



# MAP-21

## Moving Ahead for Progress in the 21st Century

MAP-21, the Moving Ahead for Progress in the 21st Century Act (P.L. 112-141), was signed into law by President Obama on July 6, 2012. Funding surface transportation programs at over \$105 billion for fiscal years (FY) 2013 and 2014, MAP-21 is the first long-term highway authorization enacted since 2005.

MAP-21 is a milestone for the U.S. economy and the Nation's surface transportation program. By transforming the policy and programmatic framework for investments to guide the system's growth and development, MAP-21 creates a streamlined and performance-based surface transportation program and builds on many of the highway, transit, bike, and pedestrian programs and policies established in 1991.

## Performance Management Overview

# Performance Elements

- National Goals
- Performance Measures
- Performance Targets
- Performance Plans
- Target Achievement
- Special Performance Rules
- Performance Reporting



# National Goals

Focus the Federal-aid program on the following national goals:

- 1) *SAFETY*
- 2) *INFRASTRUCTURE CONDITION*
- 3) *CONGESTION REDUCTION*
- 4) *SYSTEM RELIABILITY*
- 5) *FREIGHT MOVEMENT AND ECONOMIC VITALITY*
- 6) *ENVIRONMENTAL SUSTAINABILITY*
- 7) *REDUCED PROJECT DELIVERY DELAYS*



# Considering National Goals

- National Highway Performance Program
  - 23USC119(e)(2) – Performance Driven Plan
- Metropolitan Transportation Planning
  - 23USC134(h)(2) – Performance Based Approach
  - 49USC5303(h)(2) – Performance Based Approach
- Statewide Transportation Planning
  - 23USC135(d)(2) – Performance Based Approach
  - 49 USC5304 (d)(2) - Performance Based Approach



# Performance Measures

- Not later than 18 months after date of enactment USDOT, in consultation with State DOTs, MPOs, and other stakeholders will promulgate a rulemaking that establishes measures.
- Provide not less than 90 days to comment on regulation.
- Take into consideration any comments.
- Limit performance measures to those described under 23USC150(c).



# Performance Measures

- For purposes of carrying out National Highway Performance Program USDOT will establish:
  - Measures for States to use to assess:
    - Condition of Pavements
      - Interstate System
      - National Highway System (excluding the Interstate)
    - Condition of Bridges
      - National Highway System
    - Performance of:
      - Interstate System
      - National Highway System (excluding the Interstate)



# Performance Measures

- For the purpose of carrying out the Highway Safety Improvement Program USDOT shall establish measures for States to use to assess:
  - Serious injuries per vehicle mile travelled
  - Fatalities per vehicle mile travelled
  - Number of serious injuries
  - Number of fatalities
- Measures used to assess safety on all public roads



# Performance Measures

- For the purpose of carrying out the Congestion Mitigation and Air Quality Improvement Program USDOT shall establish measures for States to use to assess:
  - Traffic congestion
  - On-road mobile source emissions
- USDOT will establish measures for States to use to assess freight movement on the Interstate system.





# Measure Consistency

- Data elements necessary to collect and maintain standardized data
- May be incorporated into requirements of each measure, as needed

# NHTSA SAFETY PERFORMANCE MEASURES

## CORE OUTCOMES

- **Motor Vehicle-Related Traffic Fatalities**
  - ✓ Annual Total
  - ✓ Annual VMT-based Rate
  - ✓ Annual Totals by Contributing Factors
  - ✓ Annual Totals by Person Category
- **Motor Vehicle-Related Serious Injuries**
  - ✓ Annual Total

## BEHAVIORS & ACTIVITIES

- **Observed Seat Belt Use**
  - ✓ Drivers and Front Seat Outboard Passengers
- **Traffic Law Enforcement**
  - ✓ Impaired Driving Arrests
  - ✓ Seat Belt Citations
  - ✓ Speeding Citations

# Performance Measures for State Highway Safety Plans (HSPs)

- For the first HSP submitted under Section 31102 of the Motor Vehicle and Highway Safety Improvement Act of 2012, the performance measures required by the Secretary shall be limited to those developed by NHTSA and the Governors Highway Safety Association (GHSA).
- For subsequent HSPs, the Secretary shall coordinate with GHSA in making revisions to the set of required performance measures.



# Transit Performance Measures

- DOT will establish state of good repair (SGR) standards for measuring the condition of capital assets of recipients including:
  - Equipment
  - Rolling stock
  - Infrastructure
  - Facilities
- DOT required to establish measures based on SGR standards within 1 year by rulemaking process.



# Stakeholder Input

- National online dialogue to discuss options for measures and data elements. Dialogue open from September 13<sup>th</sup> through September 23<sup>rd</sup>.
- USDOT will consider input provided by stakeholders in the development of the proposed rule for performance measures.



**SHARE.  
DISCUSS.  
VOTE.**

## National Online Dialogue on MAP-21 Transportation Performance Measures

The cornerstone of the Moving Ahead for Progress in the 21st Century Act (MAP-21) is its focus on developing a performance and outcome-based federal transportation program. The purpose of this **National Online Dialogue (NOD) on Transportation Performance Measures** (September 12, 2012 to September 21, 2012) is to provide the United States Department of Transportation's partners and stakeholders the opportunity to discuss and provide suggestions on the establishment of performance measures and standards (standards include items such as metrics, data collection, data sources, etc.) for States to use to assess:

- conditions of the Nation's roads and bridges, minimum levels for the condition of pavement on the Interstate System, and performance of the Nation's highway system;
- progress towards achieving a significant reduction in traffic fatalities and serious injuries on all public roads;
- progress towards achieving traffic congestion reductions and emission reductions;
- national freight movement;
- needs to prioritize investments in the Nation's public transit systems; and
- transit safety.

For additional information on performance provisions in MAP-21, visit [\(insert link\)](#). You can download the informational NOD flyer [here](#) ([link to more detailed flyer or promotional webpage](#)).

**PLEASE REGISTER TO GIVE US AN IDEA, COMMENT ON ANOTHER IDEA OR VOTE ON AN IDEA** by clicking on the register link at the top right of the page or scrolling down to click on the submit a new idea button.


You can also chose to login using your Facebook, Gmail, Yahoo, Twitter, LinkedIn, or AOL account by selecting the log-in link at the top right of the page.

Once you have registered and logged in:

- Please review the Campaign Areas to the left or browse the ideas below.
- Pick the Campaign Area or idea of your choice and click on it. Then select the "Submit New Idea" Button to share an idea.
- Comment or vote on someone else's idea.
- Encourage other transportation professionals to join the dialogue and share experiences

Need assistance? For questions or problems joining this dialogue contact [Michael.Nesbitt@dot.gov](mailto:Michael.Nesbitt@dot.gov)

Submit New Idea



How can we ensure that measures are based on consistent, accurate, and timely data?



# 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





# Performance Targets

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- 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.
- States and MPOs must integrate other performance plans into the performance-based process



# Performance Plans

- Metropolitan Transportation Plan – 4 yr update
- Statewide Transportation Plan
- Metropolitan and Statewide Transportation Improvement Programs must include, to the maximum extent practical:
  - a discussion of the anticipated effect of the improvement program toward achieving the performance targets established in the transportation plan,
  - links investment priorities to performance targets



# Performance Plans

- Asset Management Plan
  - National Highway Performance Program
  - Developed using process approved by USDOT
  - Recertified every 4 years
- Strategic Highway Safety Plan
  - Highway Safety Improvement Program
  - Updated using process approved by USDOT
  - USDOT to establish update frequency
- CMAQ Performance Plan
  - Congestion Mitigation and Air Quality Improvement
  - Updated every 2 yrs
- State Freight Plan



# Highway Asset Management Plan

- Risk-based asset management plan
- States encouraged to include all infrastructure assets within the right-of-way
- Plan Contents
  - pavement and bridge inventory and conditions on the NHS,
  - objectives and measures,
  - performance gap identification,
  - lifecycle cost and risk management analysis,
  - a financial plan, and
  - investment strategies



# Highway Asset Management Plan

- USDOT, in consultation with State DOTs, will establish the process to develop the plan through a rulemaking no later than 18 months after 10/1/2012
- States must have a plan developed consistent with the process by the 2<sup>nd</sup> fiscal year, otherwise federal share for NHPP will be reduced to 65%
- Process certification
  - USDOT 90 days review period to determine certification
  - States have 90 days to cure deficiencies if not certified
  - Recertification required every 4 yrs



# Management Systems

- USDOT will establish minimum standards for States to use in developing and operating:
  - Bridge management systems
  - Pavement management systems
- Minimum standards established through a rulemaking
  - Minimum 90 day comment period
  - USDOT will promulgate a rulemaking not later than 18 months after date of enactment

# Transit National Public Transportation Safety Plan

- Safety performance criteria for all modes of public transportation;
  - the definition of the term ‘state of good repair’ established under section 5326(b);
  - minimum safety performance standards for public transportation vehicles used in revenue operations that—
    - do not apply to rolling stock otherwise regulated by the Secretary or any other Federal agency; and
    - to the extent practicable, take into consideration—
  - relevant recommendations of the National Transportation Safety Board; and
- Recommendations of, and best practices standards developed by, the public transportation industry; and
- A public transportation safety certification training program, as described in subsection (c).



# Transit Performance Plans

- Transit Asset Management Plan
  - Transit asset management plan required for recipients and sub-recipients of Federal financial assistance
  - Content and update frequency to be established by DOT
- Public Transportation Agency Safety Plan
  - Comprehensive agency safety plan required to be established by each designated recipient of Federal transit funds or States
  - Plan required within 1 year after effective date of a final rule issued by DOT to carry out the Public Transportation Safety Program



# Annual Highway Safety Plans

- **Performance Measures**, including:
  - ✓ Documentation of current safety levels for each measure
  - ✓ Performance targets for each measure
  - ✓ Justification for each target
- **A Strategy for programming funds** to meet the targets
- **Data and analysis** supporting proposed countermeasures
- **Description of Funds** the State plans to use to carry out the strategy
- **Report on State's success** in meeting the goals and targets of the previous HSP
- **An Application** for any additional grants available to the State under this chapter (Sec. 405)
- **Plans** are due July 1 beginning July 2013



# Target Achievement

- National Highway Performance Program
  - *“A State that does not achieve or make significant progress toward achieving the targets... for 2 consecutive reports”*
  - Document in 23USC150(e) report actions the State will take to improve their ability to achieve the target
- Highway Safety Improvement Program
  - *“State has not met or made significant progress toward meeting the performance targets... the date that is 2 years after the date of the establishment of the performance targets”*
  - State must set aside formula limitation equal to the amount of HSIP funding obligated in the prior year to safety projects only and submit annually to the DOT a plan to achieve the targets



What challenges do you envision in setting targets?



# Target Achievement

- MPO certification
  - Applies to MPOs serving a transportation management area with a population over 200,000
  - USDOT certify that planning process complies with the requirements
  - Failure to certify – USDOT may withhold up to 20% of funds attributable to the metropolitan planning area
  - Recertification required at least every 4 yrs



# Performance Evaluation

- USDOT will establish criteria to evaluate the effectiveness of the performance-based planning process of States
  - Progress towards the achievement of targets
  - Appropriateness of performance targets
  - Cost-effectiveness and efficiency of transportation investments
  - Extent to which process relies on public input
  - Ability of the public to access information to assess the performance of the State



# Special Performance Rules

- National Highway Performance Program
  - Interstate Pavement Condition
    - Minimum condition level established by USDOT through rulemaking
    - Condition falls below threshold set by USDOT for 2 consecutive reports then:
      - NHPP funding set aside to address Interstate pavement conditions
      - STP funds transferred to NHPP to address Interstate pavement conditions
  - This obligation requirement stays in effect until the minimum thresholds can be met (checked annually)



# Special Performance Rules

- National Highway Performance Program
  - National Highway System Bridge Condition
    - Greater than 10% of total deck area of bridges on the NHS are located on bridges classified as structurally deficient for 3 consecutive years then:
      - NHPP funding set aside to address bridge conditions on the NHS
  - This obligation requirement remains in place until minimum condition requirement is met (checked annually)



# Special Performance Rules

- Highway Safety Improvement Program
  - High Risk Rural Road Safety
    - Fatality rate on rural roads increases over most recent 2 year period then:
      - HSIP set aside required to address high risk rural roads
  - Older Drivers
    - Traffic fatalities and serious injuries per capita for drivers and pedestrians over the age of 65 increases during the most recent 2 year period then:
      - Document in SHSP strategies to address increases in these rates





# 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
- Statewide Transportation Plan
  - No required frequency
  - Optional report on system performance



# Transit Performance Reporting

- 49 USC 5326(c)(3) – requires each designated recipient of Federal transit financial assistance to submit to FTA an annual report that describes—
- The progress of the recipient during the fiscal year to which the report relates toward meeting the performance targets established under paragraph (2) for that fiscal year; and
- The performance targets established by the recipient for the subsequent fiscal year.



# USDOT Performance Reporting

- Reports on Performance -based Planning Process
  - Submit to Congress within 5 yrs reports on effectiveness of the Metropolitan and Statewide performance based planning processes.
  - Report evaluating:
    - Overall effectiveness of performance-based planning as a tool to guide transportation investments
    - Effectiveness of the performance-based planning process in each MPO and State



# USDOT Performance Reporting

- National Freight Strategic Plan
- Freight Conditions and Performance Report
- Projects of National and Regional Significance
- Infrastructure Investment Needs Report
- Condition and Performance Report



What kind of performance reports would be effective at the national, regional, and corridor level?



# Next Steps

- Stakeholder Engagement and Communication
  - Fact Sheets and Q&A
  - Webinars/Listening Sessions
  - MAP21 Website feedback
- Websites: <http://www.dot.gov/map21/>
- Key Contacts
  - FHWA
    - Measures – Francine Shaw Whitson – [fswhitson@dot.gov](mailto:fswhitson@dot.gov)
    - Reporting – Connie Yew – [connie.yew@dot.gov](mailto:connie.yew@dot.gov)
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