



SACOG Board of Directors

Item #17-9-9
Information

September 7, 2017

Update on Federal Transportation Performance Management Rules

Issue: SACOG is responsible for participating, in cooperation with Caltrans, in the target setting process for federal transportation performance measures.

Recommendation: None. This is for information and discussion.

Discussion: Beginning with the Moving Ahead for Progress in the 21st Century Act (MAP-21) and continuing under the Fixing America's Surface Transportation Act (FAST Act), state departments of transportation are required to set and report on progress toward achieving performance measure targets related to safety, air pollution emissions, infrastructure condition, freight movement, congestion, and reliability. The state is currently working with regional agencies to set targets, develop methodologies for tracking progress, and outline reporting responsibilities. Once the state adopts specific targets for each measure, any failure of the state to demonstrate meaningful progress toward meeting a target could result in federal limits on the flexibility the state has for directing federal transportation dollars to state priorities.

Following the state target setting process, Metropolitan Planning Organizations have 180 days to either set their own or elect to support the state's targets and must then report annually to the state on progress toward meeting those targets. There are no consequences defined in federal law for MPO's failing to meet performance targets, though staff is still investigating whether and how the state may hold MPOs accountable for making progress toward meeting targets.

Attachment A describes the specific performance measures laid out in federal law and the critical dates for both the state and MPO target setting processes. Attachment B provides additional background and calendar information for each of the sets of performance measures. The first set of targets affecting MPOs fall under the safety rule and are due in February, 2018. SACOG will continue to engage with Caltrans and return to the committee with more information and recommendations on how to proceed with developing and monitoring regional targets.

No action is required from the committee at this time; however, staff will incorporate any committee input into future discussions with working group members. Staff will also continue to provide updates on working group discussions and take board member feedback as the project progresses.

Approved by:

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	Critical Dates	
	State Target Due	MPO Target Due
SAFETY		
Number of Fatalities	August, 2017	February, 2018
Rate of Fatalities per 100 million VMT		
Number of Serious Injuries		
Rate of Serious Injuries per 100 million VMT		
Number of Non-motorized Fatalities and Non-motorized Serious Injuries		
MAINTENANCE		
State Asset Management Plan	Draft: April 30, 2018 Final: June 30, 2019	NA
Percent of NHS bridges in Good condition	October, 2018	March, 2019
Percent of NHS bridges in Poor condition		
Percentage of Interstate pavements in Good condition	May, 2018	November, 2018
Percentage of Interstate pavements in Poor condition		
Percentage of non-Interstate pavements in Good condition		
Percentage of non-Interstate pavements in Poor condition		
SYSTEM PERFORMANCE		
Percent of reliable person-miles traveled on the interstate	May, 2018	November, 2018
Percent of reliable person-miles traveled on the non-interstate NHS		
Percentage of Interstate system mileage providing for reliable truck travel time (Truck Travel Time Reliability Index)		
Total Emissions Reductions by applicable pollutants under the CMAQ program		
Annual hours of peak hour excessive delay per capita		
Percent of non-single occupancy vehicle travel (includes telecommuting)		

NATIONAL PERFORMANCE MANAGEMENT MEASURES TRANSPORTATION ASSET MANAGEMENT ENGAGEMENT PLAN

Background:

The development of a formal risk-based transportation asset management plan (TAMP) has been mandated in both state and federal laws. As identified by the American Association of State Highway and Transportation Officials (AASHTO), the definition of Transportation Asset Management is, "a strategic and systematic process of operating, maintaining, upgrading and expanding physical assets effectively throughout their lifecycle. It focuses on business and engineering practices for resource allocation and utilization, with the objective of better decision making based upon quality information and well-defined objectives."

Under federal regulation, the Moving Ahead for Progress in the 21st Century Act (MAP-21) and the Fix America's Surface Transportation (FAST) Acts, States are required to prepare and implement a TAMP that includes the following components:

1. Summary listing pavement and bridge assets
2. Description of the condition of those assets
3. Asset management objectives and measures
4. Performance gap identification
5. Lifecycle planning and risk management analysis
6. Financial plan
7. Investment strategies

With regard to National Highway System (NHS) assets that are not owned by the State Department of Transportation (DOT), federal regulations require that the State DOT work collaboratively and cooperatively with other NHS owner(s) to obtain the data needed for the plan.

Important Dates/Deadlines:

The initial TAMP must be submitted to the Federal Highway Administration (FHWA) no later than April 30, 2018.

Stakeholders:

The California Department of Transportation (Caltrans) has engaged the following stakeholders in the development of the TAMP:

- Metropolitan Planning Organizations (MPOs) and Rural Transportation Planning Agencies (RTPAs)
- Cities and counties
- Bicycle and pedestrian coalitions
- Tribal governments
- The California Transportation Commission (CTC)
- FHWA

Major Issues:

None

Facilitation and Technical Support:

Caltrans contracted with a consultant to assist with the development of the TAMP and stakeholder coordination.

Engagement Timeline:

Caltrans took a number of steps to increase external stakeholder awareness of the requirements of asset management and engage partners in key performance management decisions. In order to engage our partners in the development of the TAMP, Caltrans has or is conducting the following outreach efforts:

- **August 2015** – Caltrans co-sponsored an Asset Management and SHOPP workshop with the Commission. The workshop was held in Sacramento, in conjunction with the California Council of Governments Executive Board meeting. The workshop featured presentations by Caltrans and the CTC staff on asset management and the SHOPP development process. A discussion session followed the presentations that provided Caltrans with a number of suggestions for improvement.
- **December 15, 2016** – Caltrans and the CTC sponsored a 1-day workshop, in Sacramento, that focused on the goals and objectives for the TAMP. External stakeholders included MPOs, RTPAs, cities, counties, bicycle and pedestrian coalitions, tribal governments, as well as staff from FHWA. This was an interactive strategic session that provided the foundation for the development of the TAMP.
- **April 19, 2017** – Caltrans and the CTC sponsored a half day workshop, in Los Angeles, that focused on the risk management portion of the TAMP. External stakeholders included MPOs, RTPAs, cities, counties, bicycle and pedestrian coalitions, tribal governments, as well as staff from FHWA. This was an interactive strategic session that resulted in a collective understanding of California’s transportation asset-related risks associated with current and future environmental conditions, financial, operational and strategic risks.
- **June 14, 2017** – Caltrans and the CTC sponsored a half day workshop, in Oakland, that focused on the financial plan and investment strategies for the TAMP. External stakeholders included MPOs, RTPAs, cities, counties, bicycle and pedestrian

coalitions, tribal governments, as well as staff from FHWA. This was an interactive session that focused on financial planning and investment analysis.

- **Fall 2017** – Caltrans and the CTC are sponsoring a half day TAMP building workshop in Sacramento. External stakeholders will include MPOs, RTPAs, cities, counties, bicycle and pedestrian coalitions, tribal governments, as well as staff from FHWA. The expected outcome of this workshop will be a final TAMP that covers all NHS pavement and bridge assets in California as required by federal regulation.
- **October 2017** – Caltrans and the CTC will provide a 30-day comment period for external stakeholders to review and comment on the draft TAMP. The draft TAMP will be posted on the Caltrans Asset Management website and a link on how to access it will be sent to external stakeholders.
- **Quarterly TAMAC Meetings** – Caltrans also established a Transportation Asset Management Advisory Committee (TAMAC) comprised of MPOs, RTPAs and advocacy groups. The TAMAC is a standing committee that provides input on numerous aspects of the asset management implementation effort.

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NATIONAL PERFORMANCE MANAGEMENT MEASURES PAVEMENT AND BRIDGE CONDITION ENGAGEMENT PLAN

Background:

The Moving Ahead for Progress in the 21st Century (MAP-21) transportation bill established federal regulation that requires the development of a Transportation Asset Management Plan (TAMP), and the implementation of Performance Management. These regulations require all states to utilize nationally defined performance measures for pavement and bridges on the National Highway System (NHS). The Bridge and Pavement Performance Management (PM) Final Rule, which is codified in 23 Code of Federal Regulations Part 490, defines the following national performance measures for bridge and pavement:

- **Pavement**
 - Percentage of Interstate pavements in Good condition
 - Percentage of Interstate pavements in Poor condition
 - Percentage of non-Interstate NHS pavements in Good condition
 - Percentage of non-Interstate NHS pavements in Poor condition

- **Bridge**
 - Percentage of NHS bridges in Good condition
 - Percentage of NHS bridges in Poor condition

The Bridge and Pavement PM Final Rule establishes the process for State Departments of Transportation (DOTs) and Metropolitan Planning Organizations (MPOs) to establish and report their bridge and pavement targets, and the process that the Federal Highway Administration (FHWA) will use to assess whether State DOTs have met or made significant progress toward meeting their targets.

Important Dates/Deadlines:

The California Department of Transportation (Caltrans) expects to formally establish bridge and pavement targets in June 2017. MPOs will have 180 days after Caltrans establishes their targets, to either support Caltrans' targets or establish their own (December 2018).

Caltrans intends to include the bridge and pavement performance targets in the initial TAMP, which must be submitted to the FHWA by April 30, 2018.

Stakeholders:

Caltrans will be coordinating target setting efforts with the following stakeholders:

- MPOs and Rural Transportation Planning Agencies (RTPAs)
- Cities and Counties
- Tribal Governments

- The California Transportation Commission (CTC)
- FHWA

Major Issues:

Under MAP-21 regulations, the performance metrics of good, fair, poor for pavements differ from the metrics of Pavement Condition Index (PCI) used by our external partners. Caltrans is working with FHWA and our partners to explore the possibility of creating a crosswalk for converting PCI to good, fair, poor condition. No such crosswalk currently exists anywhere in the nation and it may not be possible to develop.

Facilitation and Technical Support:

Caltrans is coordinating with Performance Measure 3 (PM3) and a consultant to conduct target setting efforts.

Engagement Timeline:

In order to engage our partners in the target setting process, Caltrans has or is conducting the following outreach efforts:

- **August 2015** – An all day workshop was held in Sacramento with external stakeholders including MPOs, RTPAs, cities and counties, as well as staff from FHWA and Caltrans. Keynote speakers included Peter Stephanos from the FHWA, Office of Performance Management in Washington D.C. This workshop focused on the performance management requirements included in MAP-21. Caltrans presented information on the current inventory, condition and performance of the four defined asset classes. During this workshop, significant feedback was received on the collection of locally owned NHS pavement inventory and condition information and it was determined that Caltrans would collect this data. Caltrans completed these efforts in 2016.
- **August 2017** – Caltrans is coordinating with PM3 to hold an initial phone conference/webinar with external stakeholders including MPOs, RTPAs, cities, counties and tribal governments, as well as staff from the CTC, FHWA, and Caltrans. The purpose of this meeting is to collectively determine bridge and pavement performance targets on the NHS. If this cannot be accomplished in the webinar, a future workshop will be scheduled.

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NATIONAL PERFORMANCE MANAGEMENT MEASURES HIGHWAY SAFETY IMPROVEMENT PROGRAM ENGAGEMENT PLAN

Background:

Safety Performance Management (Safety PM) is part of the overall Transportation Performance Management (TPM) program, which the Federal Highway Administration (FHWA) defines as a strategic approach that uses system information to make investment and policy decision to achieve national performance goals. The Safety PM Final Rule supports the Highway Safety Improvement Program (HSIP), as it establishes safety performance measure requirements for the purpose of carrying out the HSIP and to assess fatalities and serious injuries on all public roads.

The Safety PM Final Rule establishes five performance measures as the five-year rolling averages to include:

1. Number of Fatalities
2. Rate of Fatalities per 100 million Vehicle Miles Traveled (VMT)
3. Number of Serious Injuries
4. Rate of Serious Injuries per 100 million VMT
5. Number of Non-motorized Fatalities and Non-motorized Serious Injuries

The Safety PM Final Rule also establishes the process for State Departments of Transportation (DOTs) and Metropolitan Planning Organizations (MPOs) to establish and report their safety targets, and the process that the FHWA will use to assess whether State DOTs have met or made significant progress toward meeting their safety targets.

Important Dates/Deadlines:

The overall State targets required by FHWA are due on August 31st, annually, while the MPOs set their targets six months after the State sets its targets. Three of the five safety targets must be coordinated with the Highway Safety Plan administered by the Office of Traffic Safety (OTS), which must submit their targets to NHTSA by June 30th of each year.

Performance Targets must also be included in updates to Long-Range Statewide Transportation Plans (LRSTP), metropolitan transportation plans (MTP), state transportation improvement programs (STIP) and transportation improvement programs (TIP) after May 27, 2018.

Stakeholders:

MPOs, RTPAs and Tribal governments are the transportation stakeholders. OTS did not provide additional list of stakeholders to invite to the workshops.

Major Issues:

The ability for stakeholders to attend multiple meetings for multiple target setting efforts, was an issue. Moving forward, we need to have the California Department of Transportation's (Caltrans) "next step" leads involved for a smooth transition between Division responsibilities. Webcasting the workshops was a logistical issue in that all Caltrans facilities do not have webcasting or webcasting in a room large enough for the workshop. Two-way communication between webcast participants and the presenters is difficult to manage. We used email for webcast participants to submit questions. Native American Listening Sessions can now be webcast.

Facilitation and Technical Support:

Caltrans contracted with MIG, Inc. to conduct three workshops and three Native American listening sessions at multiple locations across the state in order to coordinate with the MPOs, regional agencies and Tribal Governments in setting the five safety performance targets. Caltrans also engaged a consultant to assist with the logistics, coordination and outreach.

Engagement Timeline:

- **November 28, 2016** – An all day workshop was held in Caltrans' Boardroom to discuss, in a theoretical sense, what is behind safety performance targets. The MPOs, local and regional agencies, and the Tribal Governments were invited. The FHWA co-presented the workshop and answered frequently asked questions about the target setting process and what the possible consequences are for the State and MPOs if safety performance targets are not met. Caltrans presented the latest fatality and serious injury data for the State. The data was also broken down by the challenge areas in the Strategic Highway Safety Plan. A prerequisite webinar was also developed by the FHWA to provide background information to the participants before the workshop. The OTS also presented at the workshop.
- **December 12, 2016** – This workshop was held at the Holiday Inn in Downtown Sacramento, California. Like the workshop in November, the participants included the MPOs, local and regional agencies and the Tribal Governments. The FHWA co-presented the workshop to provide further guidance on the final rules adopted for Safety Performance Management. The OTS also presented since three of the five state performance targets must be coordinated with OTS. Caltrans presented the latest trend data for fatalities and serious injuries and possible strategies for target setting. After the Caltrans presentation, the participants broke into groups to discuss the targets and preferences for where to set the targets from a regional perspective.
- **February 8, 2017** – This workshop was held in Fontana, California at the District 8 Traffic Management Center. The objective of this workshop was to demonstrate how to access

and analyze safety data to set safety performance targets for an MPO. Santa Barbara County Association of Governments (SBCAG) was the example used for the demonstration. The FHWA presented information on how to access HPMS, while the California Highway Patrol (CHP) made a presentation on how to access SWITRS data. Caltrans demonstrated how the data could be analyzed and OTS presented on what countermeasures could be funded through their grant program.

- **June 22, 2017** – The final workshop presented the State safety targets, and included an overview of OTS' Behavioral and Education funding opportunities.

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NATIONAL PERFORMANCE MANAGEMENT MEASURES SYSTEM PERFORMANCE/FREIGHT/CMAQ ENGAGEMENT PLAN

Background:

The Moving Ahead for Progress in the 21st Century Act (MAP-21) transformed the Federal-aid highway program by establishing new requirements for performance management to promote the most efficient investment of Federal transportation funds. Performance management increases the accountability and transparency of the Federal-aid highway program and provides for a framework to support improved investment decision making through a focus on performance outcomes for key national transportation goals.

On May 20, 2017, a Federal Highway Administration (FHWA) final rule took effect, with the exception of certain portions of the rule. The rule, published in the Federal Register (82 FR 5970) on January 18, 2017, establishes performance measures that State Departments of Transportation (DOTs) and Metropolitan Planning Organizations (MPOs) will use to report on the performance of the Interstate and non-Interstate National Highway System (NHS) to carry out the National Highway Performance Program (NHPP); freight movement on the Interstate system to carry out the National Highway Freight Program (NHFP); and traffic congestion and on-road mobile source emissions for the purpose of carrying out the Congestion Mitigation and Air Quality Improvement (CMAQ) Program. The rule addresses requirements established by MAP-21 and reflects passage of the Fixing America's Surface Transportation (FAST) Act.

Six Performance Measures:

- Percent of reliable person-miles traveled on the Interstate.
- Percent of reliable person-miles traveled on the Non-Interstate NHS.
- Percentage of Interstate system mileage providing for reliable truck travel time (Truck Travel Time Reliability Index).
- Total emissions reductions by applicable pollutants under the CMAQ program.
- Annual hours of peak hour excessive delay per capita.
- Percent of non-single occupancy vehicle travel which includes travel avoided by telecommuting.

*NOTE: While the published rule includes a greenhouse gas (GHG) measure, the effective date of the portions of the Final Rule pertaining to that measure has been delayed. The FHWA will be publishing a notice of proposed rulemaking (NPRM) in the Federal Register pertaining to this measure.

Important Dates/Deadlines:

- State DOTs need to establish targets by May 20, 2018, for all measures in this rule. MPOs will have an additional 180 days beyond when the State DOTs establish their targets. [23 USC 150(d)(1); 23 CFR 490.105]
- The first baseline performance period report is due October 1, 2018, for all measures in this rule that are effective on May 20, 2017. [23 CFR 490.107]
- For the CMAQ emissions reduction measure, the first performance period begins on October 1, 2017, and ends on September 30, 2021. For all other measures, including the CMAQ traffic congestion measure, the first performance period begins on January 1, 2018, and ends on December 31, 2021. [23 CFR 490.105]
- Biennial Performance Reports; Baseline and Mid-Performance Period Progress Reports MPOs need to submit their CMAQ performance plans to the FHWA through the California Department of Transportation (Caltrans).
- October 1st: the deadline for the FHWA to approve alternate data sets for the following calendar year.

Stakeholders:

- MPOs, Regional Transportation Planning Agencies (RTPAs), Tribal Governments, Caltrans (multiple divisions/offices: Transportation Planning, Environmental Analysis, Rail & Mass Transportation, Programming etc.), the California Air Resources Board, the California Energy Commission, and the California Trucking Association.

Potential Issues:

- Coordinating with stakeholders on data sets to be used in calculations;
- Staff resources; and
- Data costs if FHWA discontinues providing the NPRMDS data free of charge.

Facilitation and Technical Support:

- MIG Inc. will be used to facilitate the following outreach efforts with external partners to develop and set targets.
- FHWA/Spy Pond Partners, LLC will provide the following:
 - PM3 web-based training course via the National Highway Institute.
 - Transportation Performance Management (TPM) Virtual Academies, or mini online training sessions for PM3, late summer 2017.
 - Coordinating with Caltrans to schedule a TPM Capability Maturity Model workshop. The workshop aims to facilitate the development of process improvement action items stakeholders can use to improve their target setting practices, documentation, and coordination efforts.
 - In late 2017/early 2018, short videos and web-based trainings on PM3 will also be available.
- Iteris will provide PM3 calculations for all performance measures except the CMAQ.
- Fehr & Peers is available to provide calculations for the freight performance measure.

Engagement Timeline:

- **May 23, 2017** – PM3 status update to the California Federal Programming Group (CFPG)
- **June 14, 2017** – PM3 Kick-Off Meeting with Tribal Governments [Woodland]
- **July 11, 2017** – Provide update and reminder on upcoming Sacramento Workshop to CFPG [Phone]

- **August 2017** – PM2 and PM3 Kick-Off Meeting – MIG Inc.; facilitating [Sacramento]
- **September 2017** – PM3 Kick-Off Target Setting Meeting – MIG Inc.; facilitating [Southern CA]
- **November 23, 2017** – PM3 Meeting with Tribal Governments [Woodland]
- **January 2018** – Native American Teleconference [Phone]
- **February 2018** – PM3 Final Target Setting – MIG Inc.; facilitating [Southern CA]
- **March 2018** – PM3 Final Target Setting – MIG Inc.; facilitating [Northern CA]
- **April 2018** – Final Workshop / Next Steps [Webinar]

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