

# *Performance Plan Evaluation – July 1, 2014 Submission*

## *Department of Transportation*

### Strategic Policy Initiatives

Initiative criteria<sup>1</sup>:

- Outcome oriented: The initiative reflects the results the Department seeks to achieve, rather than the products of a process or activity.
- Measureable & Time-specific: The initiative includes quantifiable parameters and a timeframe within which the parameters will be met.
- Specific, Directional, & Understandable – The reader should be able to define the problem or solution from the goal statement, i.e. directional verbs such as “increase” or “decrease/reduce”.
- The Department has identified 3-5 strategic policy initiatives that either directly reflect the work of specific divisions or span the overall functions of the Department.

<b>Strategic Policy Initiative (SPI) – Long Term</b>	<b>Outcome oriented</b>	<b>Measureable &amp; Time-specific</b>	<b>Specific, Directional, &amp; Understandable</b>	<b>Connected to Major Program Area/Function</b>	<b>Strategy/action steps identified</b>
Safety	Reduce traffic fatalities and serious injuries and work toward zero deaths for all users.	The Department identified several policy objectives and annual targets for measuring success. Targets include metrics for FY15 and Fy17.	The outcome piece of the strategic policy initiative is specific, directional, and understandable.	The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.	The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.

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<sup>1</sup> These parameters are from OSPB’s instructions; wording is more specifically from the “Performance Management Toolkit: A Step-by-Step Guide for Leaders & Managers”, p. 19

<b>Strategic Policy Initiative (SPI) – Long Term</b>	<b>Outcome oriented</b>	<b>Measureable &amp; Time-specific</b>	<b>Specific, Directional, &amp; Understandable</b>	<b>Connected to Major Program Area/Function</b>	<b>Strategy/action steps identified</b>
Infrastructure Condition	Preserve the transportation infrastructure condition to ensure safety and mobility at a least life-cycle cost.	The Department identified several policy objectives and annual targets for measuring success. Targets include metrics for FY15 and Fy17.	The majority of the outcomes associated with this initiative are oriented toward maintaining specific levels of service. While this is important for the Department, OSPB recommends the Department attempt to assess areas where it can improve services or functions.	The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.	The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.
System Performance	Improve system reliability and reduce congestion, primarily through operational improvements and secondarily through the addition of capacity. Support opportunities for mode choice.	The Department identified several policy objectives and annual targets for measuring success. Targets include metrics for FY15 and Fy17.	A number of the outcomes are still in development; others are primarily “maintaining” a level of service, which is important for the Department. However, for the next iteration, OSPB recommends the Department attempt to target areas where it can improve services or functions.	The Department did not specify which major program areas or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.	The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.
Freight Movement & Economic Vitality	Improve the freight network, strengthen the ability of rural communities to access national and international trade markets, and support regional economic development.	The target selected is in development (achieve a value on a new Freight Reliability Index).	It is unclear whether the outcome will be for the Department to maintain a specific value on the Index, or have to improve freight movement to achieve a better index.	The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.	The Department’s target is still in development, therefore no steps were identified to reach the target.

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Environmental Stewardship	Enhance the performance of the transportation system while minimizing the impact to and encouraging the preservation of the environment.	The Department identified several policy objectives and annual targets for measuring success. Targets include metrics for FY15 and Fy17.	The performance outcomes identified for this strategic initiative are specific, directional, and measurable.	The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.	The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.
Reduced Project-Delivery Delays	Reduce project costs, promote jobs and the economy, and expedite the movement of people and goods by accelerating project completion through eliminating delays in the project development and delivery process. This includes reducing regulatory burdens and improving CDOT's work practices.	The Department identified policy objectives/annual targets for measuring success. Targets include metrics for FY15 and Fy17.	It is unclear from the performance objectives identified whether the Department must maintain or improve performance. For the next iteration, OSPB recommends the Department make the directional aspect clear in the document, both to improve clarity for the reader and to help the Department quickly identify the type of progress required to meet the target.	The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.	The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.

Focus Areas – Shorter Term	Outcome oriented	Measureable & Time-specific	Specific, Directional, & Understandable	Connected to Major Program Area/Function	Strategy/action steps identified
Business Excellence	<p>Improve business processes for better customer service and efficiency. Better processes and service help CDOT meet all of its Strategic Policy Initiatives.</p>	<p>The Department identified policy objectives/annual targets for measuring success. Targets include metrics for FY15 and Fy17.</p>	<p>It is unclear from the performance objectives identified whether the Department must maintain or improve performance. For the next iteration, OSPB recommends the Department make the directional aspect clear in the document, both to improve clarity for the reader and to help the Department quickly identify the type of progress required to meet the target.</p>	<p>The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.</p>	<p>The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.</p>
Construction Funding	<p>Use innovation and improved management to get more money to construction. This helps CDOT achieve the Strategic Policy Initiatives of preserving infrastructure condition,</p> <p>reducing project-delivery delays and improving system performance and the freight network.</p>	<p>The Department identified policy objectives/annual targets for measuring success. Targets include metrics for FY15 and Fy17.</p>	<p>It is unclear from two out of the three performance objectives identified whether the Department must maintain or improve performance. For the next iteration, OSPB recommends the Department make the directional aspect clear in the document, both to improve clarity for the reader and to help the Department quickly identify the type of progress required to meet the target.</p>	<p>The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.</p>	<p>The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.</p>

Focus Areas – Shorter Term	Outcome oriented	Measurable & Time-specific	Specific, Directional, & Understandable	Connected to Major Program Area/Function	Strategy/action steps identified
System Efficiency	Get more out of the existing highway system to improve mobility through better operations, management and innovation without making major infrastructure improvements. This goal helps CDOT meet Strategic Policy Initiatives including improving system performance and the freight network.	Targets are in development for this focus area; includes number of annual hits to COTrip.org, as well as percentage of incident management plans implemented for congested corridors.	N/A	N/A	N/A
Private-Sector Partnerships	Partner with the private sector to augment public funds. This helps CDOT fulfill Strategic Policy Initiatives including preserving infrastructure conditions and improving system performance and the freight network.	The Department identified policy objectives/annual targets for measuring success. Targets include metrics for FY15 and Fy17; some targets remain in development.	It is unclear from the performance objectives identified whether the Department must maintain or improve performance. For the next iteration, OSPB recommends the Department make the directional aspect clear in the document, both to improve clarity for the reader and to help the Department quickly identify the type of progress required to meet the target.	The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.	The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.

Focus Areas – Shorter Term	Outcome oriented	Measureable & Time-specific	Specific, Directional, & Understandable	Connected to Major Program Area/Function	Strategy/action steps identified
Transparency & Accountability	Achieve better transparency and accountability in CDOT budget, project planning, construction and maintenance activities. This goal helps CDOT meet all its Strategic Policy Initiatives by building credibility with the public, elected officials, the Federal Highway Administration and other customers.	The Department identified policy objectives/annual targets for measuring success. Targets include metrics for FY15 and FY17.	Each target is directional, specific and measureable.	The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.	The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.
Workforce Development	Provide CDOT employees training and professional development opportunities. This goal helps the Department meet all of its Strategic Policy Initiatives.	The Department identified policy objectives/annual targets for measuring success. Targets include metrics for FY15 and FY17.	One target is directional; it is unclear whether the other target (75% of leadership course graduates meet expectations) requires the Department improve its training or maintain status quo.	The Department did not specify which major program area or function specifically drives target achievement – for the next iteration, OSPB recommends the Department specifically identify those functions or major program areas.	The Department identified specific annual targets, but did not identify steps to reach those targets. For the next iteration, OSPB recommends the Department provide a few key steps to describe how the Department will achieve its targets.

*Additional Feedback: The Department identified several major strategic and focus areas, with a number of specific measures to determine whether the Department has made progress towards the goal of the initiative. For the next iteration, OSPB recommends a few structural revisions. First, OSPB recommends the Department assign specific dates to the targets (e.g. X will be accomplished by June 30, 2015, rather than just “June 30”), and clarify which targets are intended to be met by the end of FY15 and FY17, respectively. Second, OSPB recommends connecting the Strategic Policy Initiative to the major functions that will most significantly impact progress for that initiative – this helps create a more strategic and understandable roadmap for how the parts of the Department integrate to accomplish the bigger goals. Third, for the next iteration, OSPB recommends the Department provide a few specific steps that the Department must take to achieve the goals that support the SPI or Focus Area. This will also help the strategic aspect of the performance plan. Finally, because both SPIs and Focus Areas are designed to have one- and three-year targets, OSPB recommends the Department clarify further the difference between SPIs and Focus Areas.*

An additional question for the Department is whether there is an opportunity to work with the Colorado State Patrol to identify a common goal and work collaboratively towards the Safety initiative.

**Major Program Areas**

Major Program Area criteria:

- Major Program Areas identified; may be actual Department divisions or functions.
- The Major Program Area description outlines at least one customer.

<b>Major Program Area</b>	<b>Defined</b>	<b>Customer identified</b>
Aeronautics	Defined within the strategic component.	Colorado public-use airports and their users, flying public, pilots and other aviation professionals (including those in the FAA).
Bridge Enterprise	Defined within the strategic component.	All users of Colorado’s bridges and the Federal Highway Administration.
Capital Expenditures	Defined within the strategic component.	Traveling public, CDOT staff, and Federal Highway Administration.
FASTER Safety	Defined within the strategic component.	All payers of FASTER Road Safety surcharges on vehicle registrations, users of Colorado’s highways, county and city governments.
High-Performance Transportation Enterprise	Defined within the strategic component.	Private-sector partners, local government sponsors of projects, and users of projects financed through the HPTE, such as drivers in High-Occupancy Vehicle (HOV) lanes.
Transportation Systems Management & Operations- Intelligent Transportation Systems	Defined within the strategic component.	The traveling public, media outlets, local governments, law-enforcement agencies, and the Federal Highway Administration.
Local Programs	Defined within the strategic component.	State residents and visitors, Metropolitan Planning Organizations, Transportation Planning Regions, counties, municipalities and others.
Maintenance	Defined within the strategic component.	The traveling public, CDOT staff, the Federal Highway Administration.
Other Construction	Defined within the strategic component.	The traveling public (Congestion Relief), CDOT debt holders and others.
Project Support	Defined within the strategic component.	These programs have diverse customers including all users of the state highway system, CDOT staff, debt holders, the Federal Highway Administration and others.
Safety/Safety Education	Defined within the strategic component.	All users of Colorado’s highways and bridges, law-enforcement agencies, the National Highway Traffic Safety Administration and the Federal Highway Administration.

Major Program Area	Defined	Customer identified
Structures	Defined within the strategic component.	All users of Colorado's bridges and other highway structures, the Federal Highway Administration and local agencies.
Surface Treatment	Defined within the strategic component.	All users of and stakeholders in Colorado's state highway system, the Federal Highway Administration.
Transit	Defined within the strategic component.	Local transit agencies and their users; human service transportation providers; the Federal Transit Administration (FTA); Regional Transportation Authorities; Transportation Planning Regions; and all other stakeholders in transit, passenger and freight rail.

*Additional Feedback: The Department provided a helpful review of the various processes, customers, and major funding sources for each major program area. For the next iteration, OSPB recommends the Department specify the key stakeholders in the "customers/constituents" section when it references "stakeholders".*

### **Critical Processes**

Critical Process criteria:

- The Department has identified at least one critical process per Major Program Area.
- Each process is defined by at least one input, output, and one informational output.
  - Input: workload demand, FTE, operating budget, etc.
  - Output: number of goods provided (inspections made, technical assistance visits, licenses/permits processed, etc.)
  - Informational output: quality with which the output was generated (timeliness, accuracy, customer satisfaction, etc.)

Strategic Policy Initiative	Process	Inputs identified	Outputs identified	Informational Output identified
Safety	Implement safety programs	N/A	Fatalities, 5-year average; Serious Injuries, 5-Year Average; Serious Injuries	Fatalities, 5-Year Average Per 100 million vehicle miles traveled; 5-Yr. Average per 100 million vehicle miles traveled
	Qualify, select, advertise and award HSIP projects	N/A	Percent of HSIP Program Dollars Awarded	
	Select and deliver FASTER Safety projects	N/A		FASTER Safety Budget Spent/Encumbered by June 30



Strategic Policy Initiative	Process	Inputs identified	Outputs identified	Informational Output identified
Infrastructure Condition	Preserve, resurface and rehabilitate roads	N/A		Percent of pavement on state highway system with high and moderate Drivability Life; Percent of pavement on state highway NHS, excluding Interstates, with high and moderate Drivability Life; Percent of Interstate pavement statewide in high and moderate condition based on Drivability Life.
	Maintain the state's transportation infrastructure	N/A		Overall Maintenance Levels-of-Service grade for state highway system
	Conduct snow-and-ice control operations	N/A		Snow and Ice Control Level of Service
	Maintain traffic signals, stripes and guardrails	N/A		Level-of-Service grade for traffic-related services
	Inspect, replace, repair deficient structures	N/A		Percent of National Highway System bridge total deck area that is Not Structurally Deficient; Percent of state highway total bridge deck area that is Not Structurally Deficient
	Administer transit grants	N/A		Percent of vehicles in the rural Colorado transit fleet operating in fair, good, or excellent condition; Percent of transit agencies with a MAP-21 compliant asset management plan
System Performance	Implement congestion solutions and track congestion	N/A	Minutes of travel delay in congested highway segments, per traveler per day	
	Implement congestion solutions including ITS	N/A		Planning Time Index value for Interstates; Planning Time Index value for National Highway System roadways, excluding Interstates

<b>Strategic Policy Initiative</b>	<b>Process</b>	<b>Inputs identified</b>	<b>Outputs identified</b>	<b>Informational Output identified</b>
System Performance	Make policy to increase transit trips, track trend	N/A	Transit Utilization (Statewide ridership of small urban and rural transit agencies to which CDOT grants Federal Transit Administration and FASTER dollars)	
Freight Movement & Economic Vitality	Freight Reliability Index process (In development)	N/A	Freight Reliability Index Value	
Environmental Stewardship	Ensure water quality findings promptly addressed	N/A		Percent of Regional Erosion Control Assessment Team (RECAT) findings resolved or addressed within 48 hours of midnight following the finding
	Obtain permits to discharge storm water	N/A	Number of Environmental Compliance Violations to CDOT from the Colorado Department of Public Health and the Environment.	
	Develop environmental clearances on time	N/A		Percent of clearance actions sent from the Regions to CDOT's Environmental Programs Branch that are completed to support negotiated advertisement dates.
Reduce Project Delivery Delays	Manage preconstruction phases effectively	N/A		Percent of projects advertised before or within 30 days of advertisement date estimated on July 1
	Maintain program schedule and report performance	N/A	Bridge Enterprise Schedule Performance Index (SPI). SPI = 1.0: Project/program on schedule SPI < 1.0: Project/program behind schedule SPI > 1.0: Project ahead of schedule	
Business Excellence	Execute procurement process	N/A		Average time from purchase requisition (PR) to final contract execution, in business days
	Develop and execute consultant contracts	N/A		Average time from advertisement to award for consultant contracts, in business days

<b>Strategic Policy Initiative</b>	<b>Process</b>	<b>Inputs identified</b>	<b>Outputs identified</b>	<b>Informational Output identified</b>
Business Excellence	Deliver Local Agency Projects	N/A	Unexpended funding in inactive Local Agency Projects	
	Purchase road equipment for maintenance sections	N/A		Percent of road-equipment budget expended by June 30
	Construct Local Agency Projects	N/A	Financially inactive Local Agency Projects as a percentage of total apportionment/allotment	
Construction Funding	Evaluate bids and award contracts	N/A		Percent of contracts awarded within 30 days of bid opening
	Budget, design, build RAMP projects. Pay invoices	N/A		Percent of RAMP Asset Management project funds spent by Dec. 31 following fiscal-year close
System Efficiency	Develop, implement incident-management plans	N/A		Percent of congested corridors implemented with incident-management plans
	Maintain, enhance and promote COTrip.org site	N/A	Annual hits to COTrip.org	
Private-Sector Partnerships	Meet with local government project sponsors	N/A	Number of contacts (meetings or presentations) with local-government sponsors of projects	
	Engage industry leaders through meetings and forums	N/A	Number of participations in industry forums and individual meetings with external industry leaders.	
	Create program plans	N/A	Number of program plans for projects of \$200 million or more	
Transparency & Accountability	Create and promote GovDelivery email and texts	N/A	Subscribers to GovDelivery	
Transparency & Accountability	Maintain, enhance and promote CDOT Facebook page	N/A	Facebook Followers	
	Maintain, enhance and promote CDOT Mobile app	N/A	CDOT Mobile Downloads	
	Maintain, enhance and promote Twitter feed	N/A	Twitter followers	
	Maintain, enhance and promote YourCDOTDollar.com	N/A	YourCDOTDollar page views	

<b>Strategic Policy Initiative</b>	<b>Process</b>	<b>Inputs identified</b>	<b>Outputs identified</b>	<b>Informational Output identified</b>
Workforce Development	Develop leadership skills via CDOT University	N/A	Employees completing two elective training events	
	Promote professional development	N/A	Level 3 Follow-Up Rating	

*Additional Feedback: The Department has identified a number of outputs for its various processes; for the next iteration of the Plan, OSPB recommends the Department begin expanding documentation of processes by identifying meaningful inputs that determine the output of the processes. Additionally, OSPB recommends the Department review many processes to determine the quality with which the Department is executing the process. Identifying inputs for the processes will assist the Department in evaluating opportunities and strategies for improving output performance – e.g. under delivering local projects, without identifying inputs (and additional outputs) the Department has access to limited information about the quality of the projects, whether they satisfied local entities’ needs, etc.*

*OSPB also recommends the Department continue to seek opportunities for additional collaboration with other agencies to assist with progress – e.g. possibly OEDIT for private-sector partnerships, Colorado State Patrol for safety, etc. If the Department is already leveraging these resources, OSPB recommends continuing to formalize the relationship through incorporating the work in the performance plan.*