CALIFORNIA DEPARTMENT OF TRANSPORTATION

Performance Measures
For
Quarter Ending December 2007

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Overview

Since 2005, the California Department of Transportation (Caltrans) has been reporting a select set of performance measures to the Business, Transportation and Housing Agency (BTH) on a quarterly basis. The quarterly reports submitted to the BTH include the "vital few" performance measures that Caltrans has identified which reflect the goals and objectives in Caltrans' Strategic Plan.

Caltrans also led the effort in the successful development of an online Performance-Based Management System (PBMS) that will support the BTH's performance improvements initiative. The PBMS for BTH is a data warehouse reporting system deployed via Oracle® portal (which requires a secured logon with username and password) and it is accessible over the Internet. Currently, five of the thirteen Departments/Offices under the BTH umbrella have adopted the PBMS as an online tool to provide select performance measures to the BTH. Caltrans is also taking the lead among the BTH Departments in expanding the use of PBMS, and it has embraced the system in reporting the "vital few" performance measures to the BTH via electronic means.

In addition to the "vital few" performance measures, other measures have now been developed to guide Caltrans in its efforts to implement its new five-year Strategic Plan as well as its annual Operational Plans. This report provides these additional performance measures along with the "vital few" previously reported to the BTH. The performance measures reported herein align with the current objectives identified in the Caltrans' Strategic Plan and/or Operational Plans. The objectives were set by the Strategic Planning Work Group based on the historical trend and baseline data for each measure that were presented to the Work Group during the development of the Strategic Plan. The baseline for each measure was generally established using the most current data available during the spring of 2007.

This report consists of two major sections:
The first section presents the key dashboard indicators for the performance measures that are identified in the Strategic Plan and/or Operational Plans. For a quick glimpse of the current status of the measures relative to their respective goals, current data and targets are depicted in the form of gauges on a dashboard to represent the progress of the respective measures.

The second section provides a series of data points spanning over multiple quarters, calendar years or fiscal years. The series of data points are presented in graphical charts to provide management with a tool to track the trends and monitor the progress of the specific measures, so that appropriate adjustments can be made en route to achieving the strategic goals and objectives.

Caltrans will continue to refine and develop appropriate measures for each of its strategic goals and objectives. These measures will be included in future management reports as they are developed. Additionally, Caltrans will continue to develop the processes for collecting the necessary performance data that are useful for management reporting. Future management reports will also include the most updated information as they become available and will reflect new processes as they are developed.

Web Site and Contact

The most current report of Caltrans Performance Measures is posted on the Caltrans Internet home page, at http://www.dot.ca.gov/ (the link to the document is listed under "Highlights"). This report is also available on the Intranet site for the Office of Strategic Planning and Performance Measurement (OSPPM), located at http://onramp.dot.ca.gov/hq/osppm/ (note that this Intranet site is accessible from within Caltrans internal network only). Also posted on the OSPPM's Intranet site are previous reports of Caltrans' performance measures from earlier quarters and fiscal years, as well as updated information about Caltrans' Strategic Plan and Operational Plan.

The performance measures presented in this report are generally compiled from the data provided by various Caltrans divisions or offices that collected data for their respective areas of responsibilities. Other sources of data are as indicated in the footnotes (or in the comments area) for the specific measures. Please note that all the graphs and charts in Section 2 of this report are created and designed by the author based on the raw data compiled from various sources. If you find any deficiency in the graphical presentation of the data, or if you have any questions or concerns about the performance measures reported herein, please contact the Office of Strategic Planning and Performance Measurement by sending an e-mail to Shaun Ng, at shaun_ng@dot.ca.gov.

Section 1: Key Dashboard Indicators

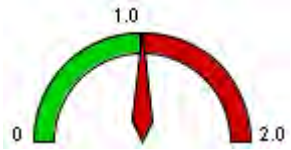
In this section, only the key dashboard indicators are shown with the most updated data. The key indicators are presented as dashboard gauges for a quick glimpse of the current status of the measures. The dashboard gauges are generally divided into bands of green and red. The green band represents the potential levels of performance within the target range. The red band represents the area where the measure falls outside of the target range. When a specific measure hits the target or is within the green band on the dashboard, the arrow on the gauge will turn green. Likewise, the arrow will turn red when the measure falls short of the target range. These at-a-glance gauges are designed to show the latest status of the measure based on a snapshot in time – either it is the latest quarter, calendar year, or fiscal year, where the data are available. Unless indicated otherwise, fiscal year (FY) refers to the State of California fiscal year which starts on July 1 and ends on June 30 of the following year.

In most cases, the current data represent the latest information available for the quarter. However, some of the data are only collected and reported on an annual basis (by calendar year or fiscal year). For these annual measures, the gauges will only be updated once a year and no quarterly updates will be reported.

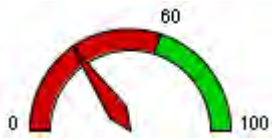
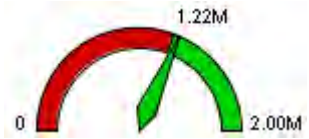
The dashboard gauges presented in this section were originally developed for the Performance-Based Management System. Due to the limitation of the software tool being utilized to develop the dashboard gauges, the numerical value shown on the scale of the gauges only increases in one direction – i.e., clockwise only. As such, the green bands on the gauges are not consistently shown on the left side of the scale; and likewise, the red bands are not always shown on the right side of the scale either. The green band appears on the left side of the scale when the desired target for a specific measure is *less* than a threshold limit. Conversely, the green band appears on the right side of the scale when the desired target is *greater* than a specified threshold limit.

Although in their current form the dashboard gauges are displayed in bands of green and red only, it is not intended to indicate that all measures are absolute – i.e., either pass or fail to meet their respective targets. It is recognized that there are cases where it may be more meaningful to display yellow bands on the gauges for certain measures that are progressing towards meeting or beating their respective targets. However, currently there isn't a universal way to determine what an acceptable level of progress is for each measure that will warrant a display of yellow band on the dashboard. It is anticipated that the dashboard gauges as presented now (with green and red bands only) will spur further interest from the affected stakeholders and data owners of each measure to come forward and propose the acceptable ranges of yellow bands for their respective measures. Once we have a consensus on the acceptable levels of progress for each measure, future updates of the appropriate performance measures will reflect yellow bands on the dashboard gauges.

Safety Goal – *Provide the safest transportation system in the nation for users and workers.*

Performance Measure	Baseline	Target	Current Data	Comments
PM 1.1 Traveler Safety – Fatalities per 100 million vehicle miles traveled (mvmt) on the California state highway system.  	1.10	1.00	1.01	This is an annual measure reported by calendar year. Figure for current data represents calendar year 2006, the latest year where data are available. The baseline of 1.10 fatalities per 100 mvmt (2005 data) was based on the latest data available when the strategic goal was established. The fatality rate on the state highway system has fluctuated from 1.08 in 2003, 1.02 in 2004, 1.10 in 2005, to 1.01 in 2006. 2007 data not yet available.
PM 1.2 Worker Safety – Number of work-related fatalities in a calendar year. 	2	0	3	This is an annual measure reported by calendar year. The baseline was the number of fatalities in calendar year 2006. Before 2006, there were 3 fatalities in 2004 and 1 fatality in 2005. Figure for current data represents the total number of fatalities in calendar year 2007. Prior to the first fatality in 2007 (on September 25, 2007), there had been no fatality reported for a period of 17 months since the last fatality was reported in 2006 (on April 4, 2006).

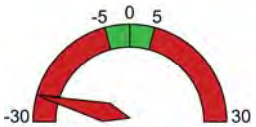
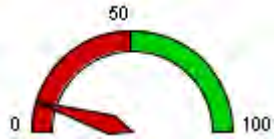
Mobility Goal – *Maximize transportation system performance and accessibility.*

Performance Measure	Baseline	Target	Current Data	Comments
PM 2.2b Percent of major incidents cleared in less than 90 minutes.  	32	60	31	This measure is reported on a quarterly basis. The baseline was the result from the January-March 2007 quarter. Figure for current data represents the result for the latest quarter (October-December 2007). There were 381 major incidents reported in this quarter, of which 117 were cleared in 90 minutes or less. The average clearance time was 2 hours 56 minutes. This quarter's result is an improvement from the 28% for the last reported quarter of April-June 2007 (the result for July-September 2007 was not reported by the Division of Traffic Operations). Note: Major incidents are defined as those requiring 30 minutes or more to clear.
PM 2.3a Total ridership on the State-supported intercity rail – Number of passengers on the Pacific Surfliner, San Joaquin and Capitol Corridor.  	1,183,150	1,222,481	1,266,751	This measure is reported quarterly. Figure for current data represents ridership for the fourth quarter (October-December) of 2007. Baseline is actual ridership for the same quarter in the prior year. Target is seasonally adjusted based on annual corridor business plans, and this quarter's target is 3.3% over the baseline. This quarter's ridership increased by 7.0% (or 83,601 riders) from the baseline. Quarterly ridership is subject to seasonal influences, and summer months (July-September) typically have the highest ridership. Total ridership for calendar year 2007 was 5,045,643, a 5.7% increase over the total ridership for calendar year 2006.

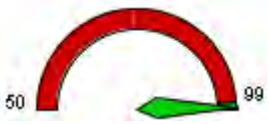
Delivery Goal – *Efficiently deliver quality transportation projects and services.*

Performance Measure	Baseline	Target	Current Data	Comments
Delivery milestone targets for capital projects. Current data				
PM 3.2a Project Approval and Environmental Document (PA/ED) – Percent of projects. 	93	100	83	This measure is reported quarterly. Baseline is the fourth quarter data for fiscal year (FY) 2005/06. Figure for current data represents delivery of 86 out of 103 planned milestones through the second quarter of FY 2007/08 (July-December 2007).
PM 3.2b Right of Way (R/W) Certification – Percent of projects. 	99	100	97	This measure is reported quarterly. Baseline is the fourth quarter data for FY 2005/06. Figure for current data represents delivery of 102 out of 105 planned milestones through the second quarter of FY 2007/08 (July-December 2007).
PM 3.2c Ready to List (RTL) – Percent of projects. 	99	100	98	This measure is reported quarterly. Baseline is the fourth quarter data for FY 2005/06. Figure for current data represents delivery of 111 out of 113 planned milestones in Director Kempton's Contracts for Delivery through the second quarter of FY 2007/08 (July-December 2007).
PM 3.2d Construction Contract Acceptance (CCA) – Percent of projects. 	88	100	86	This measure is reported quarterly. Baseline is the fourth quarter data for FY 2005/06. Figure for current data represents delivery of 100 out of 116 planned milestones through the second quarter of FY 2007/08 (July-December 2007).

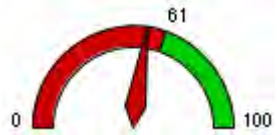
Delivery Goal – *Efficiently deliver quality transportation projects and services.*

Performance Measure	Baseline	Target	Current Data	Comments
PM 3.2e Cooperative agreements – Percent executed within 60 days of signing authorizing document. 	40	100	55	This measure is reported quarterly. Baseline reflects the percent of cooperative agreements in FY 2006/07 that were executed within 60 days of signing authorizing document. Figure for current data represents percent executed within 60 days through the second quarter of FY 2007/08 (July-December 2007). Out of a total of 119 agreements executed in July-December 2007, 66 (55%) were executed within 60 days of the authorizing document, 42 (35%) were executed between 60 and 180 days, and 11 (9%) were executed beyond 180 days.
PM 3.5a Percent difference between total low bids and total of all engineer's estimates. 	4.5	+/- 5.0	- 24.7	This measure is reported quarterly. Baseline is based on the data for FY 2005/06. Figure for current data represents second quarter of FY 2007/08, and reflects all projects with bids opened in October-December 2007 (some projects may have bids opened more than once). Projects with no bids received (zero bidder) are excluded. The percent difference for last quarter (July-September 2007) was - 19.2%. For October-December 2007, there were $604.2 million in total low bids, and $803.0 million in total engineer's estimates.
PM 3.5b Percent of projects with low bid within +/- 10% of engineer's estimate. 	33.5	50	9.5	This measure is reported quarterly. Baseline is based on the data for FY 2005/06. Figure for current data represents second quarter of FY 2007/08 (October-December 2007), and excludes Minor B or emergency contracts. Target is based on guidance from Federal Highway Administration (FHWA), which states that low bid should be within +/- 10% of the engineer's estimate for at least 50% of the projects. For last quarter (July-September 2007), there were 15% of projects with low bid within +/- 10% of engineer's estimate.

Stewardship Goal – *Preserve and enhance California's resources and assets.*

Performance Measure	Baseline	Target	Current Data	Comments
PM 4.1a Pavement condition – Percent of distressed lane miles. 	28	30	28	This measure is reported annually by calendar year. Baseline and current data represent calendar year 2005, the latest year where data are available. Percent of distressed lane miles increased from 25% (12,624 lane miles) in 2004 to 28% (13,845 lane miles) in 2005. (Note: 2006 data not yet available).
PM 4.2a Percentage of federal subvention formula funds obligated for local projects (on/off state highway system) – Percent of funds obligated. 	100	100	22.8	This measure is reported quarterly based on federal fiscal year (FFY). Baseline of 100% is the obligational authority (OA) used by the State of California in prior FFY. Figure for current data represents first quarter of FFY 2008 (October-December 2007). This reflects progress towards meeting the FFY target of obligating 100% of available funds. Available funds are based on projection at the beginning of FFY. Historical trends indicate that during the first and second quarter (FFY), the obligation of projects is typically low and it increases in the third quarter with a large number of projects being obligated at the end of the FFY. Delivery of local OA this first quarter of FFY 2008 is $234 million vs. $35 million the first quarter of last FFY. This is 22.8% OA delivery for FFY 2008 vs. 3.8% for last year. In addition, OA projection for FFY 2008 is about $100 million higher than the projected OA for FFY 2007.
PM 4.2d Percent of payments made to vendors and other government agencies within the time limits imposed by the Prompt Payment Act or as specified in the contract.  	99	99	99.76	This measure is reported quarterly. Baseline was established from second quarter of 2006. Figure for current data represents results from the second quarter of FY 2007/08 (October-December 2007). Met performance target for the quarter (227,199 out of 227,745 payments were made within the time limits). Last quarter (July-September 2007), 99.67% (200,858 out of 201,516) of payments were made within the time limits.

Service Goal – *Promote quality service through an excellent workforce.*

Performance Measure	Baseline	Target	Current Data	Comments
PM 5.2 Percent compliance with response times and scheduled milestones for Local Assistance, oversight, and permits.	Data not available.	100	Data not available.	Need to develop process for data collection.
PM 5.4a Percent of survey respondents who said Caltrans was doing a good or excellent job. User Survey:  Stakeholder Survey: 	User survey: 53 Stakeholder survey: 68.3	User survey: 61 Stakeholder survey: 78	User survey: 54.8 Stakeholder survey: 68.3	This measure is expected to be updated biennially, depending on the frequency of external customer survey. Baseline of 53% for user survey was based on the 2001 Caltrans External Customer Survey – Telephone Survey (quantitative results were compiled from user survey, but only qualitative results were available from stakeholder survey). There was no comparable survey question in the 2005 external customer survey. The target is to increase by 15% (from the baseline) the number of external customers who are satisfied with Caltrans services. Figures for current data represent overall results from the 2007 External Survey of Transportation Users and Stakeholders. For the stakeholder survey, since no quantitative data was available when the target was originally set, the 2007 survey result established the baseline.

Section 2: Trends and Progress of Performance Measures

This section presents the data points for each performance measure as a series of line graphs or bar charts spanning over multiple reporting cycles. The reporting cycles for each measure may be in terms of quarters, calendar years or fiscal years, as applicable to each specific measure.

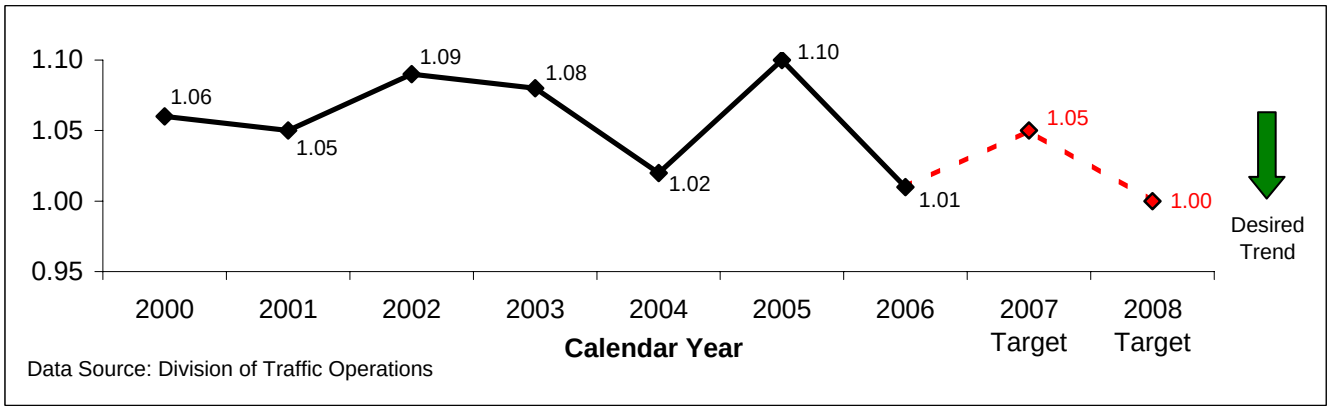
These charts are intended to provide a graphical depiction of the various performance measures over a period of reporting cycles. As the series of data points are plotted over time, they serve as a good management tool to track the historical trends of the measures and to project future performance.

Where the targets of specific measures are identified in the objectives or in the annual operational plans, these targets are plotted over the same graphs and they are used as a yardstick to gauge the progress of the specific performance measures. The progress can be monitored and appropriate adjustments may be made periodically by management to ensure that the measures are moving ahead towards meeting or beating the strategic goals and objectives.

Safety Goal – *Provide the safest transportation system in the nation for users and workers.*

Objective 1.1 – By 2008, reduce the fatality rate on the California state highway system to 1.00/100 million vehicle miles traveled (mvmt) and continuously reduce annually thereafter toward a goal of the lowest rate in the nation.

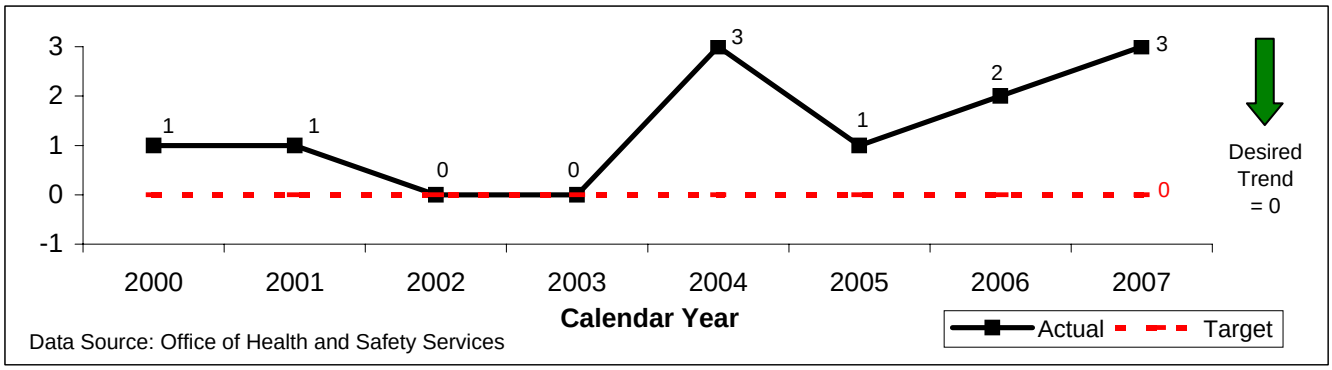
PM 1.1 **Traveler Safety – Fatalities per 100 mvmt on the California state highway system.**



Notes: 1. Data for 2007 not yet available.
2. Between 2005 and 2006, total fatalities on state highways decreased from 2,006 to 1,841 (a decrease of 165 or 8%). A preliminary review of the collision trends indicate that the largest contributor to the decrease is on 2-lane* conventional highways, where fatalities decreased from 576 to 503 (decrease of 73 or 13%). In addition, the largest decrease in fatality rate is on 4-lane expressways where the rate decreased from 1.83 to 1.44 fatalities/100 mvmt (decrease of 21%).
(* includes data for 3-lane conventional highways.)

Objective 1.2 – Each year, ensure zero work-related fatalities.

PM 1.2 **Worker Safety – Number of work-related fatalities.**

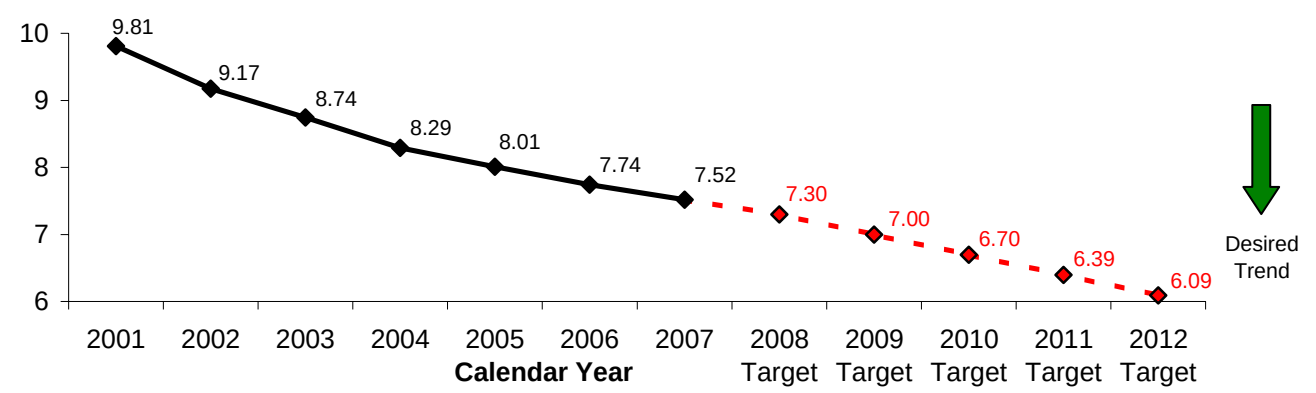


Note: No fatality had been reported for a period of 17 months between the last fatality in 2006 (April 4, 2006) and the first fatality in 2007 (September 25, 2007).

Safety Goal – *Provide the safest transportation system in the nation for users and workers.*

Objective 1.3 – By 2012, reduce the work-related injury and illness incident rate for transportation workers by 25%.

PM 1.3 **Worker Incident Rate – Work-related injuries and illnesses in previous 12 months per 200,000 employee hours.**



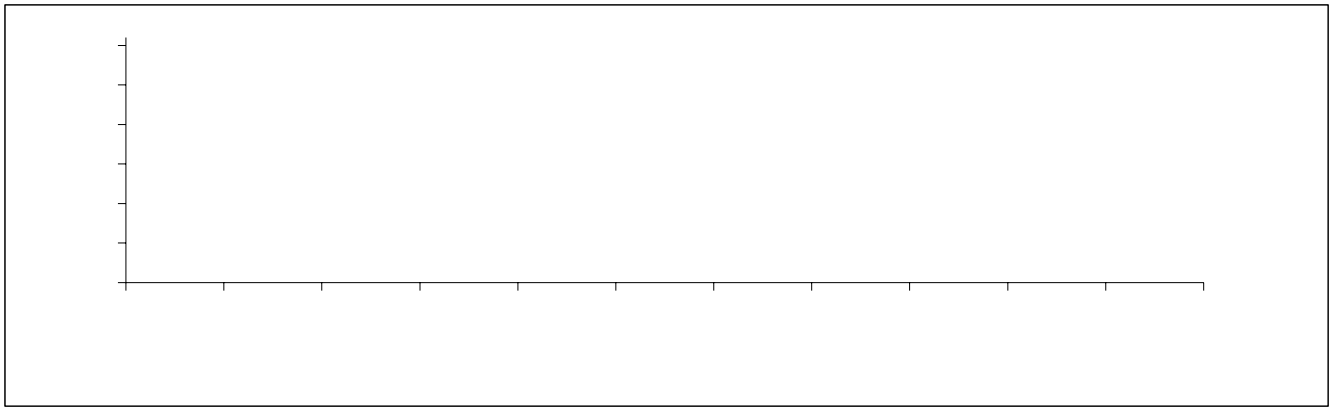
Data Source: Office of Health and Safety Services

Notes:
1. Incident Rate (IR) has been previously reported to BTH on a quarterly basis since 2005. The 2004 IR was originally reported to the BTH as 8.12, which was used as a baseline to set the 2008 target IR. The 2008 target is a 10% reduction from the baseline of 8.12, to be achieved by the end of 2008.
2. Incident rate is subject to being updated to reflect late reporting of incidents from the field. Employees may seek medical attention weeks or sometimes months after the initial exposure to an incident that didn't require immediate medical attention. The 2004 IR has since been updated to 8.29 and it is now less susceptible to changes than more recent IR for 2005 and 2006 (figure shown for 2006 has been updated from previous report).
3. Based on consultation with the Office of Health and Safety Services (under the Division of Human Resources), and for consistency and continuity with the original target set for 2008 (as previously reported to the BTH), the 2012 target identified in the Strategic Plan is based on 25% reduction from the baseline IR in 2004. Using the originally established baseline of 8.12, target for 2012 = 0.75 x 8.12 = 6.09 (this figure has been updated to be consistent with the "Safety Statistics for Year 2007" memo from the Deputy Director for Administration and Information Technology).
4. A steady downward trend in injuries is continuing and on track to meet the newly revised target IR by 2012

Mobility Goal – *Maximize transportation system performance and accessibility.*

Objective 2.1 – By 2012, reduce daily vehicle hours of delay by 30,000 hours throughout the transportation system.

PM 2.1a **Statewide daily vehicle hours of delay (DVHD).**



Notes:
1. 2007 data not yet available. 2000-2005 figures are reported in the 2005 State Highway Congestion Monitoring Program (HICOMP) Report, based on congestion data on California urban freeway segments with a history of recurrent congestion.
2. DVHD is an aggregate by delay threshold which is the amount of extra time spent by all the vehicles over and above the time it takes to traverse a link at the threshold speeds of 35, 40, 45, 50, 55, 60 miles per hour (mph). CMIA corridors have yet to be defined (and equipped with detection) at this time in order to monitor DVHD by corridor.
3. The DVHD of 558,143 hours reported in the Governor's Strategic Growth Plan (SGP) was derived from data collected in 2002 and projected into 2005, whereas the 530,091 DVHD reported in the 2005 HICOMP Report was derived from actual data collected in 2005.

*4. 2012 target is a reduction of 30,000 hours from the baseline DVHD of 558,143 hours (referred to as "today's levels" in the SGP). This is consistent with the SGP's 2016 target of reducing DVHD by 100,000 hours, while accomodating growth in population and the economy over the next few years.

PM 2.1b **Percent of good (operating) detectors (CMIA* corridors).**

Status: The Performance Monitoring System (PeMS) makes a determination as to whether each individual lane detector in the system is good or bad by subjecting the data from the detectors to a number of different tests. Depending on the results of these tests, the algorithm declares that the detector is good or bad and it makes a prediction as to the cause. In order to measure detector health by CMIA corridor, the corridors will need to be defined in PeMS and detection fully established. There is an effort underway to deploy additional detection along CMIA corridors and reporting will begin near the end of 2008.

* Note: CMIA is an abbreviation for Corridor Mobility Improvement Account.

Mobility Goal – *Maximize transportation system performance and accessibility.*

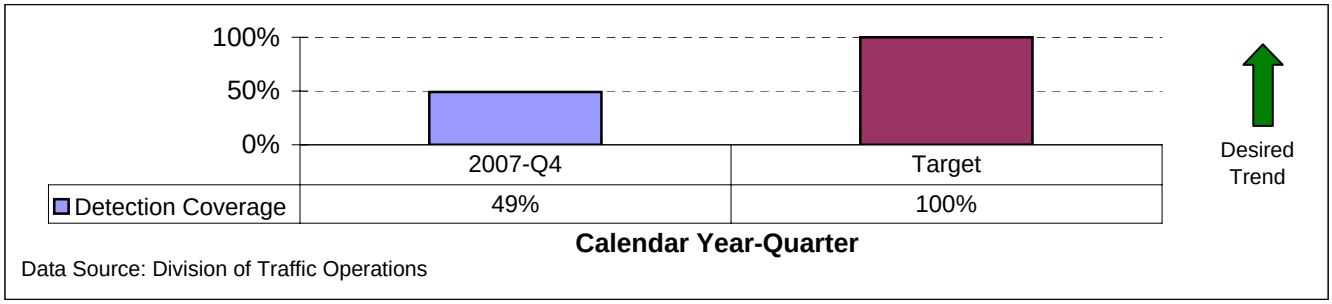
PM 2.1c **Percent of good (operating) detectors (overall).**

Notes: 1. Measure was reported for the first time in the 2007 second quarter (Q2), ending June 30.
2. Third quarter (Q3) figure not reported. Fourth quarter (Q4) figure represents the percent good as of 12/31/2007. The number varied slightly from 64 to 68 percent over this quarter.

PM 2.1d **Percent of detection coverage (CMIA corridors).**

Status: There is currently no policy on detection coverage but Division of Traffic Operations recommends 1/2 mile apart in urban areas and/or at every on/off ramp in urban and rural areas, as applicable. In order to measure detection coverage by CMIA corridor, the corridors will need to be defined in Performance Monitoring System (PeMS) and detection fully established. There is an effort underway to deploy additional detection along CMIA corridors and reporting will begin near the end of 2008.

PM 2.1e **Percent of detection coverage (overall).**



Notes: 1. Measure is being reported for the first time in fouth quarter of 2007 (ending December 31).
2. The number provided represents the existing detection relative to the projected buildout for 2012 of 8446 detection stations. The buildout is comprised of existing, programmed and proposed detection stations. However, due to the ever changing urban/rural boundary line, the programmed and proposed may require revision on an annual basis.

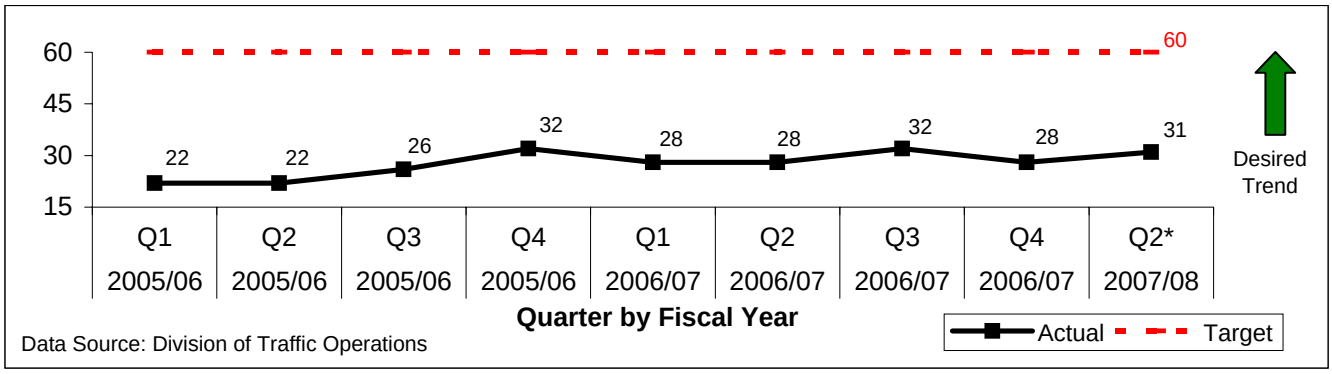
Mobility Goal – *Maximize transportation system performance and accessibility.*

Objective 2.2 – By 2012, increase reliability by 10% throughout the transportation system.

PM 2.2a **Percent variation from predicted travel time (with reliable real-time detection).**

Status: Per Division of Traffic Operations, the methodology for comparing predicted travel time (at traffic management centers) and actual travel time measured in PeMS has not been established at this time. Therefore, cannot compute this measure at present. The first target has been set for FY 2008/09.

PM 2.2b **Percent of major incidents cleared in less than 90 minutes.**



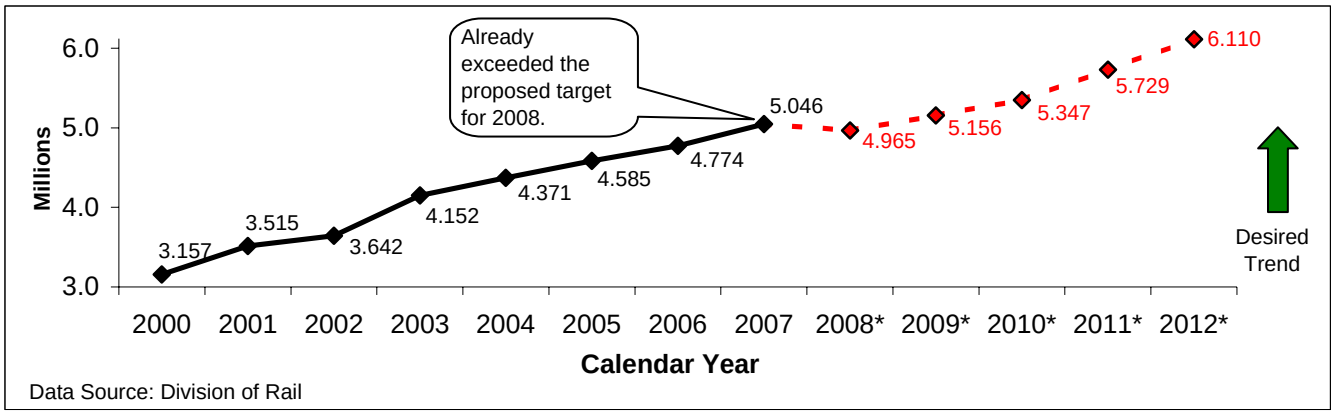
Notes: *1. First quarter (Q1) result for FY 2007/08 was not reported by Division of Traffic Operations.

2. There were 381 major incidents reported in the Q2 of FY 2007/08 (October-December 2007), of which 117 were cleared in 90 minutes or less. The average clearance time was 2 hours 56 minutes.
3. Major incidents are defined as those requiring 30 minutes or more to clear. Quarterly report is subject to seasonal influences (i.e., weather, holiday season, etc.). Data gathered is related to clearance times only and no evaluation of causes is provided for incidents less than 4 hours. However, an evaluation process for this category of incidents is being developed. To remedy the situation, Caltrans is in the process of revising data collection methods and software in conjunction with new policies in the field between California Highway Patrol (CHP) and Caltrans. Caltrans and the CHP will be considering additional improvements as a result of the California Highway Incident Management Summit and Workshops.

Mobility Goal – *Maximize transportation system performance and accessibility.*

Objective 2.3 – By 2012, increase intercity rail ridership on the State-supported routes by 28%.

PM 2.3a **Total ridership for intercity rail (Pacific Surfliner, San Joaquin, and Capital Corridor).**



Notes: *1. With 2006 data as a baseline (4,773,813 riders), 2008 target = 104% of baseline; 2009 target = 108% of baseline; 2010 target = 112% of baseline; 2011 target = 120% of baseline; and 2012 target = 128% of baseline (= 6.110 million riders).

2. Ridership projections published in the California State Rail Plan are slightly different from shown above because they were based on the Federal fiscal years.

PM 2.3b **Farebox ratio for intercity rail (Pacific Surfliner, San Joaquin, and Capital Corridor).**

Notes: 1. 2001/02 to 2005/06 figures were reported in California State Rail Plan (2003/04 to 2013/14, and 2005/06 to 2015/16 editions). 2006/07 figures updated by the Division of Rail.

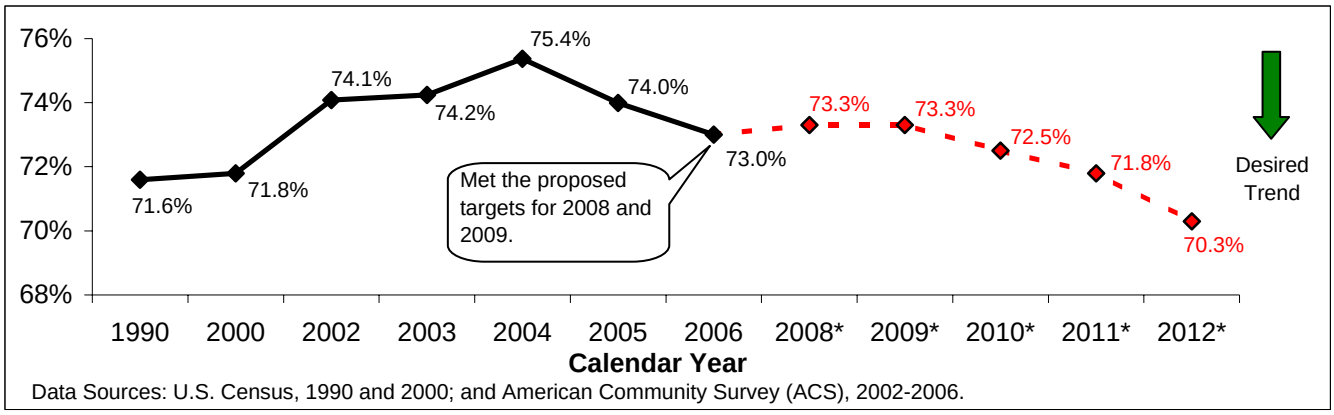
*2. Projected figures for FFY 2007/08 through FFY 2011/12 are excerpted from the Intercity Rail Operations Financial Plan (in the 2005/06 to 2015/16 edition of the California State Rail Plan, page 31).

3. Farebox ratio is defined as operating revenue divided by operating expenses.

Mobility Goal – *Maximize transportation system performance and accessibility.*

Objective 2.4 – By 2012, reduce single occupancy vehicle (SOV) commute trips by 5%.

PM 2.4a **Single occupancy vehicle as a percentage of total commute trips in California.**

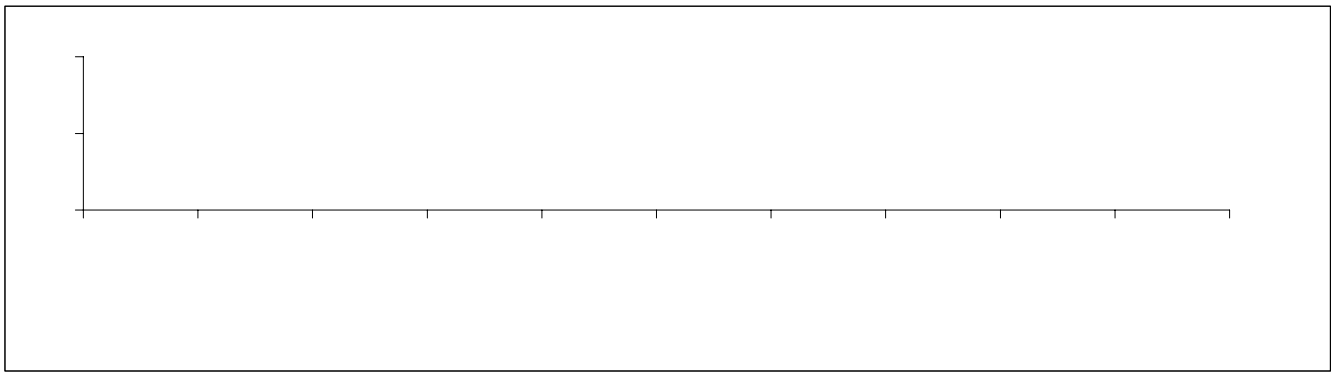


Data Sources: U.S. Census, 1990 and 2000; and American Community Survey (ACS), 2002-2006.

Notes:
1. 2007 data not yet available. Data are subject to sampling variability.
2. Categories of commute trips include: drove alone (SOV), carpooled, public transportation, walked, bicycle, motorcycle, other means, and worked at home.
3. Public transportation category included taxicab in the 1990 and 2000 Census, and in the 2002 and 2003 American Community Survey. Since the 2004 ACS, however, taxicab has been excluded from the public transportation category and grouped with "other means".
4. 2005 American Community Survey was the latest data available when the target was set.

*5. With 2005 data as a baseline, 2008-2012 targets vary between 99% and 95% of baseline.

PM 2.4b **Percent of available funds used for Mass Transportation projects that pass through Caltrans to local recipients.**



Notes:
*1. Beginning in Q1 and Q2 of FY 2007/08, the calculation methodology has changed to track the running total of funds processed and passed to local agencies through the quarter. Previously, only projects that were active during the quarter were calculated and projects that were completed before the quarter began were omitted from the calculation.
2. Pass through rate for the fourth quarter (Q4) of FY 2006/07 was 92% due to the delay in passage of the Federal Budget which caused subsequent delay in payment authorization.

Delivery Goal – *Efficiently deliver quality transportation projects and services.*

Objective 3.1 – By 2012, impact the overall cost to deliver capital projects by:
a. Reducing the support to capital ratio to 32% or lower;
b. Reducing the overhead cost to 13%.

PM 3.1a **Capital outlay support cost to capital cost ratio.**

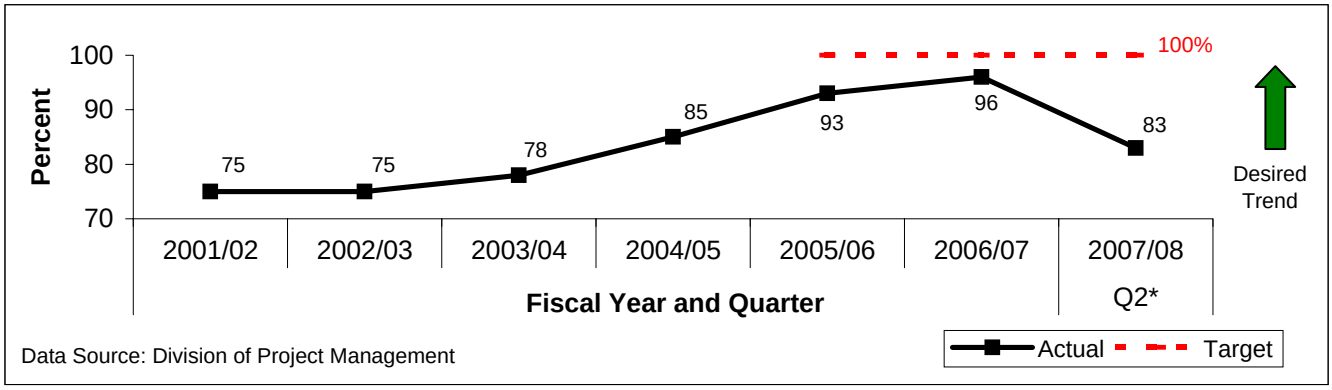
Status: Data is pending from the Division of Project Management. Reporting time frame not provided.

PM 3.1b **Percent overhead cost.**

Status: Data is pending from the Division of Project Management. Reporting time frame not provided.

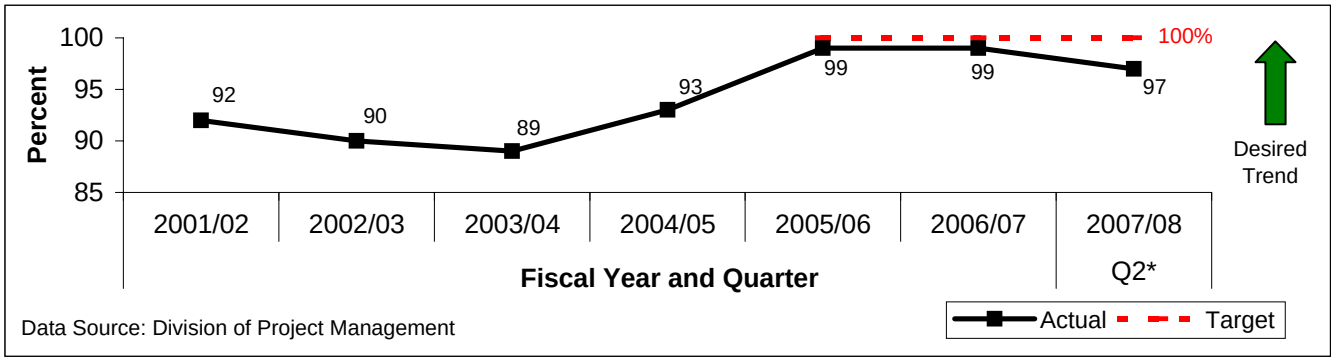
Objective 3.2 – Each fiscal year, meet 100% of project delivery milestones.

PM 3.2a **Percent delivery of Project Approval and Environmental Document (PA/ED) milestone.**



Notes: 1. FY 2006/07 figure represents delivery of 109 out of 113 planned PA/ED milestones.
*2. 2007/08 Q2 figure represents delivery of 86 out of 103 planned milestones through the second quarter of the FY (July-December 2007).

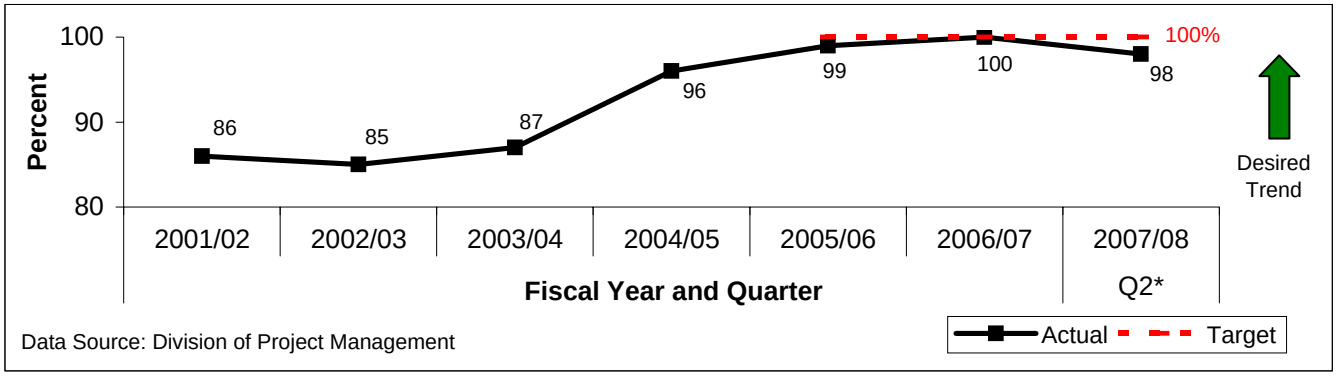
PM 3.2b **Percent delivery of planned Right of Way (R/W) Certification milestone.**



Notes: 1. FY 2006/07 figure represents delivery of 276 out of 278 planned R/W certification milestones.
*2. 2007/08 Q2 figure represents delivery of 102 out of 105 planned milestones through the second quarter of the FY (July-December 2007).

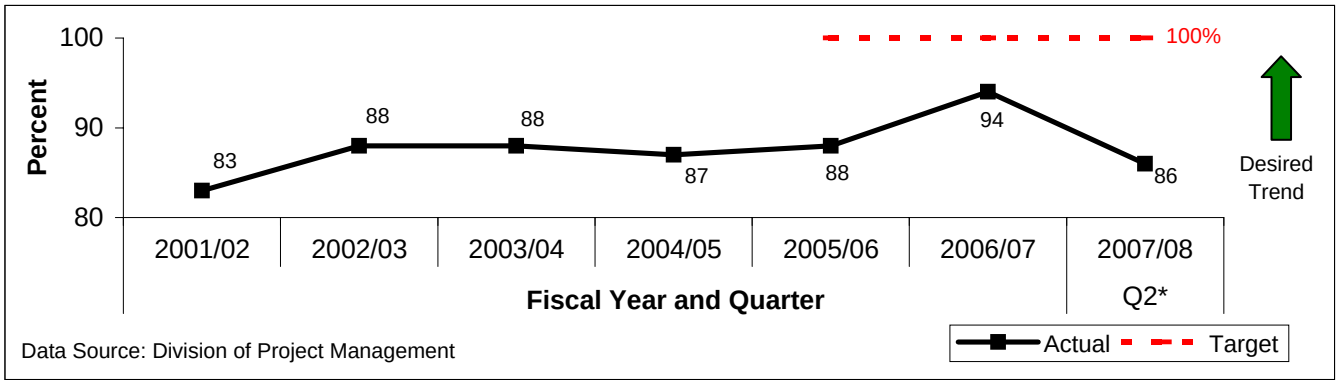
Delivery Goal – *Efficiently deliver quality transportation projects and services.*

PM 3.2c **Percent delivery of planned Ready To List (RTL) milestone.**



Notes: 1. Figures for FY 2005/06 and FY 2006/07 represent delivery of planned milestones in Director Kempton's Contracts for Delivery with the 12 districts.
2. FY 2006/07 figure represents delivery of 286 out of 286 planned RTL milestones.
*3. 2007/08 Q2 figure represents delivery of 111 out of 113 planned milestones through the second quarter of the FY (July-December 2007).
4. RTL is a point at which projects are ready to be advertised to attract bids from contractors.

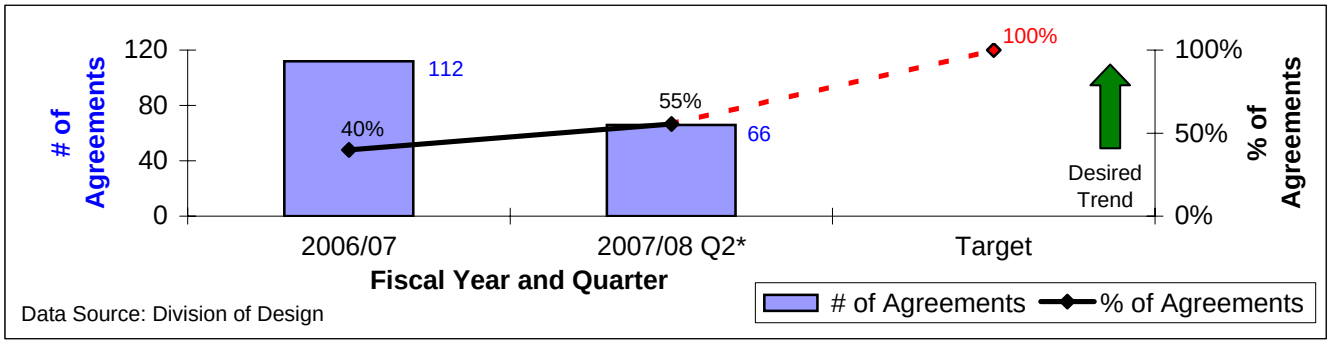
PM 3.2d **Percent delivery of planned Construction Contract Acceptance (CCA) milestone.**



Notes: 1. FY 2006/07 figure represents delivery of 223 out of 237 planned CCA milestones.
*2. 2007/08 Q2 figure represents delivery of 110 out of 116 planned milestones through the second quarter of the FY (July-December 2007).

Delivery Goal – *Efficiently deliver quality transportation projects and services.*

PM 3.2e **Number and percent of cooperative agreements executed within 60 days of signing authorizing document.**



Notes: 1. Out of a total of 119 agreements executed in July-December 2007, 66 (55%) were executed within 60 days of the authorizing document, 42 (35%) were executed between 60 and 180 days, and 11 (9%) were executed beyond 180 days.

*2. 2007/08 Q2 figures represent the number and percent of cooperative agreements that were executed within 60 days through the second quarter of the FY (July-December 2007).

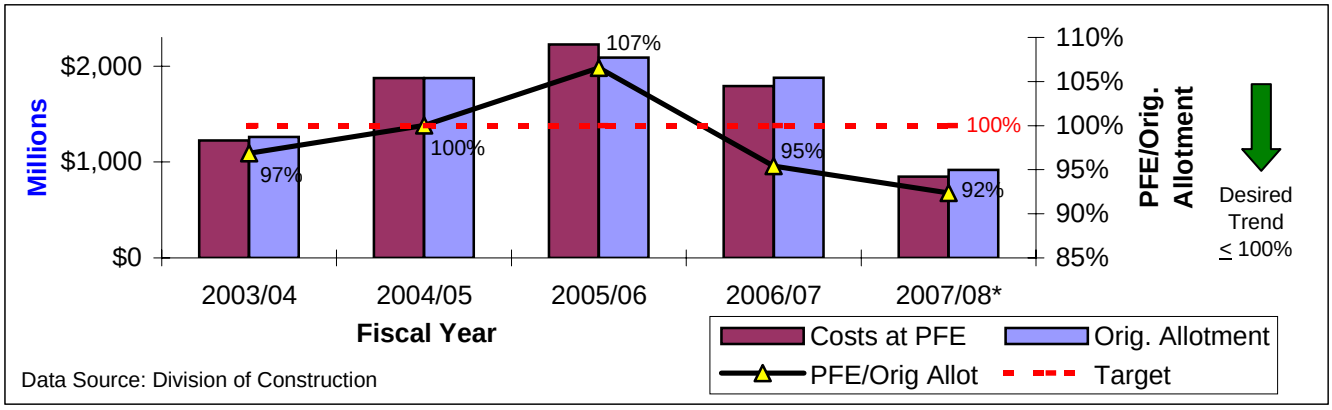
Objective 3.3 – By 2012, ensure 100% of projects meet their approved purpose and need at project completion.

PM 3.3 **Percent of projects that meet their approved purpose and need at project completion.**

Status: Need to develop process to collect data.

Objective 3.4 – Each year, ensure that the total construction costs of projects do not exceed 100% of their total original allotment.

PM 3.4 **Total construction costs of projects at Proposed Final Estimate (PFE) as a percentage of total original contract allotment.**



Notes: *1. 2007/08 figures reflect cumulative data through Q2 of FY (July-December 2007).

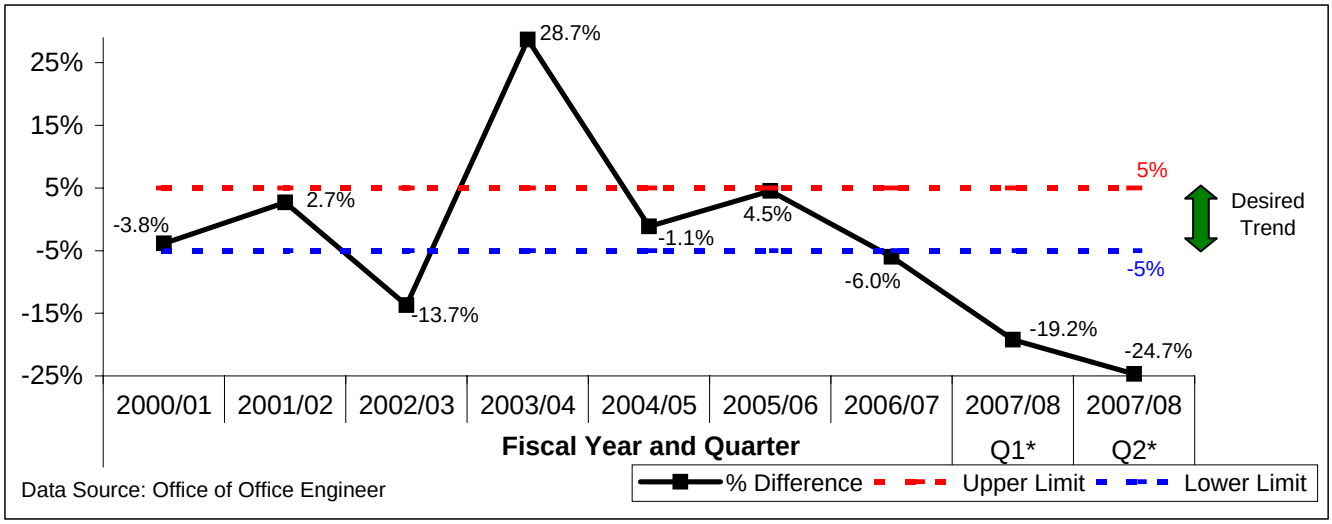
2. Fiscal Year is based on the PFE year, not the original allotment year.

3. Original allotment = bid amount + contingency + state furnished material + supplemental funds.

Delivery Goal – *Efficiently deliver quality transportation projects and services.*

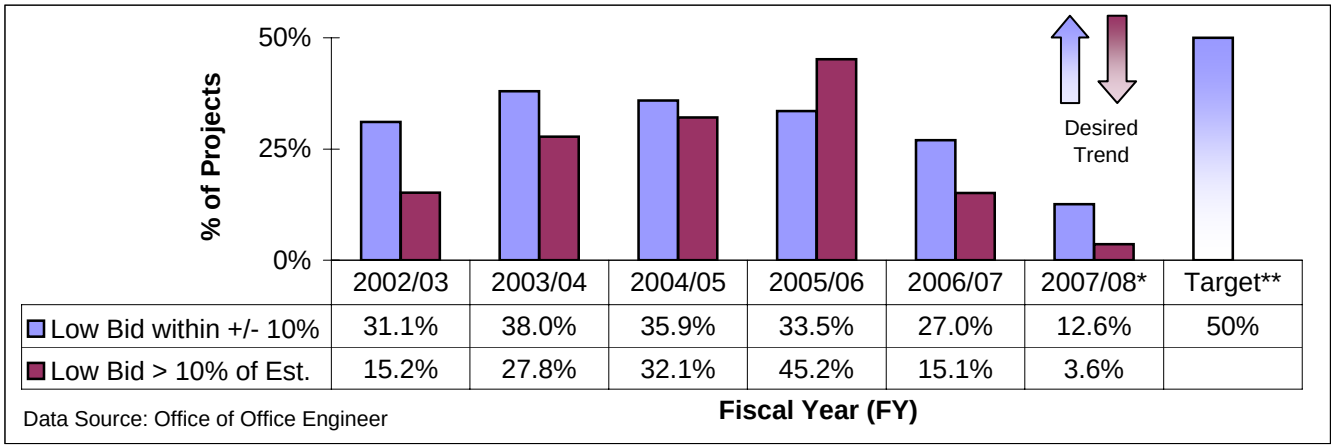
Objective 3.5 – Each year, keep the total of all low bids within +/- 5% of the total of all engineers' estimates.

PM 3.5a **Percent difference between total low bids and total engineer's estimates.**



Notes: 1. Figures include all bid opened projects. Some projects may bid opened more than once.
*2. Q1 figure represents projects that were bid opened in July-September 2007, while Q2 figure represents projects with bid open dates in October-December 2007.
3. Percent Difference = $\frac{\text{(Total Low Bids - Total Engineer's Estimates)}}{\text{(Total Engineer's Estimates)}} \times 100\%$

PM 3.5b **Percent of projects with low bid within +/- 10% of engineer's estimate; and Percent of projects with low bid greater than 10% of engineer's estimate.**



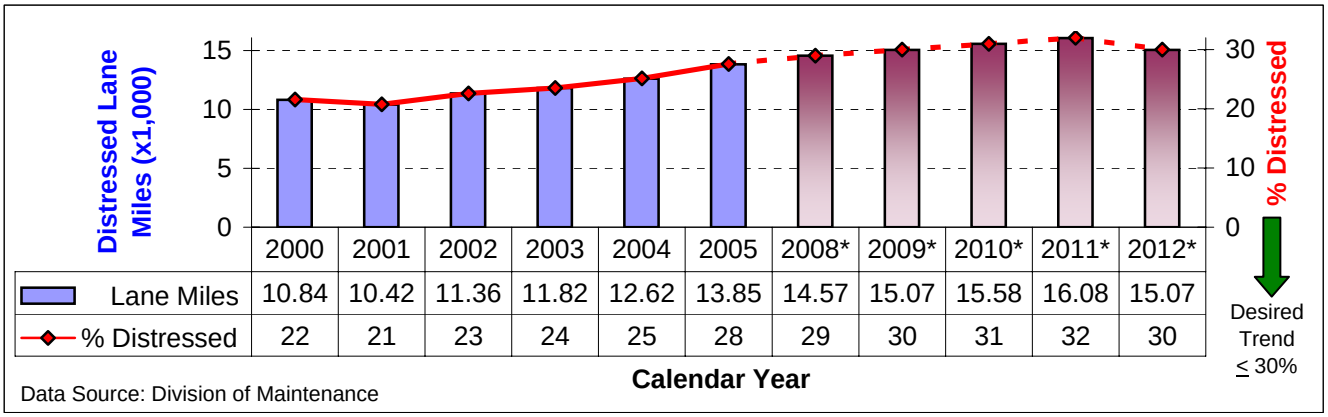
	2002/03	2003/04	2004/05	2005/06	2006/07	2007/08*	Target**
Low Bid within +/- 10%	31.1%	38.0%	35.9%	33.5%	27.0%	12.6%	50%
Low Bid > 10% of Est.	15.2%	27.8%	32.1%	45.2%	15.1%	3.6%	

Notes: 1. Figures do not include Minor B or emergency contracts.
*2. 2007/08 figures represent cumulative data for the first 2 quarters of FY (July-December 2007).
**3. Target is based on FHWA's guidance, which states that low bid should be within +/- 10% of the engineer's estimate for at least 50% of the projects.

Stewardship Goal – *Preserve and enhance California's resources and assets.*

Objective 4.1 – By 2012, ensure that distressed pavement does not exceed 30% of the system's lane miles.

PM 4.1a **Pavement Condition – Number and percent of distressed lane miles.**

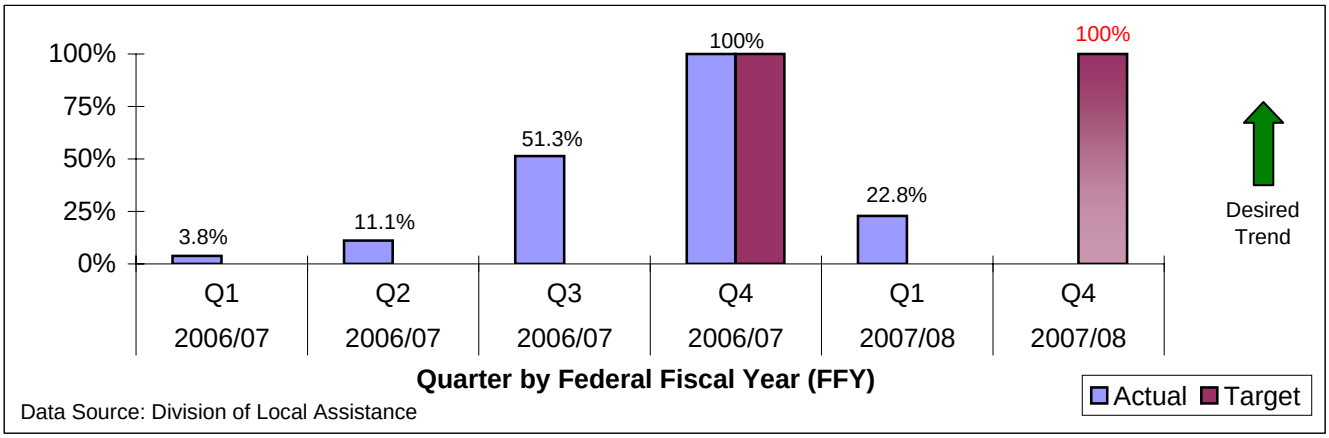


	2000	2001	2002	2003	2004	2005	2008*	2009*	2010*	2011*	2012*
Lane Miles	10.84	10.42	11.36	11.82	12.62	13.85	14.57	15.07	15.58	16.08	15.07
% Distressed	22	21	23	24	25	28	29	30	31	32	30

Notes: 1. Baseline for distressed lane miles = 28% (2005 data). 2006 data not yet available.
*2. Targets are based on current inventory of 50,249 lane miles; e.g., 2012 target = 30% of current inventory = 15,075 distressed lane miles.
3. Lane miles shown are in thousands of miles.

Objective 4.2 – Each year, ensure that 100% of Caltrans' financial resources are available when and where needed.

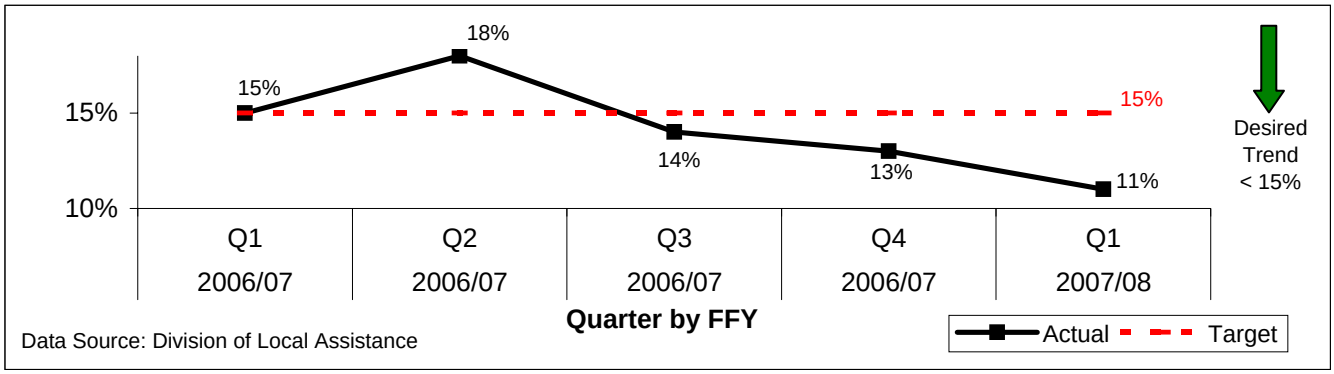
PM 4.2a **Percent of (federal subvention formula) funds obligated for local projects (on/off State highway system).**



Note: 1. Data reflects progress towards meeting the Federal fiscal year target of obligating 100% of available funds. Historical trends indicate that during the first and second quarter of the FFY, the obligation of projects is typically low and it increases in the third quarter with a large number of projects being obligated at the end of the FFY.
2. Delivery of local assistance OA this first quarter of FFY 2007/08 (October-December 2007) is $234 million vs. $35 million in the first quarter of last FFY.

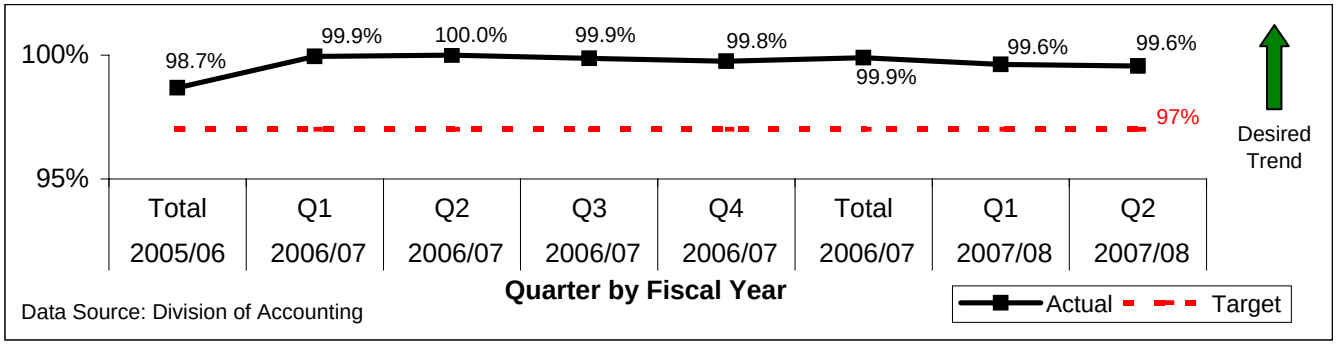
Stewardship Goal – *Preserve and enhance California's resources and assets.*

PM 4.2b **Timely use of funds – Percent of unexpended obligational authority (OA) balance that is deemed inactive and subject to quarterly review.**

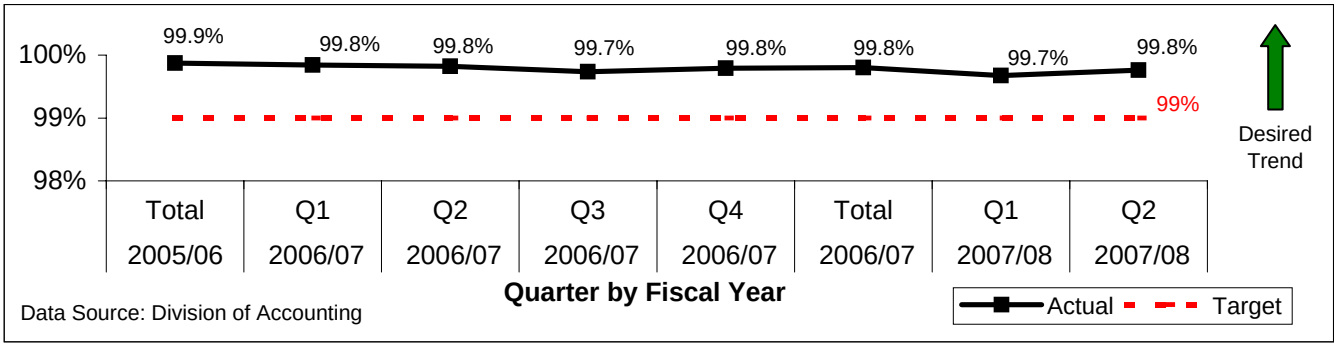


Notes: 1. Met the goal of 15% for this quarter (October-December 2007) and the previous two quarters.
2. An inactive project is defined as a project with no financial activity in the past 12 months. Inactive projects, subject to quarterly review, are based on the criteria detailed in the Code of Federal Regulations (23 CFR Part 630.106).
3. Target was set conservatively at 15% due to the lack of historical data to project a trend.

PM 4.2c **Percent of invoices issued to individuals or entities that owe the Department money prepared within 30 calendar days of receipt of documentation.**

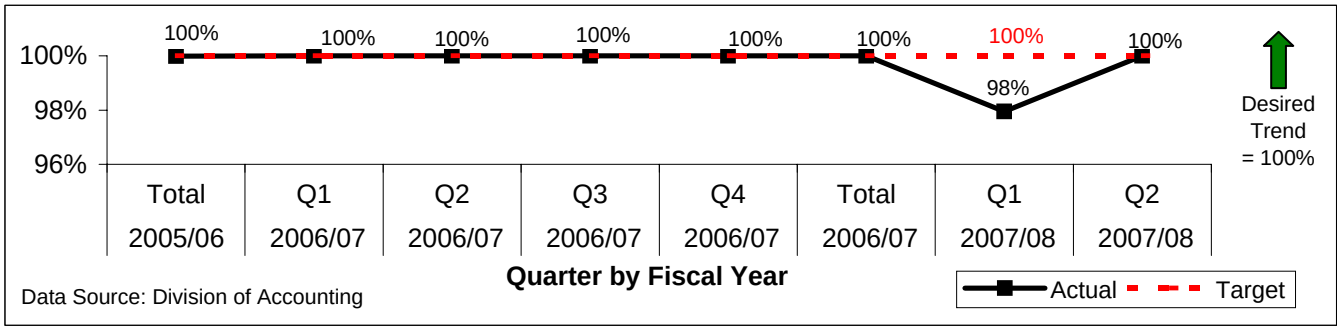


PM 4.2d **Percent of total payments made to vendors and other government agencies within the time limits imposed by the Prompt Payment Act or as specified in the contract.**



Stewardship Goal – *Preserve and enhance California's resources and assets.*

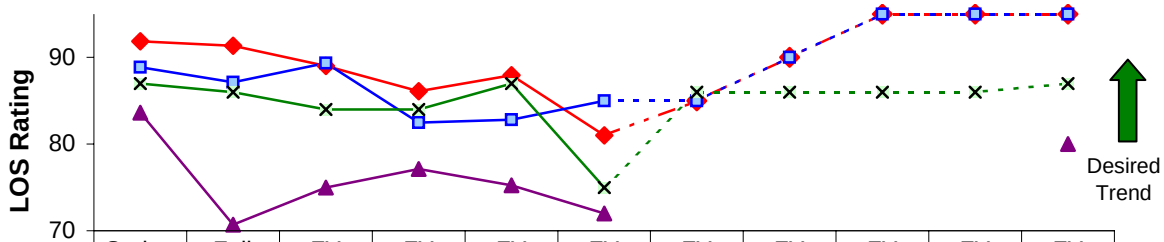
PM 4.2e **Percent of employee payment processed within 10 working days of receipt of Travel Expense Claim (TEC) by Accounting.**



Data Source: Division of Accounting

Objective 4.3 – By 2012, increase maintenance level of service scores to:
80 in Litter and Debris;
95 in Striping;
95 in Guardrail;
87 for overall roadway level of service.

PM 4.3a **Maintenance level of service (LOS) in Litter and Debris;**
PM 4.3b **Maintenance LOS in Striping;**
PM 4.3c **Maintenance LOS in Guardrail;**
PM 4.3d **Maintenance LOS for overall roadway.**



	Spring 2003	Fall 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008*	FY 2009*	FY 2010*	FY 2011*	FY 2012*
Litter/Debris	84	71	75	77	75	72					80
Striping	92	91	89	86	88	81	85	90	95	95	95
Guardrail	89	87	89	82	83	85	85	90	95	95	95
Overall Rdwy	87	86	84	84	87	75	86	86	86	86	87

Data Source: Division of Maintenance

By Season or By Fiscal Year (FY)

Notes: 1. Maintenance operational plan for FY 2007/08 calls for holding the overall roadway LOS at 87. It is anticipated that it will be difficult to hold the overall roadway LOS at current level due to under-investment in roadway maintenance/rehabilitation over the past five years.
2. The overall roadway LOS rating is an average of all roadway elements (travelway, drainage, roadside and traffic guidance) levels of service.
*3. Future year LOS targets. Annual targets for Litter/Debris will vary based on funding levels.

Stewardship Goal – *Preserve and enhance California's resources and assets.*

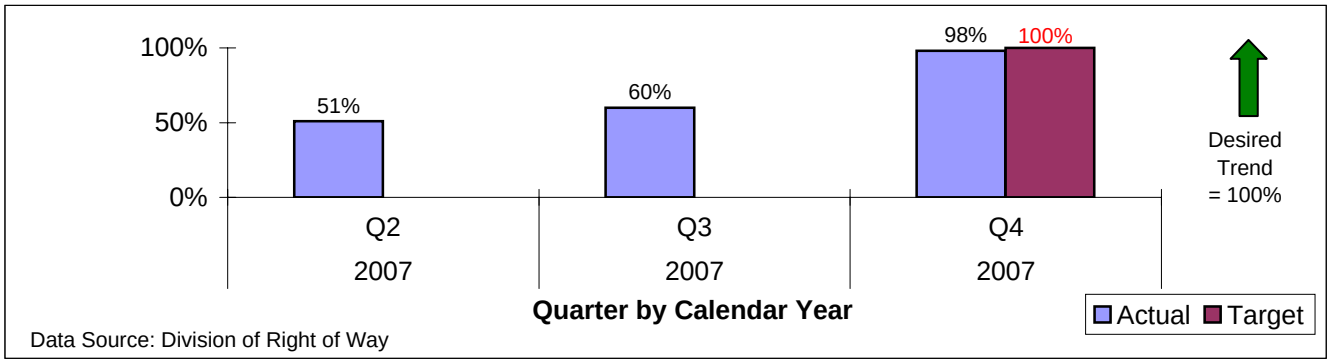
Objective 4.4 – Each year, ensure environmental commitments are documented and implemented on 100% of projects.

PM 4.4a **Percentage of projects that have an updated Environmental Commitments Records and a Certificate of Environmental Compliance at project close out.**

Status: Per Division of Environmental Analysis (DEA), 100% of all projects going to construction now have an Environmental Commitment Record. Currently, DEA does not have the means to compile the percent of environmental commitments that are documented and implemented at time of project close out. Reporting of this measure is postponed until the Standard Tracking and Exchange Vehicle for Environmental System (STEVE) tool and the Preliminary Environmental Analysis Report (PEAR) database are in place in two to three years.

Objective 4.5 – Each year, dispose of 100% of the parcels identified as excess in the annual Real Property Retention Review.

PM 4.5 **Percent of parcels identified in the 2007 Excess Land Disposal Plan and disposed of.**



Notes: 1. The 2007 Excess Lands Disposal Plan is an 18-month plan (7/1/06 through 12/31/07). The overall goal is to dispose of 640 parcels within that time frame.
2. By the end of 2007, 629 out of 640 parcels had been disposed of.

Objective 4.6 – Identify all critical infrastructure deficiencies for facilities by 2010 and remediate 25% of the deficiencies by 2012.

PM 4.6 **Percent of facilities with critical infrastructure deficiencies identified and corrected.**

Status: Data collected by Division of Business, Facilities, and Security. Fiscal Year to date, there were five districts and the HQ Equipment Shop office building that still required Department of General Services' (DGS) studies to identify the deficiencies for correction by 2010. To date, studies for three districts are complete (50%). DGS is reviewing the remaining facilities and preparing a cost proposal to complete the remaining studies.

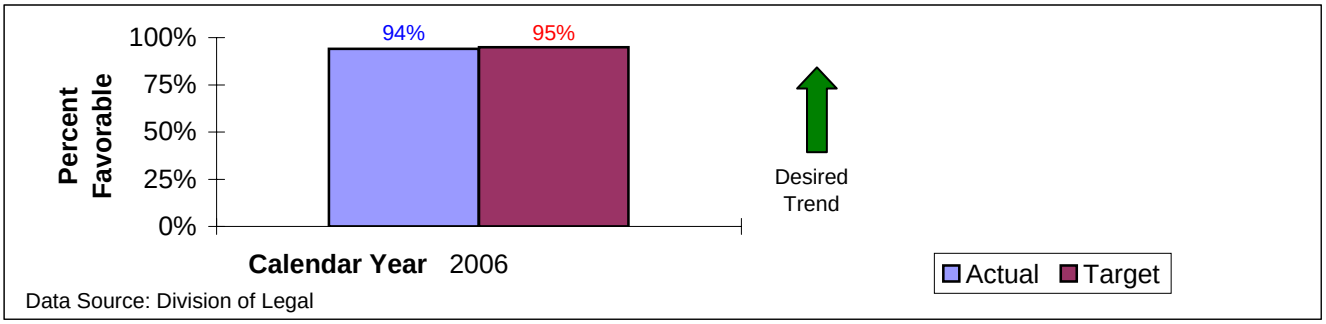
Stewardship Goal – *Preserve and enhance California's resources and assets.*

Objective 4.7 – Manage Caltrans' assets (human resource, information, facilities, and equipment) efficiently and effectively to ensure that 100% of its authorized resources are protected and available when and where needed.

PM 4.7a **Percentage of time equipment available to the user (fleet uptime).**

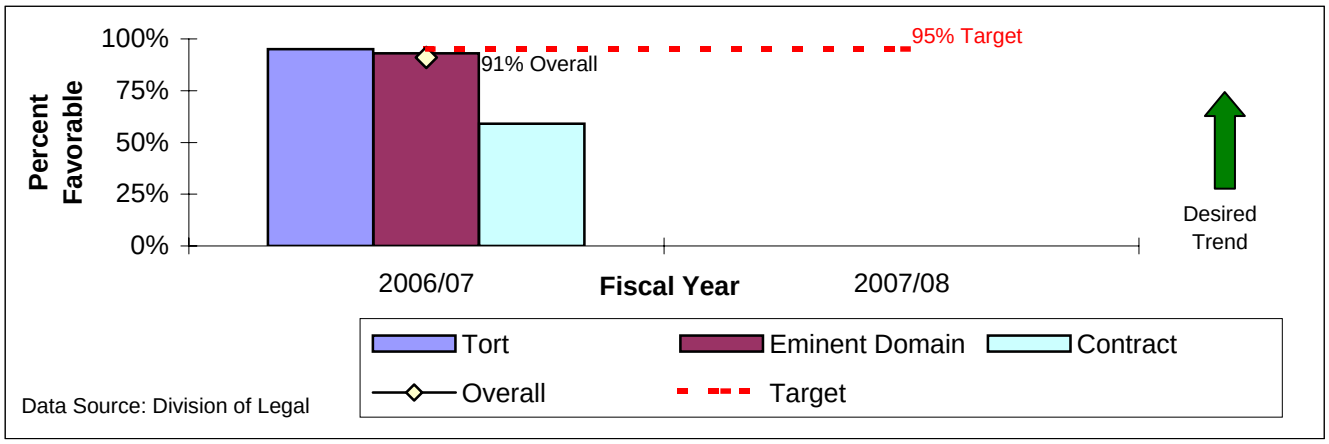
Status: Division of Equipment's commitment is to provide this data beginning in fiscal year 2007/08.

PM 4.7b **Percent approval rating of the Legal Division from an annual performance survey of senior Department managers.**



Note: Surveys were sent to Division Chiefs, Deputy and District Directors in November for calendar year 2006. 43 out of 45 surveys were returned, and 94% of the ratings were "Good" or better. Overall average rating was 3.99 (4 = "Superior") on a 5-point scale. The survey group will be expanded next year to include Deputy District Directors and comments will be mandatory. Key points learned were: need for better communication on personnel issues and additional contract support.

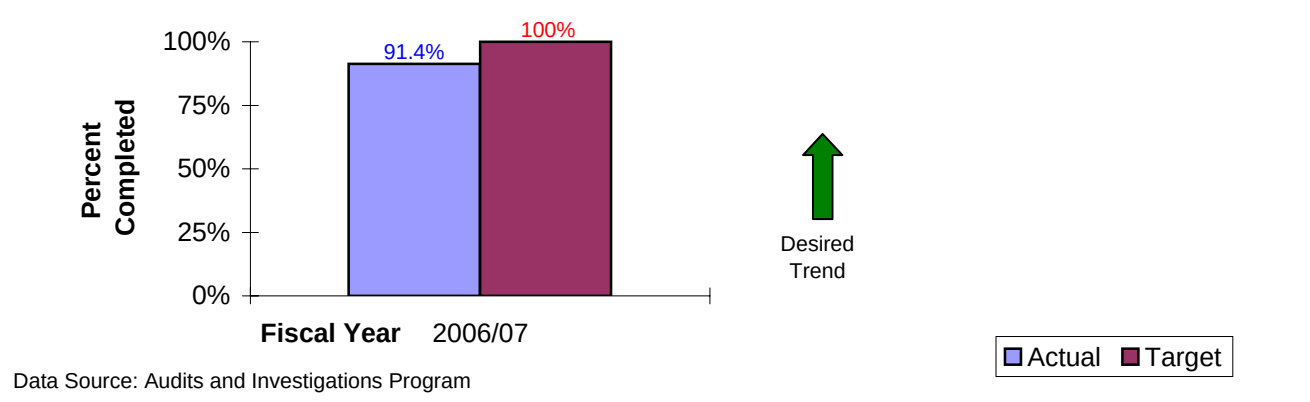
PM 4.7c **Percent of the tort, eminent domain, and contract cases in which Legal Division obtains favorable results.**



Note: Overall FY 2006/07 results: 91% of the 311 resolved cases achieved favorable results. The breakdown by type was – Tort: 120 cases at 95%; Eminent Domain: 164 cases at 93%; Contract cases: 27 cases at 59%.

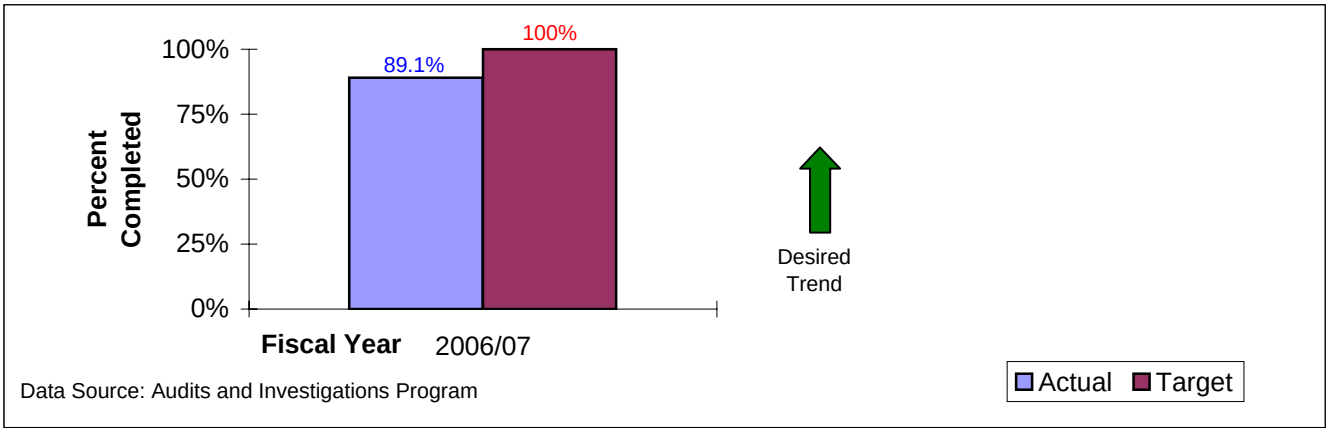
Stewardship Goal – *Preserve and enhance California's resources and assets.*

PM 4.7d **Percent of the external audits identified in the annual service plan that are completed.**



Note: For FY 2006/07, External Audits Division completed 91.37% of the external audits.

PM 4.7e **Percent of mandated audits that are completed.**

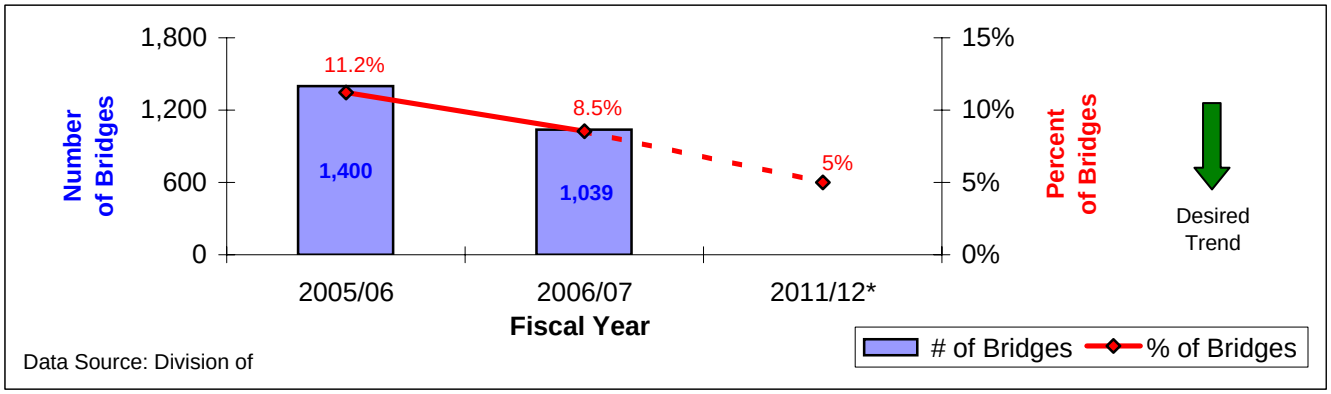


Notes:
1. Mandated audits are: DGS contract and Cal-Card delegation authority, FISMA cycles.
2. Audits and Investigations (A&I) Program's FY 2006/07 plan of service was prepared subject to having the budgeted resources available. As such, A&I pojected that it could complete 12 mandated audits within the fiscal year, even though the mandatory due dates of some of these mandated audits were in FY 07-08. However, A&I's Internal Audit Division lost staff to other State agencies during the year. Due to not having the projected level of resources, A&I accomplished 89.10% of the plan of service operational audits. A&I completed all of the mandated audits with due dates within the FY 2006/07; and carried over the balance of mandated audits that have due dates in FY 2007/08.

Stewardship Goal – *Preserve and enhance California's resources and assets.*

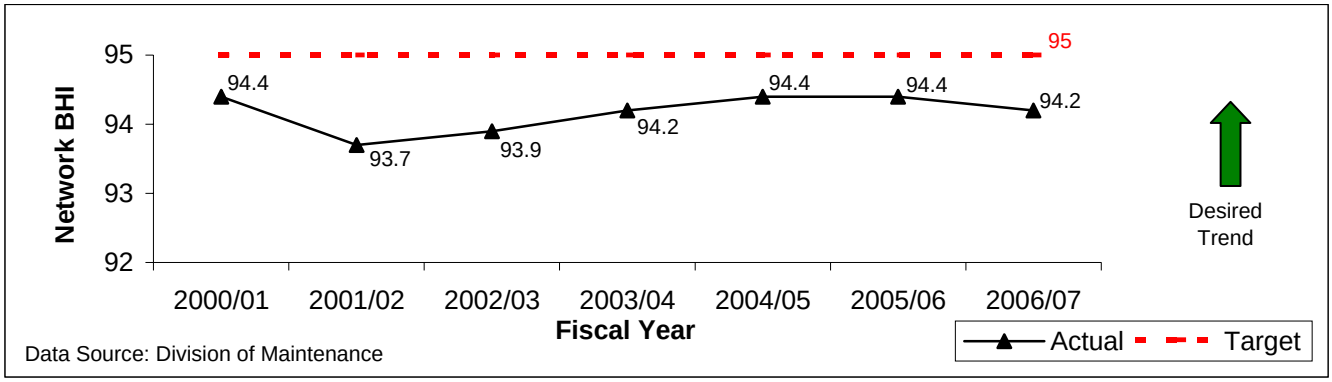
Objective 4.8 – By 2012, reduce the number of distressed bridges to 5% of all bridges.

PM 4.8a **Bridge Condition – Number and percent of distressed bridges.**



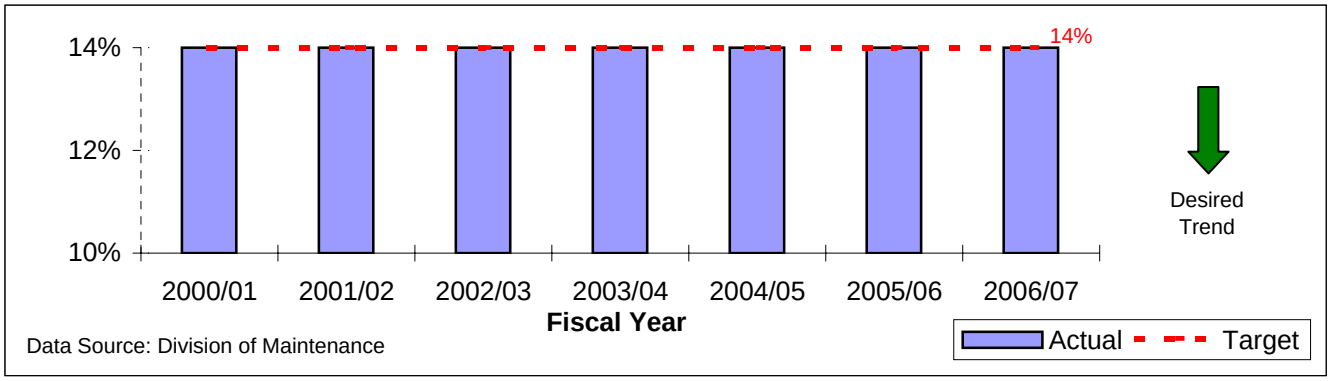
Notes: 1. Distressed bridges represent those with identified rehabilitation needs or other vulnerabilities such as scour, seismic, etc.
*2. 2011/12 target is based on the stated objective for the year 2012.

PM 4.8b **Bridge Condition – Network bridge health index (BHI) number.**



Stewardship Goal – *Preserve and enhance California's resources and assets.*

PM 4.8c **Bridge Condition – Percent of bridges classified as structurally deficient or functionally obsolete (SD/FO).**



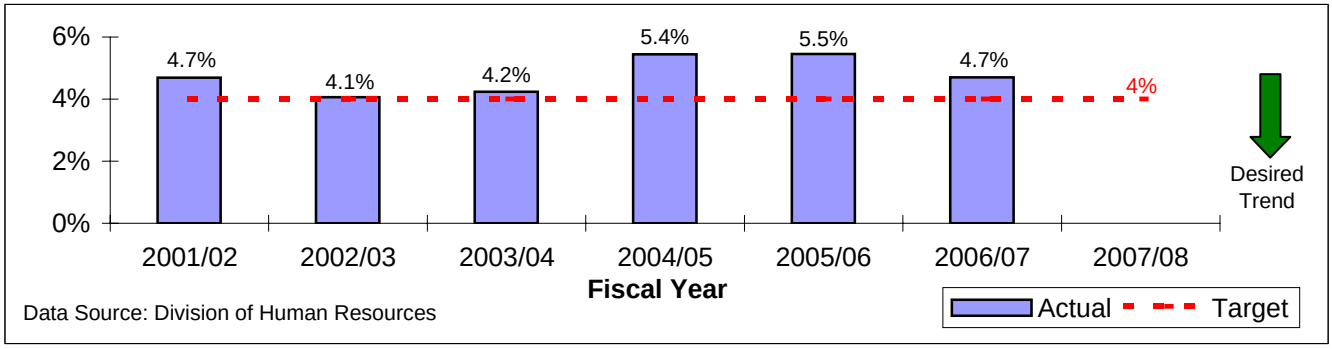
Notes: 1. The term "structurally deficient" should not be misconstrued to mean a bridge is in danger of collapsing. Structurally deficient means the bridge needs repairs to prevent minor problems such as minor cracks, erosion, peeling paint, pot hole, etc. from becoming more serious.

2. Over the last few years, 14% of State highway bridges are classified as structurally deficient and functionally obsolete.

Service Goal – *Promote quality service through an excellent workforce.*

Objective 5.1 – Each year, ensure that the attrition rate at Caltrans does not exceed 4%.

PM 5.1 **Employee Attrition Rate – Percent.**



Notes: 1. Attrition is total separations in a FY divided by employee count at the beginning of FY.
2. Total number of separations and employee count exclude intermittent employees.

Objective 5.2 – Each year, ensure 100% compliance with response times and scheduled milestones for Local Assistance, oversight, and permits, as negotiated with our local partners and other submitting entities.

PM 5.2 **Percent compliance with response times and scheduled milestones for Local Assistance, oversight, and permits.**

Status: Need to develop process for data collection. Statewide data collection not in place.

Objective 5.3 – By 2012, increase by 15% the number of Caltrans employees who agree or strongly agree that employees are encouraged to try new ideas and new ways of doing things to improve Caltrans.

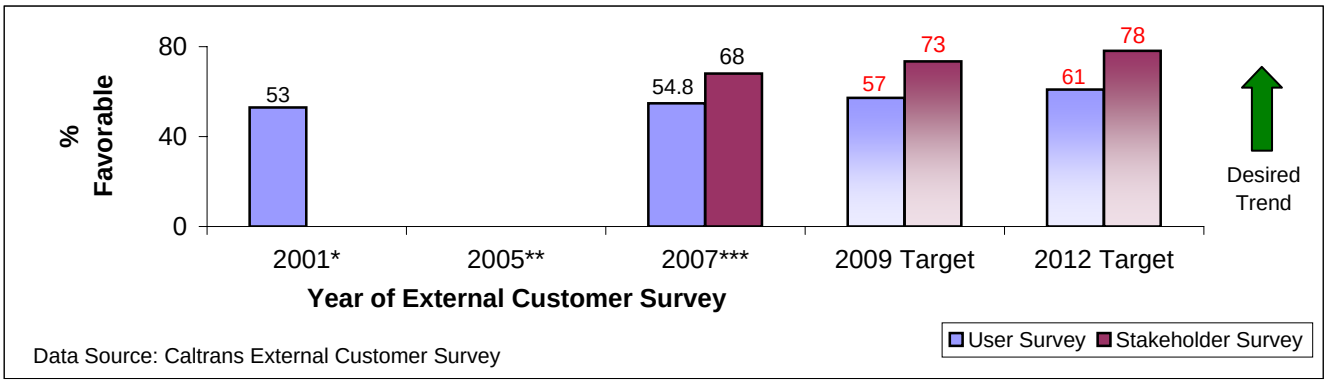
PM 5.3 **Percent of Caltrans employees who agree or strongly agree that employees are encouraged to try new ideas and new ways of doing things to improve Caltrans.**

Notes: *1. No comparable survey questions in the 1999 and 2002 employee surveys.
**2. Targets represent improvement of 5% in 2008, 10% in 2010, and 15% in 2012, respectively.

Service Goal – *Promote quality service through an excellent workforce.*

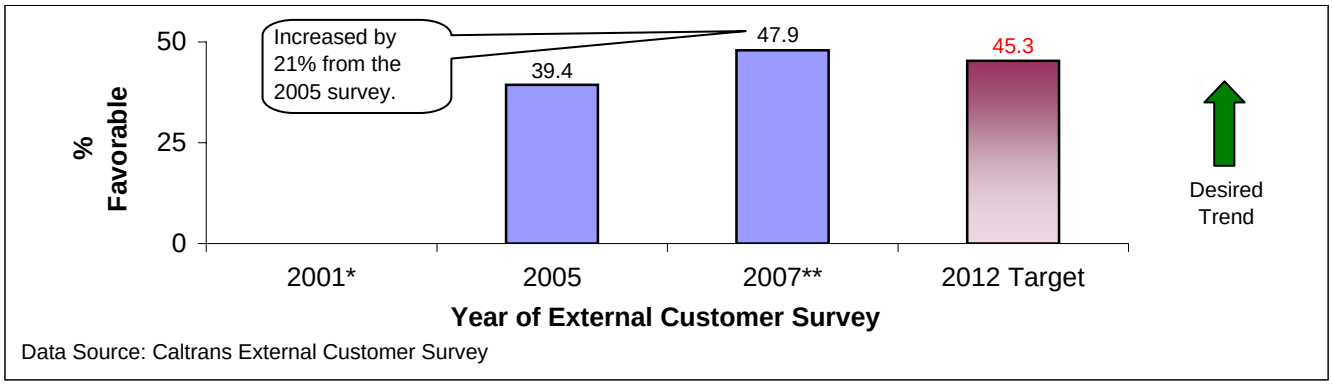
Objective 5.4 – By 2012, increase by 15% the number of external stakeholders who are satisfied with Caltrans services.

PM 5.4a **Percent of survey respondents who said Caltrans was doing a good or excellent job.**



Notes: *1. No quantitative data was available for stakeholder responses in the 2001 External Survey. Hence, the survey result from the 2007 Stakeholder Survey established the baseline for the stakeholder portion of the external survey.
**2. A slightly different survey question was used in the 2005 Survey (see PM 5.4b below).
***3. 2007 figures are based on the "overall" responses from the respective User Survey and Stakeholder Survey segments of the 2007 External Survey.
4. Targets represent improvement (from baseline) of 8% in 2009 and 15% in 2012, respectively. Baseline for the User Survey portion is based on the 2001 User Survey data, whereas the baseline for the Stakeholder Survey portion is derived from the 2007 Stakeholder Survey data.
5. Target years are based on the expectation of the availability of new external survey results.

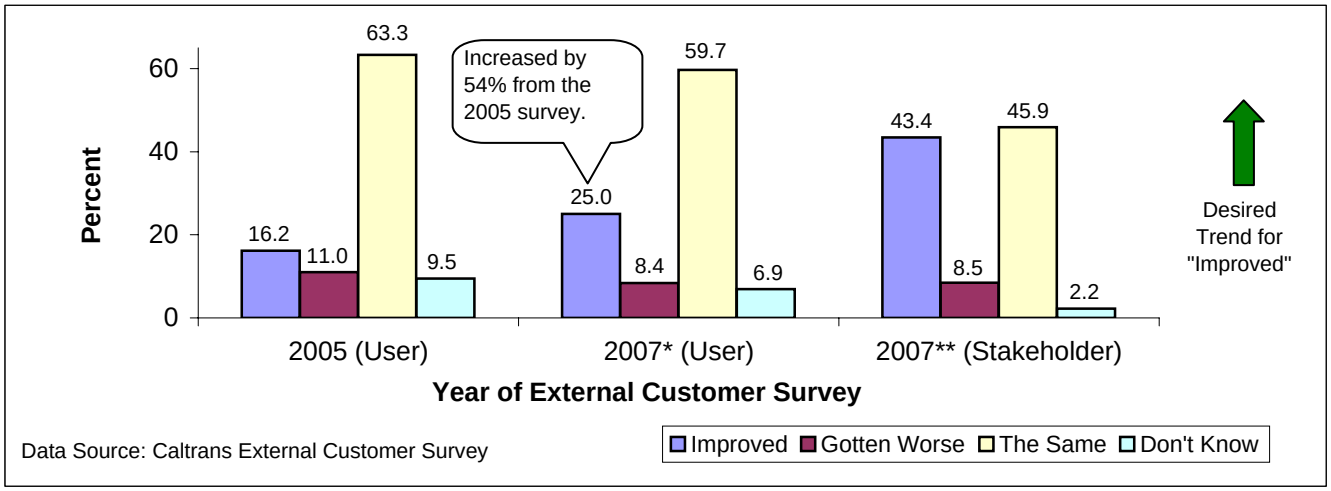
PM 5.4b **Percent of survey respondents who said Caltrans was doing a good or excellent job in fulfilling its mission of improving mobility across California.**



Notes: *1. A slightly different survey question was used in the 2001 Survey (see PM 5.4a above).
**2. Based on responses from the User Survey segment of the 2007 External Survey.
3. 2012 target is based on the 15% improvement stated in Objective 5.4. Using the 2005 survey data as a baseline, the 2007 survey result already exceeded the target.

Service Goal – *Promote quality service through an excellent workforce.*

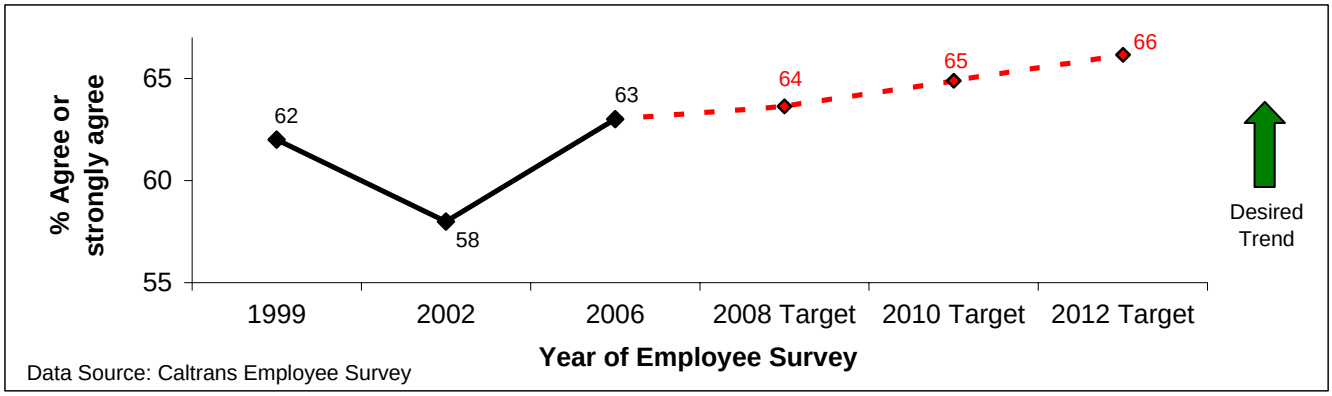
PM 5.4c **Percent of survey respondents who said: "Over the last two years, Caltrans' performance has improved, gotten worse, stayed about the same, or don't know."**



Notes: 1. No quantitative data was available for stakeholder responses in the 2005 External Survey.
*2. Based on responses from the User Survey segment of the 2007 External Survey.
**3. Based on responses from the Stakeholder Survey segment of the 2007 External Survey.
4. Using the 2005 user survey as a baseline, the 2007 user survey response for "improved" already exceeded the desired target of 15% increase stated in Objective 5.4.

Objective 5.5 – By 2012, increase by 5% the number of Caltrans employees who agree or strongly agree that the training they have received at Caltrans has adequately prepared them for the work they do.

PM 5.5 **Percent of Caltrans employees who agree or strongly agree that the training employees have received at Caltrans has adequately prepared them for the work they do.**

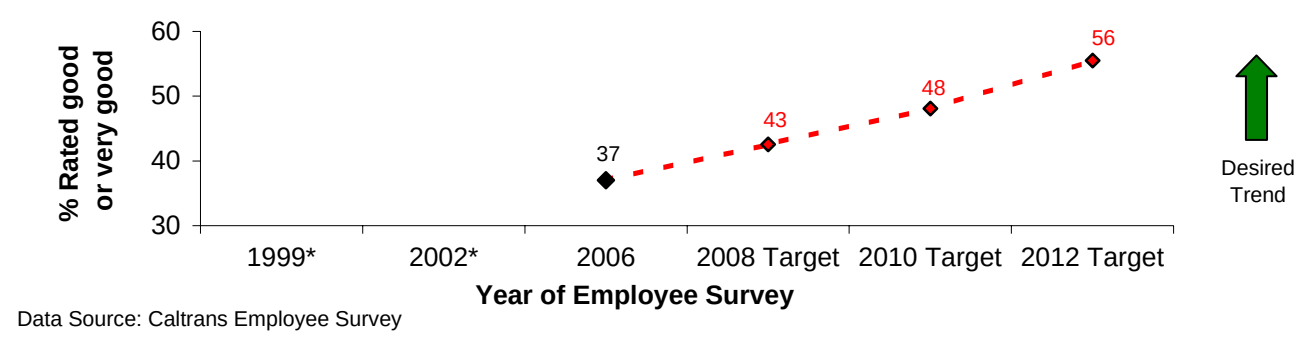


Notes: 1. Based on the (2006) survey firm's internal data: U.S. Norm = 57%, P65 Norm = 66%.
2. U.S. Norm represents 50th percentile of the general working population in the U.S.
3. P65 Norm represents 65th percentile of (or the high performing) organizations in the United States, and provides a higher benchmark against which to set goals.
4. With 2006 data as baseline, targets represent improvement (from baseline) of 1% in 2008, 3% in 2010, and 5% in 2012, respectively.

Service Goal – *Promote quality service through an excellent workforce.*

Objective 5.6 – Increase the number of Caltrans employees who rate Caltrans management as good or very good at being open and honest in communications with employees, by (from baseline) 15% in 2008, 30% in 2010, and 50% in 2012.

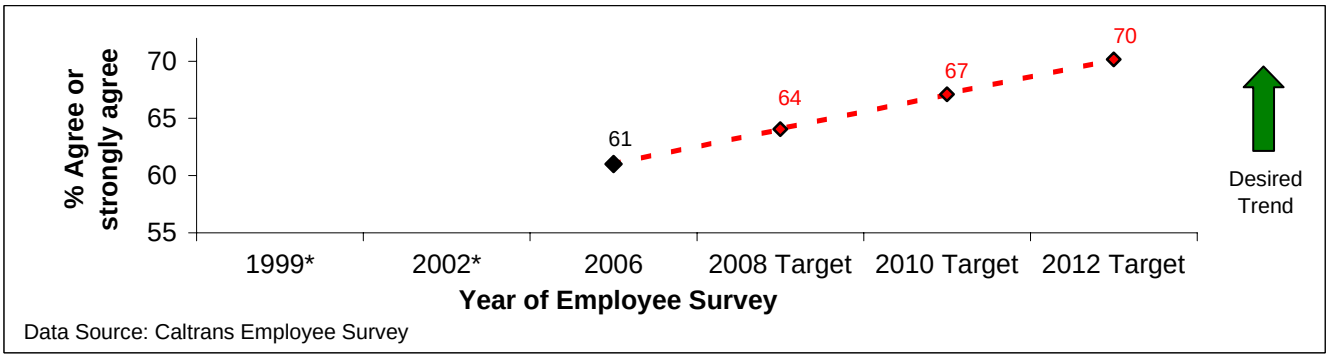
PM 5.6 **Percent of Caltrans employees who rate Caltrans management as good or very good at being open and honest in communications with employees.**



Notes: 1. Based on the (2006) survey firm's internal data: U.S. Norm = 52%, P65 Norm = 57%.
2. U.S. Norm represents 50th percentile of the general working population in the U.S.
3. P65 Norm represents 65th percentile of (or the high performing) organizations in the U.S.
* 4. No comparable survey questions in the 1999 and 2002 surveys.
5. Targets represent improvement of 15% in 2008, 30% in 2010, and 50% in 2012, respectively.

Objective 5.7 – By 2012, increase by 15% the number of Caltrans employees who agree or strongly agree that they are satisfied with the availability of the tools necessary to do their job.

PM 5.7 **Percent of Caltrans employees who agree or strongly agree that they are satisfied with the availability of the tools necessary to do their job.**



Notes: 1. Based on the (2006) survey firm's internal data: U.S. Norm = 67%, P65 Norm = 76%.
2. U.S. Norm represents 50th percentile of the general working population in the U.S.
3. P65 Norm represents 65th percentile of (or the high performing) organizations in the United States, and provides a higher benchmark against which to set goals.
* 4. No comparable survey questions in the 1999 and 2002 surveys.
5. Targets represent improvement of 5% in 2008, 10% in 2010, and 15% in 2012, respectively.

Service Goal – *Promote quality service through an excellent workforce.*

Objective 5.8 – By 2012, increase by 20% the number of first-choice candidates that accept the Department's entry-level job offers.

PM 5.8 **Percent of first-choice candidates that accept the Department's entry-level job offers.**

Status: Data is being collected by Division of Human Resources (DHR). DHR is developing a survey of supervisors and managers who have recently made a hire to query whether their first choice candidate accepted their position. Status update for this quarter not provided by DHR.