Performance Management and Performance-Based Planning and Programming

California State Workshop
November 21, 2013
Agenda

- Overview of Performance Management
- Performance-based Planning and Programming
- Moving Ahead for Progress in the 21st Century Act (MAP-21)
- Recent Activities
- Workshop Objectives
Overview of Performance Management

• Broad consensus that performance management is best practice for the transportation industry
• Most agencies track and report various aspects of system and agency performance
• Need to integrate performance management principles into planning and programming
• May be a requirement for a consistent national approach
Performance Management Elements

Connecting Goals and Objectives to Resources and Results

1. Goals/Objectives
2. Performance Measures
3. Target Setting
   - Evaluate Programs, Projects & Strategies
4. Allocate Resources
   - Budget and Staff
5. Measure, Evaluate, and Report Results
   - Actual Performance Achieved
6. Quality Data

U.S. Department of Transportation
Federal Highway Administration
Federal Transit Administration
Why Is Performance Management Important?

- Provide link between goals and specific actions
- Guide decisions on best use of available resources
- Evaluate the effectiveness of policies, plans, programs and projects
- Track system performance over time
- Communicate results to internal and external audiences
- Strengthen accountability
Performance-based Planning and Programming

- Key role for planning and programming to influence more performance-based decision-making
- FHWA, FTA, AASHTO, APTA, AMPO, NARC and NADO working informally to:
  - Define key elements of performance-based planning/prog.
  - Identify examples of good practice
  - Engage with stakeholders and identify key challenges and opportunities for capacity building
PERFORMANCE-BASED PLANNING AND PROGRAMMING

PLANNING

Strategic Direction
Where do we want to go?

Goals and Objectives
Performance Measures

Analysis
How are we going to get there?

Identify Trends and Targets
Identify Strategies and Analyze Alternatives
Develop Investment Priorities

Investment Plan
Resource Allocation
Program of Projects

Programming
What will it take?

Monitoring
Evaluation
Reporting

Implementation and Evaluation
How did we do?

Quality Data and Public Involvement
Performance Based Planning Activities

• National Conference on Performance Based Planning and Programming - Dallas, TX - September 13-15, 2010
• National Workshop on Performance Based Planning and Programming, Chicago, IL - September 21-22, 2011
• Regional Workshops on Performance-based Planning and Programming and Performance management
  ▪ 2012 to 2013 – Georgia, Rhode Island, Colorado, North Carolina, Oregon
• State Workshops on Performance-based Planning and Programming and Performance management
  ▪ Texas, California, and others
Performance Management
Activities

- **Methods of Outreach**
  - Webinars
  - FHWA and FTA National Online Dialogues
  - Virtual Town Hall Meetings
  - Subject Matter Meetings

- **Focused Areas for Outreach**
  - Performance Measures
  - Target Setting Listening Session
  - Reporting and Assessment
  - Transit Asset Management
  - Transit Safety Criteria

Direct Contact to FHWA and FTA: PerformanceMeasuresRulemaking@dot.gov
MAP-21 – Performance Management Process

- MAP-21 identifies national goal areas
- USDOT establishes measures, with input
- States & MPOs set targets
- State & MPO plans describe how program and project selection help achieve targets
- States report progress toward targets to USDOT by October 1, 2016
  - Reports typically lead to corrective actions (not sanctions)
  - Consequences if conditions of NHS falls below thresholds
Performance Measure Areas

- **FHWA, Federal-aid Highway Program**
  - HSIP - Fatalities and Serious Injuries (no. and rate)
  - NHPP
    - Interstate and non-Interstate National Highway System (NHS) pavement condition
    - NHS bridge condition
    - Interstate and non-Interstate NHS performance
  - Congestion Mitigation and Air Quality (CMAQ) Program
    - Traffic Congestion
    - On-road Mobile Source Emissions
  - Freight Movement on the Interstate

- **FTA, Public Transportation**
  - State of Good Repair
  - Safety Criteria
MAP-21 – Rulemaking Process

- **Proposed Regulation**
  - Consultation with stakeholders
  - Drafting of the Notice of Proposed Rulemaking (NPRM)
    - FTA has issued an ANPRM for Transit Asset Management and Public Transportation Safety Plan
  - Regulatory impact analysis
  - Coordination with other rulemakings

- **Public Comment**
  - 90 day minimum comment period required after each NPRM is published (highways).
  - Consideration of all comments and publication of final rule in Federal Register with effective date.
  - Final Regulation
MAP 21 - Performance Measures
Staged Rule Schedule

Status I Measures
- Safety
  - Consultation & Proposal Prep
  - Comments
  - Final Rule

Status II Measures
- Pavement & Bridge
  - Consultation & Proposal Prep
  - Comments
  - Final Rule

Status III Measures
- CMAQ, Performance, and Freight
  - Consultation & Proposal Prep
  - Comments
  - Final Rule

Single Effective Date: Spring 2015

MAP-21 Expiration

U.S Department of Transportation
Federal Highway Administration
Federal Transit Administration
9 Inter-related Rules

- Highway Safety Programs (NHTSA)
- Highway Safety Improvement Program (FHWA)
- Metro and Statewide Planning (FHWA-FTA)
- Safety Performance Measures (FHWA)
- Infrastructure Performance Measures (FHWA)
- System Performance Measures (FHWA)
- Highway Asset Management (FHWA)
- Transit Asset Management (FTA)
- Transit Safety Plan (FTA)
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<tbody>
<tr>
<td><strong>Planning</strong></td>
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<tr>
<td>Metropolitan and Statewide Planning Rule</td>
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<tr>
<td>• Establish a performance-based planning process at metropolitan and state level.</td>
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<td>• Define coordination in the selection of targets, linking planning and programming to performance targets.</td>
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<td><strong>Highway Safety</strong></td>
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<td>Safety Performance Measure Rule</td>
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<tr>
<td>• Propose and define fatalities and serious injuries measures, along with target establishment, progress assessment and reporting requirements.</td>
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<td>• Discuss the implementation of MAP-21 performance requirements.</td>
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<td>Highway Safety Improvement Program (HSIP) Rule</td>
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<td>• Integration of performance measures, targets, and reporting requirements into the HSIP.</td>
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<td>• Strategic Highway Safety Plan updates.</td>
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<tr>
<td><strong>Highway Conditions</strong></td>
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<tr>
<td>Pavement and Bridge Performance Measure Rule</td>
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<tr>
<td>• Propose and define pavement and bridge condition measures, along with minimum condition standards target establishment, progress assessment and reporting requirements.</td>
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<tr>
<td><strong>Asset Management Plan Rule</strong></td>
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<td>• Contents and development process for asset management plan.</td>
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<td>• Minimum standards for pavement and bridge management systems.</td>
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<td><strong>Congestion/System Performance</strong></td>
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<td>System Performance Measure Rule</td>
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<td>• Define performance of the interstate system, non-interstate national highway system, and freight movement on the interstate system.</td>
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<td>• Finalize interpretation of scope of CMAQ performance requirements, including congestion and on-road mobile source emissions.</td>
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<td>• Summarize MAP-21 highway performance measure rules.</td>
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<td><strong>Transit Performance</strong></td>
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<tr>
<td>Transit State of Good Repair Rule</td>
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<tr>
<td>• Define state of good repair and establish measures.</td>
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<td>• Transit asset management plan content, target establishment and reporting requirements.</td>
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<tr>
<td>Transit Safety Plan Rule</td>
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<tr>
<td>• Define transit safety standards.</td>
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<td>• Transit safety plan content and reporting requirements.</td>
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Anticipated Coordinated Performance Measure Effective Date

[Diagram showing timelines and comment periods]
## NPRM Status

<table>
<thead>
<tr>
<th>NPRM</th>
<th>Anticipated Publication Date</th>
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<tbody>
<tr>
<td>Highway Safety Program Grants (interim rule)</td>
<td>Published January 2013</td>
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<tr>
<td>Transit State of Good Repair and Safety Plan (ANPRM)</td>
<td>Published, closes January 2, 2014</td>
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<tr>
<td>Safety Performance Measures</td>
<td>January 2014</td>
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<tr>
<td>Highway Safety Improvement Program</td>
<td>January 2014</td>
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<tr>
<td>Metropolitan and Statewide Planning</td>
<td>February 2014</td>
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<td>Asset Management Plan</td>
<td>February 2014</td>
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<tr>
<td>Pavement/Bridge Performance Measures</td>
<td>March 2014</td>
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<tr>
<td>System Performance Measures</td>
<td>May 2014</td>
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MAP-21 FTA Rulemaking Process

- **FTA Notices of Proposed Rulemakings**
  - TRANSIT ASSET MANAGEMENT NPRMs and Notices
    - Transit Asset Management/State of Good Repair NPRM
    - Federal Register Notice on the National Transit Database (NTD) Report Manual
  - SAFETY NPRMs
    - National Public Transportation Safety Plan
    - Public Transportation Safety Certification Training Program
    - Public Transportation Agency Plan
    - State Safety Oversight (SSO) Program

PREPARING FOR MAP-21
PERFORMANCE MANAGEMENT ELEMENTS
Some things you can do now:
- Build Knowledge of MAP-21 Performance Elements
- Self assessment and gap analysis
- Shared inventory of performance measures, data collection, data systems,
- Knowledge of trade-off analysis
- Bimonthly progress check-ins
Preparing for MAP-21’s PM Req.

1. **Review**
   - Understand TPM Performance Elements
   - Appraise your agency’s current performance initiatives

2. **Analyze Gaps**
   - Gap analysis of MAP-21 performance measure areas, performance plan, target setting, and reporting requirements

3. **Prepare**
   - Identify initiatives to plug the gaps
   - Identify and assign responsibility to a POC

4. **Share**
   - Document and share insights with others with your state, including the FHWA DO and FTA Regional Offices
## Preparing for MAP-21 Performance Measures Example (VDOT): Review

<table>
<thead>
<tr>
<th>MAP-21 Performance Measure Areas</th>
<th>VDOT ‘s current Performance Measures</th>
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<tbody>
<tr>
<td>Performance of the Interstate System</td>
<td>Congestion at various interstate locations</td>
</tr>
<tr>
<td>Performance of the non-interstate NHS</td>
<td>Travel speeds on HOV facilities</td>
</tr>
<tr>
<td>Traffic Congestion</td>
<td>Travel time on key interstate commuter routes</td>
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<tr>
<td>Freight Movement on the Interstate System</td>
<td>Incident Duration</td>
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<td>Hours of delay</td>
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1. **Review National goals/ performance measure area requirements**

2. **Review your Agencies current performance measures/ initiatives**

3. **Align your current performance measures/initiatives to National performance areas**

4. **Share information with State/local/MPO agencies in your state**
Preparing for MAP-21 Performance Measures Example (VDOT): Analyze Gaps

Strengths
- VDOT has a wealth of traffic performance related data:
  - Volumes
  - Vehicle speeds and classifications
  - Travel time
  - Incident and crash data
  - Inventory
  - Corridor and intersection operations

Weakness
- Data are distributed among a number of systems
- Some elements are difficult to access
- Staff spends significant time integrating data from different sources
- Still, most questions go unanswered or unanalyzed
Preparing for MAP-21 Performance Measures Example (VDOT): Prepare

• Developing Traffic Data & Performance Management System (TDPMS) to
  • Support analysis of VDOT’s traffic performance-related data
  • Support MAP-21 compliance
  • Provide one access point to traffic detector, vehicle probe, incident, roadway network and other data needed to support analysis of traffic performance
  • Facilitate performance management through visualization aids, graphics and reports
  • Establish a data archive that can be used with other applications and help meet future needs
Preparing for MAP-21 Performance Measures: Share and Repeat

- Share process with others and Repeat for:
  - Performance Plans,
  - Target Setting, and
  - Reporting Requirements

For more information on the VDOT Example, contact Jay Styles,
Performance and Strategic Planning Manager, Business Transformation Office, VDOT
(VDOT) Jay.Styles@VDOT.Virginia.gov
Workshop Objectives

- Increase awareness of performance management and performance-based planning and programming
- Peer-to-peer discussion of the planning challenges faced by transportation agencies in California
- Identify action items for implementing performance management and performance-based planning and programming