

AGENDA

National Workshop on Performance-Based Planning and Programming

September 20 to 21, 2011

*Chicago Metropolitan Agency for Planning
Chicago, Illinois*



Sponsored by:

Federal Highway Administration

Federal Transit Administration

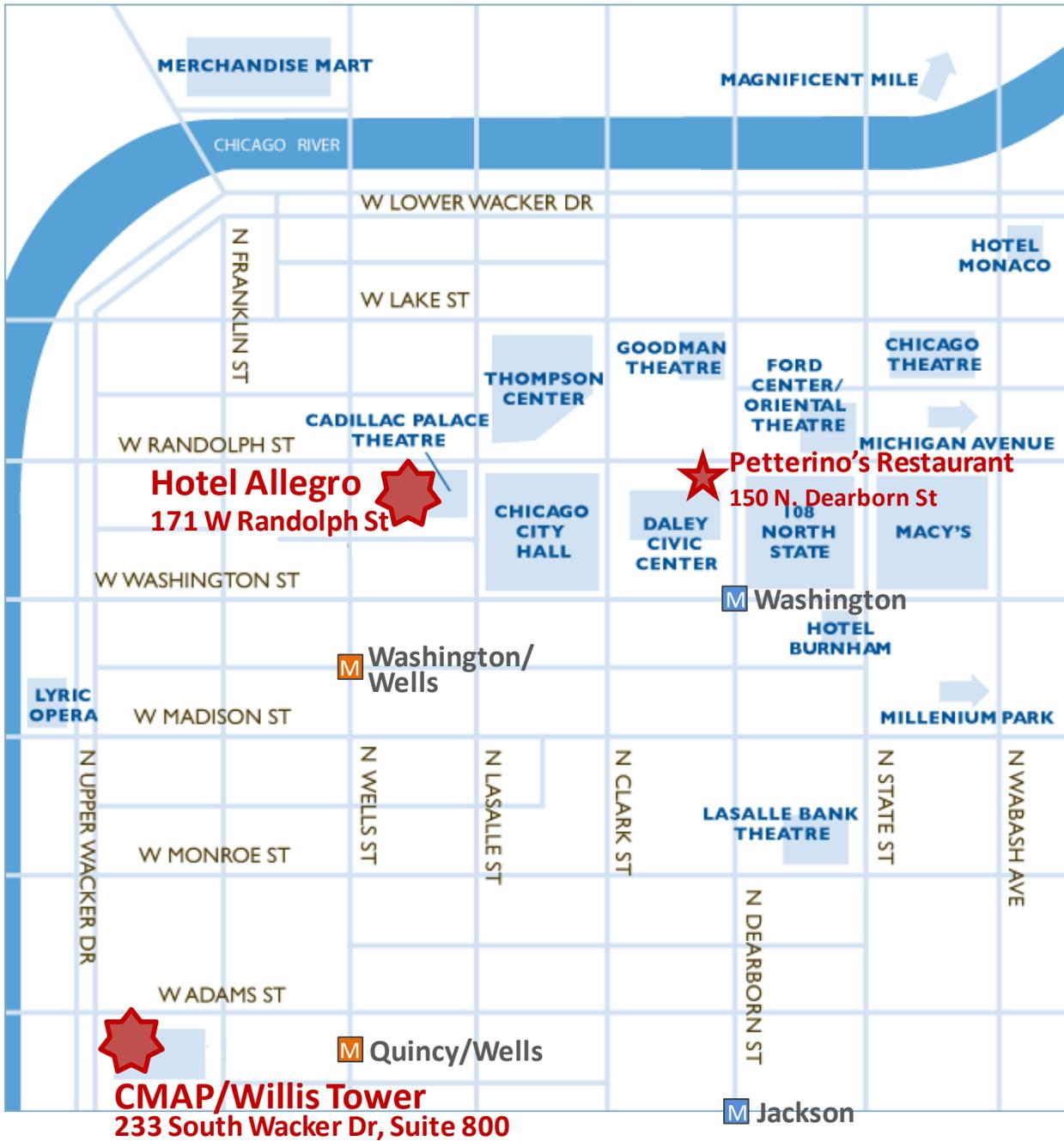
American Association of State Highway and Transportation Officials

American Public Transit Association

Association of Metropolitan Planning Organizations

National Association of Development Organizations

Workshop Locations



Guiding Principles

In September 2010, a large group of staff and executives from state departments of transportation, metropolitan planning organizations, regional planning organizations, and transit agencies got together to discuss performance-based planning. That effort, with over 140 participants, was a first of its kind effort to bring together transportation agencies of all different types and sizes to tackle the important question of performance-based planning.

With significant discussions taking place at national, state, and regional levels around performance management and performance-based planning, this workshop has been developed to advance these discussions further. Agencies at all levels of government have come to appreciate that performance management and performance-based planning and programming represent best practice for the transportation community, by providing high quality information to support decision makers and to improve the accountability of investments.

The focus of this workshop is on two key themes that have emerged from the 2010 Forum and other on-going research efforts. First, the workshop will address a set of performance-based planning and programming elements and how these are situated within the broader planning process. These elements represent the analytic component of planning and programming. Second, the forum will address how agencies of different types can and should work together on the delivery of performance-based planning and programming.

While recognizing the differences in application, the purpose of this workshop is to gain consensus on an approach to performance-based planning and programming. Agencies will vary in the types and extent of data and tools available, the specific goals and measures they track (though some consistency is expected in major areas like safety, infrastructure condition, and others), and other factors. But agreeing on a common framework for performance-based planning and programming will help advance state, regional, and potential national goals.

The potential benefits from a performance-based planning and programming process include helping to guide resource allocation decisions in a constrained funding environment. However, it is recognized that a performance-based process alone, without sufficient resources, will not drive better performance results over the long term. A performance-based approach can help communicate needs and explain why performance may decline in the future. But implementing a performance-based approach itself may take additional organizational resources or at least a redistribution of existing resources devoted to planning and programming activities.

Conference Outcomes/Products

The expected outcomes for this workshop include:

- Developing consensus on a common framework for performance-based planning and programming process that fits within the context of statewide and metropolitan planning
- Identifying critical approaches to collaboration among state, regional, and transit agencies on developing the framework for performance-based planning and programming process, including identifying implementation strategies.
- Updating performance-based planning and programming action items developed at the 2010 National Forum in Dallas, TX.



Tuesday, September 20, 2011

12:00 p.m. to 1:00 p.m.

Workshop Registration

Please check-in to pick up name tag and breakout session instructions.

1:00 p.m. to 2:45 p.m.

Plenary Session 1

Characteristics of Performance-Based Planning and Programming

This session will introduce the objectives of the workshop, describe a draft framework for performance-based planning and programming, provide perspectives from transportation agencies currently using similar approaches, and define the questions to be discussed in breakout groups.

Conference Introduction

Conference Goals and Objectives: *Lance Neumann, Cambridge Systematics*

Welcome from FHWA: *King Gee, FHWA*

Overview of Performance-Based Planning and Programming

Gloria Shepherd, Federal Highway Administration;

Sherry Riklin, Federal Transit Administration

Q & A

A Performance-based Planning and Programming Framework

Hugh Louch, Cambridge Systematics

Perspectives on Performance-based Planning and Programming

Moderator: *Lance Neumann, Cambridge Systematics*

Tim Henkel, Minnesota Department of Transportation

Patricia Hendren, Washington Metropolitan Area Transportation Authority

Andrew Williams-Clark Chicago Metropolitan Agency for Planning

Q & A

Instructions for Breakouts

Hugh Louch, Cambridge Systematics

2:45 p.m. to 3:00 p.m.

Break



3:00 p.m. to 5:00 p.m.

Breakout Session 1

Achieving Consensus on the Common Framework for Performance-based Planning and Programming

Group discussions. The objective of these breakouts is to achieve consensus on a common framework for performance-based planning and programming (PBPP). Groups will be led through a facilitated discussion around the elements of performance-based planning and programming that were discussed in Plenary Session 1. Participants will be pre-assigned to groups, which will include a mix of DOTs, MPOs, and transit staff. There will be four breakout groups each following the same list of questions. The questions will focus on goal areas and how the framework presents opportunities to address these goal areas in a PBPP using examples to stimulate the discussion of opportunities.

5:00 p.m. to 6:00 p.m.

Reports from Breakouts

Each group leader will have 10 minutes to present key points from their breakout session.
Q & A session led by moderator

7:00 p.m.

Working Dinner

Petterino's Restaurant – 150 N. Dearborn St.

Participants will be assigned to dinner tables and a designated discussion leader will lead a discussion on a few selected topics.



8:30 a.m. to 10:15a.m.

Plenary Session 2

Collaboration to Achieve Performance-based Planning and Programming

Summary of Themes from Day 1

Lance Neumann, Cambridge Systematics

Panel Discussion – Collaboration on Performance

Moderator Joe Guerre, Cambridge Systematics

Deb Miller, Kansas Department of Transportation

Ron Achelpohl, Mid America Regional Council

Dick Jarrold, Kansas City Area Transportation Authority

Q & A Session

10:15 a.m. to 10:30 a.m.

Break

10:30 a.m. to 12:00 p.m.

Breakout Session 2

Collaboration to Achieve Performance Based Planning and Programming

Group discussions. The objective of these sessions is to discuss approaches and challenges to collaborating on developing the framework for performance-based planning and programming across different types of agencies. Groups will examine the question of collaboration through the lens of infrastructure and safety. The goal areas provide a context for discussing the issue of collaboration – how to achieve agreement on goals, targets, and making investment or policy decisions; and what challenges and next steps are needed to advance the state of the practice. Groups will be led through a facilitated discussion around collaboration on setting goals and targets within specific goal areas. Participants will participate in the same breakout groups as the first breakout session.

12:00 -12:15 p.m.

Break – Pick up Box Lunch

12:15 p.m. to 2:00 p.m.

Conference Wrap Up

Reports from Breakouts

Comments from FHWA, FTA, and conference moderator

Final Q & A

2:00 p.m.

Workshop adjourn

Thank you from FHWA and FTA



Draft Performance-based Planning and Programming Framework

Framework Elements	Goal or Performance Areas with Tier 1 Measures						Other Goal or Performance Areas
	Infrastructure Condition		Safety	Transit State of Good Repair (SOGR)			
	Pavement	Bridge		Vehicles	Rail	Facilities	
Performance measure	Agreed on measures, however determined						
Baseline performance	Existing value or multi-year trend						
Targets	Targets set for some or all measures						
Strategies	Summary of key policies/strategies to improve performance in the relevant area, summarizes complementary planning processes						
Funding	Estimated funding for relevant programs, where possible						
Expected future performance	Use data and tools to estimate future performance given investments and strategies						
Actual performance	Actual measure of system performance, compared to forecast						
Data							
Tools	What tools and data are used to estimate and forecast performance? Potentially set minimum standards by performance area or measure						
Assumptions							



Framework Elements

- **Foundational elements** connected to broader performance management, including:
 - **Performance measures.** Any performance-based planning effort will include measures. State DOTs, MPOs, and transit agencies will need to define measures within agency and national goal areas.
 - **Baseline performance.** Once measures are defined, it is important to track performance over time and establish a baseline. For planning, trends over several years would be preferable to single year estimates. This is expected to be a quantitative estimate of performance for all performance areas where specific measures have been defined and data are available to support the measure.
 - **Targets.** Targets are typically developed for measures to help quantify the desired outcomes. Developing targets is a well known challenge and it may not be possible to develop realistic, achievable targets in all areas.
- **Elements for linking performance measurement to decision making.** Tracking measures that are linked to a strategic set of goals and objectives provides a good foundation, but the purpose of planning is to guide investment and policy decisions made by transportation agencies. A performance management framework would also define:
 - **Strategies and funding.** Performance-based plans will need to indicate how state DOTs, MPOs, and transit agencies are working to improve performance in each goal – including policies, strategies, and investments. Strategies are critical for all performance areas, and in some areas provide the only information that will be available, especially in the short term. For example, in safety, actions taken to address the behavioral factors that contribute to future safety performance are not typically investment oriented and are also often outside the purview of the state DOT. However, specific safety investments are also expected and it will be important to report on what these investments are and how they relate to an agency's overall safety strategy. It is anticipated that information for this area is expected to be drawn from complementary planning processes (SHSP, CMP, etc.) where they exist. In addition, it is important to recognize that strategies may impact multiple goal areas and it will be important in reviewing these strategies to ensure consistency and coordination across goals and programs.
 - **Expected future performance.** Where possible, performance-based plans would evaluate expected future performance. This information could be quantitative or a qualitative description of how strategies are expected to improve or maintain current performance. The purpose of this analytic effort is to relate how the set of strategies and investments proposed are expected to improve performance of each of the goal areas.
 - **Actual performance.** As transportation agencies implement their plans and programs, it is important to monitor how performance is changing, especially in relationship to forecasted performance described above. This step provides a means to address both the success of the strategies and potentially to identify gaps in tools and data that may improve forecasts in the future.
 - **Data, tools, and assumptions.** Understanding and improving the data, tools, and assumptions used to estimate and forecast future performance is critical. Some performance areas have well established tools (e.g., pavement and bridge management systems) or significant data collection efforts (e.g., the Fatality Accident Reporting System, or FARS) that can help in measuring and evaluating expected future performance.



Participants

Last Name	First Name	Agency	E-mail
Achelpohl	Ronald	Mid-America Regional Council	rona@marc.org
Ahern	Kelsey	Cambridge Systematics	kahern@camsys.com
Aleithawe	Imad	Mississippi DOT	aaleithawe@mdot.state.ms.us
Arkell	Reginald	FTA	reginald.arkell@dot.gov
Austin	Victor	FTA	Victor.Austin@dot.gov
Belch	Stephanie	Indianapolis MPO	stephanie.belch@indy.gov
Bettger	Natalie	North Central Texas COG	NBettger@nctcog.org
Blair	Jerry	East West Gateway COG	jerry.blair@ewgateway.org
Boyer	Michael	Delaware Valley Regional Planning Commission	mboyer@dvrpc.org
Cempel	Erik	Cambridge Systematics	ecempel@camsys.com
Cheatham	James	FHWA	james.cheatham@dot.gov
Ciavarella	Lynnette	METRA Rail	lciavare@metrarr.com
Clark	Alan	Houston/Galveston Area Council	Alan.clark@h-gac.com
Covington	Rosemary	Sacramento Regional Transit District	rcovington@sacrt.com
Denbow	Rich	AMPO	rdenbow@ampo.org
Donovan	John	FHWA	John.Donovan@dot.gov
Evans	Jennifer	Southeast Michigan COG	evans@semcog.org
Evilia	Chris	Waco MPO	cevilia@ci.waco.tx.us
Fichter	Kate	Massachusetts DOT	katherine.fichter@state.ma.us
Filipi	Mark	Metropolitan Council Minnesota	Mark.Filipi@metc.state.mn.us
Fineman	Brian	North Jersey Transportation Planning Agency	fineman@njtpa.org
Fisher	Frances	Volpe	Frances.Fisher@dot.gov
Gaj	Stephen	FHWA	Stephen.Gaj@dot.gov
Gallucci	Grace	Chicago Regional Transit Authority	galluccig@rtachicago.org
Gee	King	FHWA	king.gee@dot.gov
Gisi	Andrew	Kansas DOT	Andrew.gisi@ksdot.org,
Guerre	Joseph	Cambridge Systematics	jguerre@camsys.com

Last Name	First Name	Agency	E-mail
Gustave	Mirna	Volpe	Mirna.Gustave.CTR@dot.gov
Hacker	Ned	Wasatch Front Regional Council	nhacker@wfrc.org
Haley	Mike	Maryland DOT	mhaley@mdot.state.md.us
Hardy	Matt	AASHTO	mhardy@aaashto.org
Hardy	Delania	AMPO	dhardy@ampo.org
Hayse	Jane	Atlanta Regional Commission	jhayse@atlantaregional.com
Hendren	Patricia	Washington Metropolitan Area Transportation Authority	phendren@wmata.com
Henkel	Tim	Minnesota DOT	Tim.Henkel@state.mn.us
Hesse	Eric	Tri-Met Oregon	HesseE@trimet.org
Hoelt	Brian	Regional Transportation Commission of Southern Nevada	HoeltB@rtcnsnv.com
Howard	Charlie	Puget Sound Regional Council	choward@psrc.org
Hunsaker	Rick	Iowa Region XII COG	rhunsaker@region12cog.org
Jackson	Denise	Michigan DOT	jacksonD15@michigan.gov
Jarrold	Richard	Kansas City Area Transportation Authority	djarrold@kcata.org
Johnson	Hal	Utah Transit Authority	hjohnson@rideuta.com
Kane	Tony	AASHTO	AKane@aaashto.org
Kissel	Carrie	NADO	CKissel@nado.org
Kohrs	Sandi	Colorado DOT	sandi.kohrs@dot.state.co.us
Kopec	Don	Chicago Metropolitan Agency for Planning	dkopec@cmap.illinois.gov
Kuhn	David	New Jersey DOT	david.kuhn@dot.state.nj.us
Lee	David	Florida DOT	david.lee@dot.state.fl.us
Louch	Hugh	Cambridge Systematics	hlouch@camsys.com
Lyons	William	Volpe	William.Lyons@dot.gov
McCoy	Kevin	Volpe	Kevin.McCoy.CTR@dot.gov
McKenzie	Jim	Metroplan (AR)	mckenzie@metroplan.org
Miller	Deb	Kansas DOT	dmiller@ksdot.org
Miller	Harlan	FHWA	harlan.miller@dot.gov
Morse	Lindsey	Volpe	Lindsey.Morse@dot.gov
Mosch	Linda	New Jersey Transit	lmosch@njtransit.com
Neumann	Lance	Cambridge Systematics	lneumann@camsys.com

Last Name	First Name	Agency	E-mail
Oakley	Janet	AASHTO	joakley@ashto.org
Olson	Marybeth	Oregon DOT	Marybeth.w.olson@odot.state.or.us
Orsbon	Ben	South Dakota DOT	ben.orsbon@state.sd.us
Peet	Karl	Chicago Transit Authority	kpeet@transitchicago.com
Petrie	Ed	Metro Transit (MN)	edwin.petrie@metc.state.mn.us
Petty	Kenneth	FHWA	kenneth.petty@dot.gov
Randall	Eric	Metropolitan Washington COG	erandall@mwkog.org
Renek	Naomi	NYMTA	nrenek@mtahq.org
Riklin	Sherry	FTA	robert.tuccillo@dot.gov
Ritter	Robert	FHWA	robert.ritter@dot.gov
Roecker	Jeffrey	Pennsylvania DOT	jroecker@pa.gov
Shaw Whitson	Francine	FHWA	francine.shaw-whitson@dot.gov
Shepherd	Gloria	FHWA	Gloria.Shepherd@dot.gov
Smith	Brian	Washington DOT	smithb@wsdot.wa.gov
Smith	Egan	FHWA	egan.smith@dot.gov
Snorden	Lorraine	Pace Suburban Bus	Lorraine.snorden@pacebus.com
South	Jeffrey	Illinois DOT	Jeffrey.South@Illinois.gov
Stephanos	Peter	FHWA	peter.stephanos@dot.gov
Thomas	John	Utah DOT	johnthomas@utah.gov
Tischer	Mary Lynn	FHWA	mary.tischer@dot.gov
Tobias	Priscilla	Illinois DOT	Tobias@illinois.gov
Toth	Jennifer	Arizona DOT	jtoth@azdot.gov
VanDyke	Cynthia	Georgia DOT	cyvandyke@dot.ga.gov
VanHavel	Jason	Nevada DOT	JVanHavel@dot.state.nv.us
Weaver	Rich	APTA	rweaver@apta.com
Williams- Clark	Andrew	CMAP	AWilliamsClark@cmag.illinois.gov
Wolfe	Pam	Boston MPO	pamwolfe@ctps.org
Zanto	Lynn	Montana DOT	lzanto@mt.gov
Zerrillo	Bob	New York DOT	rzerrillo@dot.state.ny.us