

# Performance-Based Planning and Programming Guidebook

Webinar

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## Performance-based Planning and Programming

- Key role for planning and programming to influence more performance-based decision-making
- FHWA, FTA, AASHTO, APTA, AMPO, NARC and NADO working informally to:
  - Define key elements of performance-based planning/prog.
  - Identify examples of good practice
  - Engage with stakeholders and identify key challenges and opportunities for capacity building



## About the Guidebook

Designed as a practical resource to help State DOTs, MPOs, and transit agencies understand

- What the key elements of a PBPP process are, and
- How they fit within existing planning and programming.

### Context:

- Expands upon existing resources
  - White paper, past peer exchanges, resource documents
- Highlights examples of effective practices
  - State DOTs, MPO, and transit agencies
  - LRTP, TIP / STIP, and planning process elements (e.g., SHSPs, CMP, Asset Management Plans, etc.)

<http://www.fhwa.dot.gov/planning/pbp/>



## Additional Background

- Guidebook was developed between June 2012 and August 2013
- A stakeholder committee of practitioners from state DOTs, MPOs, transit agencies, and national associations guided the development and provided significant input
- The Guidebook is not intended to provide guidance regarding the implementation of MAP-21; rather, it is meant to showcase effective practices and provide useful information to agencies on how to use performance information to guide decision-making

# What is Performance-based Planning and Programming (PBPP)?

- PBPP refers to the application of performance management within the planning and programming process to achieve desired performance outcomes for the multimodal transportation system.
- Includes a range of activities and products.
  - Development of long range transportation plans (LRTPs)
  - Federally-required plans and processes -- such as Strategic Highway Safety Plans (SHSPs), Asset Management Plans, the Congestion Management Process (CMP), Transit Agency Asset Management Plans, and Transit Agency Safety Plans
  - Other plans
  - Programming documents, including State and metropolitan Transportation Improvement Programs (STIPs and TIPs)



# Guidebook Structure

## Executive Summary

I. Purpose and Overview

II. Overview of PBPP: Key Concepts

Key PBPP Elements

III. Develop Goals and Objectives

IV. Select Performance Measures

V. Identify Trends and Targets

VI. Identify Strategies and Analyze Alternatives

VII. Develop Investment Priorities in the LRTP

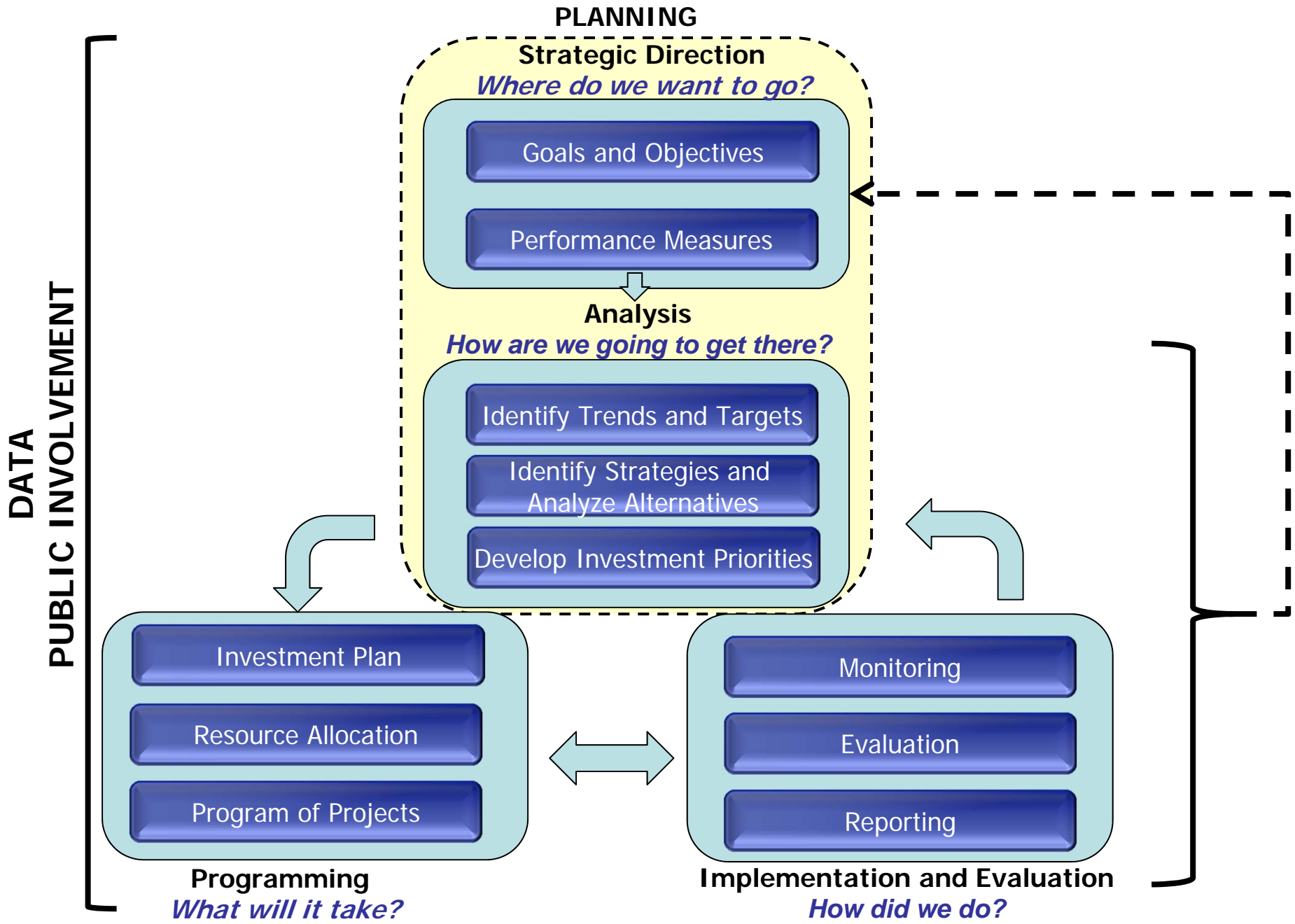
VIII. Programming – Develop Investment Priorities in the TIP and STIP

IX. On-going Monitoring, Evaluating, and Performance Reporting

X. Keys to Success

XI. Case Studies

XII. Additional Resources



**PERFORMANCED-BASED PLANNING AND PROGRAMMING**

## Programming – Developing Investment Priorities in the TIP/STIP

- Under a PBPP framework, programming of projects and strategies in the MPO and State Transportation Improvement Program (TIP/STIP) supports desired performance outcomes.
- The TIP/STIP communicate specifics of investments, funding sources, and how investments contribute to system performance improvements
- Linking the Long Range Transportation Plan (LRTP) and other performance-based plans with programming is often challenging for agencies – but there are some effective approaches.





## Programming – Developing Investment Priorities in the TIP/STIP

- The programming process can use *project selection criteria*, which reflect the priorities and desired performance outcomes identified in the planning process
  - Atlanta Regional Commission (ARC) implemented a project prioritization method in its RTP and TIP, which evaluates capacity expansion projects based on environmental impact, support for regional land use policies, and ability to reduce congestion.
  - North Carolina DOT’s “Policy to Projects” process uses a scoring process to prioritize projects based on quantitative data, and also accounts for local input and multimodal characteristics
- It can ensure consistency of the TIP/STIP with LRTP investment priorities and goals
  - The Southeast Michigan Council of Governments (SEMCOG) tracks consistency of projects in its TIP with investment levels identified in the agency’s long-range plan.



## Developing an Investment Plan

- Investment plans are used by some agencies to identify projects, programs, and strategies at a more detailed level than the long-range plan
  - Connects LRTP to STIP or TIP
  - Effective prioritization addresses how to balance various goals given constraints
- **Examples:**
  - Minnesota DOT – Performance focus of long range plan carried through to investment and capital plans – each mode has a separate plan
  - New Jersey DOT’s Statewide Capital Investment Strategy – tool that links project funding selection with broad program objectives using performance analysis



## Project and Strategy Selection

- Project selection should effectively “translate” the plan to projects that are funded and implemented
- Options include project scoring, selection criteria, or optimization techniques:
  - **Capital Area MPO (NC)** – scoring system that consider local priorities, level of local funding match, consistency with LRTP, project phase, prior funding, mode-effectiveness and cost-effectiveness
  - **Pennsylvania DOT** – Use of performance-based criteria to reinforce commitment to “fix it first” policy – has led to significant improvements in asset condition
  - **Denver Regional COG** – TIP project selection process involves funding targets for different types of projects designed to implement the objectives in the LRTP; then uses specific evaluation criteria for each project type that are used for scoring and ranking projects.



## Programming – Communicating Connections to Performance

- Monitoring success of funded projects creates feedback loop for each planning cycle
- Some state DOTs are transitioning to use of electronic STIP, which can include explicit links to performance information
  - FHWA/FTA resource under development: *Electronic-STIPs: A Guide to Incorporating Performance Measures in Programming*



# On-going Monitoring, Evaluation, and Reporting

- Reasons to Monitor and Evaluate
  - Enhance understanding of system performance and which strategies have been effective and why
  - Determine whether objectives have been met through target attainment
  - Inform adjustments to projects and programs based on results
  - Support reexamination and refinement of objectives and targets
  - Provide information to calibrate/refine planning tools

## On-going Monitoring, Evaluation, and Reporting

- **Monitoring System Performance** – Monitoring is the process of tracking performance of the system, typically in terms of the goals, objectives, measures and targets that have been set in the planning process
- **Evaluating Programs and Projects** – Evaluation is the process of interpreting results to understand the impacts that investments and policies have had on performance



## Effective Reporting – Key Principles

- “Performance journalism” concept:
  - Good writing – Clear, concise, language that is understandable;
  - Good data – Pursue data integrity and quality, and address issues of incomplete data or limitations in data.
  - Good graphics – Graphics should be easily understood by the reader.
  - Good format and presentation – Entice the reader to engage with the material, allow a quick grasp of the message, and employ a reader-friendly layout.
  - Good timing – Information should be timely and cover issues of importance to the community.
  - Tell stories – Develop a story of when things have gone right or wrong, and why.

Source: Washington State DOT, “Bridging the Gap Between Agencies and Citizens: Performance Journalism Offers a Practical Solution to Communicate Performance Results,” by Daniela Bremmer and James H. Bryan, Jr.



# Questions or Comments?

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