MAP-21’s Performance Management Framework
Asset Management, State of Good Repair, Safety & Performance-Based Planning

Dwayne Weeks
State Programs Meeting
Atlanta GA, April 25 2016
Performance Based Planning Requirements

• What is MAP-21’s Performance Management Framework?

• How are transit SGR and safety linked with performance-based planning at the MPO?

• What is the transit agency’s role in PBPP?
What is MAP-21’s Performance Management Framework?
MAP-21 Performance Management Framework

To increase accountability and transparency

- Seven national goals
- Performance measures
- Performance targets
- Performance plans
- PBPP
MAP-21 Performance Management Framework

SEVEN NATIONAL GOALS

1. Safety
2. Infrastructure Condition
3. Congestion Reduction
4. System Reliability
5. Freight Mobility and Economic Vitality
6. Environmental Sustainability
7. Reduced Project Delivery Delays
MAP-21 Performance Management Framework

**USDOT PERFORMANCE MEASURES**

- **RULEMAKINGS**
  - FTA
    - Safety (5329)
    - State of Good Repair (5326)
  - FHWA 150(c)
    - Safety
    - Asset Condition
    - Congestion, Air Quality, Reliability
  - FHWA/FTA
    - Metropolitan and Statewide and Nonmetropolitan Transportation Planning
MAP-21 Performance Management Framework

State DOT and Transit Agency Performance Targets

- Transit Agencies (FTA Grantees)
  - Establish SGR performance targets not later than 3 months after TAM Rule
  - Establish Safety performance targets 1 year after the Agency Safety Plan Final Rule

- State DOTs
  - Establish performance targets not later than 1 year after 150(c) measures established

MAP-21
- Seven national goals

USDOT
- Performance measures

State DOTs and transit agencies
- Performance targets
- Performance plans

MPOs
MAP-21 Performance Management Framework

PERFORMANCE PLANS

- FTA Grantees
  - Transit Asset Management (TAM) Plan
  - Public Transportation Agency Safety Plan

- FHWA Grantees (Title 23)
  - State Highway Safety Improvement Plan
  - State NHS Asset Management Plan
  - Congestion Management Plan (TMA > 1 million)
  - State Freight Plan (optional)
MAP-21 Performance Management Framework

MPOs Integrate State and Transit Agency Plans

- Either directly or by reference
- Goals, objectives, performance measures, and targets
- Includes
  - transit agency safety plan
  - transit asset management plan
MAP-21 Performance Management Framework

MPO PERFORMANCE TARGETS

- Establish performance targets within 180 days after State and public transportation providers establish performance targets
- Coordinate with providers of public transportation to select SGR and safety targets
- Coordinate with State to select 150(c) targets
MAP-21 Performance Management Framework

Metropolitan Transportation Plan

- Performance measures and respective targets

- System performance report
  - progress achieved in meeting performance targets
MAP-21 Performance Management Framework

Transportation Improvement Program

- Projects consistent with MTP
- Reflects MTP investment priorities
- Make progress toward achieving performance targets
- Links investment priorities to performance targets
Questions?
How are transit agency SGR needs and safety linked with performance-based planning at the MPO?
Linking Transit SGR and Safety to MPO and Statewide Planning

- Performance Measures
- Performance Targets
- Performance-based Plans
- Investment Priorities
 Proposed SGR Performance Measures

<table>
<thead>
<tr>
<th>Category</th>
<th>Class</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Rolling Stock</strong></td>
<td><strong>Age</strong>: Percentage of revenue vehicles within a particular asset class that have met or exceeded their Useful Life Benchmark (ULB)</td>
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<tr>
<td><strong>Facilities</strong></td>
<td><strong>Condition</strong>: Percentage of facilities with a condition rating below 3.0 on the FTA Transit Economic Requirements Model (TERM) scale</td>
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<tr>
<td><strong>Infrastructure</strong></td>
<td><strong>Performance</strong>: Percentage of guideway directional route miles with performance restrictions by class</td>
</tr>
<tr>
<td><strong>Equipment</strong></td>
<td><strong>Age</strong>: Percentage of vehicles that have met or exceeded their ULB</td>
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</table>
SGR Targets

FTA must establish performance measures based on the SGR definition

Recipients set their own targets, report on progress annually
- No reward for making a target
- No penalty for missing a target

Investment Prioritization

SMS Approach to Safety

Performance-Based Planning Process
### Proposed TAM Plan Elements

<table>
<thead>
<tr>
<th></th>
<th>All Providers</th>
<th>Tier I only</th>
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</thead>
<tbody>
<tr>
<td>1.</td>
<td>Inventory of Capital Assets</td>
<td>I</td>
</tr>
<tr>
<td>2.</td>
<td>Condition Assessment</td>
<td>II</td>
</tr>
<tr>
<td>3.</td>
<td>Decision Support Tools</td>
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<tr>
<td>4.</td>
<td>Investment Prioritization</td>
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<td>5.</td>
<td>TAM and SGR Policy</td>
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<tr>
<td>6.</td>
<td>Implementation Strategy</td>
<td></td>
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<td>7.</td>
<td>List of Key Annual Activities</td>
<td></td>
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<tr>
<td>8.</td>
<td>Identification of Resources</td>
<td></td>
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<tr>
<td>9.</td>
<td>Evaluation Plan</td>
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**Notes:**
- **All Providers** (Tier I & II)
- **Tier I only**
TAM Plan Proposed Applicability

All providers who are recipients or subrecipients of Federal financial assistance under 49 U.S.C. Chapter 53.

**Tier I**
- **Operates** rail or **Over 100** vehicles in peak revenue service

**Tier II**
- **Does not operate** rail and **100 or fewer** vehicles in peak revenue service or
- Exclusively receives Federal funds from 5310 or 5311 programs
Transit Asset Management

- Inventory Assets and Assess Condition
- Establish SGR Targets
- Prepare Transit Asset Management Plan
- Prioritize Investments/ Program of Projects
- Program Formula Funds
- Submit Annual Report
## Proposed Safety Performance Criteria

<table>
<thead>
<tr>
<th>Category</th>
<th>Criteria</th>
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</thead>
<tbody>
<tr>
<td><strong>FATALITIES</strong></td>
<td>Total number of reportable fatalities and rate per total unlinked</td>
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<td></td>
<td>passenger trips by mode</td>
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<tr>
<td><strong>INJURIES</strong></td>
<td>Total number of reportable injuries and rate per total unlinked passenger</td>
</tr>
<tr>
<td></td>
<td>trips by mode</td>
</tr>
<tr>
<td><strong>SAFETY EVENTS</strong></td>
<td>Total number of reportable events and rate per total vehicle miles, by</td>
</tr>
<tr>
<td></td>
<td>mode</td>
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<tr>
<td><strong>SYSTEM RELIABILITY</strong></td>
<td>Mean distance between failures by mode</td>
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Proposed Public Transportation Agency Safety Plan Elements

- Public Transportation Agency Safety Plan
  - Rail Transit Agencies Only: Emergency Preparedness and Response Plan
    - Signed by Accountable Executive; Approved by Board of Directors/Equivalent Authority
    - Safety Management System (SMS)
    - Safety Performance Targets
    - Compliance with Public Transportation Safety Program/National Public Transportation Safety Plan
    - Process and Timeline for Annual Review/Update
PTASP: State Drafting and Certification of Safety Plans

State Would Draft and Certify Safety Plans for:

- Section 5310 Recipients/Sub-Recipients
- Section 5311 Recipients/Sub-Recipients
- Small Section 5307 Recipients/Sub-Recipients
PTASP: Safety’s Relationship with Asset Management/State of Good Repair

Accountable Executive

Safety Plan:
- Safety Risk Management
- Safety Assurance

Transit Asset Management Plan:
- Condition Assessments
Linking Proposed Regulations

Public Transportation Agency Safety

- SMS Hazard Identification/Risk Assessment
- Establish Safety Targets
- Hazard, Control, and Monitoring Strategy
- Public Transportation Agency Safety Plan

Transit Asset Management

- Asset Inventory/Condition Assessment
- Establish SGR Targets
- Transit Asset Management Plan
- Prioritize Investments/Program of Projects
- Program Formula Funds
- Submit Annual Report

Transit Asset Management Background
Linking Proposed Regulations

Public Transportation Agency Safety
- SMS Hazard Identification/Risk Assessment
- Establish Safety Targets
- Hazard, Control, and Monitoring Strategy
- Public Transportation Agency Safety Plan

Transit Asset Management
- Asset Inventory/Condition Assessment
- Establish SGR Targets
- Transit Asset Management Plan
- Prioritize Investments/Program of Projects
- Program Formula Funds
- Submit Annual Report

Transportation Planning
- MPO and State Performance Targets
- Integrate Performance-Based Plans
- Metropolitan and Statewide Long-Range Plans
- Adopt TIP/STIP

FEDERAL TRANSPORTATION ADMINISTRATION
Questions?
What is the transit agency’s role in the performance based planning process?
Transit Providers and Performance Based Planning

• Participate in the MPO Planning Process
  – Representation on the MPO
  – Metropolitan Planning Agreements

• Participate in the Rulemaking Process
Transportation Planning Joint Rulemaking

MPO Structure: New Provision

• Within two years of enactment of MAP-21 - October 2014

• MPOs serving TMA areas shall consist of:
  – Local elected officials
  – Officials of public agencies that operate major modes of transportation *including representation by providers of public transportation*
  – Appropriate State officials

• MPO does not need to re-designate to restructure
Transportation Planning Joint Rulemaking

**Representation by Providers of Public Transportation**

- Have equal decision-making rights and authorities
- Be elected or appointed board members or senior officer of transit provider – can wear “two hats”
- Operate in TMA and be eligible recipient of Urbanized Area Formula Funds
- Be selected through a cooperative process

- Affirmed by FAST Act
- MPO Self-Certification --- TIP/STIP Submittal
Transportation Planning Joint Rulemaking

Representation by Providers of Public Transportation

EXEMPTION

– operates pursuant to a State law that was in effect on or before December 18, 1991 and
– State law has not been amended after December 18, 1991 to change the structure or organization of the MPO; and
– MPO has not been designated or re-designated after December 18, 1991
Transportation Planning Joint Rulemaking

Metropolitan Planning Agreements

- Written agreement(s) among States, MPOs and Providers of Public Transportation
- Should include specific provisions for
  - cooperatively developing and sharing information related to transportation systems performance data
  - the selection of performance targets
  - the reporting of performance targets
  - the reporting of system performance to be used in tracking progress toward attainment of critical outcomes for the region of the MPO
  - and the collection of data for the asset management plans for the NHS
FTA’s TAM NPRM

• Part of the Performance Management Framework established by MAP-21
  – MAP-21 provisioned the National TAM System 5326

• FTA published a TAM NPRM on Sept. 30
  comment period closed Nov. 30
  – 119 comments submitted to docket

• Final Rule under development
Safety Rulemaking

• Performance related guidance and rulemakings
  – National Public Transportation Safety Plan
  – Public Transportation Agency Safety Plan NPRM

• Publication for Comment
  – February 5, 2016
  – Docket closes: April 5, 2016

• Multiple Webinars
  – Register at www.fta.dot.gov/newsroom/calendar.html
FTA Performance Related Rulemakings

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