



October 3, 2011

To: Executive Committee
From: Will Kempton, Chief Executive Officer
Subject: Planning Division Performance Metrics

A handwritten signature in black ink, appearing to read "Will Kempton", is written over the "From:" line of the header.

Overview

The Orange County Transportation Authority's Planning Division is responsible for early project development activities and planning for utilization of state and federal funds for regional projects. When combined with the efforts of the other Orange County Transportation Authority divisions, these activities fulfill the goals of the Strategic Plan. Performance metrics for the major Planning Division activities are presented for Board of Directors' review and consideration. Updates will be provided each fiscal year quarter.

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority's (OCTA) Planning Division is responsible for a range of activities including: 1) developing multimodal long-range and near-term plans and scope of future projects; 2) prioritizing projects for local, state, and federal funding; 3) overseeing the implementation of the Measure M2 (M2) Ordinance; and 4) providing technical planning support to local agencies and other OCTA divisions through travel demand modeling and geographic information systems. The Planning Division also represents OCTA's interests on regional issues such as goods movement, cross-county issues, and air quality programs.

The Planning Division takes every opportunity to work with local and regional agencies to advance the most cost-effective transportation projects consistent with the Long-Range Transportation Plan, to expand and protect local, state, and federal transportation funding, and oversee adherence to the mandates of

the M2 Ordinance. All of these critical tasks are carried out through the three core functions of the Planning Division: (1) Planning; (2) Programming; and (3) M2 Program Management Oversight (PMO).

Discussion

The development of the Planning Division metrics was based on the OCTA Strategic Plan goals, as well as the Chairman's goals, and the Chief Executive Officer's Action Plan. The Strategic Plan goals focus on five key areas including: mobility, public service, fiscal sustainability, stewardship, and organizational excellence. The Planning Division's functions are primarily aligned with the mobility, fiscal sustainability, and stewardship goals of the Strategic Plan, and the Planning Division also works closely with other OCTA divisions to support the public service and organizational excellence goals of the Strategic Plan.

The metrics focus on measuring progress on key activities that support the goals of the Strategic Plan, present baseline data compared to current data, and provide a reporting mechanism for differences from the established baseline. Specific metrics for each of the Planning Division's functional areas are presented below.

Planning

Strategies to accomplish the mobility goals of the Strategic Plan include development of studies and implementation plans to define the scope and cost of future transportation improvement projects including freeways, Master Plan of Arterial Highways, transit, and bikeways.

The metrics related to these strategies are generally milestone-based (e.g., completion of a freeway project study report by a specified date). The Planning Division has numerous planning studies that are included for reporting purposes (Attachment A). The projects listed in Attachment A fall into two basic categories - M2 freeway project definition studies and broader transportation studies that will be presented to the Board of Directors (Board) for future policy direction. The division's metrics measure progress in completing the project on time and on budget. These are listed in the table below.

Planning Metrics and Measures Goal: Fulfill Strategic Plan goals and objectives with no more than five percent schedule variance overall within the approved budget and zero overall budget variance	
Metric	Measure
Schedule performance	Percent on time
Cost performance	Percent on budget
Strategic Plan fulfillment	Percent of Strategic Plan goals and objectives completed on time (using Chief Executive Officer's Action Plan and fiscal year timetables)

Since this report establishes benchmarks and metrics, the data in this report represents the baseline information. As staff provides quarterly updates to the Board, the values for each of the associated metrics will also be presented for the projects listed in Attachment A. The goal is to have no more than five percent schedule variance within the overall budget for the program, and fulfill all Strategic Plan goals and objectives.

Programming

Funding a transportation project requires a multi-step process that depends on the type of project (transit, street, or highway), an eligible source of federal, state, or local funds, and the phase of the project (planning, environmental, final design, right-of-way, or construction). Securing funding can be a difficult process given the complexity of federal and state laws, regional requirements, and level of needed approvals. Currently, the process has become even more complex due to state budget issues and lack of a federal transportation act. As such, the metrics will be used to measure the allocation of available state funds and obligation of federal funds. These activities respond to the fiscal sustainability goals of the Strategic Plan which call for maximizing external funding.

OCTA also programs Measure M (M1) and M2 funds for local street projects through the Comprehensive Transportation Funding Program process. For M1 funds awarded through prior calls for projects, all funds were obligated by March 31, 2011, and OCTA is currently paying funds to local agencies for awarded and completed projects. Given current project schedules, staff recommends a goal of June 30, 2014, for complete expenditure of these funds. This goal allows agencies to complete the most difficult projects and request appropriate reimbursements within that period. The metric in the table below is intended to measure this goal over time. This measure relates to the fiscal stewardship objective of the Strategic Plan and is designed to assess timely use of available resources.

For M2 streets and roads funds awarded in recent and future calls for projects, programming may be revisited and adjusted through the semi-annual review (SAR) process. Similar to the metric for state and federal funds, the metric below is intended to measure timely use or obligation of M2 grants for street projects. Staff recommends the metric below be reported for the period subsequent to each SAR. The SAR process allows local agencies to justify schedule changes that are subsequently submitted to the Board for review and potential approval. The overall goal is to obligate 100 percent of funds within the programmed year. This goal relates to the mobility objective of the Strategic Plan as it provides funding for street and road improvement projects through grants to local agencies.

Programming Metrics and Measures	
Goal: 100 percent of programmed funds within the year programmed	
Metric	Measure
Obligate state/federal funds	Percent of planned funds obligated
Drawdown of M1 funds	Percent of M1 programmed funds paid to local agencies for approved projects
Initiate M2 funded projects planned for the fiscal year	Percent of M2 funds under contract (by local agencies) in the programmed year

Attachment A also includes schedule information related to future calls for other funding program activities, including other M2 calls for projects such as the M2 Freeway Mitigation Program, the Environmental Cleanup Program, Project X, and the development of the 2012 State Transportation Improvement Program. The activities related to the environmental programs respond to the stewardship goals of the Strategic Plan by promoting environmental sustainability efforts. The overall goal is to allocate and obligate 100 percent of programmed funds within the year programmed unless funds are moved to a future year due to project schedule changes or lack of funding availability.

Program Management

The M2 PMO is responsible for achieving integrated and coordinated program delivery that produces high-quality, cost-effective projects and programs that consistently meet the requirements of OCTA’s constituents and stakeholders. M2 requires a performance assessment be conducted every three years to evaluate the results of OCTA efforts in satisfying the provisions and requirements of Ordinance No. 3. The first triennial performance assessment was completed in November 2010, and there were 18 findings related to OCTA’s execution of M2 requirements. The findings either commented on appropriateness of actions to date or provided recommendations for improvements. There were no major recommendations that would change the direction of OCTA’s actions.

For the purposes of the Planning Division metrics, the PMO will report bi-annually on actions related to the performance assessment findings. The overall goal is to address 100 percent of the findings identified in the assessment, as well as any new issues that may develop since the November 2010 report was completed.

Finally, the PMO report will also report on overall delivery of the M2 projects and programs implemented by OCTA divisions. This information will apply to all the programs and projects included in the Capital Action Plan, as well as any other M2 programs approved by the Board. For the most part, specific metrics will be prepared by the implementing divisions. For example, the Capital Programs Division reports metrics related to project engineering, right-of-way, and construction activities. The PMO will focus on summary metrics such as overall percent on time and on budget, and include these in the M2 quarterly report. These activities are tied to the mobility goal of the Strategic Plan and will provide a central clearinghouse to track and assess delivery of M2 projects and programs across OCTA divisions.

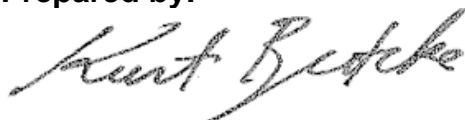
Summary

Planning Division metrics to encourage internal performance are presented for Board review. The metrics capture progress on key Planning Division activities related to project development and capital funding actions. Updates will be provided each fiscal year quarter.

Attachment

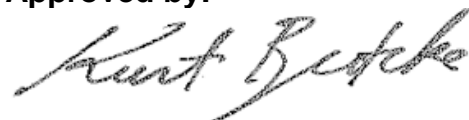
- A. Planning Division – Performance Measurements Report for First Quarter Fiscal Year 2011-2012

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Planning Division

Performance Measurements Report for First Quarter Fiscal Year 2011-2012

2011-2012 Q1 Report

● On Schedule ● Schedule at Risk

Goal Progress

Freeway Planning Studies

	FY 10/11				FY 11/12				FY 12/13				FY 13/14		
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
● SR-55, I-5 to SR-22															
● SR-91, SR-57 to SR-55															
● I-405, I-5 to SR-55															
● I-5, El Toro Interchange															
● SR-55, south of 19th Street															
● SR-57, Orangewood to Katella															
● Freeway Strategic Plan															

Transit and Bikeway Studies

	FY 10/11				FY 11/12				FY 12/13				FY 13/14		
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
● Transit System Study															
● North Orange County Bike Plan															

Other Studies

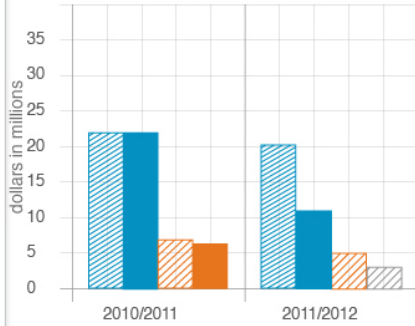
	FY 10/11				FY 11/12				FY 12/13				FY 13/14		
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
● Regional Water Quality Study (Project X related)															

Grants and Calls for Projects

	FY 10/11				FY 11/12				FY 12/13				FY 13/14		
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
● M2 Regional Capacity Call for Projects (2010)															
● M2 Regional Capacity Call for Projects (2011)															
● M2 Signal Synchronization Call for Projects (2010)															
● M2 Signal Synchronization Call for Projects (2011)															
● M2 Water Quality Call for Projects-Tier I (2011)															
● M2 Water Quality Call for Projects-Tier I (2012)															
● M2 Water Quality Call for Projects-Tier II															
● 2012 State Transp. Imprv. Prog Capital Plan															

M2 Environmental Programs

Goal - Contract for projects



Environmental Property Acquisition

Authorized Under Contract

Habitat Restoration

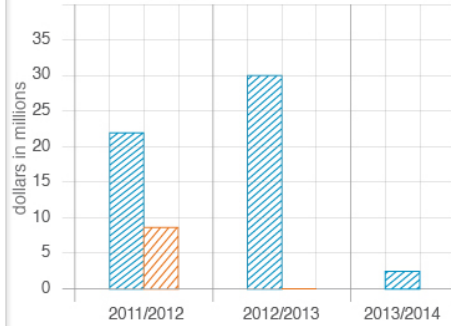
Authorized Under Contract

Water Quality Program

Authorized

M2 Regional Capacity & Signal Sync Investments

Goal - Contract for projects*



Regional Capacity Projects

Authorized

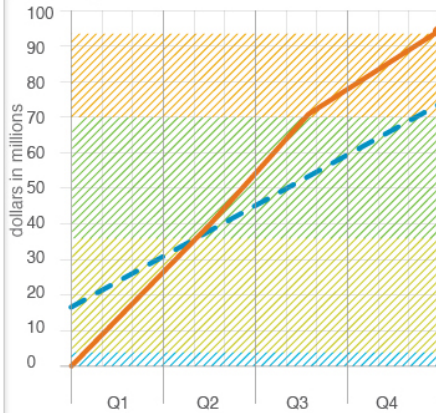
Signal Sync. Projects

Authorized

* Represents \$56 million for Regional Capacity and \$8 million for Signal Sync. Projects. Work to be contracted by local agencies.

Obligations of Federal Funds

Goal - Obligation of funds for FY 11-12



Federal Funds

Contracted-Current Projection

Contracted-Baseline Projection

Advance/Redistribution

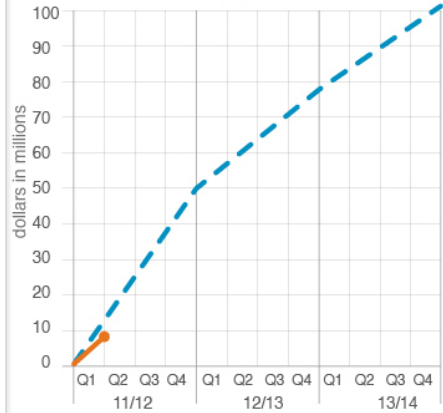
Projected

Authorized by Congress

Carryover

M1 Streets & Roads

Goal - Completion of active projects



Streets & Roads Projects

Completion through 9/30/11

Planned use of funds

* Expected program balance as of 6/30/11 includes OCTA Projects

**Current estimate based on previously assumed completion rate



Planning Division Performance Metrics

Planning Division Functions

- **Planning**

- Long-Term and Regional Studies
- Project Development
- Measure M2 (M2) Environmental Programs

- **Programming**

- State & Federal Funding
- M2 Competitive Funding Programs

- **Technical Analysis**

- Traffic Forecasting & Geographic Information Systems

- **M2 Program Management Oversight**

Planning Division Objectives

- Complete Freeway Planning Studies
- Develop Strategic Long-Term Plans and Studies
- Implement M2 Environmental Programs
- Maximize Use of State & Federal Funding
- Provide M2 Grants to Projects
- Monitor Timely Use of Measure Funds
- Ensure Adherence to M2 Plans and Requirements

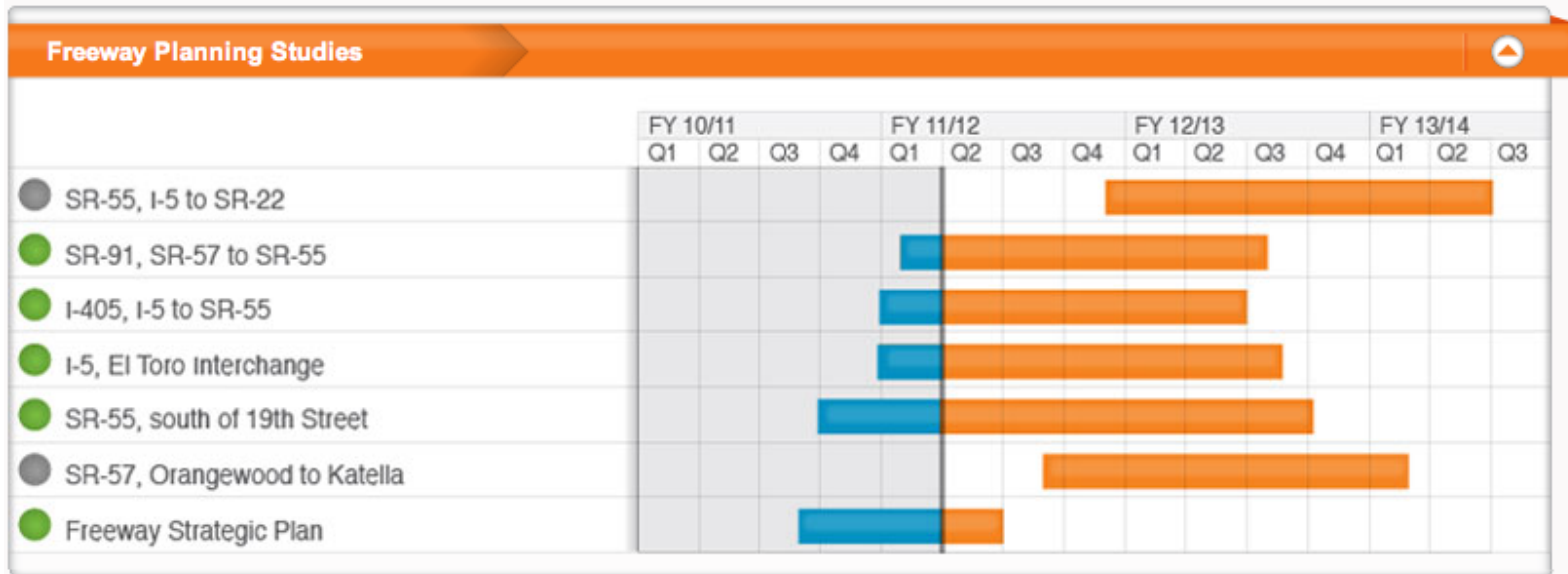
Planning Divisions Measures & Strategic Plan

	<i>OCTA Strategic Plan Goals</i>		
Measures	<i>Mobility</i>	<i>Fiscal Sustainability</i>	<i>Stewardship</i>
- Planning	✓		✓
- Programming	✓	✓	
- M2 Oversight		✓	✓

Performance Metrics: Complete Freeway Planning Studies

● On Schedule ● Schedule at Risk

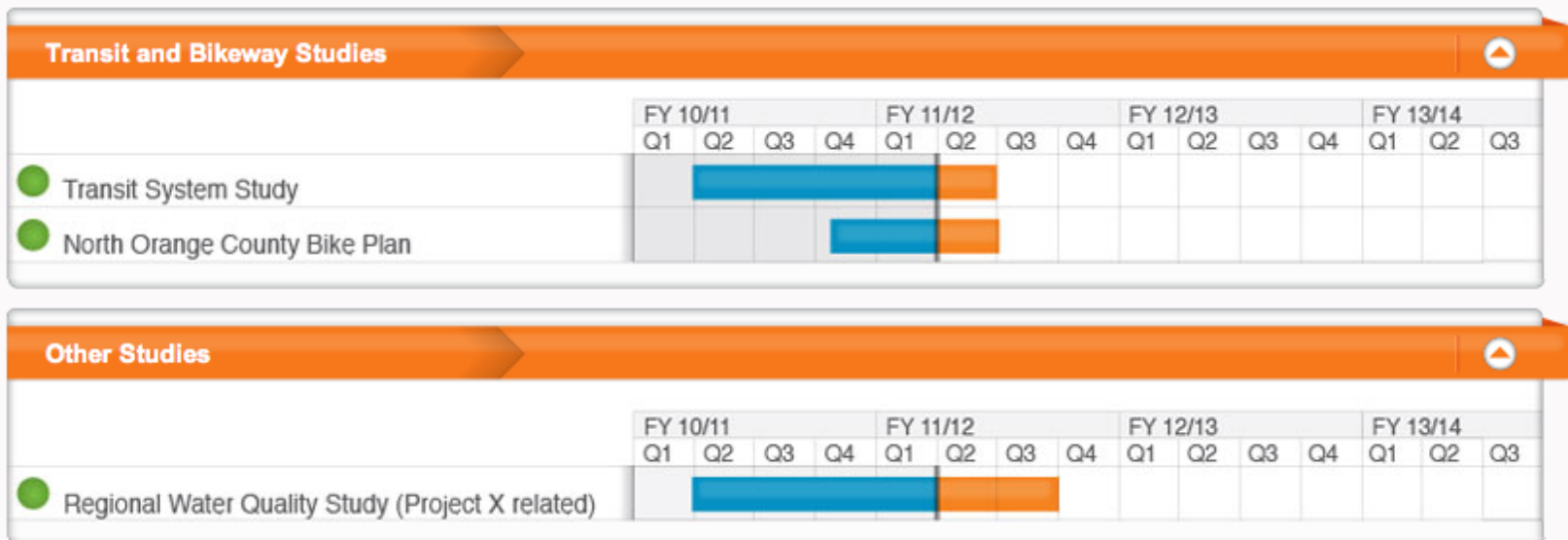
Goal Progress



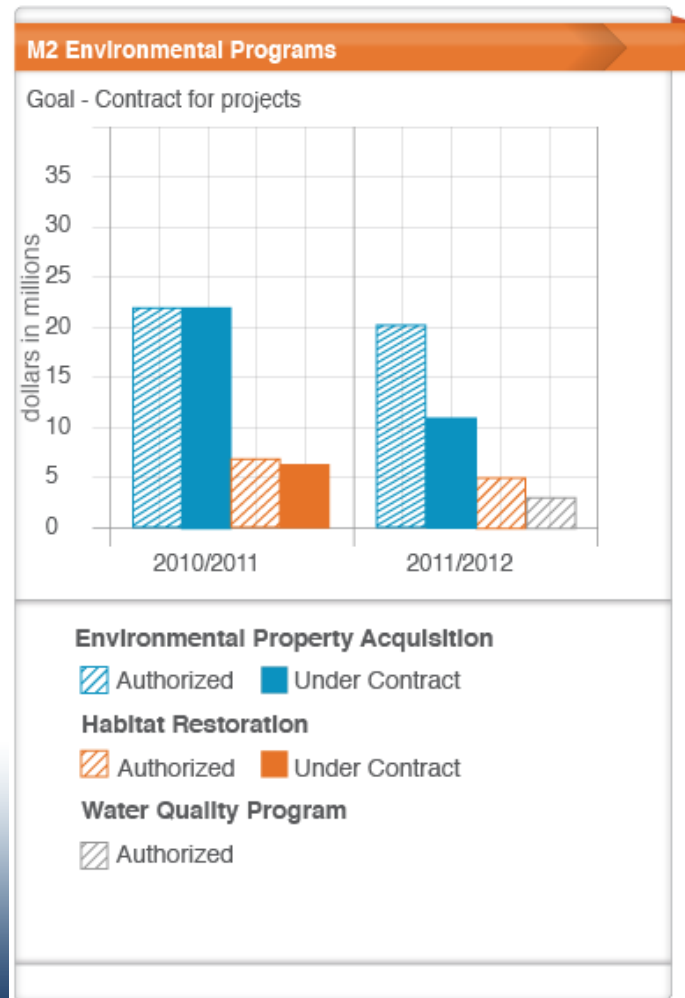
Performance Metrics: Complete Transit, Bikeway, and Other Planning Studies

● On Schedule ● Schedule at Risk

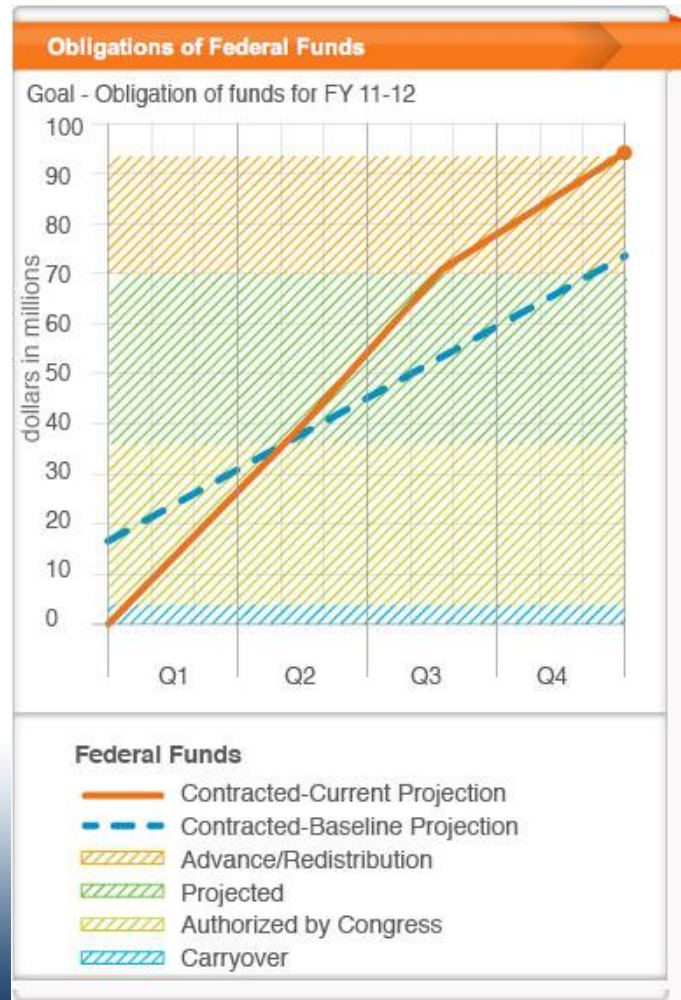
Goal  Progress 



Performance Metrics: Contract for Environmental Projects



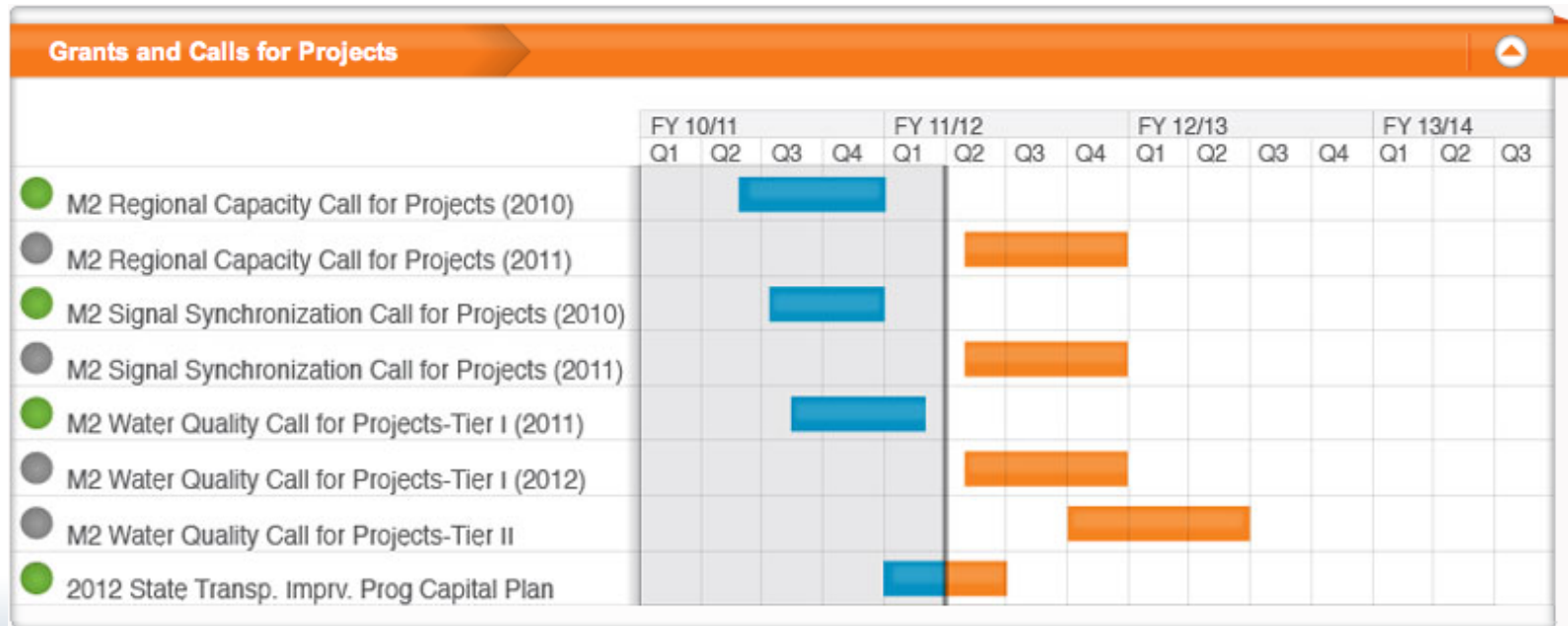
Performance Metrics: Obligate Federal Funds



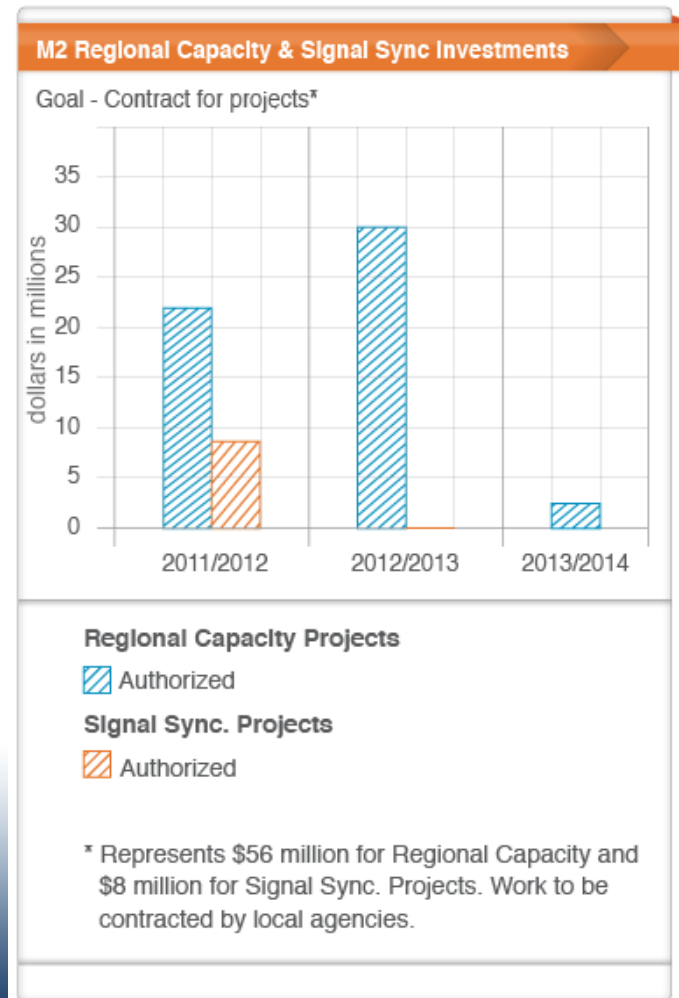
Performance Metrics: Award Grants and Issue Calls for Projects

● On Schedule ● Schedule at Risk

Goal Progress



Performance Metrics: Contract for Regional Capacity and Signal Synchronization Projects



Performance Metrics:

Closeout of M1 Streets and Roads Projects

