TRANSPORTATION PLANNING INFORMATION EXCHANGE (TPIE)

Performance-Based Planning and Programming Implementation
January 25th, 2018
Webinar Agenda

• Introduction and Facilitator
  Brandon Buckner, FHWA Office of Planning

• FHWA and FTA Overview
  Spencer Stevens, FHWA Office of Planning
  Dwayne Weeks, FTA Office of Planning

• Implementation Highlights from State DOT, MPO, and Transit
  State DOT Perspective
    Karen Miller, Missouri Department of Transportation
  MPO Perspective
    Elisa Hoekwater, Macatawa (MI) Area Coordinating Council
  State DOT, MPO, and Transit Working Together
    Jeff Harris, Utah Department of Transportation
    Ted Knowlton, Wasatch Front Regional Council
    G.J. LaBonty, Utah Transit Authority

• Interactive Question and Answer Discussion (All)
  Brandon Buckner, FHWA Office of Planning
Learning Objectives

1. Understanding FHWA and FTA PBPP Requirements which includes:
   • Implementation Timelines
   • Federally Required Performance Measures
   • PBPP Requirements, Guidance and Resources

2. Hearing from State, MPO and Transit Operator Peers in regards to PBPP Implementation:
   • Statewide Coordination
   • Small MPO Implementation
   • State, MPO and Transit Operator Working Together
Transportation Performance Management (TPM) and Performance Based Planning and Programming (PBPP)

Spencer Stevens, Office of Planning

TPIE Webinar
January 25th, 2018
TPM Elements

1. National Goals
2. Measures
3. Targets
4. Plans
5. Reports
6. Accountability and Transparency
## Rulemakings

<table>
<thead>
<tr>
<th>TPM-Related Rules</th>
<th>Rule Effective Date</th>
<th>Regulatory Chapter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Safety Performance Measures (PM1)</td>
<td>April 14, 2016</td>
<td>23 CFR 490 (Subpart A &amp; B)</td>
</tr>
<tr>
<td>Highway Safety Improvement Program (HSIP)</td>
<td>April 14, 2016</td>
<td>23 CFR 924</td>
</tr>
<tr>
<td>Statewide and Non-Metropolitan Planning; Metropolitan Planning</td>
<td>June 27, 2016</td>
<td>23 CFR 450</td>
</tr>
<tr>
<td>Pavement and Bridge Condition Measures (PM2)</td>
<td>May 20, 2017</td>
<td>23 CFR 490 (Subpart A, C &amp; D)</td>
</tr>
<tr>
<td>PM 3: GHG Measure</td>
<td>September 28, 2017</td>
<td>23 CFR 490.507(b)</td>
</tr>
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* Except for portions of the rule related to the percent change in CO2 emissions from 2017 (GHG measure).
National Goal Areas

- Safety
- Infrastructure condition
- Congestion reduction
- System reliability
- Freight movement and economic vitality
- Environmental sustainability
- Reduced project delivery delays
23 CFR Part 490

- **18 Measures**
- Describes the applicability of the measures
- Tells what data needed to support measures
- Includes target due dates
  - **State DOTs:** 1 year from the effective date of the applicable final rule
  - **MPOs:** 180 days after the State DOT
- Describes performance period, reporting requirements and timeline
- Defines the significant progress determination process
23 CFR Part 490

- 18 FHWA Performance Measures
  - Safety (5 measures)
  - Pavement Condition (4 measures)
  - Bridge Condition (2 measures)
  - Systems Performance (3 measures)
  - Freight (1 measure)
  - CMAQ (3 measures)
§ 490.105 & 490.107 Timeline for Performance Periods and State DOT Biennial Reporting

1st Performance Period for Emissions Reduction Measure

1st Performance Period for All Other Measures

Baseline Performance Period Report (due Oct 1, 2018)

Mid Performance Period Progress Report (due Oct 1, 2020)

2nd Performance Period for Emissions Reduction Measure

2nd Performance Period for All Other Measures

Full Performance Period Progress Report (due Oct 1, 2022)

Baseline Performance Period Report (due Oct 1, 2022)

Mid Performance Period Progress Report (due Oct 1, 2024)

Full Performance Period Progress Report (due Oct 1, 2026)
What Does This Mean For You?
TPM Roles and Responsibilities

- **USDOT**
  - Performance Measure Rules include:
    - Establish measures; identify data sources; define metrics
    - Report to Congress
    - Stewardship and oversight

- **States and MPOs**
  - Establish targets
  - Support national goals in the planning process and consider measures and targets in long range plans and programs
  - Report progress to USDOT (States)
FHWA Roles

- FHWA is committed to State and MPO success!
  - Headquarters provides guidance and develops policies and tools
  - Divisions are responsible for program delivery
  - The Resource Center provides technical assistance and training
State DOT and MPO Roles

- Identify available and needed data
- Coordinate with other agencies
- Establish coordinated targets
- Collect and submit required data
- Report progress
# Implementation Timeline

<table>
<thead>
<tr>
<th>Final Rule</th>
<th>Effective Date</th>
<th>States Set Targets By</th>
<th>MPOs Set Targets By</th>
<th>LRSTP, MTP, STIP and TIP Inclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Safety Performance Measures (PM1)</td>
<td>April 14, 2016</td>
<td>Aug. 31, 2017</td>
<td>Up to 180 days after the State sets targets, but not later than Feb. 27, 2018</td>
<td>Updates or amendments on or after May 27, 2018</td>
</tr>
<tr>
<td>Pavement/Bridge Performance Measures (PM2)</td>
<td>May 20, 2017</td>
<td>May 20, 2018</td>
<td>No later than 180 days after the State(s) sets targets</td>
<td>Updates or amendments on or after May 20, 2019</td>
</tr>
<tr>
<td>System Performance Measures (PM3)</td>
<td>May 20, 2017</td>
<td>May 20, 2018</td>
<td>No later than 180 days after the State(s) sets targets</td>
<td>Updates or amendments on or after May 20, 2019</td>
</tr>
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# PBPP and TPM: Bringing It All Together

<table>
<thead>
<tr>
<th>PBPP Framework</th>
<th>PBPP Element</th>
<th>TPM Framework</th>
<th>TPM Elements</th>
</tr>
</thead>
</table>
| **Strategic Direction**  
(Where do we want to go?) | Goals and Objectives  
Performance Measures | National Goals  
Measures | Goals and Objectives  
Performance Measures |
| **Performance Based-**  
Planning (Analysis)  
(How are we going to get there?) | Identify Targets and Trends  
Identify Strategies  
Develop Strategy/Investment Priorities  
Results in long-range plans | Targets Plans | Targets: Technical Approach and Business Process  
Strategy Identification  
Investment Prioritization |
| **Performance Based-**  
Programming  
(What will it take?) | Investment Plan  
Resource Allocation  
Program of Projects | Plans | Programming Within Program Areas  
Programming Across Program Areas |
| **Implementation and**  
Evaluation  
(How did we do?) | Reporting  
Monitoring  
Evaluation | Reports  
Accountability  
Transparency | Monitoring & Adjustment  
(System, Program, Project)  
Reporting & Communication  
(Internal & External) |
| **Cross-Cutting Elements**  
(Apply to Entire Framework) | Public Involvement  
Data Management  
Data Analysis | | Organizational Culture  
External Collaboration & Coordination  
Data Management  
Data Usability & Analysis |
PBPP: Target-Setting Coordination

States and MPOs shall coordinate when setting targets to ensure consistency to the maximum extent practicable
PBPP: Target-Setting Coordination

MPO Target Setting

- An MPO may establish its own quantifiable performance targets or
- An MPO may adopt a State’s performance targets and support the State’s efforts at achieving those targets

Either way, the MPO is establishing targets
PBPP: Planning Agreements

MPO(s), State DOTs, and Public Transit Agencies shall establish written provisions for cooperatively developing and sharing information related to:

- Transportation performance data
- Selection of performance targets
- Reporting of performance targets
- Reporting on progress toward target achievement
- Data collection for the NHS asset management plan
PBPP: Integration of Other PB Plans

The goals, objectives, performance measures, and targets from other performance based plans and programs shall be integrated into the transportation planning process

• Examples:
  – Highway and transit asset management plans
  – Strategic Highway Safety Plan
  – Freight plans
  – Congestion management process (CMP) and plan
PBPP: MTP and LRSTP

The MTP and LRSTP shall include:

- Performance measures and targets
- A description of progress made toward target achievement since the plan’s last update
PBPP: STIP and TIP

- The TIP shall be designed to promote achievement of the performance targets in the plan.
- The STIP and TIP shall, to the maximum extent practicable, describe how the investments in the STIP and the TIP make progress toward achievement of the targets in the plan.
PBPP: Guidance

- LRSTP/MTP guidance
  - Measures and targets
  - Progress on target achievement
- STIP/TIP guidance
  - Description of how the STIP/TIP helps achieve targets in the LRSTP/MTP
PBPP/TPM Resources

• Planning Capacity Building Website: http://www.planning.dot.gov
• TPM Website:  http://www.fhwa.dot.gov/tpm/
• Asset Management Website: http://www.fhwa.dot.gov/asset/
• FHWA MAP-21 Website:  http://www.fhwa.dot.gov/map21
PBPP/TPM Resources

• **Currently Available**
  – NHI-138007: Performance-based Planning and Programming
  – NHI-151053: Transportation Planning Process
  – NHI-138004: TPM Overview for the MAP-21 and FAST Acts
  – NHI-138011: The Role of Data in TPM
  – NHI-138006: TPM for Safety
  – NHI-138012: Steps to Effective Target Setting for TPM

• **In Development**
  – NHI-136106 and 136106B: TPM – Transportation Asset Management and Asset Management Plans (being revised)
  – NHI 136002: Financial Planning for Transportation Asset Management
  – NHI-138005: TPM Overview (web-based)
  – NHI-138008: TPM for Bridges
  – NHI-138009: TPM for Pavement
  – NHI-138010: TPM for Congestion (Including Freight)
TPM Resources

- Safety Performance Measures: Met or Made Significant Progress Determination Fact Sheet: https://safety.fhwa.dot.gov/hsip/spm/pm_progress_fs.cfm
- Operations Performance Management: https://ops.fhwa.dot.gov/perf_measurement/
Contacts

For questions or more information, please contact:

Office of Planning:

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Spencer Stevens, Spencer.Stevens@dot.gov, 202-366-0149
Corbin Davis, Corbin.Davis@dot.gov, 202-366-6072
Performance-Based Planning Webinar

Dwayne Weeks, Director, Office of Planning
MAP-21 Performance Management Framework

To increase accountability and transparency

- Seven national goals
- Performance measures
- Performance targets
- Performance plans
- PBPP
Key Features of the TAM rule

• TAM Final Rule provides a foundation for addressing SGR backlog
  – Simple, Scalable, Structured, and Standard
• Focuses on measuring and monitoring performance and condition
• Minimizes burden on smaller transit providers
What is Transit Asset Management?

- A business model that uses the condition of assets to guide the prioritization of funding at transit systems to keep our transit networks in a State of Good Repair (SGR).

Consequences of not being in a SGR include:

- Safety risks
- Decreased system reliability
- Higher maintenance costs
- Lower system performance
TAM Purpose

• Monitor and manage public transportation capital assets to:
  – Enhance safety,
  – Reduce maintenance costs,
  – increase reliability, and
  – Improve performance

• Goal is to reach and maintain a state of good repair (SGR)
Two types of Deliverables

Process
1. Compliant TAM Plan
   – Group
   – Individual Tier I
   – Individual Tier II
2. Recordkeeping & Coordination with Planning
3. Certification

Reports
1. Data Report
   – Performance Targets
   – Performance Status
2. Narrative report
TAM Plan Elements

1. Inventory of Capital Assets
2. Condition Assessment
3. Decision Support Tools
4. Investment Prioritization
5. TAM and SGR Policy
6. Implementation Strategy
7. List of Key Annual Activities
8. Identification of Resources
9. Evaluation Plan

* FTA estimates that fewer than 20% of transit providers will do a Tier I Plan.
State Role in Group TAM plan

- Sponsor and coordinate TAM plan
- Ensure participants have understanding of data needs & schedule
  - Inventory of assets
  - Condition assessments
- Provide opportunity for input on project prioritization
- Provide opportunity for review and comment on the plan
Agency Role in Group TAM plan

- Designate an Accountable Executive
- Ensure state DOT’s have a complete inventory of your assets
- Confirm the condition of your vehicle and equipment assets
- Establish the condition of your facilities
- Provide input on project prioritization
- Provide review and comment on the plan
## TAM Deliverables Timeline

<table>
<thead>
<tr>
<th>If your fiscal year ends:</th>
<th>June 30</th>
<th>Sept 30</th>
<th>Dec 31</th>
</tr>
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<tbody>
<tr>
<td>Share initial targets with planning partners</td>
<td></td>
<td>July 2017</td>
<td></td>
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<tr>
<td>Report FY17 Asset Inventory Module (AIM) data to NTD</td>
<td>Oct 2017</td>
<td>Jan 2018</td>
<td>Apr 2018</td>
</tr>
<tr>
<td>Submit targets for FY18 to NTD (optional)</td>
<td>Oct 2017</td>
<td>Jan 2018</td>
<td>Apr 2018</td>
</tr>
<tr>
<td>Complete compliant TAM Plan (1st required)</td>
<td></td>
<td></td>
<td>Oct 2018</td>
</tr>
<tr>
<td>Share TAM Plan with planning partners</td>
<td></td>
<td></td>
<td>Oct 2018</td>
</tr>
<tr>
<td>Report FY18 AIM data to NTD (1st required)</td>
<td>Oct 2018</td>
<td>Jan 2019</td>
<td>Apr 2019</td>
</tr>
<tr>
<td>Submit targets for FY19 to NTD (1st required)</td>
<td>Oct 2018</td>
<td>Jan 2019</td>
<td>Apr 2019</td>
</tr>
<tr>
<td>Report FY19 AIM data to NTD</td>
<td>Oct 2019</td>
<td>Jan 2020</td>
<td>Apr 2020</td>
</tr>
<tr>
<td>Submit targets for FY20 to NTD</td>
<td>Oct 2019</td>
<td>Jan 2020</td>
<td>Apr 2020</td>
</tr>
<tr>
<td>Submit narrative report to NTD (1st required)</td>
<td>Oct 2019</td>
<td>Jan 2020</td>
<td>Apr 2020</td>
</tr>
<tr>
<td>Report FY20 AIM data to NTD</td>
<td>Oct 2020</td>
<td>Jan 2021</td>
<td>Apr 2021</td>
</tr>
<tr>
<td>Submit targets for FY21 to NTD</td>
<td>Oct 2020</td>
<td>Jan 2021</td>
<td>Apr 2021</td>
</tr>
<tr>
<td>Submit narrative report to NTD</td>
<td>Oct 2020</td>
<td>Jan 2021</td>
<td>Apr 2021</td>
</tr>
<tr>
<td>Complete Updated TAM Plan</td>
<td></td>
<td>Oct 2022</td>
<td></td>
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<tr>
<td>Share TAM Plan with planning partners</td>
<td></td>
<td>Oct 2022</td>
<td></td>
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</table>
Recordkeeping Requirements

• Maintain records supporting TAM Plan
• Share with State and metropolitan planning organization (MPO) planning agencies
  – TAM Plan
  – Performance targets
  – Investment strategies
  – Annual condition assessments
When does the State DOT include the Performance Targets and Plans in its STIP and Long Range State Plan?

- STIPs adopted or amended after October 1, 2018 must reflect a performance-based planning process.
- Long Range State Plans adopted or amended after October 1, 2018 must reflect a performance-based planning process.
What are the Roles and Responsibilities for Metropolitan Planning Organizations?

• In coordination with the transit providers (and State DOT, where it is the transit provider) set performance targets for the metropolitan planning area
• Prioritize investments based on performance targets
• Update TIP and MTP to reflect a performance-based planning process.
When are MPOs required to establish Performance Targets?

180 days after the transit agency sets its targets (*initially*)

*If* the transit agency provided its SGR targets by the Jan 1, 2017 timeframe – *that date was June 30, 2017*
When are MPOs required to reflect PBPP plans and targets into the TIP and MTP?

- **Adopted prior to May 27, 2018**
  - Traditional Approach

- **Amended or developed after Oct. 1, 2018**
  - Performance-based approach

*You are not required to amend your TIP or MTP at this time; plans adopted after October 2018 must reflect performance targets.*
How do you clarify this with your MPO, State DOT, and Transit Agency?

- Update Metropolitan Planning Agreements
- Maintain a 3C Process
- Use technical committee to facilitate communication
- Program elements of PBPP into your UPWP
Overview of Resources

  - Frequently Asked Questions
  - Fact Sheet
  - Timeframes – Roles and Responsibilities
- [https://www.transit.dot.gov/TAM](https://www.transit.dot.gov/TAM)
  - Guidance on TAM Plans
  - TAM Plan Template for Tier II Providers
TAM Technical Assistance

- Frequently Asked Questions
- TAM Maturity Self-Assessment Tool
- Compliance Checklists
- A TAM Plan Template
- Webinar Recordings & Presentations
- Regional Points of Contacts
- Group Plan Workbook
- Info on Three Training Courses
- Peer library

www.transit.dot.gov/TAM
Poll Questions