



SACOG Board of Directors

Subject: Approve Support for Caltrans Statewide Pavement/Bridge and System Performance Management Targets (Est. time: 5 minutes)

Action

Prepared by: Samuel Shelton

Approved by: Matt Carpenter

Attachments: Yes

1. Issue:

To meet federal requirements for states and metropolitan regions to set performance targets, should the board support Caltrans' targets for pavement and bridge condition and system performance?

2. Recommendation:

That the Transportation Committee recommend that the board approve the 2-year and 4-year performance targets set by the California Department of Transportation (Caltrans) to meet federal requirements as described in Attachment B.

3. Background/Analysis:

The most recent federal transportation bills require state departments of transportation to set and report on progress towards three sets of annual performance measurement targets:

- Safety Performance Management (PM1)
 - Fatalities and Injuries
- Pavement and Bridge Condition Performance Management (PM2)
 - Infrastructure conditions
- System Performance Management (PM3)
 - Freight movement, congestion, and reliability

Metropolitan regions must either set their own regional targets or support the state targets. In February 2018, the SACOG board approved five Caltrans-established statewide safety performance targets as SACOG's 2018 PM1 safety targets (see Attachment A, Excerpt from Caltrans "Safety Performance Management Targets for 2018"). The board also authorized the Chief Executive Officer (CEO) to execute the necessary addendum to SACOG's Memorandum of Understanding (MOU) with Caltrans, completed in May 2018, to integrate performance goals, objectives, measures, and targets into our planning and programming activities.

As described in SACOG's planning MOU with Caltrans, Metropolitan Planning Organizations (MPOs) must document with Caltrans whether they: (1) agree to plan and program projects so that they contribute toward the accomplishment of the established statewide target for that performance measure; or (2) commit to a quantifiable 4-year target for that performance measure for their metropolitan planning area.

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. In other words, if Caltrans does not meet its targets, FHWA may require Caltrans to allocate more funding from state discretionary uses toward projects and programs to meet those targets. There are no consequences defined in federal law for MPOs failing to meet performance targets, though the state may decide in the future whether and how to hold regions accountable for making progress toward the targets. As these are the first targets set and this is the first year of target setting, it is still not clear how (if at all) this might unfold in practice. Through conversations with Caltrans, staff believes any changes would be at the macro or statewide scale.

4. Discussion/Analysis:

In May 2018, Caltrans set performance measure targets for PM2 (pavement and bridge condition) and PM3 (system performance) and requested that MPOs either support the statewide targets or set specific regional targets. Attached

are both request letters from Caltrans (Attachment B), which include tables describing the 2-year and 4-year targets for each performance metric.

SACOG staff coordinated with Caltrans, local partners, and staff at other MPOs during the development of the state performance management targets. Staff recommends that SACOG support the statewide targets for PM2 and for PM3, which includes CMAQ performance targets.

As part of PM3, MPOs with urbanized areas of more than 1 million people that are also in non-attainment or maintenance areas must provide the State with a CMAQ Performance Plan to be included as an attachment to Caltrans performance reports to FHWA. CMAQ Performance Plans include four key components:

1. Condition/Performance: a baseline level of condition/performance at the beginning of the performance period for each of the CMAQ measures.
2. Targets: the targets that the MPO has established for each of the applicable CMAQ performance measures.
3. Description of projects: a description of projects scheduled for CMAQ funding that will contribute toward achieving their targets.
4. Assessment of progress: an assessment of how the listed projects contribute toward achieving the targets.

SACOG's CMAQ Performance Plan is due to Caltrans on October 1. SACOG staff will send the attached Draft CMAQ Performance Plan (Attachment C) by the October 1 deadline, noting that the SACOG board will be considering support for Caltrans' PM 2 and PM3 targets at their October 18, meeting.

5. Fiscal Impact/Grant Information:

There are no new fiscal impacts to SACOG's operating budget. Through the staff resources in the adopted Overall Work Program (OWP), the board has already committed to "integrate performance goals, objectives, measures, and targets into our planning and programming activities" within a MOU with Caltrans in May 2018.

6. This staff report aligns with the following SACOG Work Plan Goals:

7. Deliver Key High-Profile Transportation Projects

ATTACHMENTS:

Description

Attachment A - Excerpt from Caltrans "Safety Performance Management Targets for 2018," pages 1 and 2, June 2017

Attachment B - Caltrans PM2 and PM3 MPO request letters, May 2018

Attachment C - DRAFT SACOG CMAQ Performance Plan 9-25-2018

Safety Performance Management Targets for 2018

The California Department of Transportation (Caltrans), in cooperation with the Office of Traffic Safety (OTS), is required to set five annual Safety Performance Management Targets (SPMTs) for all public roads by August 31, 2017 for the 2018 calendar year. This is pursuant to the Moving Ahead for Progress in the 21st Century Act (MAP-21, P.L. 112-141), the Safety Performance Management Final Rule adds Part 490 to Title 23 of the Code of Federal Regulations to implement the performance management requirements in 23 U.S.C. 150.

Caltrans and OTS have adopted aspirational goals consistent with the Strategic Highway Safety Plan (SHSP) and Caltrans' Strategic Management Plan (SMP), as follows:

TABLE 1. THE PERFORMANCE MEASURE AND THE TARGET BASED ON THE 5-YEAR ROLLING AVERAGE

Performance Target	Data Source	5- Yr. Rolling Average (2018)	Percent Reduction (2018)
Number of Fatalities	FARS	3590.8	-7.69%
Rate of Fatalities (per 100M VMT)	FARS & HPMS	1.029	-7.69%
Number of Serious Injuries	SWITRS	12,823.4	-1.5%
Rate of Serious Injuries (per 100M VMT)	SWITRS & HPMS	3.831	-1.5%
Number of Non-Motorized Fatalities and Non-Motorized Severe Injuries	FARS & SWITRS	4271.1	-10%

Note: The targets highlighted in gray are set in coordination with OTS.

The Highway Safety Improvement Program (HSIP) is a core Federal-aid program with the purpose to achieve a significant reduction in fatalities and serious injuries on all public roads. The HSIP requires a data-driven, strategic approach to improving highway safety on all public roads that focuses on performance. The HSIP regulation under 23 CFR 924 establishes the Federal Highway Administration's (FHWA) HSIP policy, as well as program structure, planning, implementation, evaluation and reporting requirements for States to successfully administer the HSIP. The overarching highway safety plan for the State of California is the Strategic Highway Safety Plan (SHSP). In September 2015, California updated its SHSP, which is "a statewide coordinated safety plan that provides a comprehensive framework for reducing highway fatalities and severe injuries on all public roads" (SHSP, 5). It further states that the "SHSP is a multi-disciplinary effort involving Federal, State, and local representatives from the 4Es of safety [i.e. engineering, education, enforcement, and emergency services]" (SHSP, 2015-2019, 34). In support of a data-driven and strategic approach, the HSIP Final Rule contains three major policy changes related to: (1) the HSIP report content and schedule, (2) the Strategic Highway Safety Plan (SHSP) update cycle, and (3) the subset of the model inventory of roadway elements (MIRE), also known as the MIRE fundamental data elements.

The Safety PM Final Rule supports the data-driven performance focus of the HSIP. The Safety PM Final Rule establishes five performance measures to carry out the HSIP: the five-year rolling averages for: (1) Number of Fatalities, (2) Rate of Fatalities per 100 million VMT, (3) Number of Serious Injuries, (4) Rate of Serious Injuries per 100 million VMT, and (5) Number of Non-motorized Fatalities and Non-motorized Serious Injuries. These safety performance measures are applicable to all public roads regardless of ownership or functional classification. The Safety PM Final Rule also establishes a common national definition for serious injuries.

States must establish statewide targets for each of the safety performance measures. States also have the option to establish any number of urbanized area targets and one non-urbanized area target for any or all of the measures. Targets will be established annually, beginning in August 2017 for calendar year 2018. For common performance measures (number of fatalities, rate of fatalities and number of serious injuries), targets must be identical to the targets established for the National Highway Transit Safety Administration (NHTSA) Highway Safety Grants program that is administered by OTS. The State Department of Transportation (DOT) must also coordinate with the Metropolitan Planning Organizations (MPO) in the State on establishment of targets, to the maximum extent practicable. States will report targets to the FHWA in the HSIP report due in August of each year.

MPOs will establish targets for the same five safety performance measures for all public roads in the MPO planning area within 180 days after the State establishes each target. The targets will be established in coordination with the State, to the maximum extent practicable. The MPO can either agree to support the State DOT target or establish a numerical target specific to the MPO planning area. MPOs' targets are reported to the State DOT, which must be able to provide the targets to FHWA, upon request.

A State is considered to have met or made significant progress toward meeting its safety targets when at least four of the five targets are met or the outcome for the performance measure is better than the baseline performance the year prior to the target year. Optional urbanized area or non-urbanized area targets will not be evaluated. Each year that FHWA determines a State has not met or made significant progress toward meeting its performance targets, the State will be required to use obligation authority equal to the baseline year HSIP apportionment only for safety projects. States must also develop a HSIP Implementation Plan.

DEPARTMENT OF TRANSPORTATION

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 a California Way of Life.*

May 21, 2018

California Regional Transportation Planning Agencies:

In accordance with Federal Regulation (23 U.S.C. 150), the California Department of Transportation (Caltrans) hereby establishes the California statewide National Highway System (NHS) 2 and 4-year pavement and bridge condition targets.

Information provided by the California Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs) was combined with targets for the state owned NHS to develop the results shown in the table below. Statewide targets were calculated using a quantity weighted approach that considers Caltrans and regional agency condition expectations in statewide aggregate targets. The agency specific targets submitted by each MPO/RTPA are shown in the attached spreadsheet.

Statewide Targets				
Pavement and Bridge Performance Measures	2-Year NHS Targets		4-Year NHS Targets	
	(1/1/2018 - 12/31/2019)		(1/1/2020 - 12/31/2021)	
	Good	Poor	Good	Poor
Pavements on the NHS				
Interstate	45.1%	3.5%	44.5%	3.8%
Non-Interstate	28.2%	7.3%	29.9%	7.2%
Bridges on the NHS	69.1%	4.6%	70.5%	4.4%

With the availability of Senate Bill 1 (SB1) and local measure funds, the California Transportation Asset Management Plan (TAMP) anticipates improved condition over the next 10-year time horizon. Given the project planning, design and construction timeframes involved, in a number of cases, this improved performance falls outside of the 2 and 4-year window being reported. The full benefits of this additional funding is expected to be realized beyond a 4-year time horizon in many cases.

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Regional planning agencies have until November 16, 2018, to either support the statewide targets or establish their own. Agencies adopting the aggregate statewide condition targets are agreeing to plan and program projects to achieve the respective condition levels submitted by each agency as shown in the attached spreadsheet. Additional information will be forthcoming for agencies to make their designation to adopt statewide targets or adopt their own.

Any questions related to the establishment of these targets can be addressed to Dawn Foster at Dawn.Foster@dot.ca.gov.

Sincerely,

A handwritten signature in blue ink, appearing to read "Michael B. Johnson", with a long horizontal line extending to the right.

MICHAEL B. JOHNSON
Asset Management Engineer

Enclosures