

TPM State Workshop

Identifying Action Items: Performance-Based Programming

Cleveland, OH

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U.S. Department of Transportation
Federal Highway Administration



Purpose

- Determine actions that will improve efforts for **Performance-Based Programming**



Identifying Action Items

1. Record level of maturity
2. Consider actions applicable to your agency
3. Identify priority actions for improvement
4. Complete detailed action item form for each action (finish as many as you can)



Handouts: Exercise D



Exercise D

Action Items: Performance-Based Programming

In this exercise you will identify 3 high priority improvement actions.

Step 1: Select level of maturity

For component Performance-Based Programming, use your assessment results and the Capability Maturity Model tables. Consider your assessment results and read the maturity level descriptions to select the level that best fits. Fill in the matrix below.

Step 2: Consider actions that apply to your agency

Reference the Capability Maturity Model Tables under "Actions to move to next level" in the third column. Consider what actions apply to your agency and write them down below.

Performance-Based Programming maturity level: ☐

Actions

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____

Step 3: Identify priority actions for improvement

Select 3 actions from Step 2 and list below.

Actions

1. _____
2. _____
3. _____

Step 4: Complete detailed action item form for each priority action

See following pages.



Handouts: Exercise D



Action Item #1
Action Item:
What is the problem we are trying to solve? How will this action help?
How will you know if your action is successful? (e.g. tangible results, progress milestones)
Responsibilities: Who should take the lead in implementing this action item? Who else should be involved?
Key issues to be resolved for implementation:



Handouts: CMM Tables (Exercise D)



Exercise B & D

Capability Maturity Model: PB Programming

Definition: The use of strategies and priorities to guide the allocation of resources to projects that are selected to achieve goals, objectives, and targets. Performance-based programming establishes clear linkages between investments made and expected performance outputs and outcomes.

Level	Description	ACTIONS to move to next level
INITIAL (Level 1)	Programming decisions are not linked to goals or planning documents, and lack transparency. Resource allocation is based on formulas or historical allocations without analysis of performance impacts.	<p>Initiate an effort to develop a performance-based programming methodology and process (e.g., identification of project selection criteria).</p> <p>Begin to define roles and responsibilities of key players. Initiate discussion with partner agencies on collaboration in programming.</p> <p>Initiate an effort to develop a performance-based programming methodology (e.g., identification of project selection criteria) and process that considers tradeoff across performance areas.</p> <p>Begin to define roles and responsibilities of key players.</p> <p>Initiate discussion with partner agencies on collaboration in programming.</p>
DEVELOPING (Level 2)	The agency is developing a performance-based programming methodology and process that will enable project selection to reflect agency goals, priorities determined in planning documents, funding constraints, risk factors, and relative needs across performance areas. Opportunities for external collaboration are still being clarified.	<p>Complete documentation of methodology and process that will be used to prioritize projects for inclusion in the STIP and TIP and agency budgets.</p> <p>Identify output targets to track the anticipated effects of projects.</p> <p>Identify risk factors that may impact program delivery and effectiveness.</p> <p>Complete documentation of methodology and process that will be used to prioritize projects across performance areas for inclusion in the STIP and TIP and agency budgets.</p> <p>Identify output targets to track the anticipated effects of projects.</p> <p>Identify risk factors that may impact program delivery and effectiveness.</p>
DEFINED (Level 3)	The agency has established and documented a performance-based methodology and process to develop the STIP and TIP and agency budget that considers risk factors and tradeoffs between performance areas. Output targets are set to track program delivery and anticipated results. External collaboration processes are established.	<p>Carry out the identified performance-based programming methodology and process.</p> <p>Enhance agency's ability to evaluate the effectiveness of investments towards achieving multiple strategic goals.</p> <p>Carry out the identified performance-based programming methodology and process across performance areas.</p> <p>Enhance agency capabilities to evaluate investments across program areas and the effectiveness of investments towards achieving multiple strategic goals.</p>



Level	Description	ACTIONS to move to next level
FUNCTIONING (Level 4)	The agency has established and documented a performance-based methodology and process to program projects within and across performance areas to maximize achievement of multiple goals. Programming decisions are driven by a clear linkage between investments made and expected performance outputs and outcomes. External stakeholders understand programming decisions.	<p>Apply performance-based programming process within a program area through two cycles.</p> <p>Ensure that senior management communicates that programming decisions must be based on achieving strategic goals.</p> <p>Following each cycle assess and refine to enhance information used including the effect of implemented projects on performance outcomes.</p> <p>Apply performance-based programming process across program areas through two cycles.</p> <p>Ensure that senior management communicates that programming decisions must be based on achieving strategic goals, highlighting the agency's role in broader societal concerns.</p> <p>Following each cycle assess and refine to enhance collaboration across the agency and information used including the effect of implemented projects on performance outcomes.</p>
SUSTAINED (Level 5)	The agency has applied performance-based programming across multiple performance areas for multiple cycles and a feedback loop exists between performance monitoring and programming. Process and methodology is periodically refined to increase understanding of program effectiveness in achieving desired performance. External collaboration has resulted in coordinated multimodal and/or cross-jurisdictional projects.	

Breakout

- Complete the exercise for **Performance-Based Programming (Exercise D)**
- Report out: share your priority action items



Report Out

- 3 min per group
- Share your priority action items

