

**United States Department of
Transportation**

**FEDERAL TRANSIT
ADMINISTRATION**

**Annual Performance Plan
FY 2008**

Final

**James S. Simpson
Administrator**

FY 2008 Annual Performance Plan

Summary of Goals

Reduced Congestion & Global Connectivity

- 1) Increased Ridership

Environmental Stewardship

- 2) Transit and Sustainability

Safety & Security, Preparedness & Response

- 3) Implement Integrated Safety, Security and Emergency Preparedness Strategies

Organizational Excellence

- 4) Enhance FTA's Customer Focus
- 5) SAFETEA-LU Implementation and Reauthorization
- 6) Knowledge Management
- 7) Integrated Decision-making
- 8) Human Capital
- 9) Individual Office Goals

Introduction

FTA staff will perform their duties in support of the following FTA products and services:

GRANTS: Manage the transportation planning process, project development, approval and administration of grants which support our customer's mission to provide excellent public transportation services.

TECHNICAL ASSISTANCE: Provide consultative services including one-on-one dialogue, site visits, meetings, publications and website information to enable grantees to successfully meet Federal grant requirements.

PROGRAM MANAGEMENT: Initiate and manage oversight policies, best practices and e-commerce to ensure that Federal funds are effectively and efficiently managed and to build technical capacity in transit authorities to complete projects on time and within budget.

TRANSIT POLICY: Study industry trends and propose legislative initiatives to Congress on behalf of the Administration and translate legislative requirements into regulations and/or practice guidance for grantees.

PROMOTION OF INNOVATION: Develop and market ideas and strategies to increase ridership, improve operations, introduce new technologies and promote multimodal transportation solutions.

About the Annual Performance Plan:

The Annual Performance Plan is used to communicate to FTA staff and external stakeholders what we intend to accomplish in the upcoming fiscal year. There are duties we perform daily that support a broad range of FTA products and service as listed above. The Annual Performance Plan also includes a number of high priority and cross-cutting agency goals.

The goals in the Annual Performance Plan are aligned with the broad goals in the Department of Transportation Strategic Plan. Each goal includes a number of specific deliverables we will use to measure progress in contributing to the strategic goals of the Department. The goals also include performance outcomes or results we want to affect that are our ultimate objectives as an organization, but which may not be fully within our control.

Each goal has a lead or co-lead for each goal team who will report quarterly and at year-end on progress made during the year and assign a performance rating to each goal. The name or names in **bold** below each goal title are the lead(s) for that goal.

Reduced Congestion

Goal #1 - Increased Ridership

(Dick Doyle, Ron Hynes, Kristine Leiphart, Susan Schruth, Michael Winter)

DOT Strategic Plan Reference:

Mobility - Advance accessible, efficient, intermodal transportation for the movement of people and goods. Reduce congestion.

Rationale:

Steady increases in transit investments have dramatically improved and expanded public transportation services and mobility options for many Americans, while attracting record numbers of riders. At the same time, the growing problem of traffic congestion continues to choke America's roadways. FTA promotes transit ridership through investments, initiatives, and the sharing of information and best practices with transit agencies.

Deliverables:

- Each Regional Office, or a geographical consortium of regional offices if appropriate, will conduct a ridership symposium to include regional operators presenting practices of ridership increases and invite transit industry representatives including operators, riders and local, State and Federal government personnel.
- In conjunction with the National Transit Institute (NTI), conduct a ridership self-assessment course in at least three regions.
- Update the ridership website with recent examples of ridership activities.
- Recognize successful initiatives by FTA grantees to produce significant increases in ridership by presenting ridership awards to these high-performing transit providers.
- Implement two collaborative actions (e.g., joint grantee training, shared letters, joint conference calls with grantees, etc.) in each region with other Federal partners at the national and regional levels that facilitate coordinated transportation services for people with disabilities, older adults, and individuals with lower incomes, in line with the United We Ride initiative.
- Ensure that 70% of all communities with transit services (urban or rural) as of October 1, 2007, develop a local coordinated plan as required in SAFETEA-LU.
- Adopt and disseminate Cost Sharing Principles with the Federal Interagency Coordinating Council on Access and Mobility.
- Convene a national dialogue/roundtable on travel training, mobility management, and/or transit pass initiatives.

- Establish five-year plan of projects funded from the National Research Account that support FTA's Strategic Research Plan's Goal to increase transit ridership as part of the preparation of the FY 2009-FY 2012 Multi-Year Research Program Plan.

Performance Outcome:

- For the period July 2007 to June 2008, increase total real ridership at the top 150 transit agencies by 1.5% relative to the previous 12 months.

Environmental Stewardship

Goal #2 – Transit and Sustainability

(Susan Borinsky, Dick Doyle, David Longo, Sandra McCrea, Bob Tuccillo, **Matt Welbes**)

DOT Strategic Plan Reference:

Environmental Stewardship - Promote transportation solutions that enhance communities and protect the natural and built environment.

Rationale:

With increasing traffic congestion, climate change, and energy consumption challenges, FTA will be pro-active in advocating the benefits of public transportation in advancing sustainability, improving the environment, and reducing energy consumption.

Deliverables:

- Establish five-year plan of projects funded from the National Research Account that support FTA's Strategic Research Plan's Goal to protect the environment and promote energy independence as part of the preparation of the FY 2009-FY 2012 Multi-Year Research Program Plan.
- Initiate Environmental Management System (EMS) training for five to ten transit agencies based on the 14001 requirements of the International Organization for Standardization, to help these agencies minimize the environmental impacts of their proposed projects during construction and operations and/or improve the environmental management of their transit operations.
- Create a "Transit and Sustainability" section for the FTA public webpage providing information on FTA activities that support pollution reduction including information on:
 - Relevant research activities;
 - Links with academic and scientific sources that provide information on transit's current environmental benefits and potential future improvements; and
 - Diesel emission reduction strategies for in non-road construction equipment used in construction of major transit investments.
- Research the environmental benefits of major transit investments.
- Research emerging environmentally-friendly transit technologies.
- Establish an FTA outstanding achievement award for excellence in environmental document preparation.

- Complete at least three partnering opportunities (e.g., conferences, research) with other organizations that advance public awareness about transit's contributions to environmental stewardship and sustainability.
- Continue FTA's transit oriented development (TOD) promotion activities through at least three Office of Budget and Policy-led actions and two actions at each regional office.
- Showcase FTA's leadership in new transit service delivery, innovative transit technology or clean fuel improvements through various public outreach mechanisms including symposium, public presentations and development of ancillary materials.

Performance Outcomes:

- A long-term research program to assist FTA in executing its environmental stewardship responsibilities and in promoting national energy independence.
- Select participants for FTA-sponsored Environmental Management Systems training; initiate 2-year training program.
- A new FTA webpage to provide information to the transit community and the general public on transit and sustainability.
- TPE-sponsored colloquium of national environmental experts to consider the environmental benefits of major transit investments.
- Information about innovative transit technology that supports environmental protection.
- Environmental Document Preparation Award(s) to project sponsors/consultants to recognize exceptional environmental documents that assisted in transportation decision-making.
- At least three partnering events/activities with other organizations to support transit and sustainability.
- At least two headquarters-led transit oriented development (TOD) activities; at least two TOD activities in each region.
- At least three publicly-oriented instances (e.g., symposiums, presentations, materials) to showcase FTA's leadership in the areas of new transit service delivery, innovative technology, or clean fuel improvements.

Safety & Security

Goal #3 – Implement Integrated Safety, Security and Emergency Preparedness Strategies

(Mokhtee Ahmad, Linda Lasley, Terry Rosapep, Susan Schruth, Mike Taborn, Matt Welbes)

DOT Strategic Plan Reference:

Safety – Enhance public health and safety by working toward the elimination of transportation-related deaths and injuries.

Security, Preparedness, & Response – Balance transportation security requirements with the safety, mobility, and economic needs of the Nation; be prepared to respond to emergencies that affect the viability of the transportation sector.

Rationale:

FTA's Office of Safety and Security manages an integrated set of oversight and technical assistance programs designed to prevent public transportation fatalities, injuries, property damage and system interruption, and ensure the capability to respond effectively to those accidents and incidents that do occur. This program promotes continuous improvement in the transit industry through the investigation and resolution of systemic safety, security and emergency preparedness issues.

Deliverables:

- **Update “Safety and Security Master Plan” to reflect results from safety, security and emergency preparedness needs assessments, and Department of Homeland Security (DHS) coordination**
- Develop FY 2008 “Safety and Security Master Plan” including a five-year deliverable and future milestones, supported by developing the following:
 - Safety, Security and Emergency Management Technical Assistance Plan (SEMTAP) Master Plan, including recommended FTA gap initiatives
 - Techniques for Cooperative Emergency Planning and Response – Small Urban and Rural Transit Bus Agencies
 - FY 2008 Rail Transit Safety Action Plan
 - FY 2008 Transit Bus Safety Action Plan
 - Updated FY 2008 FTA Security Action Items
- **Strengthen safety culture in transit industry**
 - Develop a transit industry outreach brochure on developing and implementing a safety management program
- **Increase support for continued professional development of transit safety and security personnel**
 - Develop and disseminate bus transit safety, security, and emergency preparedness training curriculum

- Conduct two seminars at select State DOT facilities for the delivery of training to State DOT sub-recipients (small urban and rural bus operators).
- **Enhance transit worker safety**
 - Develop refresher track inspection training pilot course.
 - Deliver refresher track inspection training pilot course at four (4) heavy rail transit agencies.
 - Develop maintenance safety oversight technical guidelines.
 - Develop a pocket guide on track inspection.
 - Develop a pocket guide on track worker protection.
 - Develop a track inspection training video.
- **Implement an emergency management pilot program for transit agencies**
 - Develop pilot plan for emergency management department at transit agencies.

Performance Outcomes: (Identified for each of the five categories of deliverables):

Safety and Security Master Planning Initiative

- Continuous improvement in public transportation safety, security and emergency preparedness programs guided by verified assessments regarding needs and evaluated through on-going data analysis and trending.
- Enhanced tracking of FTA program performance.

Strengthen safety culture in transit industry

- Increased implementation of safety management programs in the transit industry.

Increase support for continued professional development of transit safety and security personnel

- Increased training for State safety oversight agency program managers.
- Improved safety oversight of rail transit agencies.
- Increased training for transit safety and security professionals.
- Improved safety and security core competencies in transit personnel.
- Increased safety, security and all-hazards training for small urban and rural transit bus operators.

Enhance transit worker safety

- Enhanced core competencies in track inspection and safety oversight at the Nation's rail transit agencies.
- Enhanced awareness and management of fatigue in the transit industry.
- Improved safety for transit employees through enhanced awareness of drug and alcohol policies.

Implement an emergency management pilot program for transit agencies

- Increased transit capability to coordinate with external agencies and plan for and respond to emergencies.

Organizational Excellence

Goal #4 – Enhance FTA’s Customer Focus

(Dick Doyle, Dave Longo, Rick Krochalis, Susan Schruth)

DOT Strategic Plan Reference:

Organizational Excellence - Advance the Department's ability to manage for results and achieve the goals of the President's Management Agenda.

Rationale:

With the increased funding levels under SAFETEA-LU and the growing demand for improved transit services in all areas of the country, A+ customer service will enable FTA to deliver valued products and services. Understanding the needs, concerns, and expectations of both our external and internal customers is critical to our success.

Deliverables:

- Establish a systematic process for conducting at regular intervals an external customer survey of our grantees and other customers, beginning in FY 2008, contingent upon OMB approval, including:
 - Establishing a working group to finalize survey procedures, identify how results will be analyzed and publicized, and share results with staff.
 - Developing a process for how to prioritize action plans based on the survey results and how those plans will be incorporated into future organizational improvement efforts.
- Establish a systematic process for conducting internal customer surveys of FTA staff, beginning in FY 2008, including:
 - Establishing a working group to help draft the survey questionnaire;
 - Developing a schedule for how often the surveys will be conducted;
 - Identifying key subject areas to be included;
 - Identifying how results will be analyzed as well as distributed to staff and by whom; and
 - Developing a process for how the results will be incorporated into future organizational improvement efforts.
- Based on the results of the surveys, each EMT member will conduct three focused personal interviews (in-person, telephone or online) with customers and/or stakeholders that will be used for input into the FTA Strategic Plan and the FY 2009 Annual Performance Plan.

Performance Outcomes:

- Because the FTA sponsored customer surveys conducted this year (that can be completed via e-mail) will serve as the “baselines” against which FTA can measure improvements in future years, the outcomes for this year are:

- Obtain a 40% participation rate by FTA grantees on the external customer survey, which is an aggressive goal. Typical customer survey response rates are generally 30% or less.
- Obtain a 70% participation rate of FTA employees on the internal customer survey. While aggressive, this goal should be achievable based on the high response rate to the Office of Personnel Management (OPM) Human Capital survey.
- Develop measurable, targeted customer service improvement goals for each EMT office to be included in the FY 2009 Annual Performance Plan.

Organizational Excellence

Goal # 5 – SAFETEA-LU Implementation and the Next Reauthorization

(Scott Biehl, Linda Lasley, Sherry Riklin, Leslie Rogers, Susan Schruth, Rich Steinmann, Bob Tuccillo)

DOT Strategic Plan Reference:

Organizational Excellence – Advance the Department’s ability to manage for results and achieve the goals of the President’s Management Agenda

Rationale:

We’ve reached the mid-point of the current authorization. We have a number of rulemakings, circulars, and reports to Congress and Departmental initiatives to accomplish during the balance of SAFETEA-LU. Additionally, we must formulate the Administration’s proposal for reauthorization of the Federal transit programs well in advance of the sunset of SAFETEA-LU in September 2009.

Deliverables:

- Submit draft final rules for New Starts/Small Starts, Charter Service, and Environmental Impact Procedures to OST by May 15, 2008.
- Complete the revision and reissuance of circulars for the Capital and Urbanized Area Formula programs and the Grants Management and Third-Party Contracting Requirements Guidelines during Fiscal Year 2008.
- Complete congressional reports on Before and After Studies, Contractor Performance Assessments, the Debt Service Reserve Pilot Program, the Job Access and Reverse Commute Program, and the Annual Funding Recommendations (New Starts, Small Starts, and Alternative Transportation in the Parks and Public Lands) during Fiscal Year 2008.
- By September 30, 2008, develop a comprehensive FTA proposal for reauthorization of the Federal transit programs following the expiration of SAFETEA-LU, and a strategy for shepherding that proposal through the Administration and Congress.

Performance Outcomes:

- Complete congressional reports and submit draft final rules to OST.
- Develop a comprehensive proposal for reauthorization.

Organizational Excellence

Goal #6 – Knowledge Management

(Ann Linnertz, Mary Beth Mello, Sherry Riklin, Susan Schruth, Bob Tuccillo)

DOT Strategic Plan Reference:

Organizational Excellence – Advance the Department’s ability to manage for results and achieve the goals of the President’s Management Agenda.

Rationale:

Finding 21st century solutions for 21st century problems means that FTA must be able to capture the knowledge of agency personnel and provide access to the right information in the right format at the right time to the right customer. Focusing on building collaborative work environments, infrastructure, resources and skills will help FTA deploy the appropriate technology, tools, and infrastructure necessary to support a data-driven performance culture. FTA will use systematic approaches to find, understand, and use knowledge to achieve organizational objectives and focus on information sharing and knowledge management.

Deliverables:

- **Next Generation Data Systems**
 - Review and identify data sharing and information management processes and opportunities. *Conduct a comprehensive assessment and develop a phased action plan* for meeting programmatic information technology needs that ensures interoperability and reduces redundancy and labor-intensive processes.
 - Identify and *dedicate appropriate programmatic, technical and budgetary resources* necessary to develop FTA’s next generation mission-critical applications, and transition to state-of-the-art operating systems for TEAM.
 - Comprehensively review the annual NTD module, and implement a plan to reduce reporting requirements, eliminate data collection redundancies, and address FTA's unmet data needs.
- **FTA Performance Metrics**
 - Continue to develop and implement data-driven performance analysis and tracking activities to ensure ongoing measurement and reporting that is meaningful and informs agency decision-making.
 - Leverage insights gained as a result of FTA’s FY 2007 Baldrige experience to identify appropriate benchmark agencies, performance measures, and baselines for a discrete set of program areas.
 - Develop a strategy for expanding and integrating performance data collection.

- **Knowledge Sharing Strategies**

- Launch an “*innovation fellowship*” initiative that provides staff with formal opportunities to develop innovative strategies and problem-solving approaches, form focused working groups, and dedicate staff time to execute and measure the success of the innovation.
- Design and deploy a comprehensive and sustainable set of knowledge transfer tools and initiatives that can be piloted by headquarters and regional offices to enhance information sharing and institutional knowledge management.
- Conduct an assessment of how to comprehensively collect, manage, and disseminate data, lessons, and results from FTA-supported research projects.

Performance Outcomes:

- All mission-critical application platforms and environments are positioned to meet the highest operational standards and represent best practices, have acceptable business cases, and completed certification and accreditation.
- FTA relies on a comprehensive set of performance measures that focus on past, present and future indicators that enable effective benchmarking and fact-based decision making.
- FTA adopts a variety of knowledge sharing strategies that create and leverage opportunities to collect, manage, and apply critical knowledge to increase its capacity for achieving results.

Organizational Excellence

Goal #7 – Integrated Decision-making

(*Brigid Hynes-Cherin, Ann Linnertz, Yvette Taylor, Bob Tuccillo, Michael Winter*)

DOT Strategic Plan Reference:

Organizational Excellence - Advance the Department's ability to manage for results and achieve the goals of the President's Management Agenda.

Rationale:

A sustainable organization is capable of addressing current business needs and possesses the agility and strategic management to prepare successfully for its future business and operating environment. FTA has highlighted the need to create and communicate a disciplined approach for ensuring accountability for management actions, fiscal stewardship and accountability, and transparency in carrying out strategic priorities and operations.

Deliverables:

- FTA will develop, implement, and communicate a defined process that integrates planning and ensures common strategic review of agency programmatic, human capital, information technology investments and priorities, as well as, budget formulation and execution activities by members of the Executive Management Team on a quarterly basis.
- Specific Actions:
 - *Research and Oversight Program Plan*
 - Allocate discretionary funds for the Oversight and Research Program Plan by November 15, 2007 (obligations contingent on availability of funds)
 - Update the FTA Program Plan Order by December 31, 2007.
 - *Formulation of President's Budget* -- Communicate to the EMT key provisions and funding levels of FTA's Fiscal Year 2009 and 2010 budgets at key milestones in the budget formulation process:
 - October 31, 2007 -- FY 2009 budget to the Office of Management and Budget
 - January 31, 2008 -- FY 2009 budget to Congress
 - May 15, 2008 -- FY 2010 budget to the Office of the Secretary
 - *Authorized Staffing Levels* -- Based on input from the whole EMT, the Office of Administration will distribute the number of authorized positions, maximum grade, and classification to show staffing levels for each headquarters and regional office at the beginning of each fiscal year. Subject to appropriations, each EMT office will be allowed to hire to this level without having to request additional approvals.

- *Administrative Expenses* -- Based on input from all EMT members, the Office of Budget and Policy will distribute the budget approved by the Administrator by October 15, 2007. The EMT will be given quarterly updates, by the end of the first month of each quarter, on the current status of Administrative Expenses and any proposed reallocation of funds so that such decisions are transparent.
- FTA will establish a committee to lead a collaborative process for articulating a statement of mission, values, and goals that results in the adoption of a multi-year strategic plan, by September 30, 2008.

Performance Outcomes:

- Develop a coordinated strategic plan, annual performance plan, budget, and program plan by the end of FY 2008 using an integrated, transparent, and formalized process.
- Convene quarterly EMT meetings to monitor key areas of agency operations and performance (budget, hiring, investment priorities, etc.) and provide strategic advice to the Administrator.

Organizational Excellence

Goal #8 – Human Capital

(Charmaine Knighton, Ann Linnertz/Brenda Wilson, Sandra McCrea, Bob Patrick, Marisol Simon)

DOT Strategic Plan Reference:

Organizational Excellence – Advance the Department’s ability to manage for results and achieve the goals of the President’s Management Agenda.

Rationale:

FTA is committed to improve its overall effectiveness and efficiency by employing an integrated, methodical and ongoing plan to identify the human capital necessary to meet agency goals, developing strategies to meet these requirements, and enabling employees to develop and realize their full potential.

Deliverables:

- **Workforce Planning**
 - Review and update headquarters operations workforce analysis.
 - Identify meaningful human capital data sources and metrics to assess and project workforce requirements (staffing, development, recruitment and retention, etc.) to support mission-critical operations.
 - Establish a succession management framework that ensures FTA has the pipeline of talent it needs over the next five years that reflects the diversity of the national workforce and emphasizes the inclusion of employees from underrepresented groups at all levels of the organization.
- **Core Competency and Employee Empowerment**
 - Establish employee development plans that tie directly to core competency assessments and curricula aimed at all occupations, agency managers, supervisors, and executives.
 - Engage employees in organizational planning and decision making by scheduling individual work unit retreats and establishing 360 degree feedback loops.
 - Expand the number of opportunities for employees to participate in details, rotational assignments, and professional conferences and training.
- **Leadership Development**
 - Leverage succession planning strategies to develop leaders who empower staff, communicate effectively and foster entrepreneurial spirit and risk-taking.

- Sponsor a leadership development program that includes classroom training, peer-to-peer training, interviews, shadowing assignments, self assessments and group projects and presentations.
- Expand participation in mentoring relationships.

Performance Outcomes:

- Federal Human Capital Survey scores of FTA leadership rank among the highest in the Federal government. FTA leadership is identified as a “best practice” in government.
- At least 80% of all FTA employees have Individual Development Plans in place.
- Employee participation rates in training related to core curriculum identified for mission critical occupations increase by 5% and completion of eLMS training increases 5%.
- Employees continue to report increasing satisfaction with the training and resources they need to carry out their responsibilities, as reflected in Federal Human Capital Survey.
- Expand the number of employees participating in details, rotational assignments, and mentoring relationships.
- FTA workforce demographics closely reflect the national labor force at every level of the organization.

Organizational Excellence

Goal #9 – Individual Office Goals

(All EMT Members)

DOT Strategic Plan Reference:

Organizational Excellence – Advance the Department’s ability to manage for results and achieve the goals of the President’s Management Agenda.

Rationale:

Each FTA office plays an essential role in our organizational mission. Therefore, each FTA office should identify its most important targeted accomplishments for the year to better recognize its achievements and to hold FTA as a whole accountable for results.

Deliverables:

- Each FTA office identifies its most important targeted accomplishments for the year, and these targeted accomplishments guide the office’s operations for the year.