



# Chicago Metropolitan Agency for Planning

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## MEMORANDUM

**To:** MAP-21 Subcommittee  
**From:** CMAP staff  
**Date:** February 15, 2013  
**Re:** MAP-21 and Performance Measurement

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The recently-passed transportation reauthorization bill [Moving Ahead for Progress in the 21<sup>st</sup> Century](#) (MAP-21) features a new federal emphasis on performance measurement. This focus is consistent with GO TO 2040, which promotes the transparency of public data and decision-making and seeks to improve the accountability of public spending by better linking investments to outcomes. However, MAP-21 only applies performance measurement at the programmatic, rather than project, level and does not generally link performance measures and targets to funding decisions via performance-based funding.

### **MAP-21 and Performance Measures**

MAP-21 focuses more on implementing performance measurement than performance-based funding. Under MAP-21, U.S. DOT will establish performance measures and state DOTs will develop performance targets in consultation with metropolitan planning organizations (MPOs) and others. State investments must make progress toward these performance targets, and MPOs must incorporate these performance measures and targets into their Transportation Improvement Programs (TIPs) and Long Range Transportation Plans. However, MAP-21 imposes no financial penalty for states and MPOs that fail to make progress toward these performance goals, and funding decisions for any given project are not explicitly tied to performance criteria.

### *National Performance Goals and Measures*

MAP-21 identifies seven thematic areas for which the Secretary of Transportation will determine performance measures. These areas include (1) safety, (2) infrastructure condition, (3) congestion reduction, (4) system reliability, (5) freight movement and economic vitality, (6) environmental sustainability, and (7) reduced project delivery delays. MAP-21 describes the high-level national goals associated with each of these topics. To implement these goals, the Transportation Secretary must determine measures and minimum standards for states to follow for the various core programs established in MAP-21.

The law requires the Secretary to consult with state DOTs, MPOs, and other stakeholders when determining performance measures and to promulgate rulemaking within 18 months of

enactment. MAP-21 allows the Secretary to incorporate some flexibility into these standards and measures, such as allowing different minimum standards for Interstate pavement conditions for different regions of the country. U.S. DOT must also determine the data elements that are required to implement MAP-21's performance-based approach.

MAP-21 includes a number of reporting requirements for U.S. DOT. Within five years of enactment, the Secretary must submit to Congress reports on the effectiveness of MPOs' and states' performance-based planning processes. These reports will assess the overall effectiveness of performance-based planning in guiding transportation investments, including the extent to which states and MPOs select reasonable performance targets, as well as the extent to which they meet these targets.

#### *State Performance Targets and Plans*

Within a year of the Secretary's final rulemaking on performance measures, states must set performance targets for the measures identified by U.S. DOT. MAP-21 allows states to determine different performance targets for rural and urban areas. Within four years of the enactment of MAP-21 and every other year thereafter, states are required to submit reports on the condition and performance of the National Highway System, the effectiveness of their asset management plans, the progress made toward achieving performance targets, and how they address freight bottlenecks.

MAP-21 also requires states to develop a number of performance-based plans, including a risk-based asset management plan and a strategic highway safety plan. States are also encouraged to develop freight plans, and some MPOs are required to draft Congestion Mitigation and Air Quality Improvement (CMAQ) program performance plans (see next section). These plans generally include a review of current conditions and a description of strategies to be used in meeting performance targets. States that fail to develop asset management plans for the National Highway System would receive a lower federal cost share of 65 percent for any project or activity.

MAP-21 imposes further penalties on states that fail to meet their performance targets under the National Highway Performance Program and the Highway Safety Improvement Program. The Secretary can require states to spend at least the amount apportioned in FY 2009 under the Interstate Maintenance program (adjusted over time) to redress substandard conditions on the Interstate System. Additionally, if more than 10 percent of a state's total deck area of bridges on the National Highway System is structurally deficient, states must devote at least 50 percent of the funds apportioned in FY 2009 under the former Highway Bridge Program to redress the substandard bridge conditions. Also, states that fail to meet their performance targets under the Highway Safety Improvement Program (HSIP) are required to devote an amount of obligation limitation equal to the prior year's HSIP apportionment to safety projects. No penalties are imposed for failure to meet the performance targets of the CMAQ or Freight Movement programs.

#### *Planning and Performance*

MPOs must establish performance targets that reflect national performance goals and measures. These measures must be coordinated with state DOTs and transit providers. They

must be set by MPOs within 180 days of the state DOT's or transit agency's establishment of performance targets.

The law requires long-range regional transportation plans to describe the MPO's performance measures and targets, a practice already incorporated into GO TO 2040. For example, the [Invest Strategically in Transportation](#) section of our region's plan includes indicators and targets for three variables: principal arterials in acceptable ride quality, bridges found to be in "not deficient" condition, and time spent in congestion. Under MAP-21, MPOs' transportation plans must also include a "system performance report" to track progress made toward the MPO's performance targets.

For MPOs that elect to develop multiple scenarios in the development of their long-range plans, MAP-21 recommends that each scenario be evaluated against its impact on the various performance measures. The long-range plan should describe how the preferred scenario improves performance, as well as how changes in policy and investment decisions affect the costs of achieving performance targets. MAP-21 also requires that the TIPs developed by MPOs include a description of the anticipated effect of the program on achieving regional performance targets identified in the long-range transportation plan. This requirement is designed to directly link investments to performance targets.

The use of performance measures for statewide planning mirror those just described for metropolitan planning. State DOTs must also incorporate performance targets into their transportation plans and state TIPs (STIPs) via system performance reports and estimates of progress made toward performance targets.

Further, MPOs that cover transportation management areas of over 1 million residents that are in non-attainment or maintenance of federal air quality regulations are required to develop a CMAQ Program Performance Plan. This plan must include data on baseline traffic congestion and vehicle emissions, describe progress made toward performance targets, and describe how projects funded through the CMAQ program will make progress toward performance targets.

Although MAP-21 contains extensive language on incorporating performance measures into both the statewide and metropolitan planning processes, the law does not provide a meaningful enforcement mechanism for those requirements. Neither MPOs nor states face penalties for failing to consider performance factors in their planning processes. Additionally, MAP-21 asserts that the new reporting requirements for the STIP and TIP must be completed only to the "maximum extent practicable."

#### *Transit and Performance*

Within one year of MAP-21's enactment, the Secretary must determine both performance measures and a formal definition for "state of good repair." Within three months of the Secretary's rulemaking, transit agencies receiving federal assistance are required to develop performance targets for state of good repair. Transit agencies are also required to develop asset management plans, which in turn must include capital asset inventories, condition assessments, decision support tools, and investment prioritization. The Secretary must also develop a national transit asset management system. MAP-21 requires transit agencies to report annually

to the Secretary on the progress made toward performance targets in that fiscal year, as well as define new performance targets for the coming fiscal year.

Northeastern Illinois transit agencies are already moving forward on asset management systems. The Regional Transportation Authority (RTA) is currently refining its objective, needs-based [capital programming process](#). The RTA recently received a [grant](#) to partner with the Federal Transit Administration in developing a Transit Asset Management Program. This effort will include consistent, data-driven decision tools to help the RTA monitor and improve the state of good repair of its capital assets. The program will better link upstream asset data and condition analyses with downstream capital project prioritization and budgeting. The Chicago Transit Authority (CTA) is also implementing an [asset management system](#), which will collect data on the asset inventory into a new database, update condition data, develop reporting and modeling tools to assist the CTA's capital planning process, while creating a method for long-term maintenance of this data.

### **IDOT and Performance Measures**

IDOT has begun implementing MAP-21's requirements for performance measurement. This work has included the identification of potential performance measures, an assessment of data availability within the Department, and outreach to each of the state's MPOs. Further, IDOT plans to convene a working group of MPOs and IDOT staff this spring. The Department's initial focus was on safety, infrastructure condition, system reliability, and project delivery performance measures, and will next develop congestion, freight movement and economic vitality, and environmental sustainability performance measures. IDOT's efforts will be completed by October 31, 2013.