

Implementation and Integration of Plans and Requirements under MAP-21 and FAST Act

*Findings from ADA10/AASHTO/FHWA Peer Exchange
August 1, 2017
Cincinnati, Ohio*



Challenges

- Expanded number of performance-based planning requirements for State and regional transportation agencies
- Plans must continue to reflect the values and priorities of each agency and the citizens and stakeholders of each state
- **How to best integrate all of these different plans while maintaining a consistent and coherent message?**

Workshop Agenda

- **Topic 1: Integrating FAST Act and MAP-21 Plans**
 - Scott Phinney, Ohio DOT presentation
 - Breakout group discussion
- **Topic 2: PBPP Process Development Challenges and Strategies**
 - Harlan Miller, FHWA, National perspective
 - Marc Williams, Texas DOT presentation
 - Full group discussions
- **Topic 3: Communication Challenges and Strategies**
 - Sondra Rosenberg, Nevada DOT presentation
 - Breakout group discussions

Topic 1:

Integrating FAST Act and MAP-21 Plans



Survey Results

Is your State or region linking its Asset Management Plan, Freight Investment Plan, Strategic Highway Safety Plan, and the Congestion Management Process to your Long Range Transportation Plan (LRTP)?

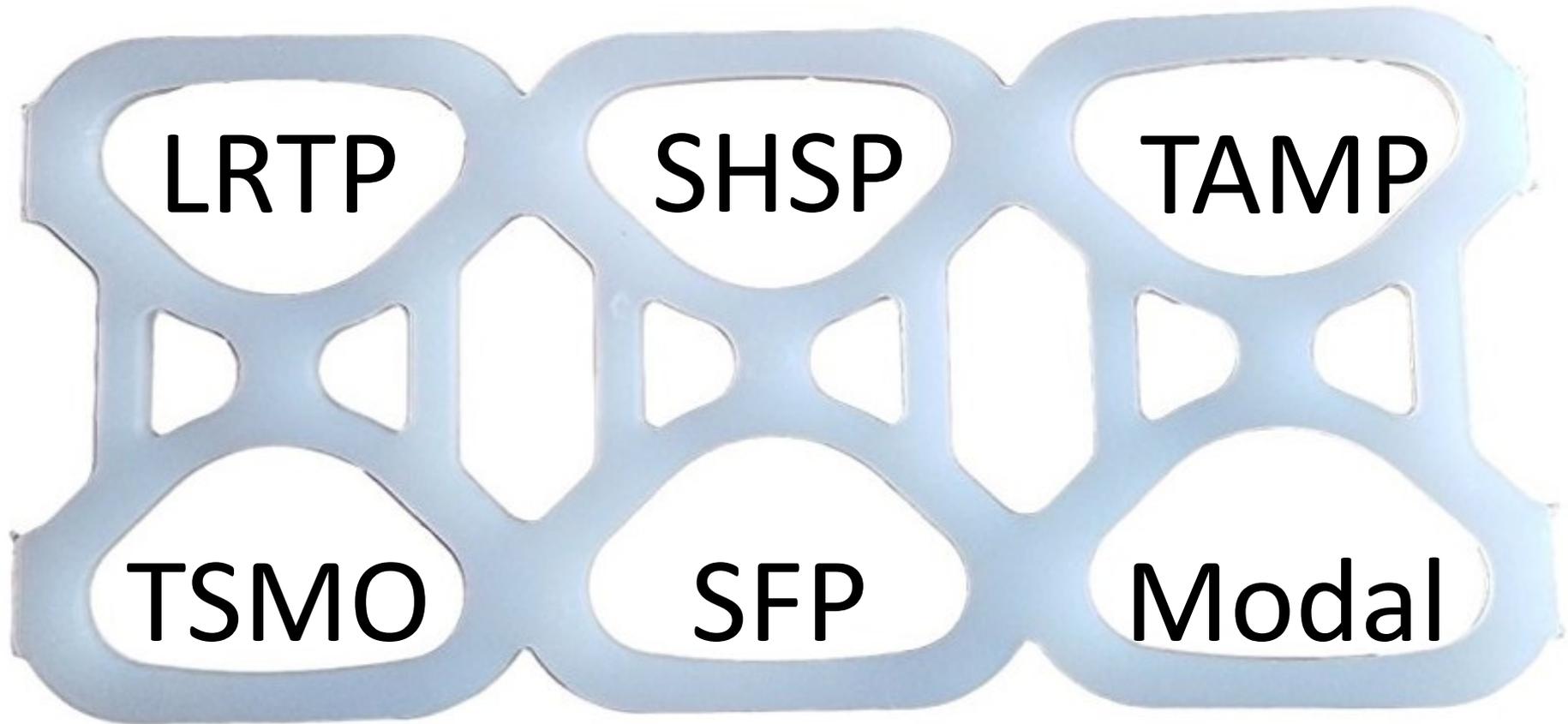
- Including individual plans as appendices or by reference in the LRTP
- Partial integration
- Top-down integration

Topic 1: Practitioner Presentation: Ohio DOT: How to Put It All Together

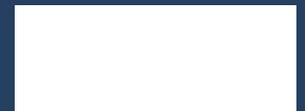
Scott Phinney, P.E.
Scott.Phinney@dot.ohio.gov



Ohio is lacking the plastic thing that holds it all together



Source: Scott Phinney, Ohio DOT



Summary

- State DOTs are required to produce several different types of plans.
- Each plan has its own goals, objectives, action items/recommendations, and performance measures.
- What coordinates these plans so that a DOT is not going in divergent directions with each plan?
- How can action items/recommendations be coordinated to optimize resources?

Topic 1: Breakout Groups



Questions Discussed

- What are the benefits of integrating these plans?
- What are the risks of not integrating?
- What are the main challenges?
- What are strategies for addressing those challenges?

Benefits and Risks

- **Benefits of Integrating Plans**
 - Compliance with federal requirements
 - Improved organizational efficiency
 - Better decision making and funding allocation
 - Improved interagency collaboration
- **Risks of Not Integrating Plans**
 - Loss of credibility
 - Inefficient use of resources
 - Inconsistent goals and working at cross-purposes
 - Weakened communications that lack a cohesive message or objective(s)

Key Challenges and Strategies

Challenges	Strategies
Timing and pace of change	Adapt incrementally. Identify improvements for the next cycle.
Decentralized decision making	Share benefits of shifting from project-based to performance-based decisions.
Leadership priorities, politics, and administrative change	Develop business case to use in getting executive's support.
Managing volume of plans and measures	Develop overall strategic plan/vision to direct all plans.
Making efforts effective and meaningful	Tie funding decisions to performance outcomes.
Data analysis and management	Create common, shared data portals.

Topic 2: PBPP Process Development

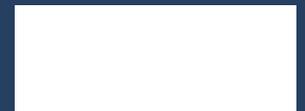
FHWA Perspective

Harlan Miller, FHWA Office of Planning
Harlan.Miller@dot.gov



Implementation Timeline

Final Rule	Effective Date	States Set Targets By	MPOs Set Targets By	LRSTP, MTP, STIP and TIP Inclusion
Safety Performance Measures (PM1)	April 14, 2016	Aug. 31, 2017	Up to 180 days after the State sets targets, but not later than Feb. 27, 2018	Updates or amendments on or after May 27, 2018
Pavement/ Bridge Performance Measures (PM2)	May 20, 2017	May 20, 2018	No later than 180 days after the State(s) sets targets	Updates or amendments on or after May 20, 2019
System Performance Measures (PM3)	May 20, 2017	May 20, 2018	No later than 180 days after the State(s) sets targets	Updates or amendments on or after May 20, 2019



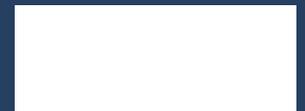
Target-Setting Coordination and Planning Agreements

States and MPOs shall coordinate when setting targets to ensure consistency to the maximum extent practicable:

- 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.

MPO(s), State DOTs, and Public Transit Agencies shall establish written agreements for a metropolitan area describing roles and responsibilities for PBPP including:

- Coordination on target setting
- Data collection and analysis
- Reporting on progress toward target achievement



Takeaways from Discussion of Coordination

- Many MPOs are taking a wait-and-see approach regarding State targets; big MPOs are more willing to go it alone.
- Coordinating timing of target-setting with MPOs can be challenging.
- Nevada's MPOs catalogued and shared measures to establish a consistent baseline across agencies and plans.
- Utah DOT/MPOs have set goals and measures together for a few cycles and even coordinate financial planning.
- New York and other DOTs have working groups with their MPOs to coordinate, building off of (and strengthening) existing relationships.

Topic 2: PBPP Process Development Survey Results



How are you...

Identifying measures and targets?

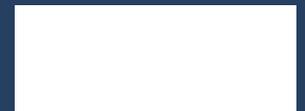
- Planning process
- Enterprise-wide performance measurement process
- Legislative or policy board directive

Integrating the more technical elements of the process (data, Travel Demand Models, etc.)?

- *No responses addressed integration of technical elements. Primary focus was on data needs and challenges.*

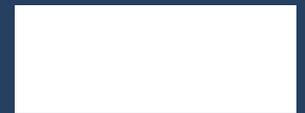
Prioritizing projects (if plans identify projects)?

- Decision support tools or processes
- Scoring frameworks
- Planning factors
- Funding levels and anticipated outcomes by objective



FLORIDA – Strategic Investment Tool

- Florida has the Strategic Intermodal System (SIS) Policy Plan and the Florida Transportation Plan (FTP).
- Project priorities for Florida's Strategic Intermodal System established through:
 - Unfunded needs plan
 - Cost-feasible plan
 - 10-year and 5-year capital plans
- These plans are updated for consistency with the FTP and the SIS Policy Plan.
- Strategic Investment Tools that reflect the goals and objectives of the FTP and the SIS Policy Plan provide analytical support for project selection and prioritization.



Topic 2: Practitioner Presentation

Texas DOT: PBPP Approach

Marc Williams
Marc.Williams@txdot.gov



Background

- Texas DOT and its planning partners must meet Federal, State, and other performance-based planning requirements.
- Often these requirements and related activities are inconsistent, potentially creating confusion and adding work for staff.

To align these activities, TxDOT established a Performance Measure (PM) Workgroup.

- Develop common standards, guidelines, conversions, and metrics.
- Provide regular review of existing metrics.
- Monitor ongoing PM and PBP activities across different departmental divisions and with stakeholders.
- Develop and maintain governance document for all agency PMs.

Topic 2: Governance Document

TxDOT has recognized the need for a “governance” document to help manage PBPP activities. It will include:

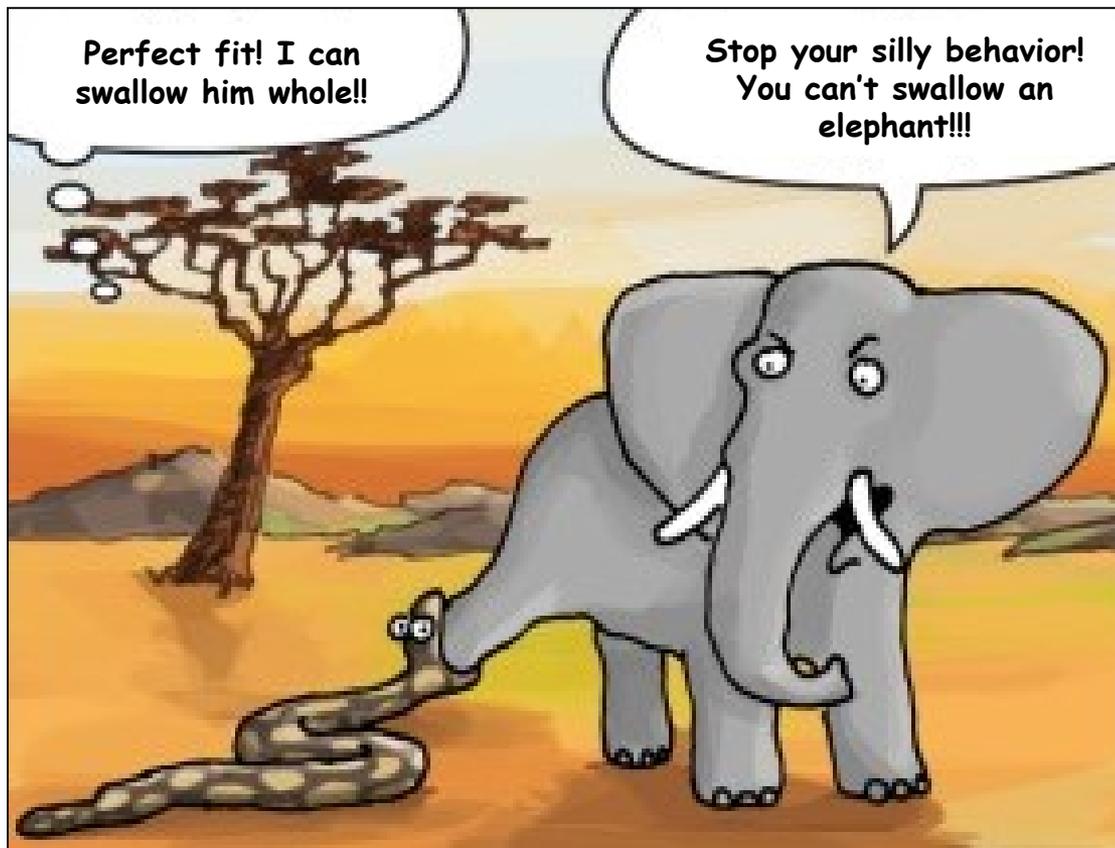
- Measures (by title)
- Policy area for measure (safety, preservation, etc.)
- Most recent measure results
- Target associated with measure
- Owner of measure (TxDOT division)
- Data source(s) and reporting standards
- Conversions of data for different reporting requirements
- Date of next update for measure
- Where measure is reported/used

Topic 2: Integrating Technical Elements

- Measures and targets are only as good as the data used to support them.
- TxDOT is working to implement an agency-wide information system to streamline the management and delivery of transportation projects and programs statewide – replacing up to 40 legacy engineering operation systems and providing a “one-stop shop” for performance data.
- Share data with planning partners.

Topic 2: Challenges and Risks

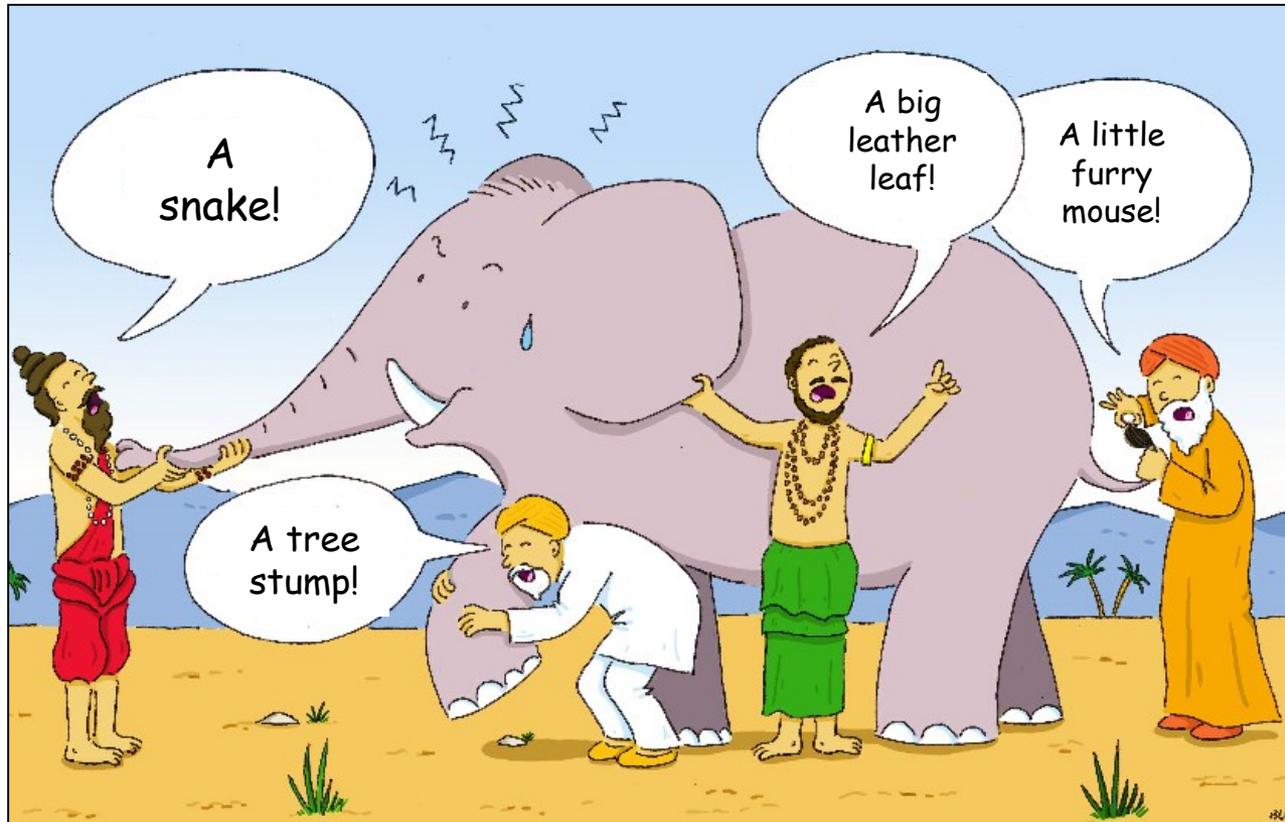
Don't choke on the elephant.



Source: Marc Williams, Texas DOT

Topic 2: Challenges and Risks

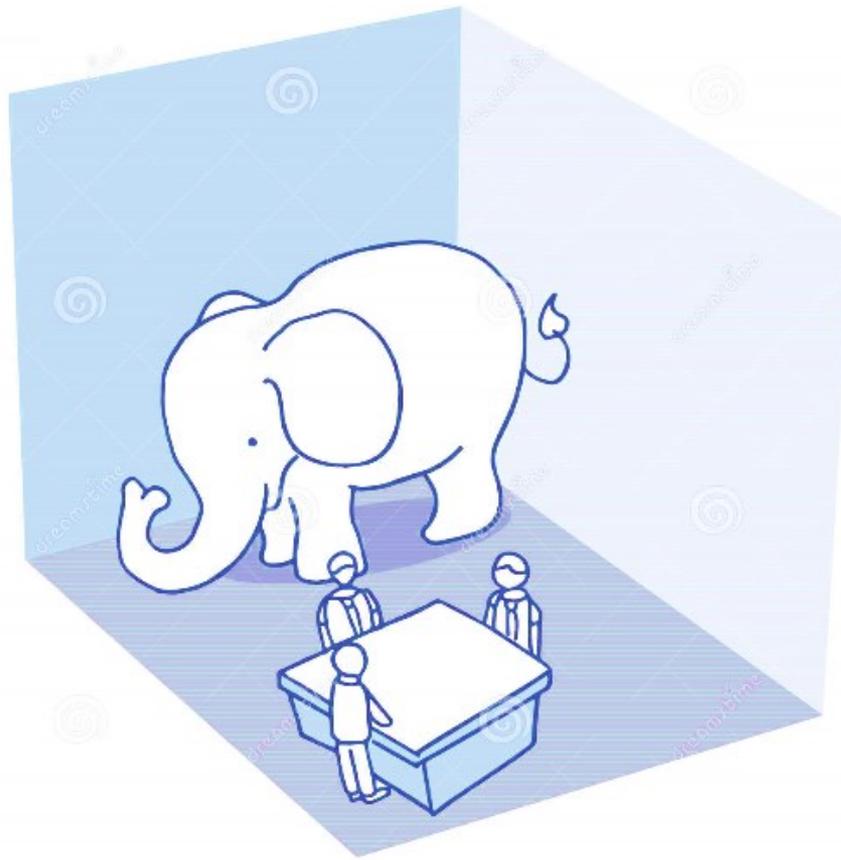
How are you describing the elephant?



Source: Marc Williams, Texas DOT

Topic 2: Challenges and Risks

Talk about the elephant in the room.



Source: Marc Williams, Texas DOT

Summary

- It's a **BIG** job! And, it's a **COMPLEX** topic!
 - Use what resources you have
 - Consider use of a governing document
 - Improve data sources
 - Rely on expertise of others
 - FHWA
 - Other State DOTs
 - MPOs
 - Universities
 - Recognize needs of stakeholders and public to understand performance measures.
- It's essential to link performance planning with project portfolio planning and development.

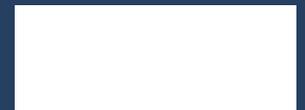
You're only as good as the projects you're able to deliver!

Topic 2: Facilitated Discussion



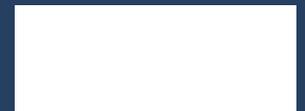
Brainstorm of Challenges and Strategies

Challenges	Strategies
Too many performance measures	Pilot test draft measures before committing. Retire some measures if more useful ones are available.
Expected outcomes/targets may worsen given agencies' constraints	Consider having an aspiration goal that is separate from the data-based target. Use trend lines as benchmarks for progress to demonstrate improvements from where the trend line would have been. Tell the story (outcomes would be even worse without our actions) to argue for more resources and more emphasis on PBPP.



Brainstorm of Challenges and Strategies

Challenges	Strategies
DOT/MPO coordination	<p>Build trust by establishing regular means of communications.</p> <p>Define each other's roles, including data capabilities and needs.</p> <p>Establish the business case for coordination on data (i.e., the incremental cost of data sharing is relatively small for State DOTs).</p> <p>Provide data tools and assistance that can be used statewide to help MPOs achieve their goals.</p>

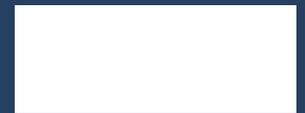


Topic 3: Communication Survey Results



How are you communicating to the public about how State or regional policies influence your plans and the overall relationship and coordination of these plans to each other?

- Public/stakeholder involvement processes
 - One-way information dissemination
 - Two-way feedback
- Branding
- Collaboration with regional boards or groups of stakeholders



COLORADO – Interactive Town Hall Meetings

- 16 interactive telephone town halls with a format similar to a radio talk show
- Capability for interactive polling on push-button phones
- Public input on transportation needs and priorities
- Q&A with Colorado Transportation Commissioners
- Raised the following questions with participants on the call:
 - What is most important to you about transportation?
 - How should CDOT invest limited dollars?
 - What kinds of transportation improvements can best help the economy in your area?

FLORIDA – Goal Champions

- Two champions for each FTP goal to support implementation
 - FDOT leader or manager
 - External stakeholder of the implementation committee who can help
- Help champion and coordinate activities related to that goal
- Examples of external champions
 - Florida Defense Alliance – Safety and Security
 - Transportation and Expressway Authority – Infrastructure
 - MPO Advisory Council – Mobility
 - AARP Florida – Transportation Choices
 - Floridians for Better Transportation – Economic Competitiveness
 - Florida Regional Councils Association – Quality of Life
 - The Nature Conservancy – Environmental Stewardship

Topic 3: Communications

Nevada DOT: Communicating the One Nevada Transportation Plan Link

Sondra Rosenberg
srosenberg@dot.state.nv.us



Communications

Tagline: **One Vision, One Plan, One Nevada.**

- Leadership/policy makers
- Across the department (“inreach”)
- Across partner agencies
- Public

Communications: Leadership

Department Strategic Plan in line with Nevada Strategic Planning Framework

- Develop new Vision, Mission, Values, Goals
- Develop working groups for goal areas
- Employee surveys

Presentation of concept to Board of Directors:

- Not another plan, but a process to use the information we have from TAMP, Freight, and Safety to develop a transparent process for informed decisions

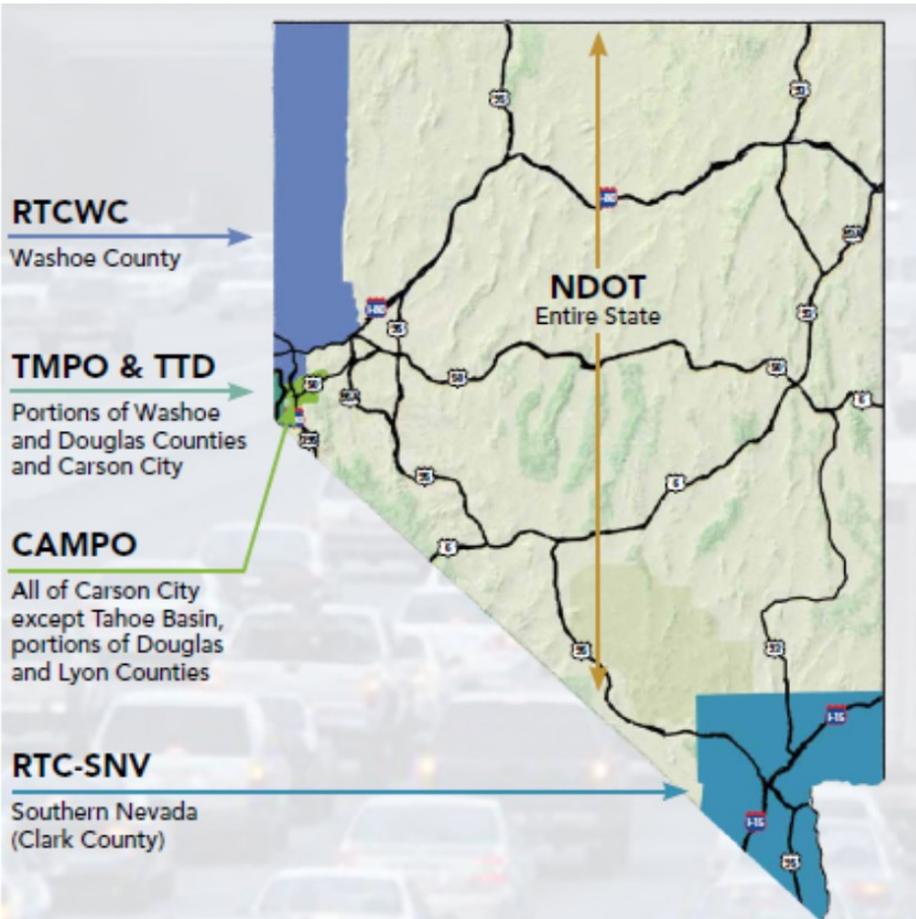
Communications: Inreach

Met with divisions to understand existing processes, needs, concerns.

Map out processes to show how each program area fits into the larger process to emphasize coordinated rather than whole new process (goal)

Communications: Partner Agencies

- NDOT/MPO monthly leadership meetings – policy and funding, coordinated messaging
- Planning Executive Group (PEG) – monthly planning process meetings
- PEG PM working group – coordination on performance measures for all agencies
- Transportation Planning Advisory Committee – statewide multiagency steering committee
- Annual County Consultation



Source: Nevada DOT



Challenges and Risks



Challenge: Agency buy-in

A new planning process can only be effective with leadership and agency-wide staff buy-in

Approach: Start with leadership visioning and agency “inreach”. Help formalize leadership direction (Strategic Plan) and existing processes and needs rather than assuming we know and can do better.

Challenge: Appearance of discontinuity or duplication between One Nevada Plan and modal or program area plans

Approach: Engage stakeholders who participated in other plans. Clearly describe how developed processes/plans are being used as the foundation.

Summary



- Nevada DOT is changing how planning is done internally and how it fits culturally within the Department. Communicating this as a One Nevada Plan outcome.
- Significant collaboration with partners was achieved up front before the One Nevada Plan was started.
- Recognize that fully integrating modal plans with the One Nevada Plan will be an ongoing refinement effort both internally and externally.
- Emphasizing that the One Nevada Plan is a process, not just a document.

Topic 3: Communications Breakout Groups

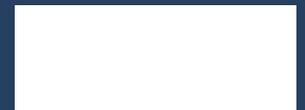


Discussion Takeaways

Multiple audiences

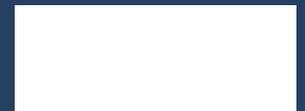
- Public
- Internal
- Political leadership

Shared Concerns	Strategies
Information overload	Establish multiple channels of processing and disseminating information.
Lack of relevant information	Use images/maps/graphics to explain how data supports scenarios.



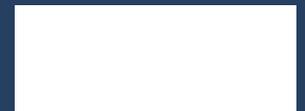
Public Communication

Challenges	Strategies
Engaged, but lack understanding of process	Acknowledge and respect their interests. Discuss opportunity costs, trade-offs, and alternatives.
Apathy and low attendance	Find innovative ways to connect (e.g., radio town hall or BBQ). Find the right “hook” for each target audience.
Lack of long-term perspective	Describe trade-offs between short-term decisions and long-term outcomes.



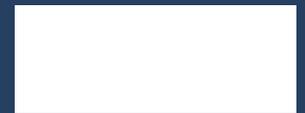
Internal Communication (Inreach)

Challenges	Strategies
Not understanding what planning does; not taking planners seriously	Develop “PBPP 101.” Turn planners into a resource for other departments.
Silos and funding pots	Create a planning coordination team that integrates skills/interests. Find champions in each silo to train staff.
Nobody reads newsletters	Develop weekly 3-minute video that everybody watches. Engage executive leadership to deliver the message from their bully pulpit.



Communicating with Political Leaders

Challenges	Strategies
Short attention spans	Be concise. Have a clear ask.
Not understanding more technical issues	Keep it simple and relevant – heavy on graphics, light on text. Explain trade-offs with scenarios. Host brown bag with legislative staff.
Focus on short-term political cycle rather than long-term planning (e.g., hunger for ribbon-cuttings)	Educate on the process: project must be in plan and TIP to get funded. Explain the costs of not maintaining roads, etc. (e.g., Oregon's <i>Rough Roads</i> report).



Research and Technical Assistance Needs



Research Needs

- **Data and performance measures**
 - What are the best measures and analysis options for assessing how we are doing?
 - How can we coordinate across the different plans?
- **Trade-offs, resource allocation, and investment strategies**
 - Follow up on NCHRP Synthesis 510: Resource Allocation of Available Funding to Programs of Work
 - What are the best models for addressing these issues strategically across the agency?
- **Engagement and communications**
 - How do we create a partner out of a stakeholder?
 - What are the best practices for engaging with public and coordinating with MPOs?

Capacity-Building Needs

- More training on PBPP and regulations, in general
 - State-specific workshops
 - Training on technical skills and competencies
 - Peer-to-peer exchanges
 - Training geared at DOT/MPO executives
 - Fact sheets
- Coordination within and between agencies
 - Training non-planning staff on what's in it for them
 - Training on coordination between States and MPOs (and rural areas)
- Tools and strategies for data management, sharing, and analysis

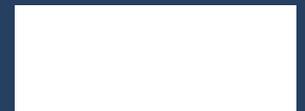
Peer Exchange Summary Report



Report Contents

- Detailed survey findings on the current state of the practice
- Complete lists of strategies identified for addressing challenges in each of the 3 topic areas
- Comprehensive list of research and technical assistance requests identified by participants

Available at: [\[insert link\]](#).



Sponsor Websites

- ADA10 Committee Website: <https://sites.google.com/site/statewideplanning/>
- FHWA Office of Planning: <https://www.fhwa.dot.gov/planning/>
- AASHTO Standing Committee on Performance Management: <http://scopm.transportation.org/Pages/default.aspx>

