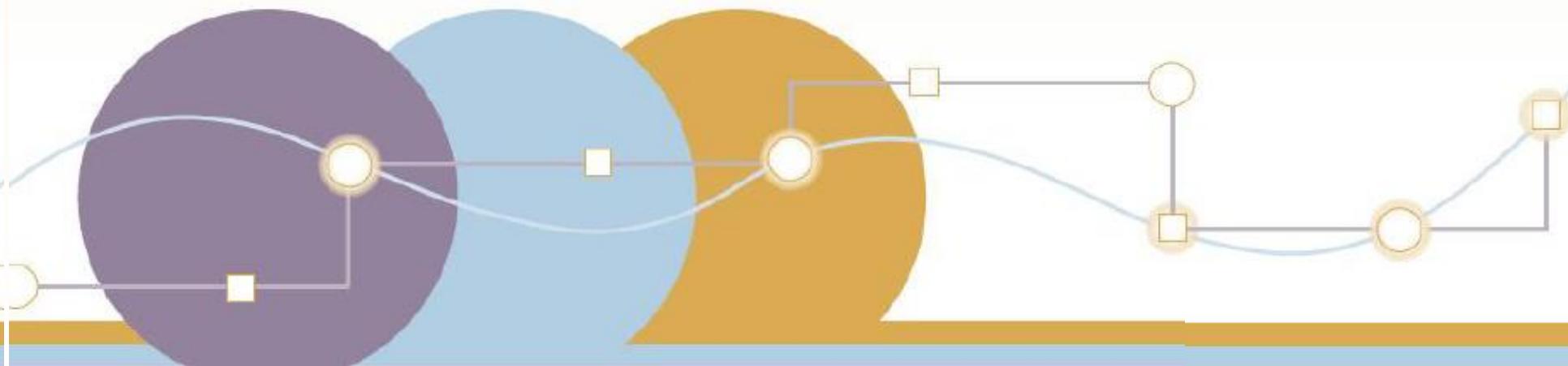


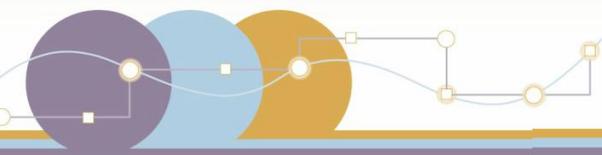
MAP-21

A Summary of Proposed National Performance Management Requirements

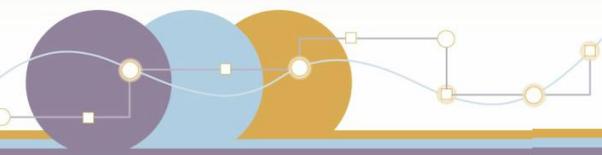
New York State Association's of MPO's Annual Conference

June 22, 2015



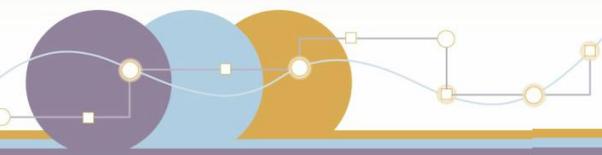


Performance Area	NPRM	Comments due	Anticipated Final Rule
Safety Performance Measures	March 11, 2014	<u>Closed</u> June 30, 2014	September 2015
Highway Safety Improvement Program	March 28, 2014	<u>Closed</u> June 30, 2014	August 2015
Statewide and Metro Planning; Non-Metro Planning	June 2, 2014	<u>Closed</u> October 2, 2014	September 2015
Pavement and Bridge Performance Measures	January 5, 2015	<u>Closed</u> May 8, 2015	n/a
Highway Asset Management Plan	February 20, 2015	<u>Closed</u> May 29 2015	n/a
System Performance Measures	Projected September 2015	120 days	n/a



Benefits of Proposed Planning Rule

- **Increased Transparency**
 - Establish performance measures and targets
- **Increased Accountability**
 - Report on progress toward achieving targets
- **Focus Federal-aid program on National Goal Areas**
 - Safety, state of good repair, congestion, freight, emissions
- **Improved Decision Making**
 - Representation by Public Transit on TMA MPO Board
 - State cooperation with local officials

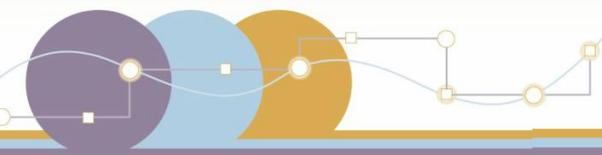


Statewide & Nonmetropolitan Transportation Planning

Performance-based Approach – State Requirements

- Establish performance targets for USDOT transportation system performance measures established under 23 U.S.C. 150(c) and 49 U.S.C. 5326 and 49 U.S.C. 5329
 - Targets used to track critical outcomes in State
 - Coordinate with MPOs and providers of public transportation in rural areas to ensure consistency in selection of performance targets
- Integrate other State and rural transit provider performance plans into the statewide transportation planning process
 - goals, objectives, performance measures, and targets
 - directly or by reference
- Consider measures and targets when developing policies, programs, and investment priorities in LRP and STIP
 - use to assess performance of transportation system



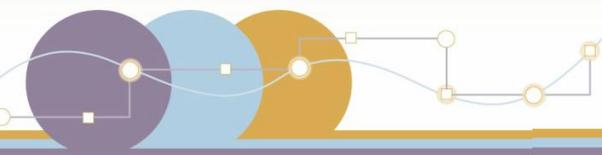


Statewide & Nonmetropolitan Transportation Planning

Long Range Statewide Transportation Plan

(23 U.S.C. 135(f); 49 U.S.C. 304(f))

- LRP must be developed in **cooperation** with
 - In nonmetropolitan areas - affected nonmetropolitan officials with responsibility for transportation or, if applicable, through Regional Transportation Planning Organization (RTPO)
 - Law previously required consultation with affected officials
 - In metropolitan areas – with MPOs.

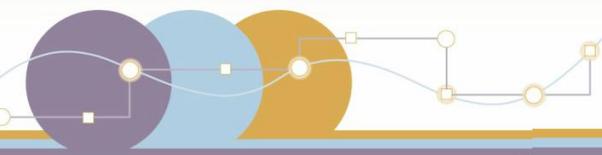


Statewide & Nonmetropolitan Transportation Planning

Long-Range Statewide Transportation Plan

- Should describe performance measures and targets used to assess performance of transportation system

- Should include a system performance report and subsequent updates that
 - evaluates the condition and performance of the transportation system
 - includes progress in meeting the performance targets and in comparison with system performance recorded in previous reports



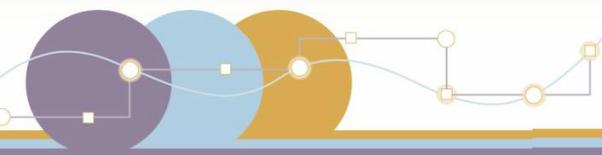
Statewide & Nonmetropolitan Transportation Planning

Statewide Transportation Improvement Program (STIP) (23 U.S.C. 13(g); 49 U.S.C. 304(g))

- Must be developed in cooperation with
 - affected nonmetropolitan local officials with responsibility for transportation or if applicable, through RTPO's, in nonmetropolitan areas
 - MPOs in metropolitan areas

- Must describe anticipated effect of STIP toward achieving performance targets established in LRP to maximum extent practicable
 - Must link investment priorities to those performance targets
 - Will need to ensure that the STIP is performance based after Final Rules have been published

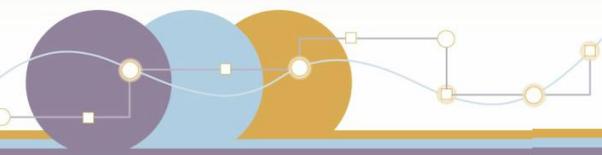




Metropolitan Transportation Planning

- **Unchanged Provisions**
- Population thresholds for MPOs and TMAs unchanged
- TIP to be updated at least once every 4 yrs.
- MTP updated at least once every 4-years in nonattainment and maintenance areas, and every 5-years in attainment areas.
- Eight planning factors unchanged





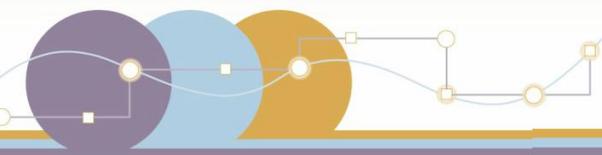
Metropolitan Transportation Planning

Metropolitan Transportation Plan (MTP)

(23 U.S.C. 134(i); 49 U.S.C. 5303(i))

- Describe transportation system performance measures and respective performance targets
- Include system performance report and subsequent updates evaluating the condition and performance of the transportation system:
 - Discuss progress achieved by MPO in meeting performance targets in comparison with system performance recorded in previous reports.
- For MPOs that elect to develop multiple scenarios:
 - Include an analysis of how preferred scenario improves transportation system condition and performance.
 - Will need to ensure that the MTP is performance based after Final Rules have been published

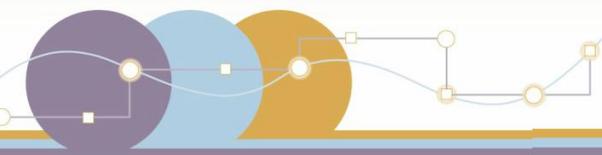




Metropolitan Transportation Planning

Performance-based Approach

- MPO must integrate other performance based plans
 - either directly or by reference
 - goals, objectives, performance measures, and targets



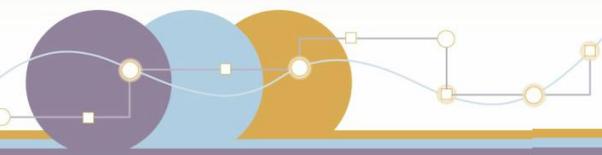
Metropolitan Transportation Planning

Transportation Improvement Program

(23 U.S.C. 134(h)(2); 49 U.S.C 303(h)(2))

- Contains projects consistent with MTP
- Reflects investment priorities from the MTP
- Designed to make progress toward achieving transportation system performance targets
- Describes anticipated effect of the TIP toward achieving the performance targets established in the MTP
- Links investment priorities to performance targets.
 - Will need to ensure that the TIP is performance based after Final Rules have been published

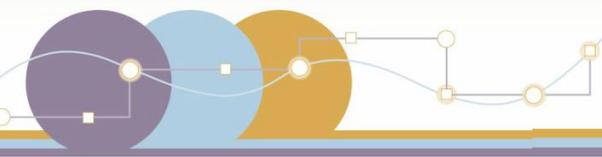




Performance Measures and Targets

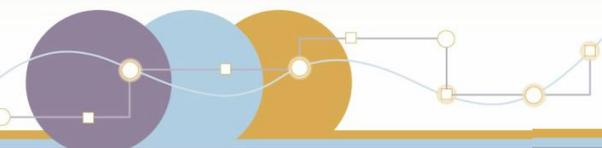
- Purpose of performance measures (and associated targets)
 - Clarify the definition of goals
 - Monitor and report toward implementation of plan goals and objectives
 - Identify performance needs or deficiencies
 - Evaluate potential impacts of scenarios, programs, and projects
 - Required by MAP-21





Proposed Safety Performance Measures

- Number of fatalities
- Rate of fatalities
- Number of serious injuries
- Rate of serious injuries



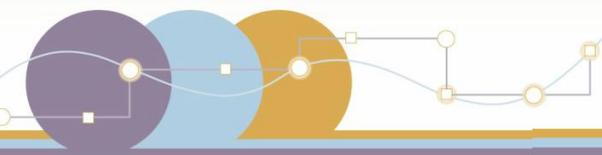
Proposed Pavement/Bridge Performance Measures

□ Pavement Condition

- Percentage of pavements of the Interstate System in Good condition
- Percentage of pavements of the Interstate System in Poor condition
- Percentage of pavements of the non-Interstate NHS in Good condition
- Percentage of pavements of the non-Interstate NHS in Poor condition.

□ Bridge Condition

- Percentage of NHS bridges classified as in Good condition
- Percentage of NHS bridges classified as in Poor condition.



Target Setting

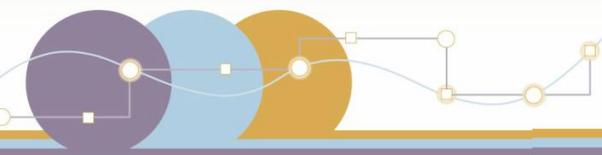
- Approaches used to set targets include
 - Policy-driven
 - Modeling
 - Consensus-based process
 - Reliance on formal and informal customer feedback
 - Use of benchmarks from peer agencies
- Setting performance targets is a multi-step process, which requires
 - Gathering baseline data and
 - Performing analysis



Proposed Safety Target Setting

- State DOTs shall establish targets annually for each performance measure identified
- Be identical to the targets established by the SHSO for common performance measures.
- Represent performance outcomes anticipated for the calendar year following the HSIP annual report date.
- Represent the anticipated performance outcome for all public roadways within the State regardless of ownership or functional class.
- Reported in the HSIP annual report that is due after one year from the effective date of this rule and in each subsequent HSIP annual report thereafter
- Include in the HSIP Report 10 years of serious injury data.
- Unless approved by FHWA, State DOTs shall not change their target once it is submitted in the HSIP annual report.

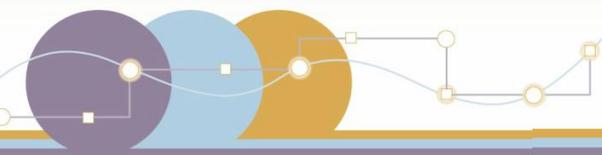




Proposed Pavement/Bridge Performance Target Setting

- All State DOTs and MPOs shall establish targets for each performance measure, aligned with biennial reports
- Targets shall be established for the entire NHS network, regardless of ownership
- State DOTs may adjust four year targets at the performance period midpoint
- State targets are statewide
- State DOTs have the option to set additional urbanized/non-urbanized targets
- MPOs establish four year targets by either committing to support the State target or setting a quantifiable target when applicable
- If State adjusts target, any MPO adjustments must occur within 180 days
- If MPO changes a quantifiable target, must be done in a manner agreed upon and documented in Metropolitan Planning Agreement

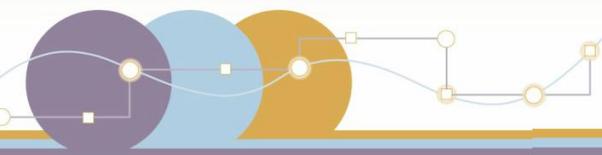




Proposed Safety Coordination Efforts

- ❑ To the maximum extent practicable, performance measures common to the State's HSP and the HSIP should be defined identically, as coordinated through the State Strategic Highway Safety Plan.

- ❑ NHTSA is subject to a statutory requirement under MAP-21 that revisions to performance measures be coordinated with the Governors Highway Safety Association.

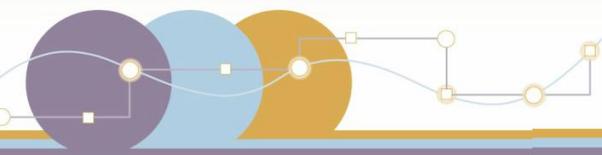


Proposed Pavement/Bridge Performance Coordination Efforts

- ❑ State DOTs are to coordinate with MPOs on the selection of targets to ensure consistency, to the maximum extent practicable

- ❑ MPOs establish four year targets by either committing to support the State target or setting a quantifiable target when applicable

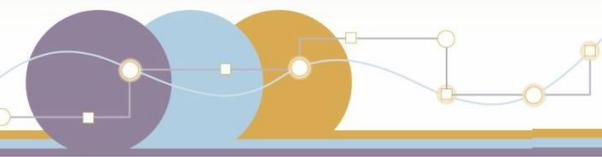
- ❑ Changes in MPO targets must be done in a manner that has been agreed upon and documented in Metropolitan Planning Agreement



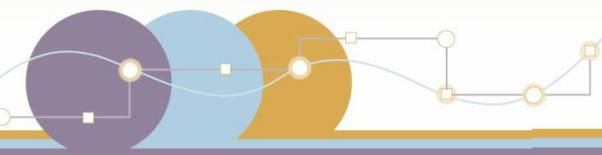
Anticipated Areas for Coordination/Collaboration

- Target Establishment
- Data sources
- Reporting



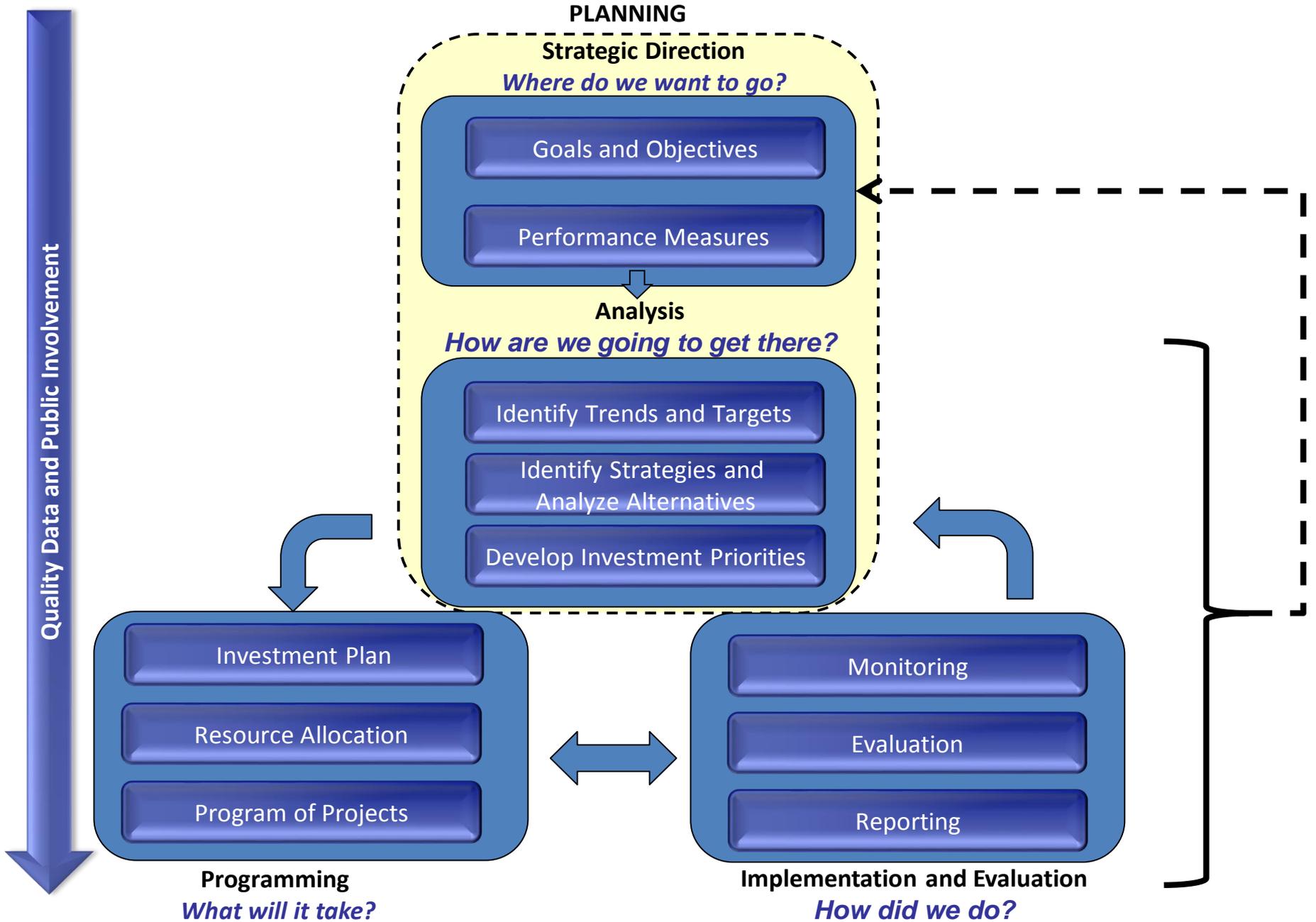


Key Elements of Performance-Based Planning and Programming

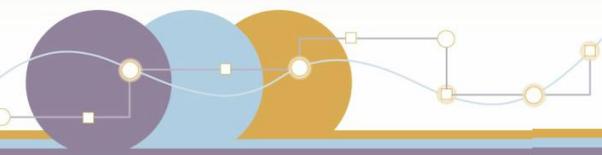


Elements of Performance-Based Planning

- Visioning
- Goals
- Objectives
- Performance Measures
- Targets
- Resource Allocation
- Reporting

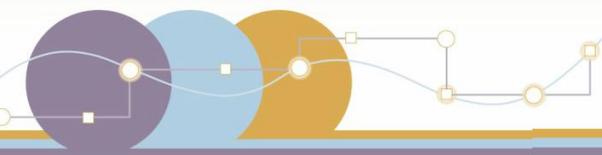


PERFORMANCE-BASED PLANNING AND PROGRAMMING



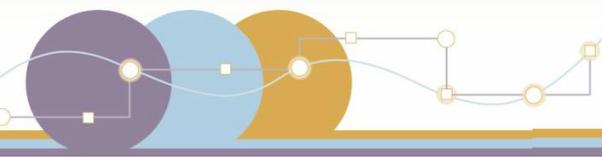
Definitions

- Vision: Long term, desired future for the transportation system
- Goals: Generalized statements that broadly relate the physical environment to values
- Objectives: Specific measurable statements related to the attainment of goals



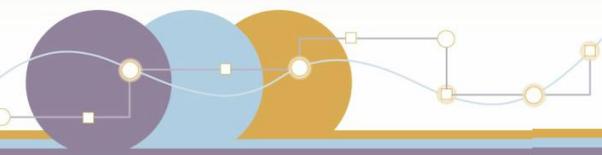
Goals

- Vision: Long term, desired future for the transportation system
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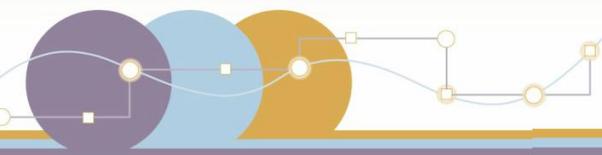
Caltrans Mission, Vision and Goals

- **MISSION & VISION**
 - Caltrans Improves Mobility Across California
- **GOALS**
 - Safety- Provide the safest transportation system in the nation for users and workers.
 - Mobility- Maximize transportation system performance and accessibility.
 - Delivery- Efficiently deliver quality transportation projects and services.
 - Stewardship- Preserve and enhance California's resources and assets.
 - Service- Promote quality service through an excellent workforce.



Objectives

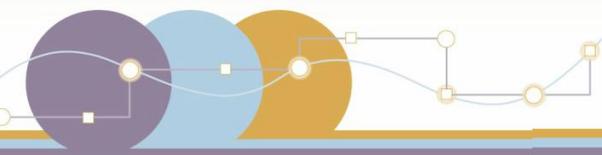
- Vision: Long term, desired future for the transportation system
- Goals: Generalized statements that broadly relate the physical environment to values
- Objectives: Specific measurable statements related to the attainment of goals



Objectives

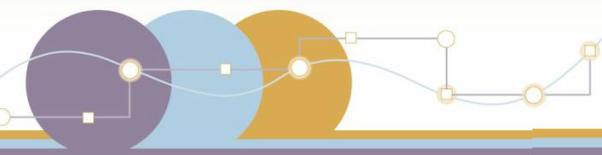
- Objective = specific, measurable statement that supports achievement of a goal
 - Example: Reduce pedestrian fatalities (by 10 percent by 2025)
 - Types of objectives:
 - Outcome: reflects concerns of the public (e.g., incident-based delay)
 - Output: reflects actions that affect outcomes (e.g., clearance time of incidents)
 - Activity: reflects actions taken by transportation agencies (e.g., number of cameras tracking system conditions)

- It is critical to involve the public in developing goals and objectives as a strategic foundation for a performance-based approach to decision-making



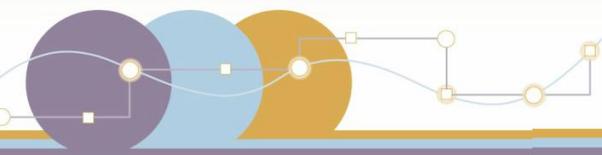
Maryland SHA Objectives FY 2012-2015 Business Plan

Key Performance Area	Example SMART Objectives
Safety	Reduce the annual number of traffic related fatalities on all roads in MD from 592 in 2008 to 475 or fewer (19.8% reduction) by December 31, 2015
Mobility/Economy	Achieve an annual user cost savings of at least \$1.1 billion as a result of congestion management
System Preservation and Maintenance	Maintain annually at least 84% of the SHA pavement network in acceptable overall pavement condition (cracking, rutting, and ride)



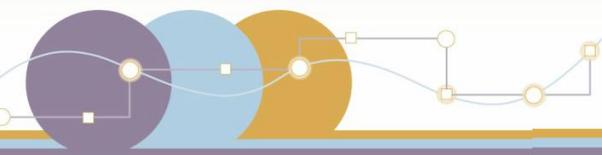
Types of Performance Measures

- Outcome measure: impact of actions and activities on actual system conditions/performance
 - Percent of pavement in good condition
- Output measures: amount of activity accomplished
 - Number of lane miles resurfaced in a 5-year period
- Most agencies need and use both output and outcome measures
- Focus of performance management is on outcomes



SEMCOG: Incorporating Measures into the Planning Process

Program Area	Performance Measure
Pavement Preservation	Percent of pavement in good or fair condition
Highway Capacity	Hours of delay per 1,000 vehicle miles
Bridge Preservation	Percent of bridges in good or fair condition
Safety	Fatalities per 100 million vehicle miles
Transit	Extent of transit network
Nonmotorized	Population % within ½ mile of a facility



Performance Targets

- States must coordinate, to the maximum extent practical with relevant MPOs in selecting a target to ensure for consistency
- MPOs must coordinate, to the maximum extent practical, with the relevant State/s in selecting a target to ensure consistency
- Coordination required with public transportation providers, to the maximum extent practical.
- States and MPOs must integrate other performance plans into the planning process



Minnesota DOT Target Example



Green: At or above target



Yellow: Moderately below target



Red: Seriously below target



MnDOT Primarily Responsible

Target

Measure	Score	Result	Target	Trend	Analysis
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traveler safety

Minnesota Traffic Fatalities: All state and local roads		368 in 2011	400 by 2010		<p>Final 2011 data indicate 368 fatalities—the lowest number of fatalities in a generation. Annual fatalities are down by 141 since 2007. Comparison—3rd lowest state in 2010, with fatality rate 35% below U.S. average.</p>
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infrastructure preservation

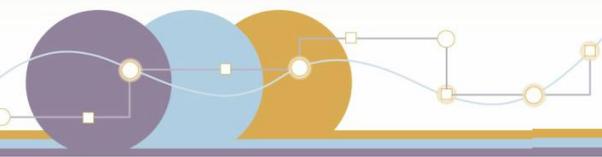
Bridge Condition: % Good and Satisfactory, State principal arterials		85.4% 2011	84%		<p>In 2011 bridges on principal state roads in Good or Satisfactory condition fell to 85.4%, which is still meeting target. The percent rated Poor increased slightly to 3.3%, but is projected to improve and be close to the 2% target in 2015. Comparison—Minnesota has the 4th lowest percentage of bridges rated structurally deficient or functionally obsolete—less than half the national average—according to 2011 rankings by Better Roads magazine.</p>
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Bridge Condition: % Poor, State principal arterials		3.3% 2011	2%		
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Pavement: Ride Quality Poor, All state highways, % of miles		6.6% 2011	5%-9% performance band		<p>State pavement condition declined in 2011 after improving slightly in 2010. Overall, 6.6 percent of state highway miles were in poor condition in 2011. Both principal arterial pavement measures fell short of their targets.</p>
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Pavement: Ride Quality Poor, State principal arterials, % of miles		4.8% 2011	2%		<p>MnDOT's Better Roads program will slow the deterioration of pavements by improving nearly 700 miles of poor roads. Additionally, increased pavement investment in response to the new federal transportation bill is predicted to result in 8.6 percent poor in 2016. This falls within the 5-9 percent range for poor pavement that represents an acceptable risk. MnDOT is committed to keeping poor pavements within this acceptable range, though this will take significant investment in the years to come. Another pavement quality measure, appearing in the Minnesota Dashboard, is discussed in the Pavement section.</p>
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Pavement: Ride Quality Good: State principal arterials, % of miles		67.3% 2011	70%		
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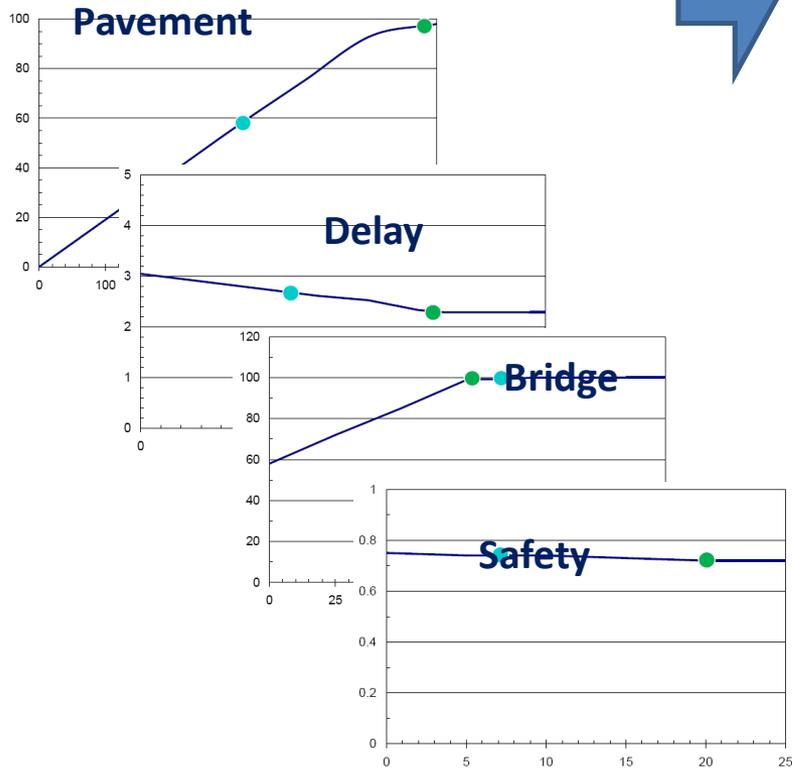


Resource Allocation

- Resources include investments in infrastructure, staffing decisions, and policy/strategy decisions
- Performance-based investment decision making requires an understanding of ...
 - The strategies that are likely to improve performance
 - The impacts of these strategies on expected performance
 - Data and tools to be able to measure or estimate these impacts

Example - SEMCOG

1 Examine the relationship between program-level investment and performance

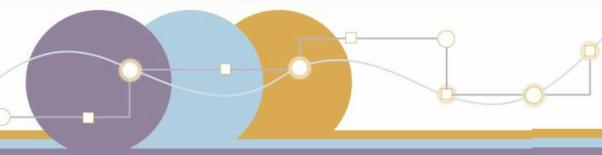


2 Examine scenarios that vary funding by program area; adopt a preferred scenario

- Preservation focused
- Transit focused
- Public preference driven

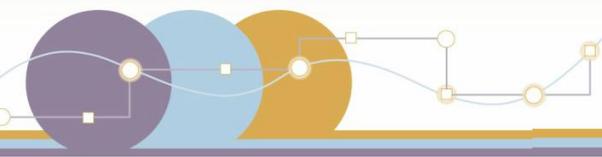
3 Track performance over time; track investments against the adopted scenario

Project Type	Planned Funding	Actual Funding
Bridge	5%	5.2%
Nonmotorized	1%	1.1%
Pavement	24%	14.5%
Road Expansion	8%	3.5%
Safety	1%	0.6%
Transit Capital	8%	7.0%
Operating	53%	68.1%
Total	100.0%	100.0%



Performance Reporting

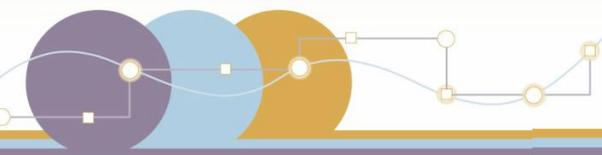
- **State Report on Performance Progress**
 - Required initially by October 1, 2016 and every 2 years thereafter
 - Report includes:
 - Condition and performance of NHS
 - Effectiveness of investment strategy for the NHS
 - Progress in achieving all State performance targets
 - Ways in which congestion bottlenecks in National Freight Plan are being addressed



Performance Reports

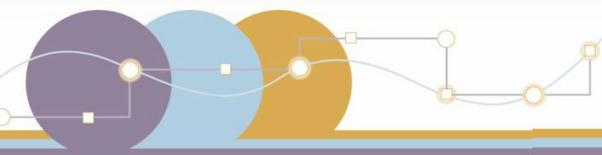
- Highway Safety Improvement Program Report
 - Reporting frequency and content to be established by USDOT

- CMAQ Performance Plan
 - Reporting required every 2 yrs
 - Report on progress towards the achievement of targets



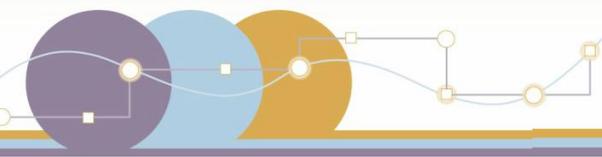
Performance Reporting

- Metropolitan System Performance Report
 - Required in transportation plan every 4 or 5 yrs
 - Report includes:
 - Evaluate condition and performance of transportation system
 - Progress achieved in meeting performance targets in comparison with the performance in previous reports
 - Evaluation of how preferred scenario has improved conditions and performance, where applicable
 - Evaluation of how local policies and investments have impacted costs necessary to achieve performance targets , where applicable



Getting Started with PBPP

- Build on what you have
- Develop a Regional or Statewide Vision of the topic not just jurisdiction by jurisdiction
- Involve partners when defining objectives & strategies
- Refine objectives over time
- Refine process or get more realistic over time



Thank you

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