

Performance-Based Planning & Programming: *Self-Assessment*

A Voluntary Tool for State DOTs & MPOs to:

- Assess their agency's progress towards implementing PBPP
- Identify promising practices and areas for improvement
- Begin/Focus discussions with Partners and Stakeholders
- Identify training or technical assistance needs
- Create an action plan



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Purpose and Use of PBPP Self-Assessment

This **voluntary** self-assessment was created as tool for State DOTs and MPOs to:

- Assess their agency’ progress towards implementing PBPP
- Identify promising practices and areas for improvement
- Begin or focus discussions, coordination, and education with planning partners and stakeholders
- Create an action plan
- Identify training or technical assistance needs

Getting the Most of Your Self-Assessment

Use FHWA's PBPP Guidebook

This self-assessment was developed using the FHWA's Performance-Based Planning and Programming Guidebook. To get the most of this self-assessment, it's highly recommended you read the Guidebook prior to completing the self-assessment and reference it often while completing the assessment.

FHWA's PBPP Guidebook can be found at http://www.fhwa.dot.gov/planning/performance_based_planning/pbpp_guidebook/

Take Your Time

Take your time thinking about and filling out this self-assessment. There is no deadline.

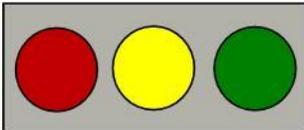
Brainstorm New Processes

PBPP is a new requirement with MAP-21; therefore your agency may not have all of the established processes it will need to fully implement PBPP. That's okay.

While completing the self-assessment, if you come to a section/question where your agency doesn't have an established process, begin brainstorming and documenting a proposed process. This can help begin discussions with your partners.

Rate your Progress

As an easy way to show your partners where your agency/process is in implementing PBPP, put a check mark in the appropriate area. Make sure to update as you continue to implement PBPP and revisit your self-assessment.



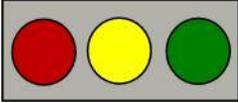
Red – No current process / Starting from Scratch
Yellow – Immature Process / Updates Needed
Green – Mature Process / No Further Work Needed

Revisit Your Self-Assessment Throughout the Whole Implementation Period

We are in the very beginning stages of implementing PBPP and we have a long journey in front of us. Your self-assessment can assist you throughout the whole implementation process. Periodically revisit and update the self-assessment and continue to track your progress.

PBPP Self-Assessment

Cooperation and Coordination



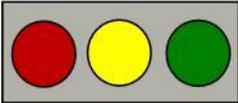
The transportation planning process is commonly referred to as a 3C process - due to its cooperative, continuing, and coordinated nature - collaboration among planning partners is vital in the PBPP process.

1. Assess your agency's coordination processes within/with:

- Your agency and/or department
- External partners,
- Traditional
- Non-traditional partners

What challenges does your agency face and how do you plan to overcome them? How can you improve your processes?

Linkages Across Performance-Based Planning Activities

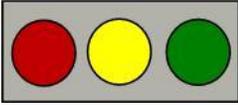


PBPP is integrated throughout the decision-making process. A range of plans outlined below use performance-based approaches. Each of these documents and their associated processes include objectives, performance measures, data collection and monitoring, selection of strategies, and evaluation. These performance-based planning efforts can provide inputs and insights to inform State and MPO LRTPs, and should be developed to support the broader vision, goals, and objectives of the LRTPs:

- State [Highway] Asset Management Plan
- State Strategic Highway Safety Plan
- MPO Congestion Management Process
- Transit Asset Management Plan
- Transit Agency Safety Plan
- State Freight Plans
- Corridor planning efforts
- Transit agency capital program development
- Operations plans
- Other plans/studies

2. Were the above mentioned performance-based planning documents developed within the framework of goals, objectives, and performance measures as established in the LRTP? What challenges does your agency face and how do you plan to overcome them? How can you improve your processes?

Public and Stakeholder Involvement



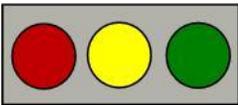
Public involvement plays an important role in PBPP. Engaging the public is a required component of metropolitan and statewide and non-metropolitan transportation planning, and is a common practice among transportation agencies at all levels. The public should play a critical role at various stages of a PBPP process.

3. Assess your agency's process for engaging the public, stakeholders, and elected officials in the various stages of the PBPP process

- Development of goals
- Development of objectives
- Development of performance measures
- Selection of targets
- Assessment of strategies that feed into planning and programming decisions

What challenges does your agency face and how do you plan to overcome them? How can you improve your processes?

Data and Tools



Data and analytical tools play a *critical* role in a PBPP approach. Conducting system or project analysis will require a suite of approaches, tools, and methodologies. Data is the foundation for:

- Selecting feasible performance measures
- Understanding current system performance (developing a base line)
- Developing and tracking performance changes over time (monitoring conditions)
- Setting targets
- Evaluating the effectiveness of implemented strategies

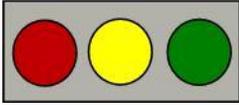
4. Data Collection:

- What data does your agency collect?
- What data do your partners collect? Assess the process utilized to share data.
- What data might you need to collect? Do you have/need a resource for this data?
- What are your limitations to obtaining and/or using data? How can you overcome these limitations?

5. Compile and Analyze Data:

- Assess your agency's process to compile and analyze data (collected by your agency and/or partners)
- Assess the analysis tools your agency uses to:
 - Forecast future performance
 - Conduct an analysis of alternative investments or scenarios.
- What challenges does your agency face and how do you plan to overcome them? How can you improve your processes?

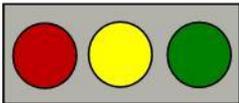
Feedback Mechanisms



The 3-C process and programming process is by nature an on-going and cyclical process, and correspondingly, PBPP is by nature an iterative process that is refined over time.

6. **Assess your agency's feedback mechanisms and your method to refine your processes over time? What challenges does your agency face and how do you plan to overcome them? How can you improve your processes?**

Developing Goals and Objectives

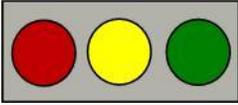


A goal is a broad statement that describes a desired end state. In a PBPP process, goals should be developed with a focus on outcomes, rather than on activities or policies. In the transportation planning process, goals stem from the values inherent in the community's vision for the future. These outcome-oriented goals set the strategic direction for a PBPP process, answering the questions "*what do we want our area to look like*" and "*what do we want to achieve*".

Once goals have been identified, the next component of a PBPP process is developing objectives. Goals relate to the "big picture" or desired end-result and objectives should be specific and measurable. **An objective is a specific, measurable statement that supports achievement of a goal.** An objective is not just a sub-goal, but provides a level of specificity necessary to fully implement broader based goals.

7. **Does your LRTP/MTP have outcome-focused goals? Assess your process for developing LRTP/MTP goals:**
 - What outcome(s) we are trying to achieve
 - Your agency's role in creating or supporting that outcome(s)
 - What kind of data and analysis would be needed to develop measurable objectives to assess progress toward meeting the goal (see the Data section, above)
 - What challenges does your agency face and how do you plan to overcome them?
 - How can you improve your processes?
8. **Does your LRTP/MTP have "SMART" (specific, measurable, agreed-upon, realistic, time-bound) objectives? Assess your process for developing SMART objectives. What challenges does your agency face and how do you plan to overcome them? How can you improve your processes?**

Select Performance Measures



Performance measures support objectives and serve as a basis for comparing alternative improvement strategies (investment and policy approaches) and for tracking results over time. Selection of performance measures is closely tied to development of goals and objectives, since performance measures are used to assess progress toward meeting objectives and in turn goals. Therefore, performance measures are central to implementing a performance-based planning process, since how performance is defined and measured will significantly affect the types of projects and strategies that are advanced. Moreover, performance results inform agencies if the types of projects and strategies that are implemented are in fact helping them achieve their strategic goals.

9. Assess your agency's process for developing and setting performance measures. Did you consider / how did you consider:

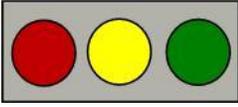
- If it represents a key concern?
- Is it a clear process?
- Is data available?
- Can it be forecasted?
- If the measure is something the agency and its investments can influence?
- Is the measure meaningful for the types of services or area?
- Improvement direction is clear.
- What challenges does your agency face and how do you plan to overcome them?
- How can you improve your processes?

10. Assess how your performance measures meet the five critical purposes:

1. Clarify the definition of goals
2. To monitor or track performance over time
3. A reference for target setting
4. A basis for supporting policy and investment decisions
5. To assess the effectiveness of projects and strategies
 - What challenges does your agency face and how do you plan to overcome them?
 - How can you improve your processes?

11. Assess your process for developing performance measures for sustainability, livability, quality of life, and other related topics that are dependent upon public input and may be difficult to collect data for. What challenges does your agency face and how do you plan to overcome them? How can you improve your processes?

Identify Trends and Targets



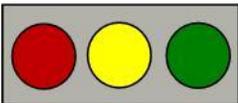
While a performance measure itself provides a metric for comparison, a PBPP process requires identification of desired trends (e.g., reduce, increase, maintain) or targets (specific numerical figures) associated with the performance measure in order to provide direction to strategy analysis and performance tracking.

In order to develop a target, it is important to analyze baseline data to understand past trends in performance, as well as conduct analysis of expected performance to account for factors that will affect performance in the future, including levels of available funding. As transportation agencies go through multiple cycles and iterations of planning, the agency will have more information to develop realistic targets.

12. Assess your agency's process to:

- Analyze baseline data
- Develop assumptions
- Identify trends
- Set targets
- What challenges does your agency face and how do you plan to overcome them?
- How can you improve your processes?

Identify Strategies and Analyze Alternatives

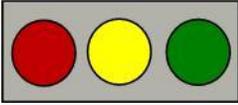


In a PBPP process, the performance measures and targets that are established, together with policy considerations and principles agreed upon by policymakers, should be used as a basis for prioritizing and selecting transportation investments and policies. This step relies on data and analysis tools to help support informed analysis of strategies and predict performance outcomes.

13. Assess the process your agency uses to identify potential packages of strategies to achieve performance-based objectives and determine which strategies may be most effective.

- How do you consider a full range of strategy options?
- How do you incorporate non-capacity increasing strategies, as they are often difficult to analyze with traditional transportation modeling and analysis tools?
- How do you utilize scenario planning in comparing different packages of investments and strategies?
- What challenges does your agency face and how do you plan to overcome them?
- How can you improve your processes?

Develop Investment Priorities in the LRTP/MTP



Investment priorities are made through policy-level discussions about what packages of investments will be adopted and supported for implementation by the agency. These policy discussions culminate in the development of the LRTP/MTP. This decision-making process is iterative, and may involve going back to technical staff to answer questions, re-examine options, or assess hybrid scenarios. A key element of a PBPP approach is that the LRTP/MTP is founded on an understanding of anticipated performance outcomes, and consideration of tradeoffs that may need to be made across various goal areas given resource constraints. While performance measures guide investment priorities in the LRTP/MTP, other factors, such as equity and consideration of qualitative factors inform the resulting plan.

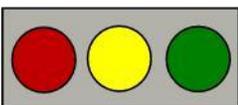
14. Assess how the primary outputs of your long range transportation planning process provide a direct connection to project level decision-making by identifying:

- Program level investment priorities
- Major projects or priority corridors for improvement
- Identification and consensus on expected performance levels
- Policy level discussion and decisions and stakeholder input that can help inform the development of project selection criteria that are linked to the plan
- What challenges does your agency face and how do you plan to overcome them?
- How can you improve your processes?

15. Assess your LRTP/MTP project prioritization procedures and their relationship to the LRTP/MTP goals and objectives? What challenges does your agency face and how do you plan to overcome them? How can you improve your processes?

16. Assess your process to monitor implementation of these other federally-required plans (see page 4 for a list), incorporate strategies into subsequent planning and programming efforts, and periodically update these. What challenges does your agency face and how do you plan to overcome them? How can you improve your processes?

Programming – Develop Investment Priorities in the TIP/STIP



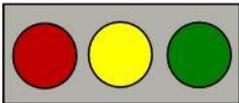
Programming consists of resource allocation to specific projects and strategies. It is the culmination of the PBPP process, and thus plays a critical role in the PBPP approach. Under a PBPP framework, the TIP/STIP documents can serve as information rich documents that communicate the specifics of investments, their funding sources, and how they are contributing to transportation system performance improvements. Within a PBPP approach, the process for selecting projects and strategies for programming should tie directly to the goals in the LRTP/MTP. A successful PBPP plan or strategy requires projects be prioritized based on their ability to

meet desired outcomes. The key is prioritization of projects through project selection criteria that are based on performance measures.

17. Assess your TIP/STIP project prioritization procedures its ability to:

- Track consistency of projects in the TIP/STIP with investment levels identified in the LRTP
- Provide qualitative information on the connections between projects and goals or objectives in the LRTP/MTP
- Identify project scores or rankings conducted in order to select projects for funding
- Provide information to enable summaries of the number and funding of projects of different types addressing different system performance factors or goals
- Include information on the evaluated impacts of projects in terms of performance improvements
- What challenges does your agency face and how do you plan to overcome them?
- How can you improve your processes?

On-going Monitoring, Evaluating, and Performance Reporting



Monitoring, evaluating, and reporting performance is a cornerstone part of PBPP. The purpose of PBPP is to ensure that results of previous investments and policies inform future decision-making so that transportation agencies can better understand approaches that work best given constraints and conditions. In order for performance to inform future decisions about investments and priorities, data must be collected, assessed, and reported on an on-going basis. Monitoring, evaluation, and performance reporting plays a critical role throughout the PBPP planning process by providing information to inform each step.

18. Assess your agency’s process for monitoring actual conditions on a periodic basis (annually, quarterly, monthly, etc.).

- Does it allow for periodic assessment of whether targets have been or are likely to be attained?
- Is it an ongoing process, with data being combined on various metrics and performance areas?
- Does this monitoring effectively update transportation officials with information about progress made toward goals, relative to targets and resource allocation efforts?
- Assess your agency’s process for evaluating whether implemented strategies have been effective in contributing toward positive performance outcomes for systems-level evaluations and project-level or program-level analysis.
- What challenges does your agency face and how do you plan to overcome them?
- How can you improve your processes?

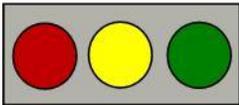
19. Assess your agency’s process for evaluating program effectiveness:

- System-level performance (regional analysis to assess the extent to which transportation investments and policies have contributed toward a target)
- Project-level or program-level performance (to assess impacts of specific strategies)
- What challenges does your agency face and how do you plan to overcome them?
- How can you improve your processes?

20. Assess your agency's process for performance reporting.

- Who are your audiences for performance reporting?
- Is your reporting done in a clear and concise manner to meet the needs of each of your audiences?
- What visualization techniques do you use to convey your message to your audiences?
- What information do you report? Is there additional information you should be reporting?
- Do you report both current conditions and, where appropriate, provide counterfactual information, for example, about performance that would have been expected without the investments that were made?
- Do you use data to show the link between funding levels and performance, as well as the long-term cost savings of investing in infrastructure now to prevent costly repairs down the road?
- Do you use "performance journalism" in order to clearly communicate information about performance, combining quantitative reporting using charts, tables, and measurements, along with narrative storytelling?
- What challenges does your agency face and how do you plan to overcome them?
- How can you improve your processes?

Overall PBPP Process Assessment



Now it's time to put all of the pieces together. Assess your agency's *overall* performance-based planning and programming process.

Action Plan

Now that you've assessed both the individual parts of the process and the process as a whole, it's time to create your agency's action plan for successful implementation of PBPP.

Below is a sample action plan template. Feel free to use this or create your own. Add as many Topic Areas as needed to create your comprehensive Action Plan.

Topic Area 1:		
Key Issues or Concerns:		
Next Steps and Strategies to Move Forward:		
Action Item Description	Lead Staff	Timeframe

Topic Area 2:		
Key Issues or Concerns:		
Next Steps and Strategies to Move Forward:		
Action Item Description	Lead Staff	Timeframe

Training & Technical Assistance Needs

Identify your agency's training or technical assistance needs to successfully implement PBPP. Add as many lines as needed.

Training Need	Agency/Office/Person to Contact	Status



U.S. Department of Transportation
Federal Highway Administration