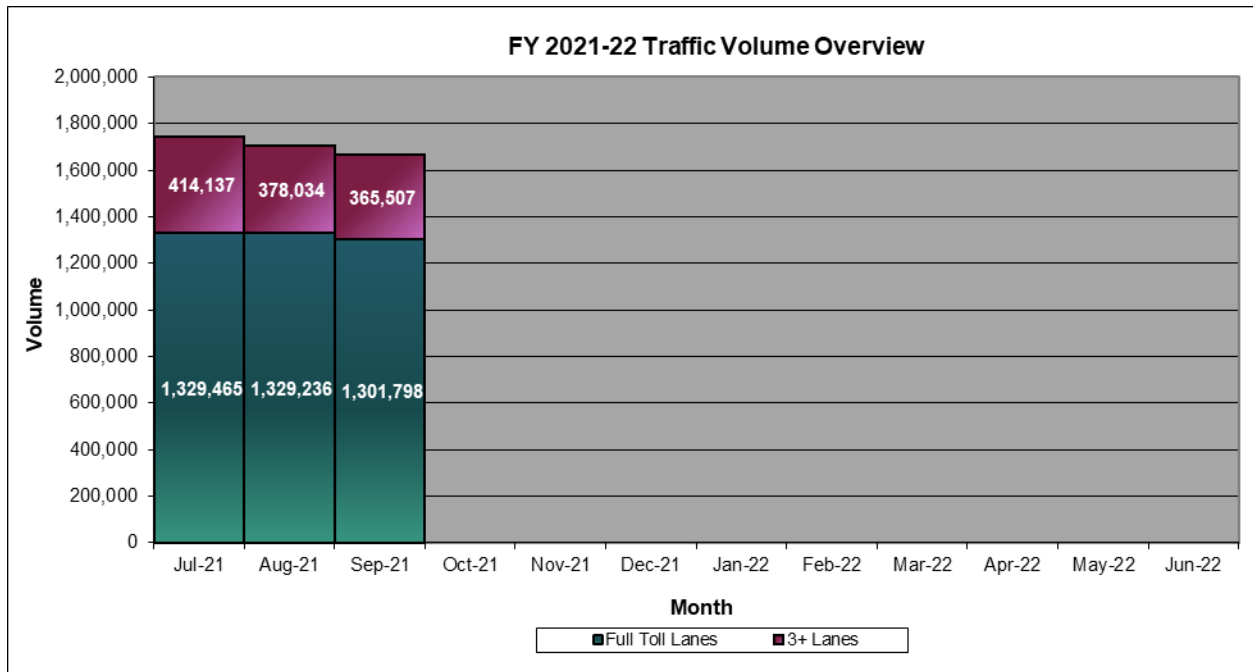
Fiscal YTD traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the OCTA 91 Express Lanes and associated potential revenue for the months of July 2021 through September 2021.

**Fiscal Year (FY) 2020-21 YTD as of September 30, 2021**

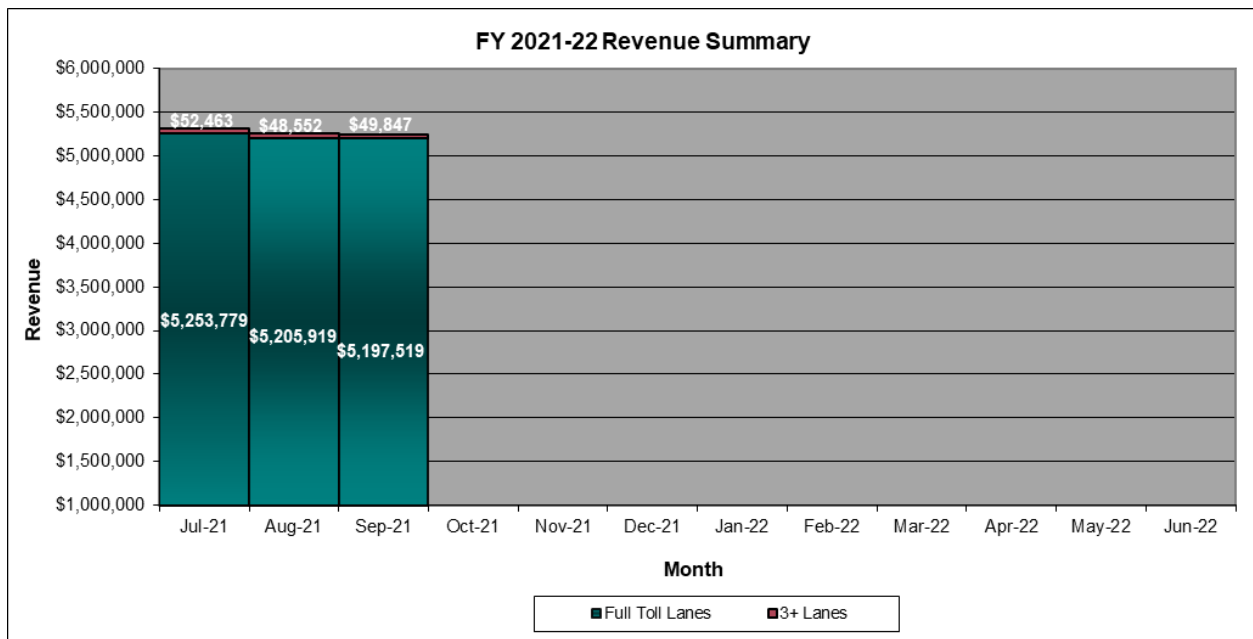
	<b>FY 2021-22 YTD Actual</b>	<b>FY 2020-21 YTD Actual</b>	<b>Yr-to-Yr % Variance</b>
<b>Trips</b>			
Full Toll Lanes	3,960,499	2,650,808	49.4%
3+ Lanes	1,157,678	766,024	51.1%
Total Gross Trips	5,118,177	3,416,832	49.8%
<b>Revenue</b>			
Full Toll Lanes	\$15,657,217	\$10,920,716	43.4%
3+ Lanes	\$150,861	\$157,534	(4.2%)
Total Gross Revenue	\$15,808,078	\$11,078,250	42.7%
<b>Average Revenue per Trip</b>			
Average Full Toll Lanes	\$3.95	\$4.12	(4.1%)
Average 3+ Lanes	\$0.13	\$0.21	(38.1%)
Average Gross Revenue	\$3.09	\$3.24	(4.6%)

## OCTA Traffic and Revenue Summary

The chart below reflects the total trips breakdown between full toll trips and high-occupancy vehicle (HOV3+) trips for FY 2021-22 on a monthly basis.



The chart below reflects the gross potential revenue breakdown between full toll trips and HOV3+ trips for FY 2021-22 on a monthly basis.



## OCTA EASTBOUND PEAK-HOUR VOLUMES

Peak-hour traffic in the eastbound direction reached or exceeded 90 percent of defined capacity 22 times during the month of September 2021. As demonstrated on the next chart, westbound peak-hour traffic volumes top out at 85 percent of defined capacity.

PM Time	Monday 08/30/21				Tuesday 08/31/21				Wednesday 09/01/21				Thursday 09/02/21				Friday 09/03/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500									\$5.30	399	3,082	91%	\$7.70	420	2,752	81%	\$8.35	500	2,841	84%
1500 - 1600									\$7.45	561	2,945	87%	\$7.45	463	2,556	75%	\$7.90	646	3,062	90%
1600 - 1700									\$6.50	370	3,081	91%	\$7.00	335	2,737	81%	\$7.45	460	2,689	79%
1700 - 1800									\$5.40	404	2,878	85%	\$6.70	411	2,844	84%	\$6.75	518	2,681	79%
1800 - 1900									\$4.05	499	2,658	78%	\$4.50	493	3,014	89%	\$6.75	508	2,165	64%
1900 - 2000									\$3.95	586	2,314	68%	\$5.75	542	2,381	70%	\$6.25	592	2,091	62%

PM Time	Monday 09/06/20				Tuesday 09/07/20				Wednesday 09/08/20				Thursday 09/09/20				Friday 09/10/20			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$4.60	397	1,172	34%	\$5.30	384	2,665	78%	\$5.30	427	2,979	88%	\$7.70	394	3,088	91%	\$8.35	454	2,869	84%
1500 - 1600	\$4.60	422	1,215	36%	\$4.75	474	3,012	89%	\$7.45	533	2,783	82%	\$7.45	525	3,049	90%	\$7.90	555	2,893	85%
1600 - 1700	\$4.60	435	1,158	34%	\$4.50	413	3,306	97%	\$6.50	345	2,778	82%	\$7.00	330	2,670	79%	\$7.45	381	2,654	78%
1700 - 1800	\$4.60	429	1,053	31%	\$4.90	326	2,506	74%	\$5.40	382	2,884	85%	\$6.70	402	2,851	84%	\$6.75	458	2,827	83%
1800 - 1900	\$4.60	502	1,137	33%	\$4.05	508	2,825	83%	\$4.05	537	3,011	89%	\$4.50	522	3,052	90%	\$6.75	590	2,658	78%
1900 - 2000	\$4.60	568	1,181	35%	\$3.95	384	1,751	52%	\$3.95	454	2,121	62%	\$5.75	398	1,934	57%	\$6.25	527	2,128	63%

PM Time	Monday 09/13/21				Tuesday 09/14/21				Wednesday 09/15/21				Thursday 09/16/21				Friday 09/17/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.30	364	2,683	79%	\$5.30	370	2,622	77%	\$5.30	387	3,071	90%	\$7.70	397	2,906	85%	\$8.35	459	2,913	86%
1500 - 1600	\$5.65	536	3,024	89%	\$4.75	537	3,064	90%	\$7.45	448	2,154	63%	\$7.45	536	2,804	82%	\$7.90	589	2,864	84%
1600 - 1700	\$4.35	437	3,222	95%	\$4.50	417	3,272	96%	\$6.50	304	2,348	69%	\$7.00	398	2,799	82%	\$7.45	442	2,656	78%
1700 - 1800	\$4.95	335	2,615	77%	\$4.90	337	2,524	74%	\$5.40	402	2,940	86%	\$6.70	381	2,760	81%	\$6.75	461	2,825	83%
1800 - 1900	\$5.65	493	2,571	76%	\$4.05	528	2,957	87%	\$4.05	534	3,026	89%	\$4.50	516	2,943	87%	\$6.75	626	2,767	81%
1900 - 2000	\$3.95	400	1,530	45%	\$3.95	476	2,173	64%	\$3.95	560	2,436	72%	\$5.75	541	2,381	70%	\$6.25	597	2,339	69%

PM Time	Monday 09/20/21				Tuesday 09/21/21				Wednesday 09/22/21				Thursday 09/23/21				Friday 09/24/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.30	363	2,675	79%	\$5.30	379	2,805	83%	\$5.30	398	3,121	92%	\$7.70	386	2,858	84%	\$8.35	482	2,882	85%
1500 - 1600	\$5.65	534	3,132	92%	\$4.75	520	3,067	90%	\$7.45	488	2,803	82%	\$7.45	537	3,049	90%	\$7.90	559	2,890	85%
1600 - 1700	\$4.35	420	3,080	91%	\$4.50	402	3,181	94%	\$6.50	382	2,809	83%	\$7.00	395	2,888	85%	\$7.45	420	2,778	82%
1700 - 1800	\$4.95	364	2,656	78%	\$4.90	362	2,524	74%	\$5.40	433	2,864	84%	\$6.70	422	2,814	83%	\$6.75	454	2,825	83%
1800 - 1900	\$5.65	492	2,567	76%	\$4.05	519	2,944	87%	\$4.05	510	2,831	83%	\$4.50	568	2,975	88%	\$6.75	627	2,834	83%
1900 - 2000	\$3.95	391	1,720	51%	\$3.95	504	2,316	68%	\$3.95	582	2,575	76%	\$5.75	553	2,361	69%	\$6.25	559	2,176	64%

PM Time	Monday 09/27/21				Tuesday 09/28/21				Wednesday 09/29/21				Thursday 09/30/21				Friday 10/01/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
1400 - 1500	\$5.30	358	2,732	80%	\$5.30	370	2,697	79%	\$5.30	397	3,098	91%	\$7.70	286	1,942	57%				
1500 - 1600	\$5.65	515	3,129	92%	\$4.75	492	3,010	89%	\$7.45	516	2,814	83%	\$7.45	498	3,027	89%				
1600 - 1700	\$4.35	413	3,274	96%	\$4.50	399	3,144	92%	\$6.50	332	2,789	82%	\$7.00	383	3,062	90%				
1700 - 1800	\$4.95	398	2,806	83%	\$4.90	355	2,522	74%	\$5.40	448	2,976	88%	\$6.70	444	3,035	89%				
1800 - 1900	\$5.65	484	2,293	67%	\$4.05	546	2,885	85%	\$4.05	556	2,883	85%	\$4.50	533	2,903	85%				
1900 - 2000	\$3.95	420	1,581	47%	\$3.95	531	2,229	66%	\$3.95	501	2,179	64%	\$5.75	494	2,209	65%				

## OCTA WESTBOUND PEAK-HOUR VOLUMES

AM Time	Monday 08/30/21				Tuesday 08/31/21				Wednesday 09/01/21				Thursday 09/02/21				Friday 09/03/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500									\$3.15	436	1,396	41%	\$3.15	454	1,374	40%	\$3.15	340	1,131	33%
0500 - 0600									\$5.10	695	2,648	78%	\$5.10	676	2,568	76%	\$5.10	530	2,239	66%
0600 - 0700									\$5.30	562	2,765	81%	\$5.30	511	2,737	81%	\$5.30	517	2,457	72%
0700 - 0800									\$5.80	545	2,875	85%	\$5.80	530	2,680	79%	\$5.65	422	2,299	68%
0800 - 0900									\$5.30	295	2,607	77%	\$5.80	307	2,540	75%	\$5.45	276	2,075	61%
0900 - 1000									\$4.20	241	2,325	68%	\$5.80	256	2,424	71%	\$4.70	270	1,707	50%

AM Time	Monday 09/06/21				Tuesday 09/07/21				Wednesday 09/08/21				Thursday 09/09/21				Friday 09/10/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$1.75	62	132	4%	\$3.15	408	1,385	41%	\$3.15	408	1,295	38%	\$3.15	428	1,395	41%	\$3.15	360	1,204	35%
0500 - 0600	\$1.75	86	211	6%	\$5.10	661	2,639	78%	\$5.10	649	2,614	77%	\$5.10	659	2,652	78%	\$4.85	576	2,321	68%
0600 - 0700	\$2.60	65	256	8%	\$5.30	558	2,784	82%	\$5.30	556	2,816	83%	\$5.30	570	2,753	81%	\$5.10	514	2,610	77%
0700 - 0800	\$2.60	140	439	13%	\$5.80	518	2,755	81%	\$5.80	553	2,828	83%	\$5.80	487	2,709	80%	\$5.65	461	2,540	75%
0800 - 0900	\$2.60	260	760	22%	\$5.30	327	2,710	80%	\$5.30	296	2,610	77%	\$5.30	292	2,538	75%	\$5.10	266	2,286	67%
0900 - 1000	\$3.80	449	1,236	36%	\$4.20	316	2,873	85%	\$4.20	301	2,904	85%	\$4.20	309	2,665	78%	\$4.20	265	2,207	65%

AM Time	Monday 09/13/21				Tuesday 09/14/21				Wednesday 09/15/21				Thursday 09/16/21				Friday 09/17/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.15	428	1,379	41%	\$3.15	459	1,514	45%	\$3.15	485	1,628	48%	\$3.15	439	1,443	42%	\$3.15	358	1,236	36%
0500 - 0600	\$5.10	648	2,558	75%	\$5.10	638	2,583	76%	\$5.10	677	2,656	78%	\$5.10	658	2,669	79%	\$4.85	609	2,438	72%
0600 - 0700	\$5.30	592	2,827	83%	\$5.30	572	2,824	83%	\$5.30	570	2,844	84%	\$5.30	578	2,681	79%	\$5.10	598	2,618	77%
0700 - 0800	\$5.80	508	2,734	80%	\$5.80	536	2,721	80%	\$5.80	554	2,773	82%	\$5.80	550	2,812	83%	\$5.65	550	2,589	76%
0800 - 0900	\$5.30	289	2,542	75%	\$5.30	310	2,666	78%	\$5.30	319	2,604	77%	\$5.30	295	2,469	73%	\$5.10	281	2,163	64%
0900 - 1000	\$4.20	254	2,285	67%	\$4.20	243	2,468	73%	\$4.20	303	2,323	68%	\$4.20	257	2,252	66%	\$4.20	302	2,126	63%

AM Time	Monday 09/20/21				Tuesday 09/21/21				Wednesday 09/22/21				Thursday 09/23/21				Friday 09/24/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.15	418	1,304	38%	\$3.15	471	1,534	45%	\$3.15	455	1,435	42%	\$3.15	452	1,453	43%	\$3.15	358	1,247	37%
0500 - 0600	\$5.10	639	2,573	76%	\$5.10	658	2,448	72%	\$5.10	685	2,753	81%	\$5.10	702	2,652	78%	\$4.85	599	2,491	73%
0600 - 0700	\$5.30	537	2,578	76%	\$5.30	429	1,860	55%	\$5.30	630	2,890	85%	\$5.30	634	2,753	81%	\$5.10	617	2,675	79%
0700 - 0800	\$5.80	538	2,684	79%	\$5.80	616	2,809	83%	\$5.80	522	2,715	80%	\$5.80	516	2,528	74%	\$5.65	452	2,409	71%
0800 - 0900	\$5.30	345	2,561	75%	\$5.30	340	2,803	82%	\$5.30	285	2,406	71%	\$5.30	304	2,508	74%	\$5.10	286	2,291	67%
0900 - 1000	\$4.20	277	2,264	67%	\$4.20	270	2,844	84%	\$4.20	296	2,565	75%	\$4.20	279	2,197	65%	\$4.20	295	2,130	63%

AM Time	Monday 09/27/21				Tuesday 09/28/21				Wednesday 09/29/21				Thursday 09/30/21				Friday 10/01/21			
	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.	Price	HOV	Vol.	Cap.
0400 - 0500	\$3.15	415	1,405	41%	\$3.15	461	1,469	43%	\$3.15	463	1,485	44%	\$3.15	437	1,429	42%				
0500 - 0600	\$5.10	589	2,472	73%	\$5.10	730	2,778	82%	\$5.10	625	2,649	78%	\$5.10	726	2,709	80%				
0600 - 0700	\$5.30	608	2,769	81%	\$5.30	642	2,873	85%	\$5.30	538	2,405	71%	\$5.30	609	2,770	81%				
0700 - 0800	\$5.80	481	2,638	78%	\$5.80	484	2,602	77%	\$5.80	547	2,814	83%	\$5.80	467	2,536	75%				
0800 - 0900	\$5.30	282	2,434	72%	\$5.30	257	2,476	73%	\$5.30	321	2,506	74%	\$5.30	294	2,444	72%				
0900 - 1000	\$4.20	262	2,094	62%	\$4.20	268	2,334	69%	\$4.20	269	2,397	71%	\$4.20	273	2,605	77%				

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## OCTA OPERATIONAL HIGHLIGHTS

### **On-Road Operations**

OCTA customer assistance specialists (CAS) responded to 112 calls during the month of September. Of those calls, 103 were to assist disabled vehicles and four calls to remove debris. The CAS provided assistance to five accidents in the Express Lanes with two of those accidents originating in the State Route 91 general purpose lanes.

### **91 Express Lanes Back-Office System (BOS) Development Update**

In February, Cofiroute USA, LLC (CUSA) notified OCTA and the Riverside County Transportation Commission (RCTC) of a delay to the implementation of the new BOS for the 91 Express Lanes for both Orange and Riverside counties as a result of the COVID-19 pandemic. CUSA is the current operator of the 91 Express Lanes for both OCTA and RCTC and is the firm selected for the design, development, and implementation of the new BOS, as well as the customer service center operation.

To address the potential delay of transitioning to the new operating agreement, in October 2019, an amendment to the existing operating agreement was executed which allowed for six one-month extension periods. In September 2021, OCTA and RCTC (Agencies) provided notice to CUSA that the Agencies will be exercising the fourth of the six one-month extension period, which will commence October 1, 2021 through October 31, 2021. Agencies' staff have been continuing to work with CUSA to meet the amended go-live date of September 29, 2021. Subsequent to the quarter-end, the Agencies were informed that the go-live date will be delayed. The Agencies have been working with CUSA to determine when the revised go-live date is expected and will then ask CUSA to provide an approved implementation schedule for go-live. The Agencies intend to exercise the one-month options until the transition to the new contract occurs.

### **91 Express Lanes Toll Entrance Gantries Infrastructure Project Update**

OCTA entered into an agreement with the California Department of Transportation (Caltrans) to provide construction and construction management services for the 91 Express Lanes Toll Entrance Gantries Infrastructure Project. This project entails constructing new toll gantries infrastructure at the three entrances of the OCTA 91 Express Lanes. Caltrans advertised and awarded the project in March 2021 and May 2021, respectively. In June, the contract was executed, and the project kickoff meeting was held in July. Pre-construction activities began in August and were followed with construction activities which commenced in September. The project is anticipated to be completed in December 2021. During the construction period, overnight closures and possibly, a few full weekend closures will occur. Upon completion of the infrastructure project, Kapsch TrafficCom USA, Inc., the toll lanes system integrator for the

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91 Express Lanes, will install new Electronic Toll and Traffic Management system equipment onto the new gantries.

### **Roadway Operations and Maintenance Services Contract**

In December 2020, an agreement was executed with DeAngelo Brothers, LLC (DBI) for roadway operations and maintenance services for the 91 Express Lanes. DBI is responsible for providing Safety Service Patrol, which will assist stranded motorists, support incident clearance, and remove debris that presents a safety issue. In addition, DBI coordinates, oversees, and provides routine maintenance and repair activities that are to be performed on the facility, such as landscaping, road lighting inspection and repairs, and the replacement of the channelizers. In addition, they coordinate with Caltrans for any routine and emergency maintenance to be performed on the 91 Express Lanes and any construction activities on the general purpose lanes that impact the toll lanes.

On October 22, 2021, staff was notified that DBI closed the company's operations, effective immediately. Staff has put interim measures in place, such as utilizing Freeway Service Patrol to assist stranded motorists and support incident clearance. Staff is evaluating the necessary next steps and will update the Board of Directors as efforts are finalized or require action.

# FINANCIAL HIGHLIGHTS OCTA

## 91 Express Lanes Operating Statement

Description	YTD as of : <b>9/30/2021</b>		YTD Variance	
	Actual <sup>(1)</sup>	Budget <sup>(1)</sup>	Dollar \$	Percent (%)
<b>Operating revenues:</b>				
Toll Revenue	\$ 14,441,774.43	\$ 10,299,299.00	\$ 4,142,475.43	40.2
Fee Revenue	1,669,263.39	597,079.00	1,072,184.39	179.6
<b>Total operating revenues</b>	<b>16,111,037.82</b>	<b>10,896,378.00</b>	<b>5,214,659.82</b>	<b>47.9</b>
<b>Operating expenses:</b>				
Contracted Services	137,841.66	1,917,984.00	1,780,142.34	92.8
Administrative Fee	675,987.00	780,438.00	104,451.00	13.4
Other Professional Services	(124,461.99)	711,040.00	835,501.99	117.5
Credit Card Processing Fees	367,429.64	289,740.00	(77,689.64)	(26.8)
Toll Road Account Servicing	125,595.16	268,200.00	142,604.84	53.2
Other Insurance Expense	115,082.88	62,475.00	(52,607.88)	(84.2)
Toll Road Maintenance Supply Repairs	76,752.21	1,278,730.00	1,201,977.79	94.0
Patrol Services	234,312.03	274,890.00	40,577.97	14.8
Building Equipment Repairs and Maint	86,137.97	188,145.00	102,007.03	54.2
6C Transponders	-	18,750.00	18,750.00	100.0
Other Services <sup>(5)</sup>	(781,750.00)	253,600.00	1,035,350.00	408.3
Utilities	9,107.35	23,748.00	14,640.65	61.7
Office Expense	-	22,617.00	22,617.00	100.0
Bad Debt Expense	24,867.39	-	(24,867.39)	N/A
Miscellaneous <sup>(2)</sup>	9,083.41	31,946.00	22,862.59	71.6
Leases	88,485.28	123,702.00	35,216.72	28.5
<b>Total operating expenses</b>	<b>1,044,469.99</b>	<b>6,246,005.00</b>	<b>5,201,535.01</b>	<b>83.3</b>
Depreciation and Amortization <sup>(3)</sup>	809,070.27	-	(809,070.27)	N/A
<b>Operating income (loss)</b>	<b>14,257,497.56</b>	<b>4,650,373.00</b>	<b>9,607,124.56</b>	<b>206.6</b>
<b>Nonoperating revenues (expenses):</b>				
Reimbursement from Other Agencies	65,505.92	-	65,505.92	N/A
Interest Income	787,114.75	430,059.00	357,055.75	83.0
Interest Expense	(1,017,862.43)	(2,022,413.00)	1,004,550.57	49.7
Other	566.20	-	566.20	N/A
<b>Total nonoperating revenues (expenses)</b>	<b>(164,675.56)</b>	<b>(1,592,354.00)</b>	<b>1,427,678.44</b>	<b>89.7</b>
Transfers In	-	-	-	N/A
Transfers Out <sup>(4)</sup>	(534,729.49)	(773,161.00)	238,431.51	30.8
<b>Net income (loss)</b>	<b>\$ 13,558,092.51</b>	<b>\$ 2,284,858.00</b>	<b>\$ 11,273,234.51</b>	<b>493.4</b>

<sup>1</sup>Actual amounts are accounted for on the accrual basis of accounting in an enterprise fund. Budget amounts are accounted for on a modified accrual basis of accounting.

<sup>2</sup>Miscellaneous expenses include: Bond Insurance Costs, Bank Service Charge, Transponder Materials.

<sup>3</sup>Depreciation and amortization are not budgeted items.

<sup>4</sup>Transfers Out: For M2 Project I and Project J expense reimbursements.

<sup>5</sup>Litigation settlement was accrued, the negative will be offset once the litigation payment is issued.

# OPERATIONS OVERVIEW RCTC

## TRAFFIC AND REVENUE STATISTICS FOR RCTC

Total traffic volume on the 91 Express Lanes for September 2021 was 1,428,960. This represents a daily average of 47,632 vehicles. This is a 44.4 percent increase in total traffic volume from the same period last year, which totaled 989,722 and was the seventh month of the COVID-19 stay-at-home order. Potential toll revenue for September was \$5,249,910, which represents an increase of 50.6 percent from the prior year's total of \$3,486,103. Carpool percentage for September was 20.3 percent as compared to the previous year's rate of 20.4 percent. As compared to September 2019, traffic volume increased by 9.9 percent and revenue decreased by 2.1 percent.

MTD traffic and revenue data is summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the RCTC 91 Express Lanes and associated potential revenue for the month of September 2021.

### Current MTD as of September 30, 2021

Trips	SEP-21 MTD Actual	Stantec MTD Projected	# Variance	% Variance	SEP-20 MTD Actual	Yr-to-Yr % Variance	SEP-19 MTD Actual	Yr 21-to-Yr 19 % Variance
Full Toll Lanes	1,138,339	935,114	203,225	21.7%	787,711	44.5%	984,484	15.6%
3+ Lanes	290,621	317,957	(27,336)	(8.6%)	202,011	43.9%	315,806	(8.0%)
Total Gross Trips	1,428,960	1,253,071	175,889	14.0%	989,722	44.4%	1,300,290	9.9%
<b>Revenue</b>								
Full Toll Lanes	\$5,209,051	\$4,015,114	\$1,193,937	29.7%	\$3,450,193	51.0%	\$5,326,713	(2.2%)
3+ Lanes	\$40,859	\$0	\$40,859		\$35,910	13.8%	\$34,653	17.9%
Total Gross Revenue	\$5,249,910	\$4,015,114	\$1,234,796	30.8%	\$3,486,103	50.6%	\$5,361,366	(2.1%)
<b>Average Revenue per Trip</b>								
Average Full Toll Lanes	\$4.58	\$4.29	\$0.29	6.8%	\$4.38	4.6%	\$5.41	(15.3%)
Average 3+ Lanes	\$0.14	\$0.00	\$0.14		\$0.18	(22.2%)	\$0.11	27.3%
Average Gross Revenue	\$3.67	\$3.20	\$0.47	14.7%	\$3.52	4.3%	\$4.12	(10.9%)



The 2021 fiscal YTD traffic volume increased by 50.9 percent and potential toll revenue increased by 56 percent, when compared with the same period last year. YTD average revenue per-trip is \$3.55.

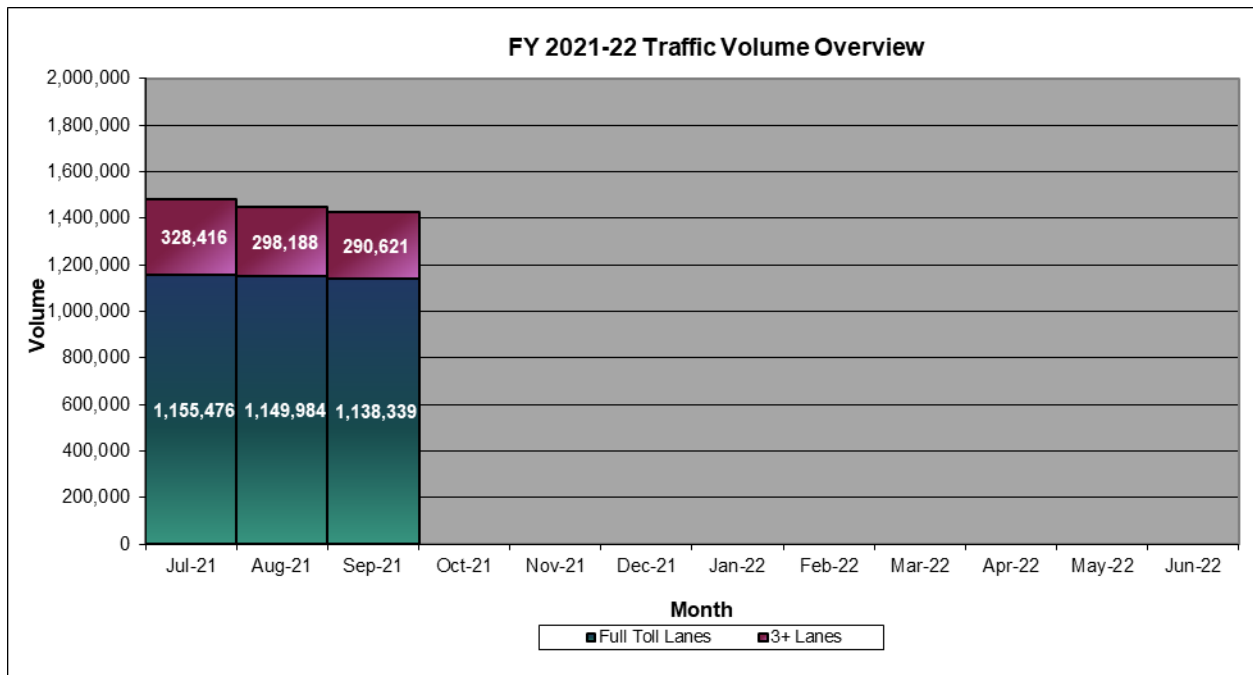
Fiscal YTD traffic and revenue data are summarized in the table below. The following trip and revenue statistics tables represent all trips taken on the RCTC 91 Express Lanes and associated potential revenue for the months of July 2021 through September 2021.

#### FY 2020-21 YTD as of September 30, 2021

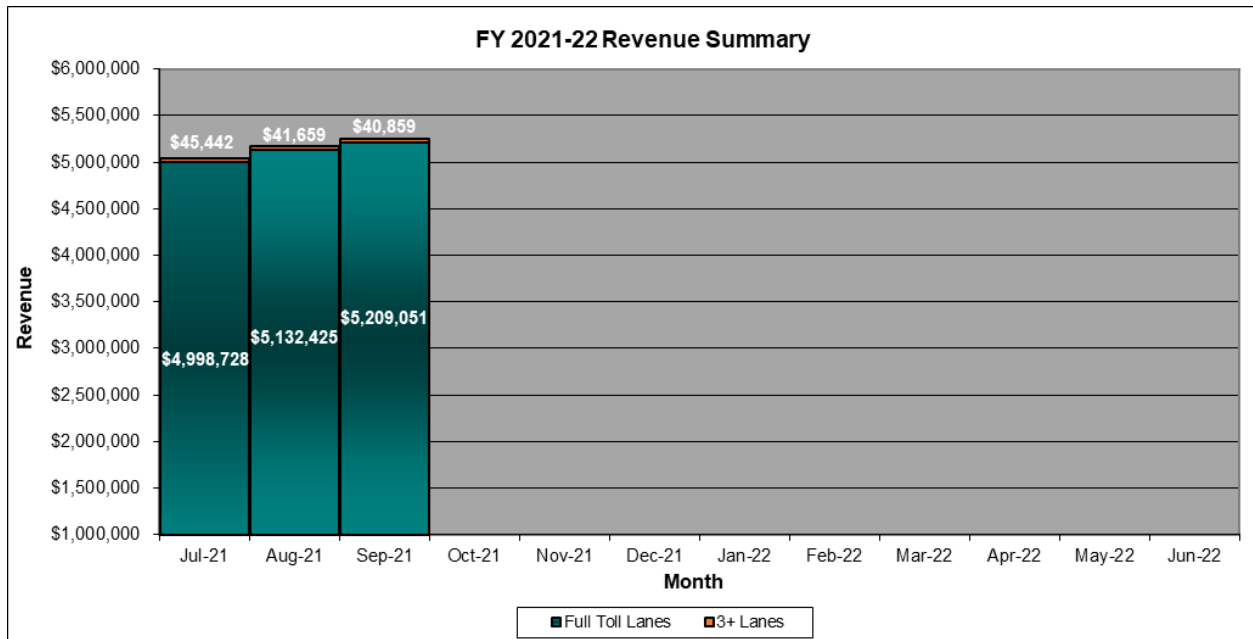
Trips	FY 2021-22 YTD Actual	Stantec YTD Projected	# Variance	% Variance	FY 2020-21 YTD Actual	Yr-to-Yr % Variance
Full Toll Lanes	3,443,802	2,846,700	597,102	21.0%	2,278,234	51.2%
3+ Lanes	917,225	1,002,886	-85,661	(8.5%)	610,998	50.1%
Total Gross Trips	4,361,027	3,849,586	511,441	13.3%	2,889,232	50.9%
<b>Revenue</b>						
Full Toll Lanes	\$15,340,215	\$12,215,300	\$3,124,915	25.6%	\$9,812,086	56.3%
3+ Lanes	\$127,960	\$0	\$127,960		\$106,007	20.7%
Total Gross Revenue	\$15,468,175	\$12,215,300	\$3,252,875	26.6%	\$9,918,092	56.0%
<b>Average Revenue per Trip</b>						
Average Full Toll Lanes	\$4.45	\$4.29	\$0.16	3.7%	\$4.31	3.2%
Average 3+ Lanes	\$0.14	\$0.00	\$0.14		\$0.17	(17.6%)
Average Gross Revenue	\$3.55	\$3.17	\$0.38	12.0%	\$3.43	3.5%

## RCTC Traffic and Revenue Summary

The chart below reflects the total trips broken down between full toll lanes and HOV3+ lanes for FY 2021-22 on a monthly basis.



The chart below reflects the gross potential revenue breakdown between full toll lanes and HOV3+ lanes for FY 2021-22 on a monthly basis.



## RCTC PEAK-HOUR VOLUMES

In September, there were no toll rates adjusted. RCTC evaluates traffic volumes for peak period hours and adjusts rates according to the toll rate policy.

## RCTC EASTBOUND PEAK-HOUR VOLUMES

Eastbound PM Peak - County Line to McKinley

PM Time	Monday 08/30/21					Tuesday 08/31/21					Wednesday 09/01/21					Thursday 09/02/21					Friday 09/03/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500											\$9.15	199	1082	1,281	E	\$11.20	206	1,027	1,233	E	\$26.80	306	1,074	1,380	F
1500 - 1600											\$14.25	227	962	1,189	D	\$17.30	210	816	1,026	D	\$26.50	349	1,005	1,354	F
1600 - 1700											\$7.05	191	1013	1,204	E	\$9.15	174	970	1,144	D	\$16.30	302	998	1,300	E
1700 - 1800											\$5.45	169	953	1,122	D	\$5.45	193	974	1,167	D	\$8.10	318	932	1,250	E
1800 - 1900											\$5.45	220	832	1,052	D	\$5.45	232	996	1,228	E	\$5.45	265	772	1,037	D
1900 - 2000											\$2.30	245	747	992	C	\$4.25	239	895	1,134	D	\$4.25	264	746	1,010	D

PM Time	Monday 09/06/21					Tuesday 09/07/21					Wednesday 09/08/21					Thursday 09/09/21					Friday 09/10/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.30	181	415	596	B	\$5.45	172	1,012	1,184	D	\$9.15	186	1,016	1,202	E	\$11.20	184	1,184	1,368	F	\$26.80	217	964	1,181	D
1500 - 1600	\$2.30	191	354	545	B	\$11.20	209	888	1,097	D	\$14.25	187	945	1,132	D	\$17.30	220	919	1,139	D	\$26.50	237	910	1,147	D
1600 - 1700	\$2.30	191	326	517	B	\$7.05	181	915	1,096	D	\$7.05	163	970	1,133	D	\$9.15	162	850	1,012	D	\$16.30	210	878	1,088	D
1700 - 1800	\$2.30	196	302	498	B	\$5.45	171	866	1,037	D	\$5.45	136	981	1,117	D	\$5.45	176	1,003	1,179	D	\$8.10	217	1,006	1,223	E
1800 - 1900	\$2.30	241	312	553	B	\$5.45	235	930	1,165	D	\$5.45	202	990	1,192	D	\$5.45	233	1,023	1,256	E	\$5.45	234	956	1,190	D
1900 - 2000	\$2.30	246	357	603	B	\$2.30	192	570	762	B	\$2.30	203	800	1,003	D	\$4.25	163	734	897	C	\$4.25	232	813	1,045	D

PM Time	Monday 09/13/21					Tuesday 09/14/21					Wednesday 09/15/21					Thursday 09/16/21					Friday 09/17/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.45	164	964	1,128	D	\$5.45	168	995	1,163	D	\$9.15	207	1,055	1,262	E	\$11.20	180	1,129	1,309	F	\$26.80	230	1,076	1,306	F
1500 - 1600	\$9.15	214	948	1,162	D	\$11.20	204	916	1,120	D	\$14.25	156	804	960	C	\$17.30	215	943	1,158	D	\$26.50	252	969	1,221	E
1600 - 1700	\$7.05	218	896	1,114	D	\$7.05	241	1,223	1,464	F	\$7.05	195	952	1,147	D	\$9.15	162	954	1,116	D	\$16.30	241	953	1,194	D
1700 - 1800	\$5.45	190	881	1,071	D	\$5.45	154	923	1,077	D	\$5.45	178	929	1,107	D	\$5.45	171	922	1,093	D	\$8.10	214	1,010	1,224	E
1800 - 1900	\$4.25	214	843	1,057	D	\$5.45	203	930	1,133	D	\$5.45	211	968	1,179	D	\$5.45	204	1,008	1,212	E	\$5.45	278	1,013	1,291	E
1900 - 2000	\$2.30	163	505	668	B	\$2.30	198	762	960	C	\$2.30	218	881	1,099	D	\$4.25	187	908	1,095	D	\$4.25	266	887	1,153	D

PM Time	Monday 09/20/21					Tuesday 09/21/21					Wednesday 09/22/21					Thursday 09/23/21					Friday 09/24/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.45	172	1,034	1,206	E	\$5.45	157	1,023	1,180	D	\$9.15	179	1,092	1,271	E	\$11.20	177	1,020	1,197	D	\$26.80	211	1,062	1,273	E
1500 - 1600	\$9.15	221	929	1,150	D	\$11.20	208	924	1,132	D	\$14.25	214	961	1,175	D	\$17.30	215	899	1,114	D	\$26.50	226	960	1,186	D
1600 - 1700	\$7.05	171	909	1,080	D	\$7.05	183	841	1,024	D	\$7.05	181	902	1,083	D	\$9.15	187	948	1,135	D	\$16.30	250	929	1,179	D
1700 - 1800	\$5.45	180	896	1,076	D	\$5.45	169	923	1,092	D	\$5.45	170	956	1,126	D	\$5.45	192	922	1,114	D	\$8.10	239	990	1,229	E
1800 - 1900	\$4.25	200	891	1,091	D	\$5.45	191	949	1,140	D	\$5.45	221	896	1,117	D	\$5.45	250	919	1,169	D	\$5.45	284	991	1,275	E
1900 - 2000	\$2.30	167	608	775	B	\$2.30	207	830	1,037	D	\$2.30	251	855	1,106	D	\$4.25	240	886	1,126	D	\$4.25	289	796	1,085	D

PM Time	Monday 09/27/21					Tuesday 09/28/21					Wednesday 09/29/21					Thursday 09/30/21					Friday 10/01/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.45	165	998	1,163	D	\$5.45	175	1,109	1,284	E	\$9.15	206	1,079	1,285	E	\$11.20	213	1,139	1,352	F					
1500 - 1600	\$9.15	179	950	1,129	D	\$11.20	220	915	1,135	D	\$14.25	213	907	1,120	D	\$17.30	245	994	1,239	E					
1600 - 1700	\$7.05	164	944	1,108	D	\$7.05	175	933	1,108	D	\$7.05	186	896	1,082	D	\$9.15	176	995	1,171	D					
1700 - 1800	\$5.45	157	971	1,128	D	\$5.45	156	894	1,050	D	\$5.45	191	937	1,128	D	\$5.45	171	1,040	1,211	E					
1800 - 1900	\$4.25	198	800	998	C	\$5.45	221	913	1,134	D	\$5.45	229	944	1,173	D	\$5.45	215	979	1,194	D					
1900 - 2000	\$2.30	180	539	719	B	\$2.30	198	746	944	C	\$2.30	211	751	962	C	\$4.25	184	846	1,030	D					

**Eastbound PM Peak - County Line to 15 SB Ontario**

PM Time	Monday 08/30/21					Tuesday 08/31/21					Wednesday 09/01/21					Thursday 09/02/21					Friday 09/03/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500											\$5.45	96	713	809	C	\$5.45	109	751	860	C	\$5.45	145	646	791	B
1500 - 1600											\$5.45	118	710	828	C	\$5.45	100	656	756	B	\$5.45	148	589	737	B
1600 - 1700											\$5.45	112	671	783	B	\$5.45	88	619	707	B	\$3.00	133	571	704	B
1700 - 1800											\$5.45	94	583	677	B	\$5.45	90	603	693	B	\$3.00	101	576	677	B
1800 - 1900											\$3.00	111	620	731	B	\$3.00	133	708	841	C	\$3.00	140	499	639	B
1900 - 2000											\$3.00	129	506	635	B	\$3.00	149	616	765	B	\$3.00	187	516	703	B

PM Time	Monday 09/06/21					Tuesday 09/07/21					Wednesday 09/08/21					Thursday 09/09/21					Friday 09/10/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$2.00	112	241	353	A	\$5.45	103	713	816	C	\$5.45	113	701	814	C	\$5.45	114	769	883	C	\$5.45	105	710	815	C
1500 - 1600	\$2.00	117	237	354	A	\$5.45	108	705	813	C	\$5.45	103	682	785	B	\$5.45	125	708	833	C	\$5.45	113	636	749	B
1600 - 1700	\$2.00	116	228	344	A	\$5.45	90	660	750	B	\$5.45	92	624	716	B	\$5.45	87	579	666	B	\$3.00	121	650	771	B
1700 - 1800	\$2.00	116	167	283	A	\$3.00	87	639	726	B	\$5.45	85	652	737	B	\$5.45	87	675	762	B	\$3.00	91	582	673	B
1800 - 1900	\$2.00	146	189	335	A	\$3.00	123	587	710	B	\$3.00	113	681	794	B	\$3.00	119	666	785	B	\$3.00	136	578	714	B
1900 - 2000	\$2.00	140	211	351	A	\$3.00	95	470	565	B	\$3.00	122	612	734	B	\$3.00	90	578	668	B	\$3.00	139	549	688	B

PM Time	Monday 09/13/21					Tuesday 09/14/21					Wednesday 09/15/21					Thursday 09/16/21					Friday 09/17/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.45	103	707	810	C	\$5.45	110	744	854	C	\$5.45	99	748	847	C	\$5.45	116	765	881	C	\$5.45	125	689	814	C
1500 - 1600	\$5.45	123	629	752	B	\$5.45	138	691	829	C	\$5.45	89	577	666	B	\$5.45	129	655	784	B	\$5.45	144	594	738	B
1600 - 1700	\$3.00	98	668	766	B	\$5.45	35	208	243	A	\$5.45	113	712	825	C	\$5.45	104	624	728	B	\$3.00	127	605	732	B
1700 - 1800	\$3.00	99	634	733	B	\$3.00	72	644	716	B	\$5.45	115	649	764	B	\$5.45	81	607	688	B	\$3.00	130	608	738	B
1800 - 1900	\$3.00	115	595	710	B	\$3.00	121	708	829	C	\$3.00	127	739	866	C	\$3.00	119	683	802	C	\$3.00	146	625	771	B
1900 - 2000	\$2.00	99	367	466	B	\$3.00	150	642	792	B	\$3.00	155	637	792	B	\$3.00	162	731	893	C	\$3.00	178	577	755	B

PM Time	Monday 09/20/21					Tuesday 09/21/21					Wednesday 09/22/21					Thursday 09/23/21					Friday 09/24/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.45	122	715	837	C	\$5.45	92	738	830	C	\$5.45	111	780	891	C	\$5.45	115	759	874	C	\$5.45	126	752	878	C
1500 - 1600	\$5.45	120	717	837	C	\$5.45	119	710	829	C	\$5.45	106	700	806	C	\$5.45	113	647	760	B	\$5.45	126	612	738	B
1600 - 1700	\$3.00	92	621	713	B	\$5.45	93	618	711	B	\$5.45	87	644	731	B	\$5.45	99	642	741	B	\$3.00	123	609	732	B
1700 - 1800	\$3.00	87	596	683	B	\$3.00	78	685	763	B	\$5.45	84	621	705	B	\$5.45	96	578	674	B	\$3.00	120	621	741	B
1800 - 1900	\$3.00	120	624	744	B	\$3.00	120	646	766	B	\$3.00	127	671	798	B	\$3.00	145	672	817	C	\$3.00	134	583	717	B
1900 - 2000	\$2.00	127	457	584	B	\$3.00	123	640	763	B	\$3.00	160	627	787	B	\$3.00	168	609	777	B	\$3.00	166	564	730	B

PM Time	Monday 09/27/21					Tuesday 09/28/21					Wednesday 09/29/21					Thursday 09/30/21					Friday 10/01/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
1400 - 1500	\$5.45	97	675	772	B	\$5.45	108	774	882	C	\$5.45	133	801	934	C	\$5.45	141	771	912	C					
1500 - 1600	\$5.45	111	734	845	C	\$5.45	118	699	817	C	\$5.45	121	709	830	C	\$5.45	112	762	874	C					
1600 - 1700	\$3.00	110	676	786	B	\$5.45	92	658	750	B	\$5.45	90	645	735	B	\$5.45	77	672	749	B					
1700 - 1800	\$3.00	92	640	732	B	\$3.00	103	639	742	B	\$5.45	106	594	700	B	\$5.45	91	673	764	B					
1800 - 1900	\$3.00	107	613	720	B	\$3.00	136	704	840	C	\$3.00	151	676	827	C	\$3.00	114	696	810	C					
1900 - 2000	\$2.00	110	406	516	B	\$3.00	148	552	700	B	\$3.00	154	516	670	B	\$3.00	151	599	750	B					

# RCTC WESTBOUND PEAK-HOUR VOLUMES

## Westbound AM Peak - McKinley to County Line

AM Time	Monday 08/30/21					Tuesday 08/31/21					Wednesday 09/01/21					Thursday 09/02/21					Friday 09/03/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500											\$4.25	207	435	642	B	\$4.25	206	447	653	B	\$2.30	156	420	576	B
0500 - 0600											\$11.20	382	1146	1,528	F	\$10.15	362	1,094	1,456	F	\$7.05	250	1,040	1,290	E
0600 - 0700											\$16.95	293	1164	1,457	F	\$15.95	271	1,112	1,383	F	\$9.10	262	1,112	1,374	F
0700 - 0800											\$12.95	327	1413	1,740	F	\$11.95	345	1,337	1,682	F	\$8.05	285	1,278	1,563	F
0800 - 0900											\$9.05	198	1569	1,767	F	\$8.05	197	1,474	1,671	F	\$4.25	145	1,095	1,240	E
0900 - 1000											\$5.45	125	1196	1,321	E	\$5.45	143	1,178	1,321	E	\$4.25	134	774	908	C

AM Time	Monday 09/06/21					Tuesday 09/07/21					Wednesday 09/08/21					Thursday 09/09/21					Friday 09/10/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$1.60	13	27	40	A	\$4.25	181	465	646	B	\$4.25	184	435	619	B	\$4.25	184	454	638	B	\$2.30	169	454	623	B
0500 - 0600	\$1.60	31	52	83	A	\$11.20	334	1,190	1,524	F	\$11.20	325	1,158	1,483	F	\$10.15	312	1,249	1,561	F	\$7.05	284	1,017	1,301	E
0600 - 0700	\$1.60	31	101	132	A	\$16.95	287	1,149	1,436	F	\$16.95	263	1,097	1,360	F	\$15.95	251	1,181	1,432	F	\$9.10	280	1,202	1,482	F
0700 - 0800	\$1.60	80	171	251	A	\$12.95	311	1,420	1,731	F	\$12.95	325	1,428	1,753	F	\$11.95	302	1,410	1,712	F	\$8.05	306	1,381	1,687	F
0800 - 0900	\$1.60	166	306	472	B	\$9.05	205	1,488	1,693	F	\$9.05	176	1,457	1,633	F	\$8.05	184	1,474	1,658	F	\$4.25	165	1,349	1,514	F
0900 - 1000	\$2.30	278	512	790	B	\$5.45	179	1,495	1,674	F	\$5.45	193	1,436	1,629	F	\$5.45	153	1,286	1,439	F	\$4.25	145	996	1,141	D

AM Time	Monday 09/13/21					Tuesday 09/14/21					Wednesday 09/15/21					Thursday 09/16/21					Friday 09/17/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$4.25	186	477	663	B	\$4.25	193	514	707	B	\$4.25	208	571	779	B	\$4.25	187	515	702	B	\$2.30	148	448	596	B
0500 - 0600	\$11.20	349	1,122	1,471	F	\$11.20	324	1,066	1,390	F	\$11.20	303	1,227	1,530	F	\$10.15	332	1,192	1,524	F	\$7.05	289	1,116	1,405	F
0600 - 0700	\$15.95	290	1,117	1,407	F	\$16.95	292	1,064	1,356	F	\$16.95	254	1,215	1,469	F	\$15.95	301	1,064	1,365	F	\$9.10	288	1,087	1,375	F
0700 - 0800	\$12.95	306	1,330	1,636	F	\$12.95	350	1,347	1,697	F	\$12.95	304	1,327	1,631	F	\$11.95	380	1,385	1,765	F	\$8.05	345	1,375	1,720	F
0800 - 0900	\$8.05	195	1,404	1,599	F	\$9.05	203	1,382	1,585	F	\$9.05	227	1,519	1,746	F	\$8.05	207	1,458	1,665	F	\$4.25	166	1,219	1,385	F
0900 - 1000	\$5.45	130	1,114	1,244	E	\$5.45	170	1,465	1,635	F	\$5.45	173	1,130	1,303	E	\$5.45	129	1,071	1,200	D	\$4.25	142	834	976	C

AM Time	Monday 09/20/21					Tuesday 09/21/21					Wednesday 09/22/21					Thursday 09/23/21					Friday 09/24/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$4.25	216	454	670	B	\$4.25	239	608	847	C	\$4.25	205	524	729	B	\$4.25	191	510	701	B	\$2.30	143	476	619	B
0500 - 0600	\$11.20	342	1,202	1,544	F	\$11.20	371	1,167	1,538	F	\$11.20	339	1,212	1,551	F	\$10.15	356	1,150	1,506	F	\$7.05	322	1,174	1,496	F
0600 - 0700	\$15.95	287	1,192	1,479	F	\$16.95	246	957	1,203	E	\$16.95	316	1,132	1,448	F	\$15.95	335	1,100	1,435	F	\$9.10	270	1,226	1,496	F
0700 - 0800	\$12.95	330	1,400	1,730	F	\$12.95	408	1,297	1,705	F	\$12.95	296	1,394	1,690	F	\$11.95	329	1,309	1,638	F	\$8.05	242	1,300	1,542	F
0800 - 0900	\$8.05	221	1,440	1,661	F	\$9.05	222	1,508	1,730	F	\$9.05	163	1,504	1,667	F	\$8.05	207	1,464	1,671	F	\$4.25	153	1,255	1,408	F
0900 - 1000	\$5.45	143	1,043	1,186	D	\$5.45	140	1,391	1,531	F	\$5.45	165	1,271	1,436	F	\$5.45	136	1,000	1,136	D	\$4.25	148	882	1,030	D

AM Time	Monday 09/27/21					Tuesday 09/28/21					Wednesday 09/29/21					Thursday 09/30/21					Friday 10/01/21				
	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$4.25	176	440	616	B	\$4.25	216	465	681	B	\$4.25	200	495	695	B	\$4.25	182	482	664	B					
0500 - 0600	\$11.20	265	997	1,262	E	\$11.20	363	1,223	1,586	F	\$11.20	323	1,158	1,481	F	\$10.15	342	1,178	1,520	F					
0600 - 0700	\$15.95	291	1,102	1,393	F	\$16.95	327	1,142	1,469	F	\$16.95	337	1,143	1,480	F	\$15.95	277	1,175	1,452	F					
0700 - 0800	\$12.95	290	1,407	1,697	F	\$12.95	291	1,304	1,595	F	\$12.95	333	1,361	1,694	F	\$11.95	317	1,318	1,635	F					
0800 - 0900	\$8.05	187	1,497	1,684	F	\$9.05	130	1,499	1,629	F	\$9.05	197	1,492	1,689	F	\$8.05	150	1,422	1,572	F					
0900 - 1000	\$5.45	122	1,004	1,126	D	\$5.45	134	1,173	1,307	E	\$5.45	134	1,180	1,314	E	\$5.45	163	1,271	1,434	F					

**Westbound AM Peak - I-15 North to County Line**

	Monday 08/30/21					Tuesday 08/31/21					Wednesday 09/01/21					Thursday 09/02/21					Friday 09/03/21				
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500											\$3.00	141	474	615	B	\$3.00	135	441	576	B	\$2.00	94	383	477	B
0500 - 0600											\$7.00	225	931	1,156	D	\$7.00	229	915	1,144	D	\$5.45	128	852	980	C
0600 - 0700											\$9.00	222	1265	1,487	F	\$8.00	234	1,296	1,530	F	\$5.45	185	1,032	1,217	E
0700 - 0800											\$9.00	213	1304	1,517	F	\$7.00	211	1,238	1,449	F	\$5.45	156	1,003	1,159	D
0800 - 0900											\$6.45	93	1150	1,243	E	\$5.45	121	1,213	1,334	E	\$3.00	88	857	945	C
0900 - 1000											\$3.00	101	900	1,001	D	\$3.00	84	885	969	C	\$3.00	97	633	730	B

	Monday 09/06/21					Tuesday 09/07/21					Wednesday 09/08/21					Thursday 09/09/21					Friday 09/10/21				
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$2.00	35	35	70	A	\$3.00	116	540	656	B	\$3.00	123	481	604	B	\$3.00	109	469	578	B	\$2.00	104	442	546	B
0500 - 0600	\$2.00	31	62	93	A	\$7.00	174	992	1,166	D	\$7.00	171	979	1,150	D	\$7.00	169	1,050	1,219	E	\$5.45	175	902	1,077	D
0600 - 0700	\$2.00	30	95	125	A	\$9.00	231	1,282	1,513	F	\$9.00	221	1,378	1,599	F	\$8.00	200	1,355	1,555	F	\$5.45	184	1,184	1,368	E
0700 - 0800	\$2.00	37	134	171	A	\$9.00	212	1,360	1,572	F	\$9.00	206	1,351	1,557	F	\$7.00	196	1,344	1,540	F	\$5.45	185	1,150	1,335	E
0800 - 0900	\$2.00	69	163	232	A	\$6.45	112	1,175	1,287	E	\$6.45	119	1,221	1,340	E	\$5.45	122	1,156	1,278	E	\$3.00	94	1,002	1,096	D
0900 - 1000	\$2.00	138	304	442	B	\$3.00	119	992	1,111	D	\$3.00	130	1,067	1,197	D	\$3.00	101	894	995	C	\$3.00	81	744	825	C

	Monday 09/13/21					Tuesday 09/14/21					Wednesday 09/15/21					Thursday 09/16/21					Friday 09/17/21				
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$3.00	143	480	623	B	\$3.00	128	480	608	B	\$3.00	111	509	620	B	\$3.00	107	461	568	B	\$2.00	98	427	525	B
0500 - 0600	\$7.00	222	1,009	1,231	E	\$7.00	185	1,040	1,225	E	\$7.00	191	1,029	1,220	E	\$7.00	201	1,050	1,251	E	\$5.45	159	950	1,109	D
0600 - 0700	\$8.00	250	1,260	1,510	F	\$9.00	262	1,308	1,570	F	\$9.00	193	1,339	1,532	F	\$8.00	261	1,293	1,554	F	\$5.45	234	1,156	1,390	E
0700 - 0800	\$8.00	209	1,241	1,450	F	\$9.00	209	1,331	1,540	F	\$9.00	217	1,346	1,563	F	\$7.00	232	1,290	1,522	F	\$5.45	206	1,124	1,330	E
0800 - 0900	\$5.45	127	1,169	1,296	E	\$6.45	154	1,343	1,497	F	\$6.45	130	1,169	1,299	E	\$5.45	126	1,177	1,303	E	\$3.00	119	879	998	C
0900 - 1000	\$3.00	90	860	950	C	\$3.00	93	1,076	1,169	D	\$3.00	112	872	984	C	\$3.00	91	803	894	C	\$3.00	124	720	844	C

	Monday 09/20/21					Tuesday 09/21/21					Wednesday 09/22/21					Thursday 09/23/21					Friday 09/24/21				
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$3.00	131	481	612	B	\$3.00	137	498	635	B	\$3.00	136	493	629	B	\$3.00	120	508	628	B	\$2.00	82	451	533	B
0500 - 0600	\$7.00	214	954	1,168	D	\$7.00	220	1,078	1,298	E	\$7.00	188	1,131	1,319	E	\$7.00	222	1,133	1,355	E	\$5.45	166	986	1,152	D
0600 - 0700	\$8.00	213	1,292	1,505	F	\$9.00	243	1,121	1,364	E	\$9.00	251	1,384	1,635	F	\$8.00	256	1,320	1,576	F	\$5.45	201	1,147	1,348	E
0700 - 0800	\$8.00	215	1,322	1,537	F	\$9.00	229	1,175	1,404	F	\$9.00	199	1,325	1,524	F	\$7.00	188	1,269	1,457	F	\$5.45	137	1,084	1,221	E
0800 - 0900	\$5.45	138	1,139	1,277	E	\$6.45	161	1,455	1,616	F	\$6.45	92	1,107	1,199	D	\$5.45	125	1,176	1,301	E	\$3.00	105	951	1,056	D
0900 - 1000	\$3.00	114	832	946	C	\$3.00	97	942	1,039	D	\$3.00	113	1,021	1,134	D	\$3.00	102	839	941	C	\$3.00	110	722	832	C

	Monday 09/27/21					Tuesday 09/28/21					Wednesday 09/29/21					Thursday 09/30/21					Friday 10/01/21				
AM Time	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS	Price	HOV	SOV	Vol.	LOS
0400 - 0500	\$3.00	145	495	640	B	\$3.00	152	474	626	B	\$3.00	142	475	617	B	\$3.00	113	499	612	B					
0500 - 0600	\$7.00	214	1,069	1,283	E	\$7.00	204	1,096	1,300	E	\$7.00	185	1,152	1,337	E	\$7.00	181	1,096	1,277	E					
0600 - 0700	\$8.00	235	1,288	1,523	F	\$9.00	281	1,378	1,659	F	\$9.00	266	1,289	1,555	F	\$8.00	265	1,347	1,612	F					
0700 - 0800	\$8.00	177	1,265	1,442	F	\$9.00	196	1,303	1,499	F	\$9.00	207	1,317	1,524	F	\$7.00	191	1,211	1,402	F					
0800 - 0900	\$5.45	131	1,154	1,285	E	\$6.45	101	1,258	1,359	E	\$6.45	106	1,137	1,243	E	\$5.45	110	1,215	1,325	E					
0900 - 1000	\$3.00	102	797	899	C	\$3.00	107	868	975	C	\$3.00	94	937	1,031	D	\$3.00	112	1,006	1,118	D					

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## RCTC OPERATIONAL HIGHLIGHTS

### **On-Road Operations**

RCTC Freeway Service Patrol responded to 127 calls during the month of September. Of those calls, 88 were to assist disabled vehicles, 13 calls to remove debris, and 26 were in response to accidents in the Express Lanes.

### **91 Express Lanes BOS Development Update**

In February, CUSA notified OCTA and the RCTC of a delay to the implementation of the new BOS for the 91 Express Lanes for both Orange and Riverside counties as a result of the COVID-19 pandemic. CUSA is the current operator of the 91 Express Lanes for both OCTA and RCTC and is the firm selected for the design, development, and implementation of the new BOS, as well as the customer service center operation.

To address the potential delay of transitioning to the new operating agreement, in October 2019, an amendment to the existing operating agreement was executed which allowed for six one-month extension periods. In September 2021, OCTA and RCTC (Agencies) provided notice to CUSA that the Agencies will be exercising the fourth of the six one-month extension period, which will commence October 1, 2021 through October 31, 2021. Agencies' staff have been continuing to work with CUSA to meet the amended go-live date of September 29, 2021. Subsequently, the Agencies were informed that the go-live date will be delayed. The Agencies have been working with CUSA to determine when the revised go-live date is expected and will then ask CUSA to provide an approved implementation schedule for go-live. The Agencies intend to exercise the one-month options until the transition to the new contract occurs.

# FINANCIAL HIGHLIGHTS RCTC

## RCTC 91 Express Lanes Operating Statement

Description	YTD as of :		YTD Variance	
	Actual <sup>1</sup>	9/30/2021 Budget	Dollar \$	Percent (%)
<b>Operating revenues:</b>				
Toll Revenue	\$ 14,094,428.84	\$ 8,958,750.00	\$ 5,135,678.84	57.3
Fee Revenue	1,751,276.25	1,429,225.00	322,051.25	22.5
<b>Total operating revenues</b>	<b>15,845,705.09</b>	<b>10,387,975.00</b>	<b>5,457,730.09</b>	<b>52.5</b>
<b>Operating expenses:</b>				
Salaries and Benefits	111,025.00	213,200.00	102,175.00	47.9
Legal Services	9,028.62	51,250.00	42,221.38	82.4
Advisory Services	(284.34) <sup>2</sup>	1,250.00	1,534.34	122.7
Audit and Accounting Fees	-	9,000.00	9,000.00	100.0
Service Fees	-	4,675.00	4,675.00	100.0
Other Professional Services	78,598.20	314,875.00	236,276.80	75.0
Lease Expense	65,505.92	79,775.00	14,269.08	17.9
Operations	393,742.92	904,450.00	510,707.08	56.5
Utilities	3,294.90	16,275.00	12,980.10	79.8
Supplies and Materials	156.19	8,375.00	8,218.81	98.1
Membership and Subscription Fees	-	7,500.00	7,500.00	100.0
Office Equipment & Furniture (Non-Capital)	-	20,000.00	20,000.00	100.0
Maintenance/Repairs	34,489.30	77,150.00	42,660.70	55.3
Training Seminars and Conferences	1,127.60	400.00	(727.60)	(181.9)
Transportation Expenses	-	625.00	625.00	100.0
Lodging	-	325.00	325.00	100.0
Meals	-	750.00	750.00	100.0
Other Staff Expenses	-	75.00	75.00	100.0
Advertising	-	53,750.00	53,750.00	100.0
Program Management	5,876.85	20,775.00	14,898.15	71.7
Program Operations	125,948.29	2,093,550.00	1,967,601.71	94.0
Litigation Settlement	687.06	-	(687.06)	N/A
Furniture & Equipment	-	18,750.00	18,750.00	100.0
Improvements	24,997.50	13,750.00	(11,247.50)	(81.8)
Bad Debt Expense	25,018.55	-	(25,018.55)	N/A
<b>Total operating expenses</b>	<b>879,212.56</b>	<b>3,910,525.00</b>	<b>3,031,312.44</b>	<b>77.5</b>
<b>Operating income (loss)</b>	<b>14,966,492.53</b>	<b>6,477,450.00</b>	<b>8,489,042.53</b>	<b>131.1</b>
<b>Nonoperating revenues (expenses):</b>				
Interest Revenue	179,802.48	37,375.00	142,427.48	(381.1)
Other Miscellaneous Revenue	9.44	-	9.44	N/A
Principal Expense	-	-	-	N/A
Interest Expense	(5,858,418.00)	(2,260,225.00)	(3,598,193.00)	159.2
<b>Total nonoperating revenues (expenses)</b>	<b>(5,678,606.08)</b>	<b>(2,222,850.00)</b>	<b>(3,455,756.08)</b>	<b>(155.5)</b>
Transfers In	-	-	-	N/A
Transfers Out	-	(268,675.00)	268,675.00	(100.0)
<b>Net income (loss)</b>	<b>\$ 9,287,886.45</b>	<b>\$ 3,985,925.00</b>	<b>\$ 5,301,961.45</b>	<b>133.0</b>

<sup>1</sup> Unaudited

<sup>2</sup> Negatives are the result of FY21 accruals



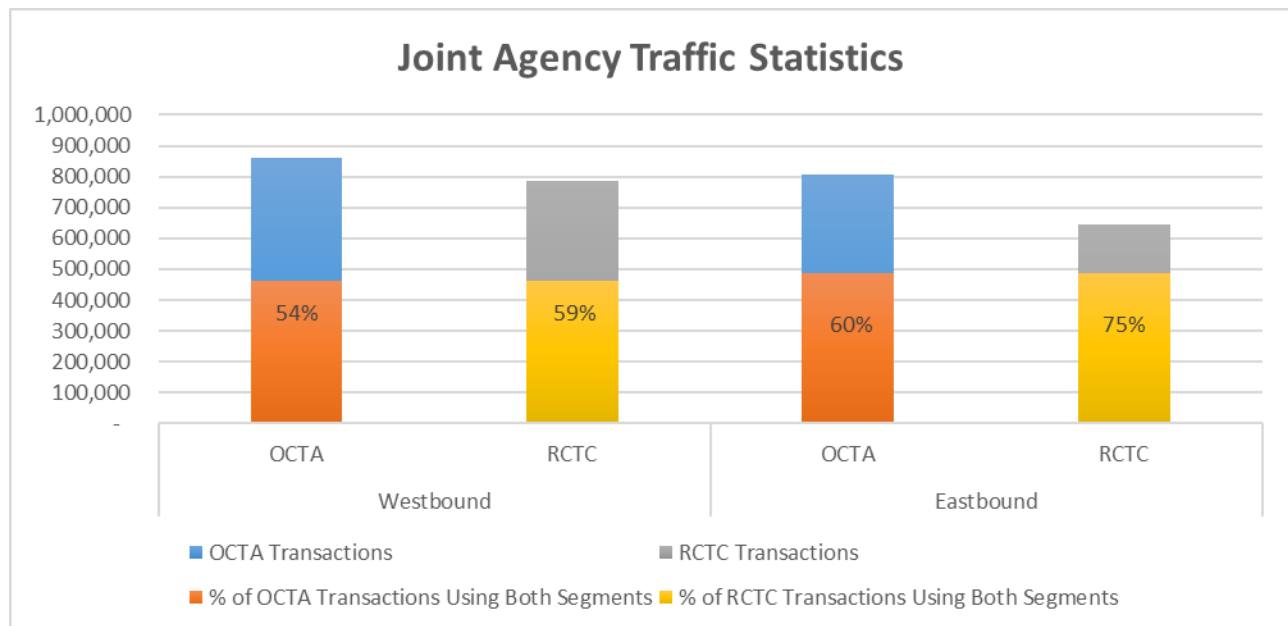
## JOINT AGENCY TRIP AND REVENUE STATISTICS

### MULTI AGENCY TRIP AND REVENUE STATISTICS

MONTH ENDING September 30, 2021

MTD	Transactions by Agency	Transactions Using Both Segments	% Using Both Segments	Revenue
<b>Westbound</b>				
OCTA	858,881	463,116	54%	\$2,444,659
RCTC	783,840	463,116	59%	\$2,996,097
I-15	335,276	263,717	79%	\$1,138,944
McKinley	448,564	199,399	44%	\$1,857,153
<b>Eastbound</b>				
OCTA	808,424	486,726	60%	\$2,802,707
RCTC	645,120	486,726	75%	\$2,253,813
I-15	248,156	195,281	79%	\$629,397
McKinley	396,964	291,445	73%	\$1,624,417

## JOINT AGENCY TRAFFIC STATISTICS



## JOINT AGENCY PERFORMANCE MEASURES

REPORTING REQUIREMENT	Reporting Period	PERFORMANCE STANDARD	Sep-21 Performance
<b>CUSTOMER SERVICE</b>			
Call Wait Time	Monthly	Not to exceed 2 minutes	8:58
Abandon Rate	Monthly	No more than 4.0%	12.5%
Customer Satisfaction	Monthly	At least 75 outbound calls	75
<b>VIOLATION PROCESSING</b>			
Response Time	Monthly	Within 2 business days of receipt	1.4
CUSA Violation Collection Rate	Quarterly	70% or more	60%
CUSA Violation Collection Rate	Annually	74% or more	
<b>TRAFFIC OPERATIONS</b>			
Initial & Secondary Review s	Monthly	Equal to or less than 15 days	2.5
* Plate Misread Errors	Monthly	Equal to or less than 0.4%	0.04%
<b>ACCOUNTING</b>			
OCTA Exceptions	Monthly	No more than 3	0
RCTC Exceptions	Monthly	No more than 3	0
<b>INFORMATION TECHNOLOGY</b>			
Back-office System Uptime	Monthly	99% Availability	100%
Network Uptime	Monthly	99% Availability	100%

CUSA = Cofiroute USA; CAS = OCTA Customer Assistance Specialists

\* Plate Misread Error performance is current after a 60-day hold-back period; therefore, percentage reported here is for two months prior to the month of this report.

CUSA continues to experience staffing impacts related to employee attrition and employees out on leave, which impacted the Call Center performance. Due to these impacts, CUSA was out of compliance for average call wait time and call abandonment rate for the month of September. CUSA has taken several steps, such as increasing hourly pay rates, providing retention incentives, and engaging temporary staffing service providers, to mitigate the impacts to staffing that are impacting operations. CUSA cites the national staffing shortage and extended leave taken under the Coronavirus Aid, Relief, and Economic Security Act, as reasons for the staffing shortage to date. The Agencies are working closely with CUSA to restore the level of customer service.

## JOINT AGENCY TRANSPONDER DISTRIBUTION

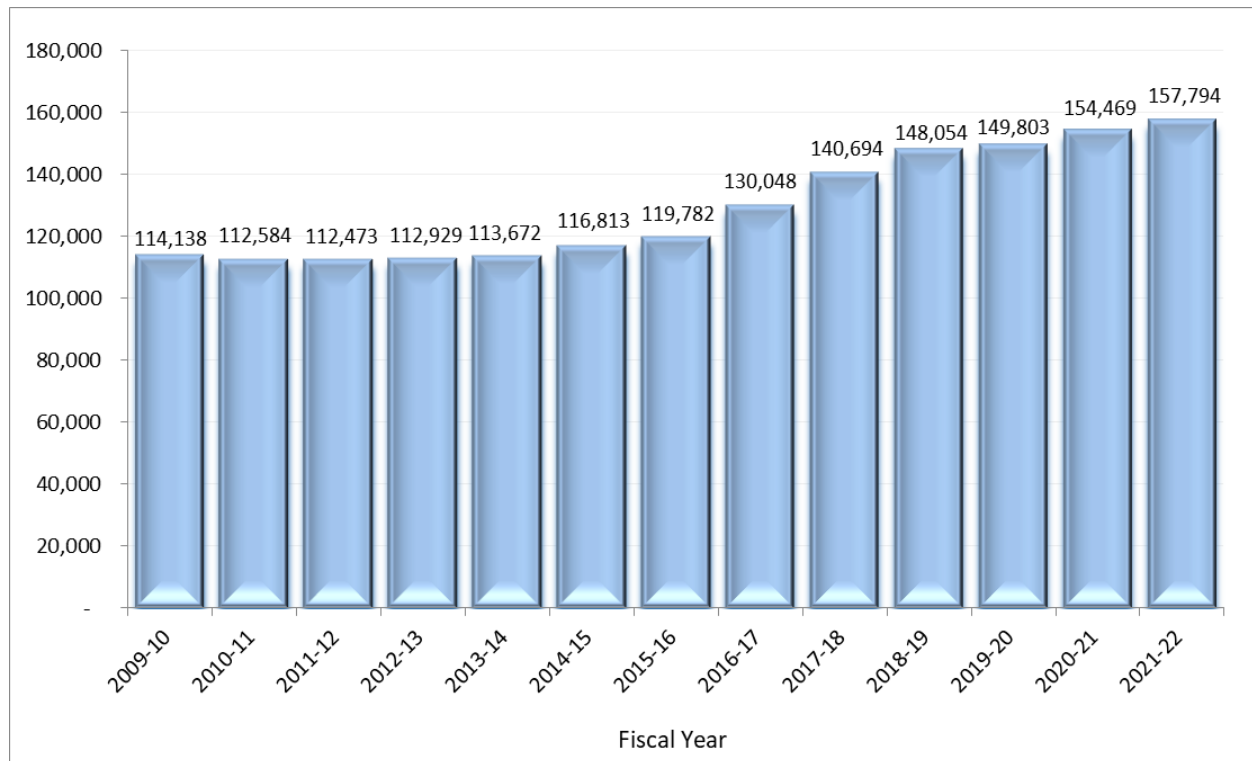
T21 TRANSPONDER DISTRIBUTION	September-21		August-21		FY 2021-22	
	Tags	% of Total	Tags	% of Total	Average To-Date	
Issued						
To New Accounts	0		0		0	
Additional Tags to Existing Accounts	0		0		0	
Replacement Transponders	0		0		0	
Total Issued	0		0		0	
Returned						
Account Closures	2	0.3%	19	1.5%	9	0.8%
Accounts Dow nsizing	786	99.5%	1,090	86.6%	1,158	95.1%
Defective Transponders	2	0.3%	149	11.8%	50	4.1%
Total Returned	790		1,258		1,218	

6C TRANSPONDER DISTRIBUTION		September-21		August-21		FY 2021-22	
		Tags	% of Total	Tags	% of Total	Average To-Date	
Issued							
To New Accounts	12,870	67.0%	18,848	98.5%	13,633	85.5%	
Additional Tags to Existing Accounts	6,296	32.8%	265	1.4%	2,299	14.4%	
Replacement Transponders	36	0.2%	31	0.2%	22	0.1%	
Total Issued	19,202		19,144		15,954		
Returned							
Account Closures							
Accounts Down sizing							
Defective Transponders							
Total Returned							

---

At the end of September 2021, the 91 Express Lanes had 157,794 active customer accounts and 613,948 transponders classified as assigned.

**Number of Accounts by FY  
As of September 30, 2021**



**Incoming Email Activity**

During September, the Anaheim Processing Center received 3,936 emails.

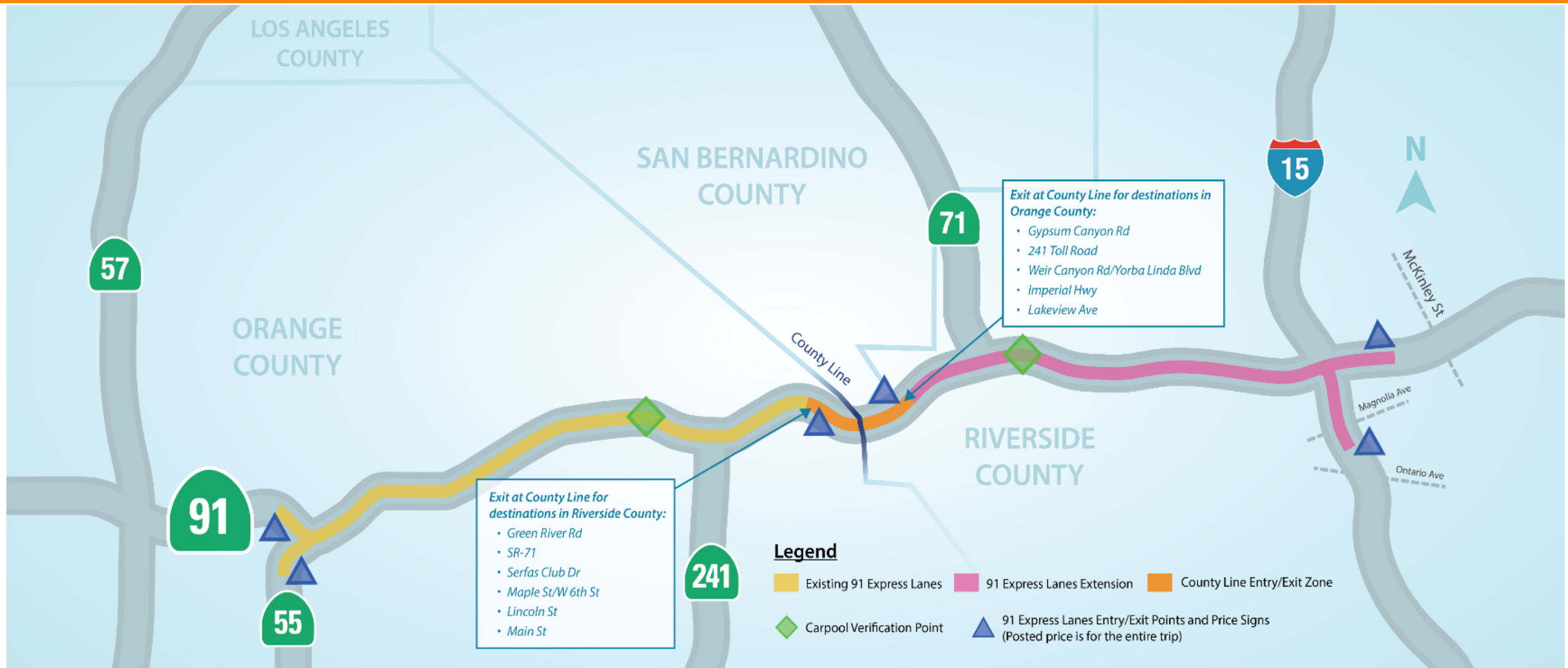


# **91 Express Lanes Update for the Period Ending - September 30, 2021**

# 91 Express Lanes Overview

- Opened in 1995 and acquired by OCTA in 2003
- Extended another eight miles by RCTC in 2017 as part of their Corridor Improvement Project
- OCTA and RCTC have a partnership to operate the 91 Express Lanes as one seamless operation
- Both segments utilize a congestion management-based toll policy
- Revenues fund all expenditures
- OCTA Franchise Agreement extends until 2065

# State Route 91 Corridor

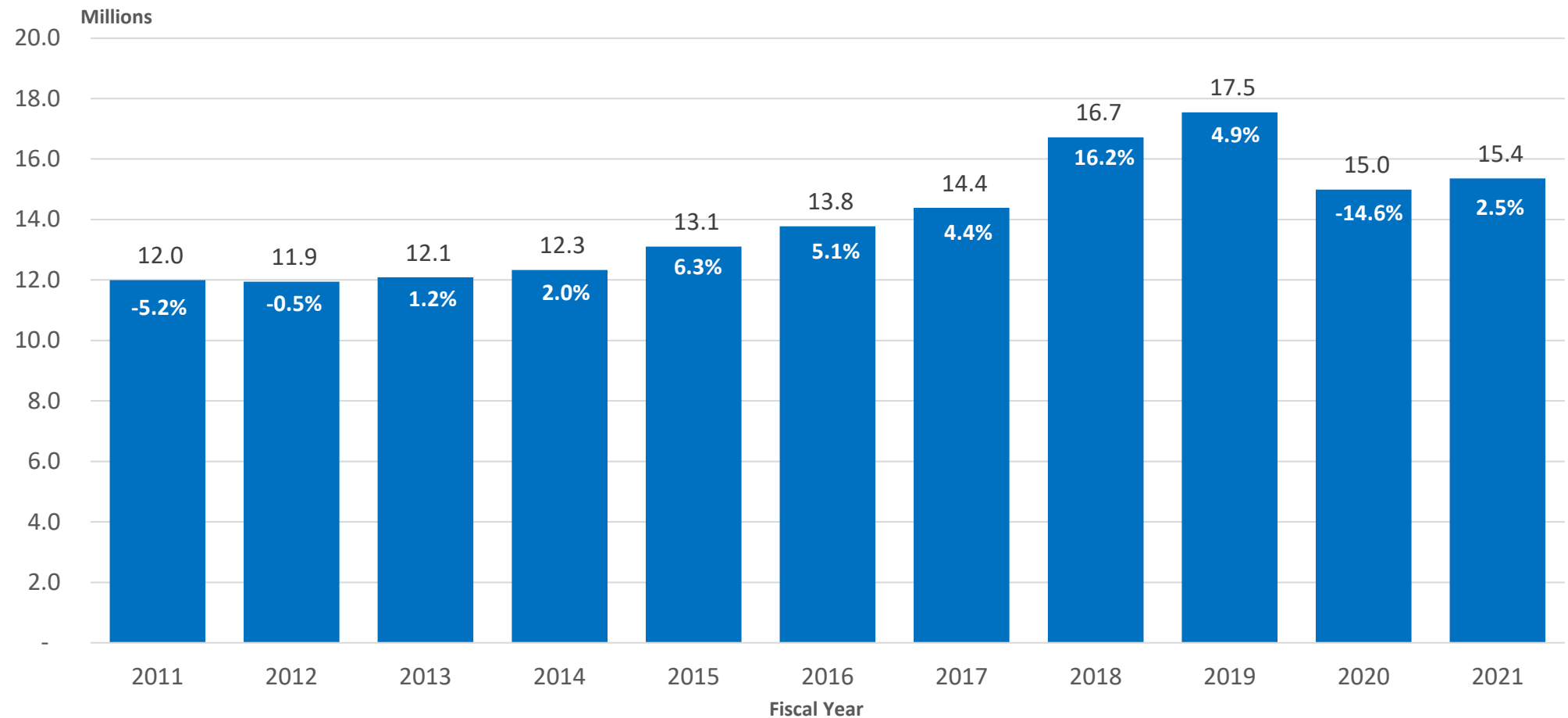


# Events of the Past Year

- Traffic volumes and toll revenues fell significantly due to the State of California's stay-at-home orders; these amounts have rebounded past pre-pandemic levels
- Entered into a new agreement for roadside services, however services are no longer being provided by new vendor
- Revised toll violations ordinance
- Transitioned to 6C transponders and converted all active account plans
- Continued to work with Cofiroute, USA and RCTC on the implementation of the back-office system and customer service center operations

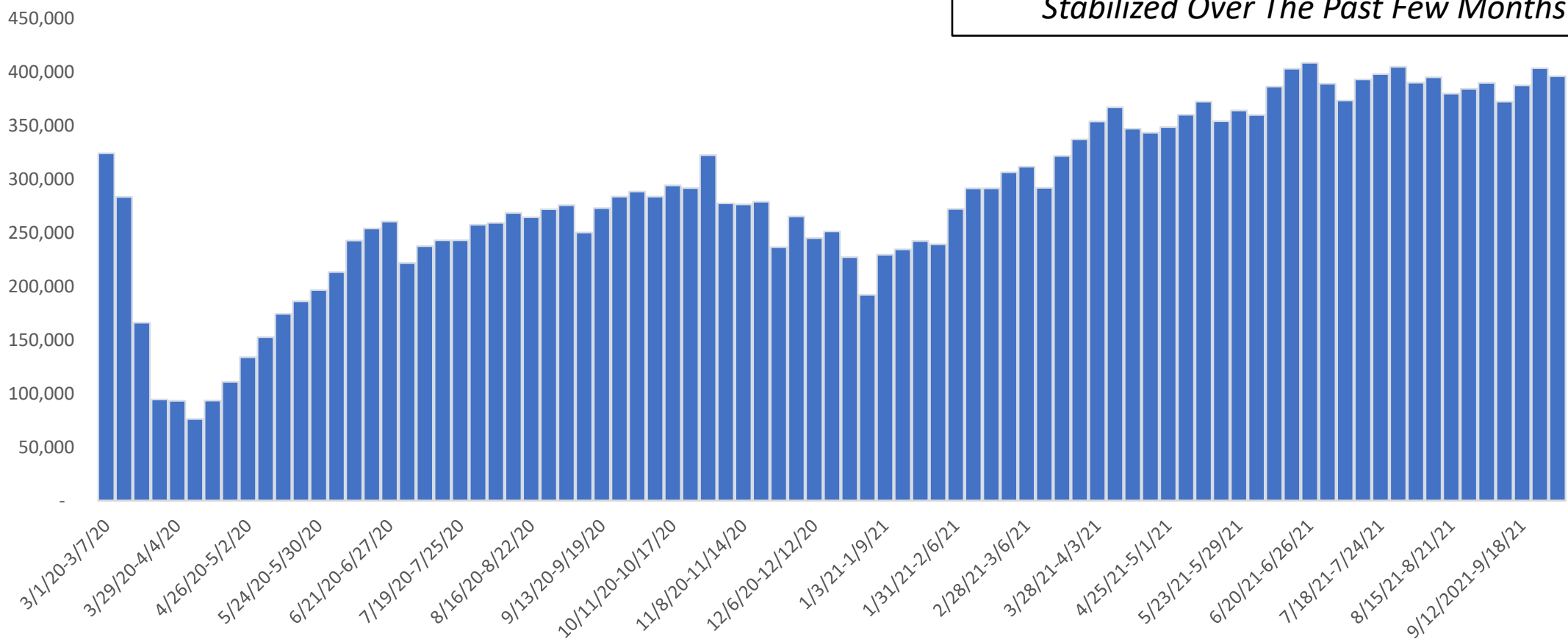


# Annual Traffic Volumes



# A Closer Look at Traffic Volumes

Weekly Trips



*Volumes Have Surpassed 2019 Levels And Have Stabilized Over The Past Few Months*

# Weekly Toll Revenues

Weekly Revenues in \$

1,400,000

1,200,000

1,000,000

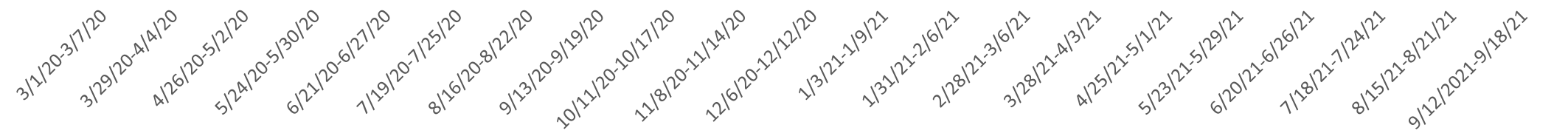
800,000

600,000

400,000

200,000

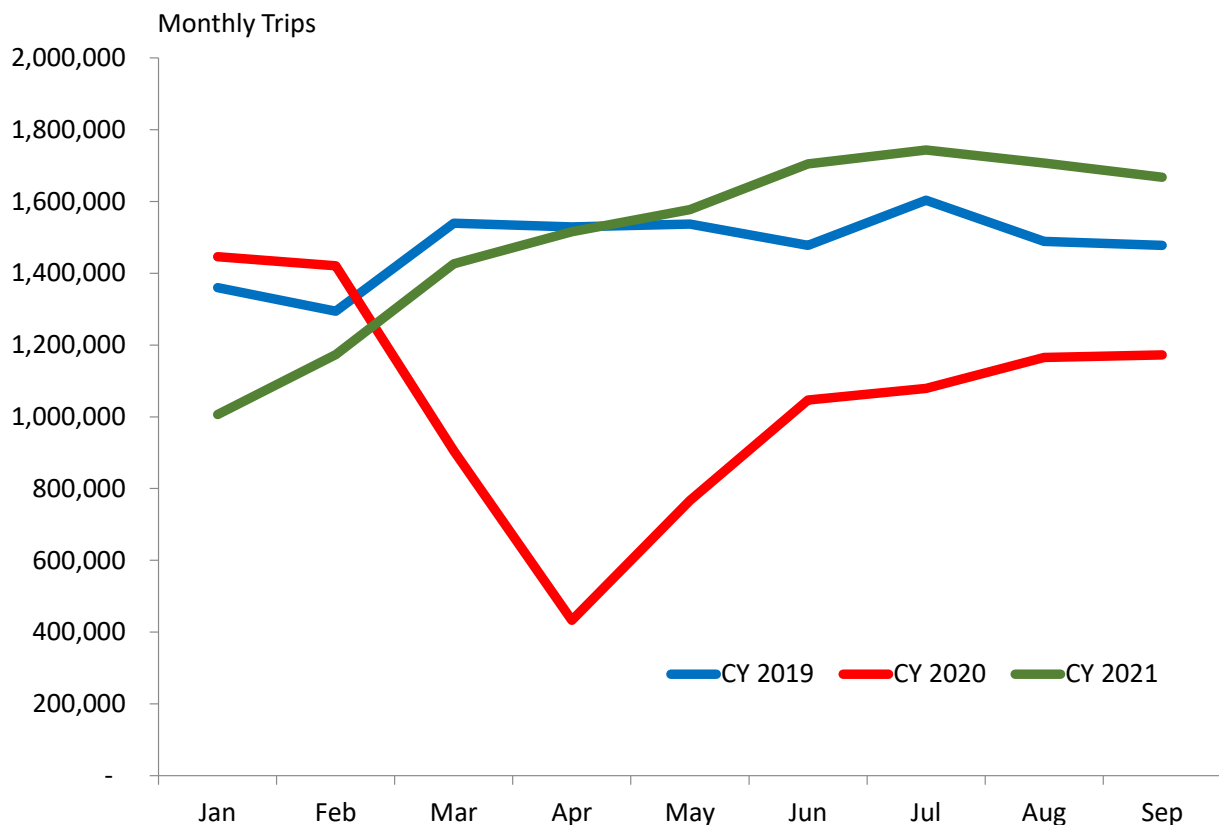
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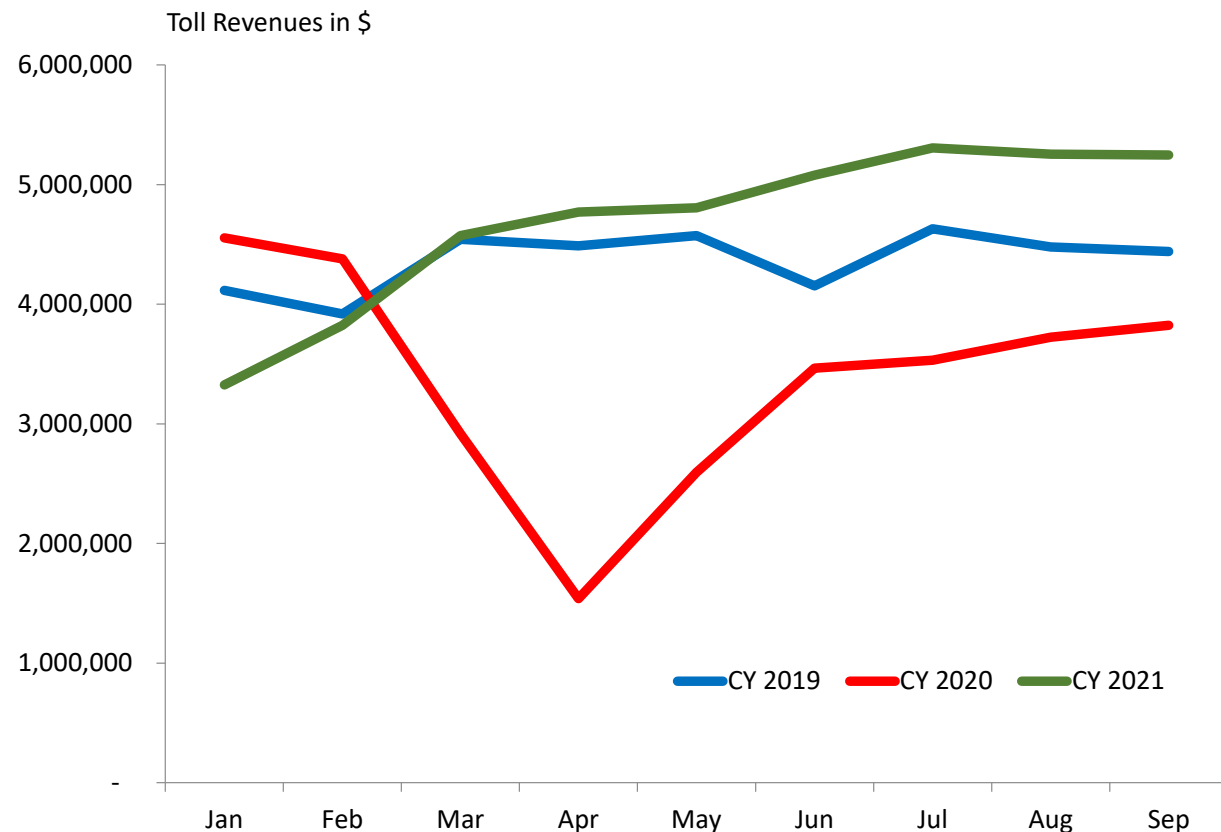
*Toll Revenues Have Surpassed 2019 Levels  
And Continue To Increase*

# Traffic Volume and Revenue Comparison

*Monthly Traffic Volumes*



*Monthly Toll Revenues*



# Operations Update

- Challenges meeting performance measures
  - Call wait times and abandon rates not met during the quarter
- Roadside services provider changes
  - DeAngelo Brothers, LLP permanently closes operations effective October 22, 2021
- New back-office system and customer service center operations delayed
  - Go-live date estimated for mid-December 2021

# Upcoming Events

- Commence roadside services provider procurement
- Complete conversion to the new back-office system and new Operating Agreement
- Continue participation in 241/91 Express Connector project meetings and provide update to OCTA Board of Directors
- Adjust toll rates as required
- Complete installation of new entrance readers