

Performance Management and Performance-Based Planning and Programming

**California State Workshop
November 21, 2013**



U.S Department of Transportation
Federal Highway Administration
Federal Transit Administration

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**



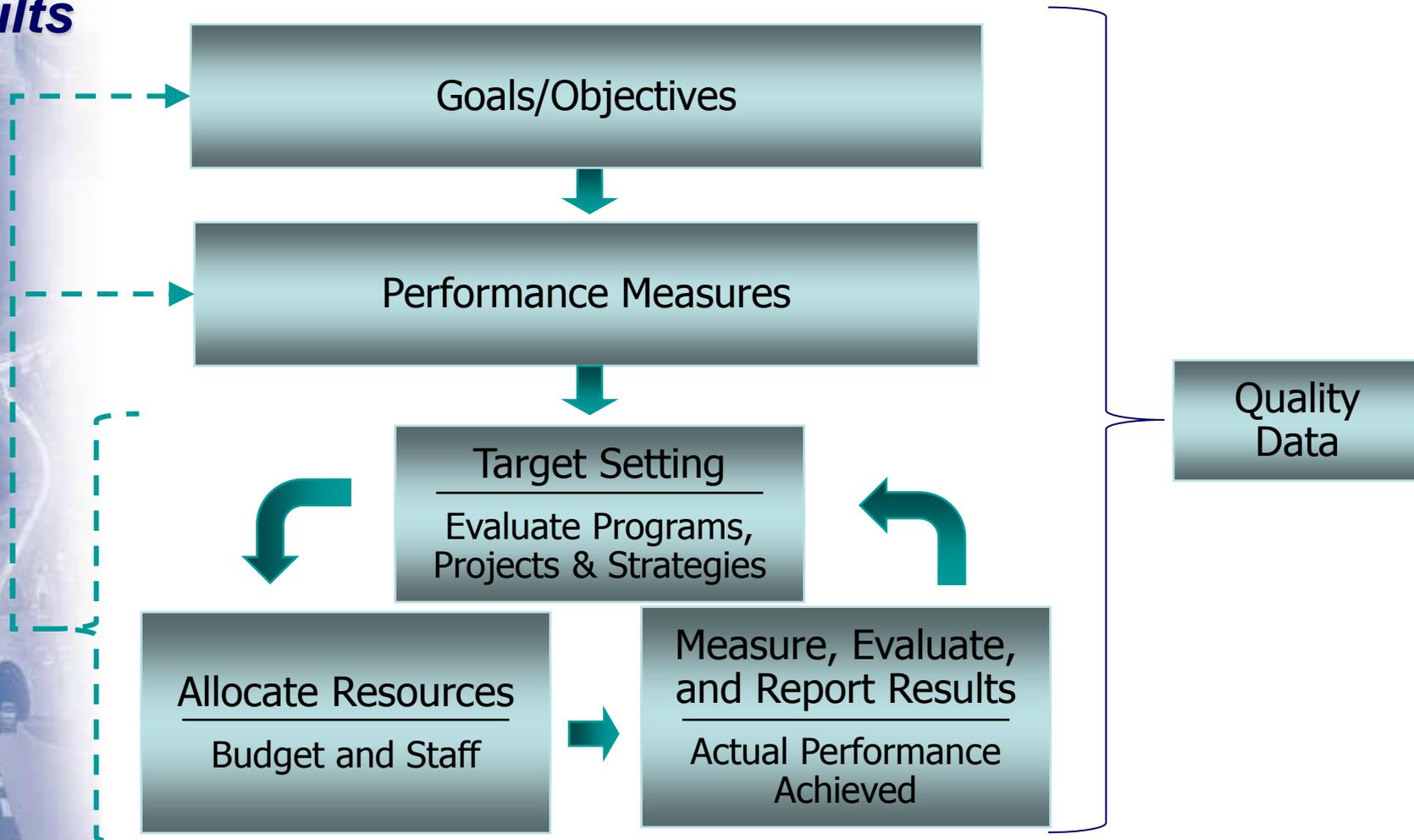
Overview of Performance Management

- **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



Why Is Performance Management Important?

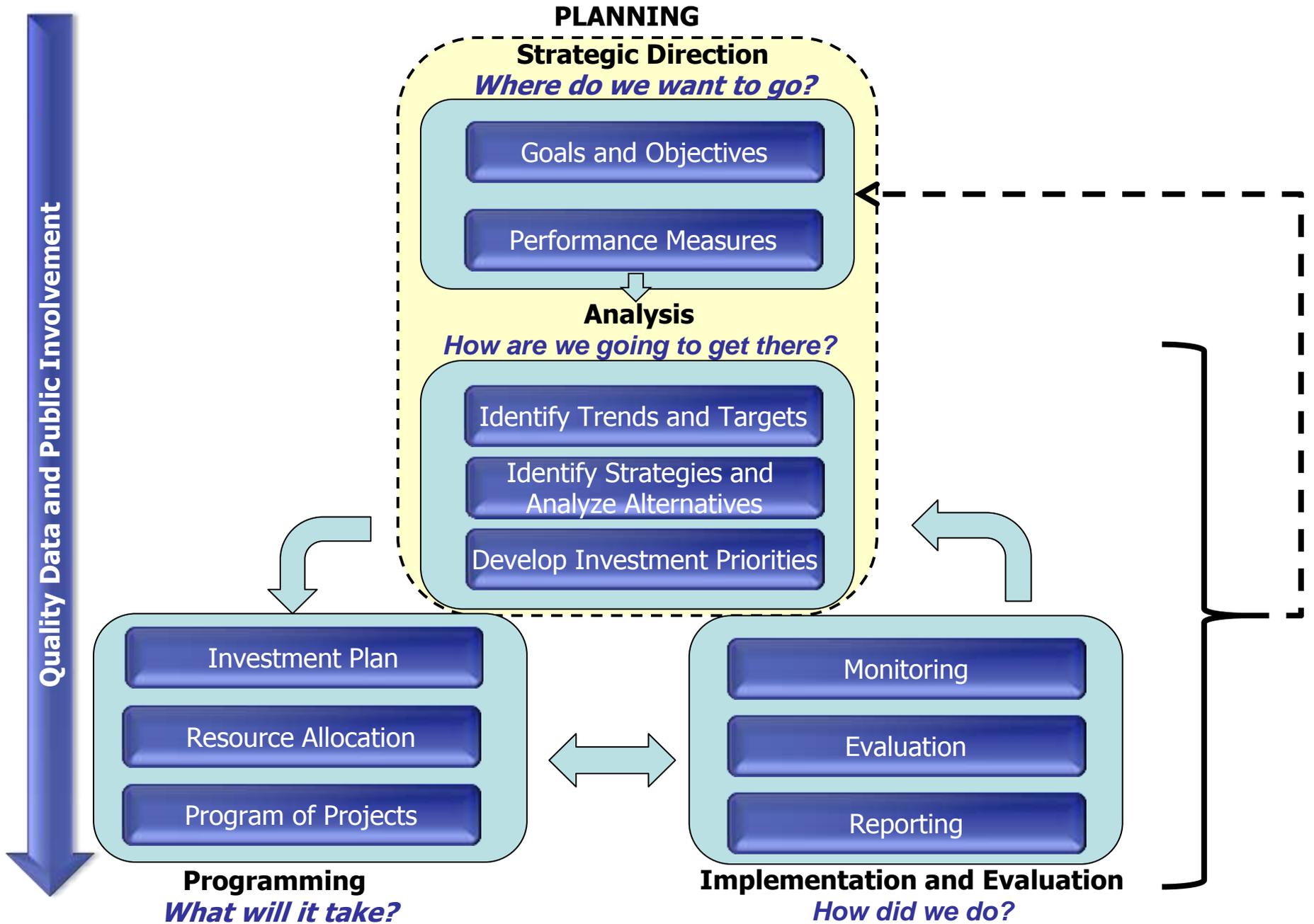
- **Provide link between goals and specific actions**
- **Guide decisions on best use of available resources**
- **Evaluate the effectiveness of policies, plans, programs and projects**
- **Track system performance over time**
- **Communicate results to internal and external audiences**
- **Strengthen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

Performance Based Planning Activities

- **Peer Exchange with AASHTO on Performance Measurement, Planning, and Programming - AASHTO Annual Meeting, Palm Desert, CA - October 22 -23, 2009**
- **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

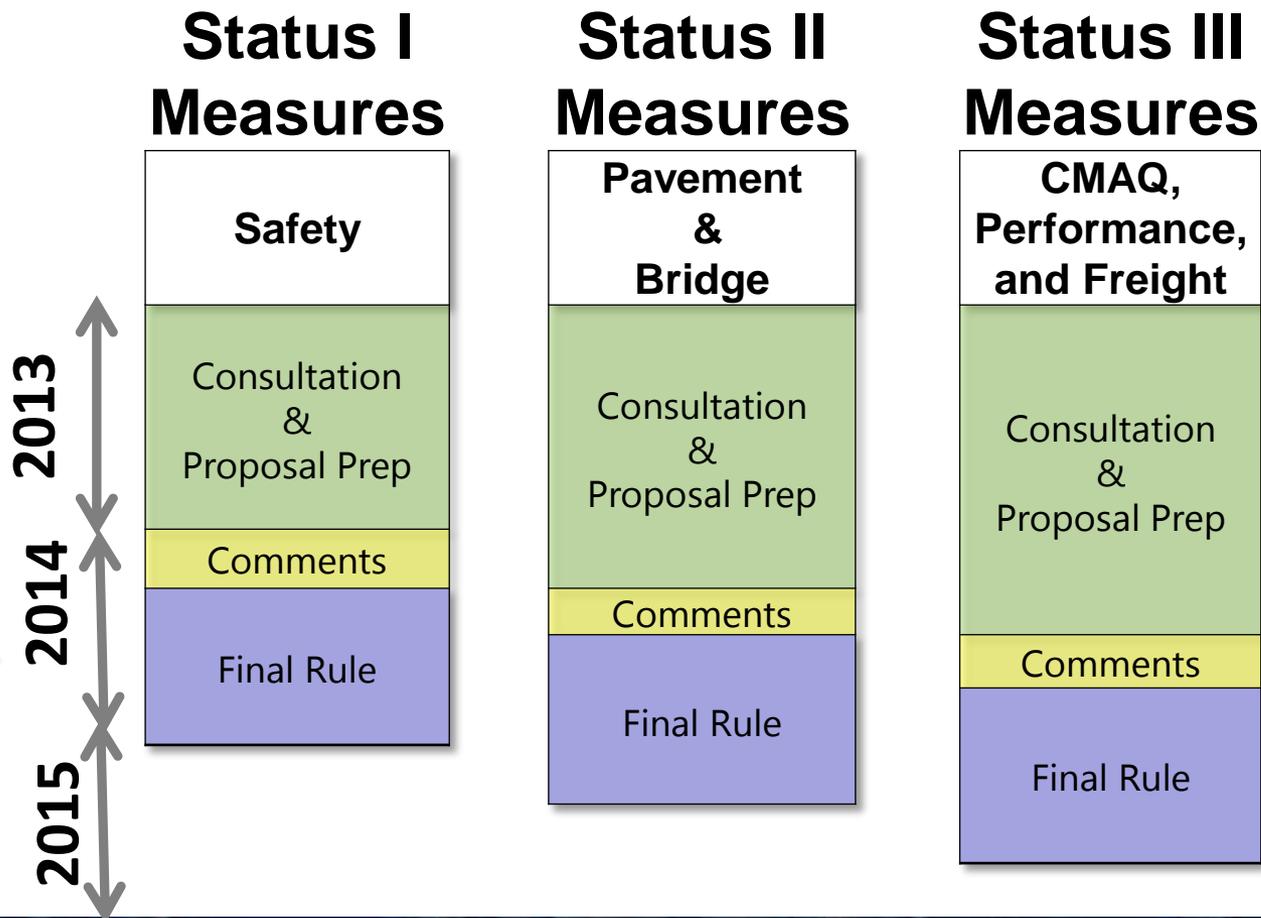
■ Public Comment

- 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

MAP-21
Expiration



Single Effective Date:
Spring 2015



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)**



USDOT Implementation of MAP-21 Performance Provisions: Nine Interrelated Rules

2013

2014

2015

Planning

Metropolitan and Statewide Planning Rule

- Establish a performance-based planning process at metropolitan and state level.
- Define coordination in the selection of targets, linking planning and programming to performance targets.

Highway Safety

Safety Performance Measure Rule

- Propose and define fatalities and serious injuries measures, along with target establishment, progress assessment and reporting requirements.
- Discuss the implementation of MAP-21 performance requirements.

Highway Safety Improvement Program (HSIP) Rule

- Integration of performance measures, targets, and reporting requirements into the HSIP.
- Strategic Highway Safety Plan updates.

Highway Safety Program Grants Rule *

- State target establishment and reporting requirements.
- Highway safety plan content, reporting requirements, and approval.

* Interim Final Rule issued by NHTSA in January 2013.

Highway Conditions

Pavement and Bridge Performance Measure Rule

- Propose and define pavement and bridge condition measures, along with minimum condition standards target establishment, progress assessment and reporting requirements.

Asset Management Plan Rule

- Contents and development process for asset management plan.
- Minimum standards for pavement and bridge management systems.

Congestion/System Performance

System Performance Measure Rule

- Define performance of the interstate system, non-interstate national highway system, and freight movement on the interstate system.
- Finalize interpretation of scope of CMAQ performance requirements, including congestion and on-road mobile source emissions.
- Summarize MAP-21 highway performance measure rules

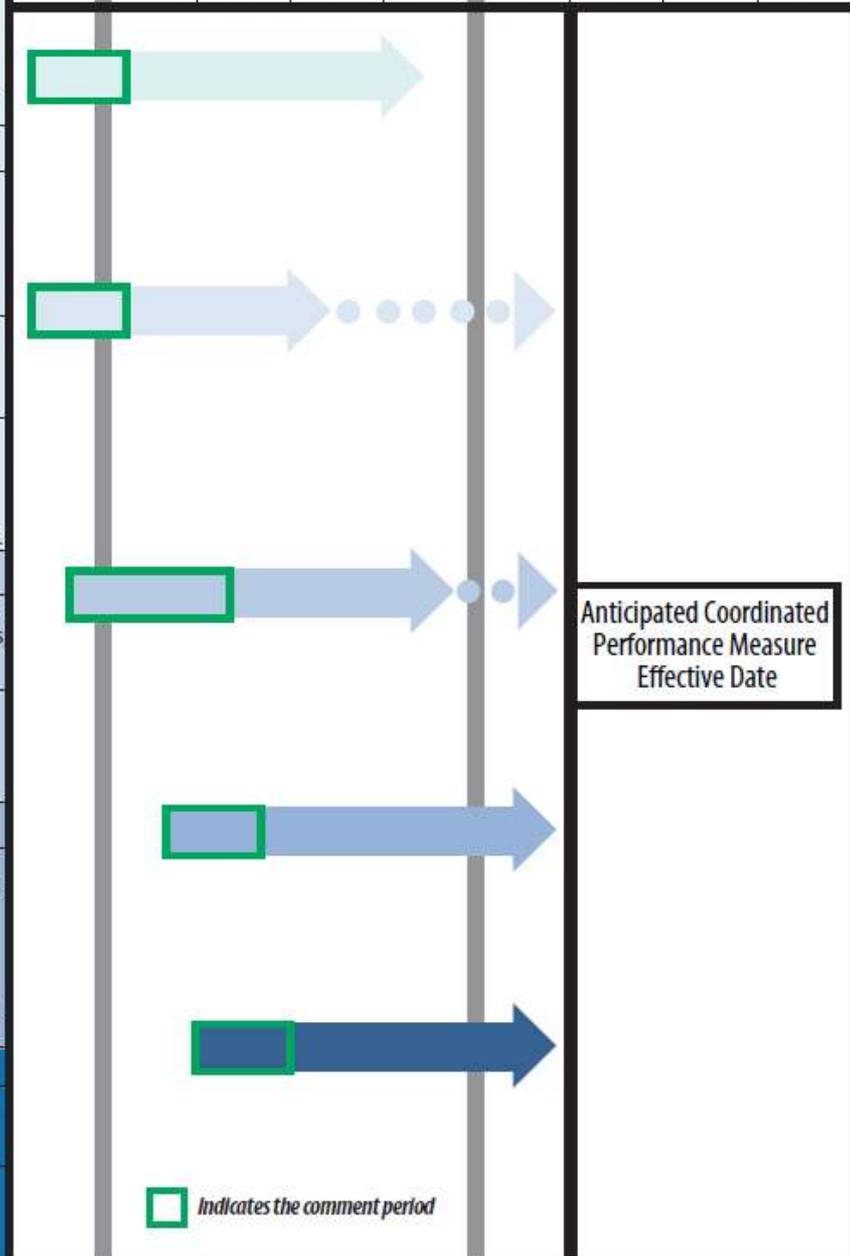
Transit Performance

Transit State of Good Repair Rule

- Define state of good repair and establish measures.
- Transit asset management plan content, target establishment and reporting requirements.

Transit Safety Plan Rule

- Define transit safety standards.
- Transit safety plan content and reporting requirements.



The Federal Transit Administration plans to issue an Advance Notice of Proposed Rulemaking (ANPRM) for each of these two proposed rules in the summer of 2013, providing an additional comment period.

NPRM Status

NPRM	Anticipated Publication Date
Highway Safety Program Grants (interim rule)	Published January 2013
Transit State of Good Repair and Safety Plan (ANPRM)	Published, closes January 2, 2014
Safety Performance Measures	January 2014
Highway Safety Improvement Program	January 2014
Metropolitan and Statewide Planning	February 2014
Asset Management Plan	February 2014
Pavement/Bridge Performance Measures	March 2014
System Performance Measures	May 2014



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

<http://www.gpo.gov/fdsys/pkg/FR-2013-10-03/pdf/2013-23921.pdf>





PREPARING FOR MAP-21 PERFORMANCE MANAGEMENT ELEMENTS



U.S. Department of Transportation
Federal Highway Administration
Federal Transit Administration

Implementation Schedule

2013 2014 2015 2016 2017 2018



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

Planning & Target Setting



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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

MAP-21 Performance Measure Areas	VDOT 's current Performance Measures
Performance of the Interstate System	Congestion at various interstate locations
Performance of the non-interstate NHS	Travel speeds on HOV facilities
Traffic Congestion	Travel time on key interstate commuter routes
Freight Movement on the Interstate System	Incident Duration Hours of delay

- 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**
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Transformation Office, VDOT
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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**

