



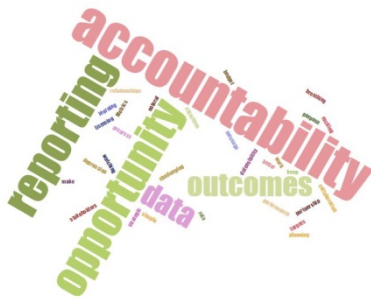
TPM CMM Pilot Workshop, September 24, 2015, Chicago – Executive Summary

The FHWA Office of Transportation Performance Management (TPM) hosted a full-day pilot workshop on Thursday, September 24th, to discuss the Capability Maturity Model (CMM), under development as part of TPM’s Technical Assistance Program (TAP). The workshop introduced participants to the TPM CMM, generally, while also highlighting a number of the model’s subcomponents. Sessions covered Organization and Culture, Target Setting, Performance-based Planning and Programming, and Benchmarking. The audience consisted primarily of State DOT representatives, with a few private sector and other public sector participants as well. In total, 24 attendees signed in. Among the 24 attendees, 17 were from State DOTs representing 15 unique states. There were also five participants from the private sector, one representative from AASHTO, and one participant from the FHWA Division Office in Montana.

The following is a summary of each session associated with the pilot workshop.

Opening and Introductions

As people introduced themselves, they were asked to identify three words they most closely associate with TPM. Below is a word cloud generated from those responses:



Session 2: Overview of TPM TAP and the TPM CMM

Participants identified enabling and obstructing forces for implementing TPM. A sampling of responses follows.

<u>Enabling Forces</u>	<u>Obstructing Forces</u>
Leadership – need for multiple champions	Fear of change
Data takes competition out of the equation	Lack of resources to do effective modeling
Accountability, efficiency, communication	Technology – are we leveraging it correctly?

Session 3: Organization and Culture

Four groups were each assigned a State DOT role and were asked to discuss role changes, benefits, and challenges they may encounter with the addition of TPM. Key insights from workshop participants are identified below.



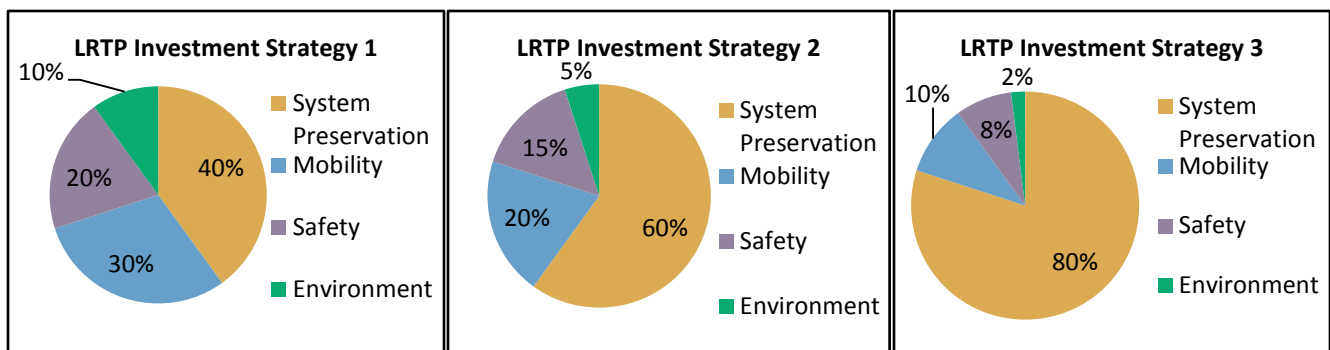
<u>Role</u>	<u>Role Changes</u>	<u>Benefits</u>	<u>Challenges</u>
Executive/Leadership	Increased communication; must create champions	Credibility may increase; staff understand their role	Difficult to explain measures and results
Safety Program Manager	Adaptation to reconcile state and Federal reporting requirements	Apples-to-apples comparison with the same metrics	Limited funding; data lag; difficulty proving benefits from investment
Data Manager	More visibility; must ensure data is serving needs of customers	Elevation and empowerment since data will now be used	Difficulty determining benefit/cost ratios
Planner	Collaboration with MPOs; more people involved in decisionmaking	Greater understanding of the organization	Need for new skill sets; hard to include quality-of-life measures

Session 4: Target Setting

This session focused on subcomponent 2.2 of the TPM CMM, Target Setting Business Process. Participants were asked to rank their state from 1-5 on its target setting business process. The average score was 2.3. Then, following a presentation that identified the CMM maturity level definitions, participants were asked to re-rank their state on the same subject. On average, scores increased slightly to 2.6. Two participants decreased their score the second time around, while five participants increased their score.

Session 5: Performance-based Planning and Programming

Four small groups were given characteristics for a fictitious state. Two of the groups had the same information, while two other groups had different information. Based on their respective state's characteristics, each group was asked to choose from among three long-range transportation plan investment strategies (shown below) that allocated funds best according to the following categories: system preservation, mobility, safety, and environment.



Interestingly, one pair of groups that were given the same information selected different investment strategies, while the other pair selected the same investment strategy.

Session 6: Benchmarking

With four flip charts set up around the room, each displaying characteristics for each of four different states, participants were asked to choose the state against which they, as their home state, would like to



be benchmarked. For the first round benchmarking was on system performance (reliability and delay), and for the second round benchmarking was on pavements.

Making for great discussion was the fact that several participants benchmarked against a different state depending on the performance measure. Also, since the four states were based on actual data, it was enlightening that for participants from those states they each benchmarked against themselves.

Recommendations and Lessons for Future CMM Pilot Workshops at Conferences

Recommendations and lessons learned from Volpe Center

Logistics

- Initiate coordination meetings two months prior to the pilot workshop, and meet on a weekly basis.
- Confirm logistical requirements (audio/video, availability of supplies) with both conference organizers and on-site support staff.
- Identify contact phone numbers for on-site support staff.
- Adhere to agreed upon deadlines for materials development and invitational travel requests. Develop internal process to allow for more flexibility in facilitating invitational travel requests.

Content and Content Development (general)

- Use similar content that can be scaled up or down based on smaller or larger audiences.
- Utilize facilitators at the tables again in the future. Continue to develop a Facilitator's Guide that provides facilitators with discussion questions to ensure conversations at small tables remain engaging.
- Continue to vary the types of exercises, and make sure to get people moving around the room periodically.

Exercises

- Exercise 2 (Force Field Analysis): Having this at the beginning, even prior to the presentation, set a nice tone that the day was going to be particularly participatory.
- Exercise 3 (Organization and Culture – Role Changes): Worthwhile to trim the number of groups from 5 to 3. This allowed for better discussion, and allowed us to utilize the roles with which the participants had the most interest and familiarity.
- Exercise 4 (Target Setting): The strategy of embedding the exercise into the presentation is a good one, and helps to break up the structure of the day. More time should be devoted to the various levels of the CMM so that the participants are better informed



about their choices. The first rating, prior to going through the levels, needs a bit more introduction so that people understand the task.

- Exercise 5 (Performance-based Planning and Programming – PBPP): One option for consideration is to not provide any LRTP Investment Strategy at all and just provide participants with the four categories: system preservation, mobility, safety, and environment. In other words, participants would be allowed to create their own pie chart. However, providing them the three strategies allowed for them to more easily deliberate the tradeoffs among them.
- Exercise 6 (Benchmarking): This exercise could be tailored to include participant members' states if there is pre-registration and we know who is planning to attend. If we do this again, we could select PMs that are more different from each other.

Recommendations and lessons learned from facilitators

- “I wish we had more people at the workshop to witness that and to have a better feedback loop back (rather than the handful of responses we received).”
- “The one exercise that I think could have spent more time was on Workshop No. 5 on Performance Based Planning and Programming. Deanna’s and David’s presentations were excellent and provided a good background but in retrospect we could have spent some more time developing the exercise on the different investment scenarios.”
- “The workshop could easily span 2-days given the subject matter that needs to be covered and as the TMP CMM is rolled out it might need to be a good 2-3 days if not longer, but given the time constraints that most people have I think having it as a one day workshop was the best use of time.
- “Session 6: Performance Benchmarking was appropriate for the time of day (late afternoon it was good to get up and walk around) and it was fun. But, I’m not sure we learned that much from the results. Overall it was a nice exercise to wrap up the day.”
- “I think it would have been nice to still have more participants in the room.”
- “Session 4: CMM Target Setting, Business Process needs more definition about what is meant by Target setting. There was too much room for interpretation without a really clear definition.”
- “Session 5: Performance Based Planning has great potential if more information is provided about how much investment would be needed to meet the objectives, and if there were more time, the possibility of making your own size pie slices.”

Recommendations and lessons learned from participants

- “Use additional real life examples.”
- “Other parts of CMM (however this hit the relevant priorities of the states).”



- “Exercises need some work and it would be nice to have the leaders/facilitators give the workshop perspective or 'answers' from their perspective.”
- “More on performance based planning and programming - good topic! Need more on benchmarking. Share (public and private) best practices.”
- “More states involved.”
- “Ask people at beginning what their role is in their state related to performance management.”
- “Look at private sector examples.”