ETDM Performance Management Plan

April 2005

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EXECUTIVE SUMMARY

The Florida Department of Transportation (FDOT) through its Central Environmental Management Office (CEMO) is implementing the Efficient Transportation Decision Making (ETDM) process. In order for this new process to be successfully integrated into the FDOT Business Model, it was necessary to develop performance measures for ETDM. The establishment of ETDM performance measures got underway with the creation of an ETDM Performance Measures Task Work Group consisting of state and federal regulatory agencies. The work group participated in a kick off meeting and presentation, two workshops and several teleconferences. The culmination of the Task Work Group efforts was the establishment of performance measures and indicators to support the three goals and objectives of the ETDM process. A sub-team of the Task Work Group later convened to consolidate all the comments and revise the ETDM performance measures by selecting key performance measures. All of the activities of the ETDM Performance Measures Task Work Group led to the development of Phase I and Phase II of the ETDM Performance Management Plan.

Phase I is the development of the ETDM Performance Management Plan which can be applied to the newly implemented ETDM process. The plan is comprised of the necessary tools and methods proposed to effectively evaluate and monitor the ETDM process such as:

- Current and Future Data Collection: Includes Environmental Screening Tool (EST) queries, PD&E Survey and Agency Performance Measures

- Current and Future Monitoring needs: Includes Project Report Form, Program Review Form, Annual Reports, Annual Program Review Meetings, On-line Peer Review, Workshops, EMO Annual Conference and ETAT District Meetings

- Reporting System: Future electronic systems which is automated and web based

Phase II of the ETDM Performance Management Plan consists of developing an electronic database called the "Environmental Management System" that incorporates the major data collection elements, monitoring components and reporting mechanisms identified in Phase I of the ETDM Performance Management Plan to evaluate, monitor and enhance the ETDM process.

The ETDM Performance Management Plan illustrates the benefits of collecting, monitoring and reporting on performance measures such as the ability to continuously monitor program area performance, identify problems early and develop efficient and effective solutions and to recognize and promote successes. Proper execution of the ETDM Performance Management Plan will contribute to a more efficient and enhanced ETDM process.

INTRODUCTION

In response to Section 1309 of the Transportation Equity Act for the 21st Century (TEA-21), which reflects Congress' concern about delays, unnecessary duplication of effort and high costs often associated with the current process of reviewing and approving transportation projects, the Florida Department of Transportation (FDOT) has developed an Efficient Transportation Decision Making Process (ETDM). ETDM is an innovative process that creates linkages between land use, transportation and environmental resource planning initiatives through early, active and continuous agency and community involvement. It identifies critical issues as early as the Planning Phase to reduce conflicts among resource and regulatory agencies and uses state-of-the-art technology, including GIS and Web-based communication capabilities, to allow team members to communicate more efficiently and effectively. The ETDM Process continues through project development, design and beyond and incorporates continuous interagency communication and coordination, cooperative problem solving, and technical assistance to reduce duplication and provide process efficiencies and good decision making.

PURPOSE

The purpose of this report is to describe the data collection needs, collection techniques, performance measures, reporting systems and other critical mechanisms necessary to evaluate and monitor the ETDM Process. The benefits of establishing a performance measures system for the ETDM process is threefold:

- Continuously monitor program area performance
- Identify problems early and develop efficient and effective solutions
- Recognize and promote successes

TASK WORK GROUP

An ETDM Performance Measures Task Work Group was formed in February 2004 to develop a framework for collecting, evaluating and reporting performance measures for the ETDM Process. The Task Work Group met on two occasions for two-day workshops held March 3-4, 2004 and April 14-15, 2004 in Orlando. In addition, the Task Work Group also held three teleconferences to discuss issues and review products.

As shown in **Table 1**, the Task Work Group consisted of representatives from Florida Department of Transportation (FDOT), Federal Highway Administration (FHWA), U.S. Coast Guard (USCG), the U.S. Fish and Wildlife Service (USFWS), U.S. Army Corps of Engineers (USACOE), Northwest Florida Water Management District (NWFWMD), and URS Corporation.

Table 1
Task Work Group Members

Participant	Company/Agency
Ron Bartel	Northwest Florida Water Management District
Linda Ferrel	U.S. Fish and Wildlife Service
John Hall	U.S. Army Corps of Engineers
Rich Brody	U.S. Coast Guard
Donald Davis	Federal Highway Administration
George Hadley	
Buddy Cunill	Florida Department of Transportation – Central Office
Carl McMurray	
Louis Reis	
Gwen Pipkin	Florida Department of Transportation – District One (Bartow)
Suraya Teeple	Florida Department of Transportation – District Two (Lake City)
Marjorie Bixby	Florida Department of Transportation – District Six (Miami)
George Sirianni	Florida Department of Transportation (FIHS)
Gary Phillips	URS Corporation
Jordan Smith	

The development of ETDM Performance Measures was initiated with a kick-off meeting and a presentation from Larry Ferguson of the FDOT Performance Management Office. He provided the Task Work Group with background information on establishing performance measures and outlined the relationship with the FDOT business model. The Task Work Group then developed a mission statement, objectives, and guiding principles associated with ETDM performance measures, as outlined below.

Mission

The mission of the Performance Measures Task Work Group was to establish ETDM Performance Measures that would evaluate project delivery, protect environmental resources and improve interagency coordination.

Objectives

The following objectives were established by the Task Work Group to meet the intent of the mission statement:

- Conduct literature review and define best practices in other states through White Paper and Resource Binder.

- Identify what performance measure data should be collected during the Planning, Programming and Project Development Phases.

- Establish a baseline against which to assess future ETDM efforts.

  - Identify what component of the time and cost of the overall project delivery process is attributed to National Environmental Policy Act (NEPA).

  - Identify a wide variety of factors and conditions that may have a direct or indirect impact upon the NEPA process and the project delivery process.

- Identify how the information should be collected (e.g., surveys, interviews, databases, workshops)

- Identify what to do with the information collected (e.g., Secretary's Report Card, Annual Performance Reports, Dashboards)

- Identify challenges or barriers to developing and implementing ETDM Performance Measures.

- Develop a framework consistent with FDOT Business Model.

Guiding Principles

The Task Work Group determined the following guiding principles to use when identifying performance measures:

- Identify efficiency(s) of the system

- Involve the public

- Consider the NEPA principles

- Identify agencies mutual goals and objectives

- Support the primary mission of the Environmental Technical Advisory Team (ETAT) agencies

- Measure quality as well as quantity

- Enhance interagency coordination

- Include electronic documentation

- Strive for a shorter and simpler process

- Facilitate more general permits

- Enhance mitigation compliance

- Be applicable to other FHWA program areas

- Assist in identifying and resolving conflicts (root cause)

- Add value

- Provide clarity and understandable measures

- Be mutually exclusive (no contradictions)
- Create accountability

The performance measures will not:

- Cost to much to collect compared to the benefits they provide
- Be time consuming or difficult to collect
- Promote the inappropriate interpretation of performance measures

Workshop I

The first Performance Measures Task Work Group Workshop was held on March 3-4, 2004 in Orlando to initiate discussion on ETDM Performance Measures. The first day of the workshop entailed sharing of thoughts relative to performance measures, as well as sharing information such as examples of research completed on best practices and the lessons learned from a literature review of other state Departments of Transportation. The literature review or "White Paper" reviewed and summarized experiences within other transportation agencies such as California, Michigan, Colorado, Washington, North Carolina and Pennsylvania. FDOT has provided financial assistance to many of the ETAT agencies but has also established a process that substantially affects how transportation improvements are planned, programmed, designed and implemented in the state of Florida. The following are reporting instruments utilized by other state DOT agencies to monitor and track funded-position performances:

MONITORING TOOLS

- Status reports that detail performance (i.e. Daily Logs and/or Monthly, Quarterly or Annual logs).
- Review of timelines for issuance of permits (30 days, 60 days). Some timelines were consistent with existing laws and regulations and some were more aggressive than required by law (shorter timelines).
- Availability of agency representatives to attend meetings and conduct field reviews, timeliness of responses, accountability.
- Surveys (customer surveys, performance surveys).
- Interviews with management.
- Peer reviews.
- Identification of issues/areas for improvement.

LESSONS LEARNED

The White Paper also identified a list of important lessons learned about interagency agreements and agency performance measures in other states:

- Agencies should rate themselves so that gaps, discrepancies, etc. can be identified and resolved.

- In obtaining feedback from the managers, expectations, accountability, accomplishments and subsequent procedures should be discussed.

- The development of a reporting system to describe the position added to the agency (e.g., notable projects/accomplishments, initiatives for process improvement, role the staff has in proactive issues) should be required.

- Follow-up one-on-one discussion/interviews should be undertaken with the managers.

- A performance survey requiring the personnel in agency positions to provide monthly summaries of their work and the review times should be developed.

- Maximum review times should be written into agency agreements, with the stipulation that if specified timeframes are not met, the position will not be funded for an additional term.

FDOT BUSINESS MODEL

The Task Work Group reviewed the FDOT Business Model. The business model is based on the principles of the Baldridge Criteria (National Criteria), which established the following seven criteria for evaluating organizations:

- Leadership System

- Strategic Planning

- Customer and Market Focus

- Measured Analysis and Knowledge Management

- Human Resources Focus

- Process Management

- Organizational Performance Results

The State of Florida has a Governor's Sterling Council, which promulgated the Sterling Council Criteria in 1992. The Sterling Criteria are similar to the Baldridge Criteria, with the exception that the Baldridge Criteria were applied primarily to for-profit organizations. In the past, not-for-project organizations could not win the Baldridge award, which is based on a bottom line profit. However, the Baldridge Criteria (National Criteria) award program is in the process of being changed in 2006 to include both for-profit and not-for-profit organizations.

The FDOT adopted the Sterling Criteria as its Business Model in September 1998. The Sterling Criteria are used by public and private organizations seeking to confirm their strengths and focus on their opportunities for improvement.

The FDOT Business Model consists of three levels or tiers. Tier 1 is the FDOT Statewide Business Plan, composed of the Florida Transportation Plan (FTP), the Short Range Component (SRC), and the annual Strategic Objectives (SO) and Executive Board Initiatives (EBI) developed by the Executive Board. Tier 1 is provided in **Appendix A**. Tier 2 is currently under development and consists of 26 statewide and district level functional plans (e.g., planning, construction, design, maintenance) and will be developed jointly between the Central Office and the Districts. Tier 3 contains the unit plans (at the District or Central Office level) that support the statewide functional plans and the FDOT organizational plan.

INITIAL PERFORMANCE MEASURES GOALS

The Performance Measures Task Work Group in Workshop I developed the following eight performance measures goals for future discussion and refinement:

- Improve the project delivery process
- Protect environmental resources
- Improve interagency coordination and conflict resolution
- Meet goals of other agencies (ETAT)
- Meet FDOT/FHWA/MPO expectations
- Begin EST review process (use first screening as pilot project)
- Fulfill agency statutory requirements
- Identify problems early

Workshop II

At the second Task Work Group Workshop, also held in Orlando, April 14-15, 2004, the Task Work Group refined the eight original goals into the following three primary goals:

- Integrate ETDM into project delivery
- Improve interagency coordination and dispute resolution
- Develop environmental stewardship through protection of environmental resources

The Task Work Group used a systematic approach in developing performance measures and analyzing what needs to be done relative to each of the three primary goals. As part of this approach, the Task Work Group developed performance measures issues based on the following processes:

- Planning Screen
- Programming Screen
- Project Development

The following measurement concepts were developed at the workshop.

Planning Screen Concepts:

- Overall System Performance
- Overall system delivery
- Performance measures for informal dispute resolution (number of disputes, reason for dispute, time to complete process
- Number of projects that proceed to programming. If not, why?
- Percentage capture of environmental/sociocultural issues

Programming Screen Concepts:

- Overall system performance

- Overall system delivery

- Performance measures for formal dispute resolution (number of disputes, reason for dispute, time to complete process)

- Number of projects that proceed to project development. If not, why?

- Percentage capture of environmental/sociocultural issues

- Identify major issues

Project Development Concepts:

- Content comparison before and after ETDM

- Processing time/project schedule for Categorical Exclusion (CE), Environmental Assessment (EA)/Finding of No Significant Impact (FONSI) and Environmental Impact Statement (EIS)

- Number of technical reports

- Number of permits required

- Permit processing time

- Number of Requests for Additional Information (RAIs)

- Turnaround time for RAIs

- Number of public meetings, workshops

Following the April 2004 meeting a sub-team of the Task Work Group convened to consolidate all comments and revise the ETDM Performance Measures by selecting the most valued Performance Measures and gleaning out those Performance Measures that were not considered priority measures.

COLLECTION OF DATA

Existing Project Data

As part of the ETDM Performance Measures effort, an existing Project Development and Environment (PD&E) database or baseline must be developed in order to compare the traditional FDOT PD&E process with the ETDM Process. It is anticipated that the PD&E baseline would focus on Categorical Exclusions II (CE II), State Environmental Impact Reports (SEIR), Environmental Assessments (EA) and Environmental Impact Statements (EIS). In terms of ETDM, the FDOT is only concerned with major transportation improvement projects that are contained in a Long Range Transportation Plan (LRTP), Florida Intrastate Highway System (FIHS), Strategic Intermodal System (SIS), Deficient Statewide Bridge list and county priorities.

The ETDM Performance Measures Task Work Group worked with the FHWA Florida Division Office to evaluate FHWA's PD&E baseline information. The issues that FHWA is currently tracking for performance include the following:

- PD&E Process Times for Type 2 Categorical Exclusions, EA – FONSI and EIS - ROD (Reported to FHWA Headquarters (HQ) – Report to Congress)

- FHWA Division Review Time for each document type

- Cooperating Agency Status reported to FHWA HQ, which provides data to Council on Environmental Quality (CEQ)

- Project Schedules reported to FHWA Division Administrator Supervisor

- PD&E studies complete that have agreed upon schedules

- Schedules met

- Wetlands (Reported to FHWA HQ – No Net Loss)

- Replacement Ratio

- Acres taken, created, preserved and banked

- Habitat units created (reported to FHWA Division Administrator Supervisor)

- Periodic Reports to FHWA HQ (in units and/or funds)

- Wetlands

- Noise

- Endangered Species

- Section 106 Issues

- Air Quality

Over the past three years, FHWA has also compiled an internal database of Environmental Documents and related technical reports for Type 2 CEs, EA and EIS projects. However, it was discovered that the FHWA database had numerous blank fields that could not be completed. The division office provided 245 possible entries (177 CE II, 42 EA and 26 EIS) for developing a NEPA baseline. Out of the 245 possible entries, only 65 were complete enough to use for database purposes (40 Type 2 CEs, 18 EA and 7 EIS).

In order to establish a comprehensive PD&E baseline, FDOT is currently collecting project development and environmental data from each of the FDOT Districts. For illustrative purposes, information taken from the 65 useable FHWA entries has been queried and is summarized in the graphics below. These graphics provide a glimpse of the type of information, analysis, and queries that will be available to FDOT once all the Districts submit information and a comprehensive database is established.

The FHWA database focused on NEPA processing time, technical reports and permitting associated with NEPA. Projects or actions that do not have significant effects on the human and natural environment may be categorically excluded from the requirements of NEPA. The FHWA database had 40 complete entries relating to projects or actions that were processed as Type 2 CEs. **Figure 1** shows the number of complete entries per Sample.

**Figure 1
Type 2 CE: Number of Entries**
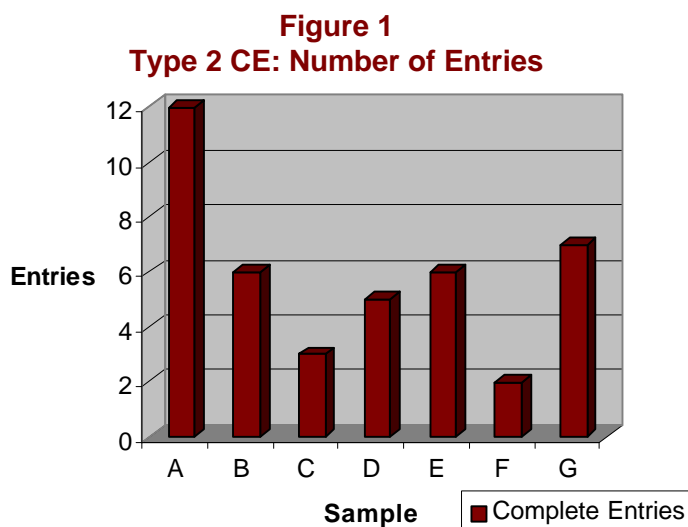
Figure 2 illustrates the amount of time taken to complete the Type 2 CEs. The longest period of time needed to complete a Type 2 CE was in Sample C, which was 83 months (6.9 years). The majority of the 40 entries indicate a Type 2 CE processing time ranging from 23.7 to 42 months (1.9 to 3.5 years). Taking the average processing time for each Sample with four or more entries shows a Sample wide average processing time for Type 2 CE of 2.5 years.

**Figure 2
Type 2 CE: Processing Time**
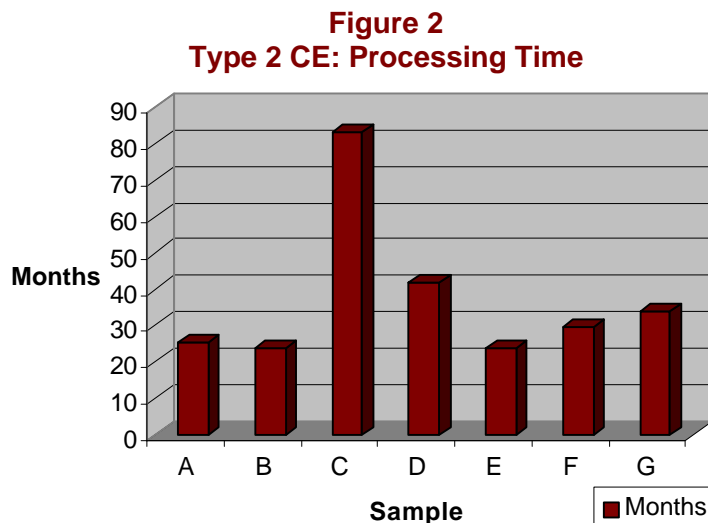
Figure 3 illustrates the processing time for EAs. The processing time was the longest for Sample F, which took 53 months (4.4 years). The processing time for an EA in the other Samples ranged from 32 to 49 months (2.6 to 4 years). There were no complete data entries from the FHWA database available for Sample B.

**Figure 3
EA: Processing Time**
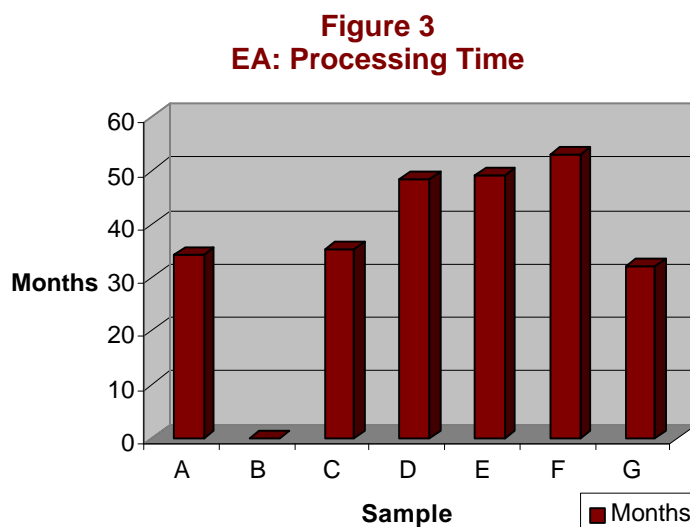
Figure 4 illustrates the processing time for Environmental Impact Statements (EISs). There were only seven complete entries involving an EIS for which FHWA signed a Record of Decision (ROD). The time reported is the time period from the Notice of Intent (NOI) to the signing of the ROD. For the seven complete entries, the longest period of time from the NOI to the ROD occurred in Sample B, which took 120 months (9.9 years). The range from the NOI to the ROD for Sample D, E and F was from 41 to 58 months (3.4 to 4.8 years). The least amount of time from the NOI to the ROD occurred in Sample G, which took 29 months (1.6 years). There were no complete entries from the FHWA database available for Sample A and C.

The purpose of the analysis shown in **Figure 5** was to illustrate the impacts to the project schedule when particular technical studies and reports were required. An analysis of the projects with and without these reports supports the theory that satisfying certain environmental laws and regulations takes a significant amount of time.

As shown in **Figure 5**, when the environmental documents required the completion of a Section 4(f) Statement or Section 106 historical review, the environmental document processing time increased substantially, from 27.1 to 39.2 months (2.3 to 3.2 years) and 27.6 to 34.9 months (2.3 to 2.9 years), respectively.

**Figure 4
EIS: Processing Time**

**Figure 5
Technical Reports: Impact on Schedule**

Developing PD&E Baseline Data

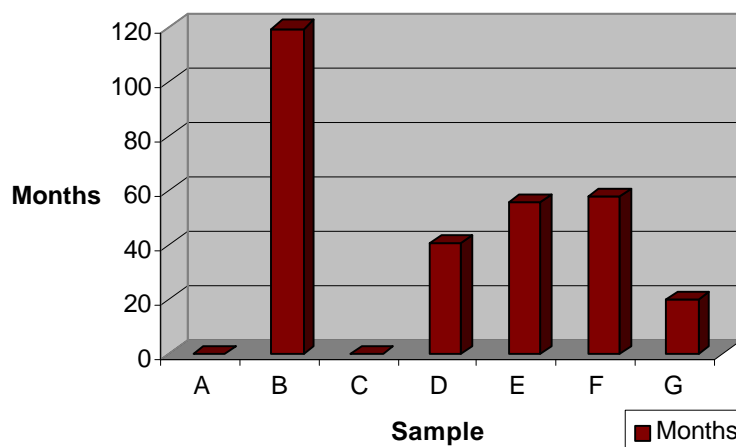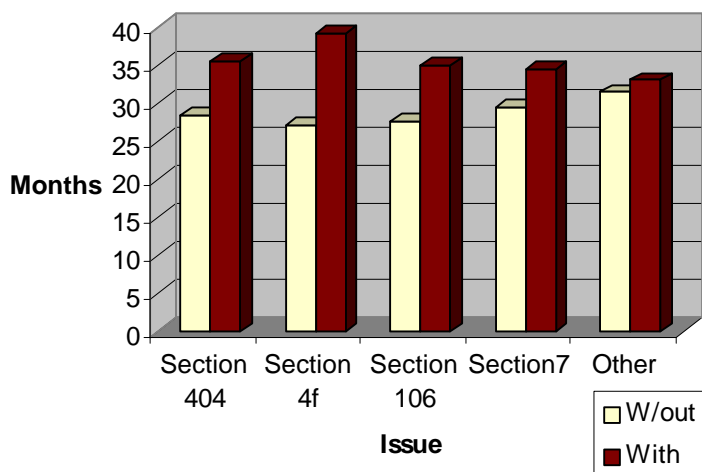As discussed in the previous section, the FHWA PD&E baseline database does not contain complete entries, and a new data collection effort must be completed in order to develop an existing PD&E baseline database to sufficiently assess the ETDM process. In order to create this comprehensive PD&E database, a one-page electronic survey form has been developed, as shown in **Figure 6,** and has been made available to each District and the Turnpike Enterprise via the ETDM Process Web site. Each District and the Turnpike Enterprise will complete the survey information as it pertains to Type 2 CE, SEIR, EA/FONSI and EIS documents that have been completed and are contained in their existing project records. The information will go directly into an Access database where it will be analyzed and summarized through a variety of queries, similar to those illustrated in the previous section. The project records will also be viewable through a pull-down screen on the Web site. It is anticipated that the FDOT PD&E baseline data survey will be completed in the current, 2005 fiscal year.

DEVELOPING ETDM KEY PERFORMANCE MEASURES

The ETDM Performance Measures Task Work Group was charged with the responsibility of developing ETDM Performance Measures and sought to do so consistent with the FDOT Business Model. The group developed ETDM Performance Measures by utilizing the Tier 3 format for unit plans that support the functional plans or Tier 2. The benefit of following the Tier 3 format is that the results can easily be assimilated into the Central Environmental Management Office (CEMO) Tier 3 Unit Plan, once developed.

After completing the workshops and establishing a framework for developing ETDM Performance Measures, a sub-team of the Task Work Group convened to refine the performance measures based on commonality of activities and established performance indicators and targets.

The Task Work Group was then asked to evaluate the utility of the information listed by asking two questions: (1) Is this essential data or information for my agency? and (2) Is this information necessary to track and measure ETDM performance in fulfilling the Task Work Group Mission Statement? Comments were received from the Task Work Group, and the ETDM Performance Measures were revised to include the most valued measures and eliminate those that were not essential.

The ETDM Performance Measures shown in **Figure 7** are the performance measures and data that the Task Work Group identified as being important for measuring the implementation of ETDM.

Figure 6: PD&E Survey

FDOT Project Development And Environment Database

Project Background

Financial Project Number (State Number)		FDOT District	
Project Name		Federal Project Number	
Primary Type of Improvement		Class of Action	
Project Description	(Include project limits, logical termini)	Public Involvement	(Describe P.I. program. Major issues raised and addressed)

Project Location

Pick one feature from EACH of the following that best fits this project.

City		County	
MPO		Secondary County	
Area Type		Secondary County	
FDOT Section Number			
Begin MP	End MP		

Project Costs

PD&E		Design	
Right Of Way		Construction	

Project Timeline

Enter all dates in MM/DD/YYYY format (e.g., 5/30/2004).

Programming Date (PDE phase entered in WP)		Construction Complete Date	
Advance Notification Date		Project Schedule (months)	
Location Design Concept Acceptance Date			

Key Issues

Check any key issues that had a substantial involvement with the project.

Wetlands	☐	Section 106	☐	Noise	☐
Wildlife	☐	Contamination	☐	Access Management	☐
Section 4(f)	☐	Other			

Environmental Administrator or Designee

[Submit] [Return]

Figure 7
ETDM Performance Measures

	Objectives	Activities	Performance Indicators (Measures)	Targets (%, #, Score, Timeframe, etc.)	Progress (Current Status)	Person (s) Responsible
Mission	The mission of this Task Team is to Establish ETDM Performance Measures that evaluate project delivery, protection of environmental resources and improvement interagency coordination.					
Process Management	**Integrate ETDM into project delivery**	(1) Implement Planning Phase (projects moving into LRTP/FIHS Plans)	1(a) Percentage of Major Capacity transportation improvement projects screened 1(b)Percentage of ETAT Agencies participating who have signed Agency Agreements 1(c) Percentage of projects with potential dispute issue(s) 1(d) Percentage of projects concept and scope revised due to ETAT review 1(e) Percentage of Planning Summary Reports completed within 90 days 1(f) Number of projects withdrawn due to ETAT review	1(a) 90% 1(b) 100% 1(c) For reporting purposes only 1(d) For reporting purposes only 1(e) 90% 1(f) For reporting purposes only		
		(2) Implement Programming Phase (projects moving into FDOT Five-Year Work Program)	2(a) Percentage of Major Capacity transportation improvement projects screened 2(b) Percentage of ETAT agencies participating who have signed Agency Agreements 2(c) Percentage of projects eligible for Work Program (i.e. No Dispute Issues) 2(d) Percentage of Final Programming Summary Reports competed within 60 days 2(e) Percentage of projects withdrawn due to ETAT review 2(f) Percentage of projects concept and scope revised due to ETAT review 2(g) Percentage and number of projects in formal dispute	2(a) 90% 2(b) 100% 2(c) 95% 2(d) 90% 2(e) For reporting purposes only 2(f) For reporting purposes only 2(g) Less than 1%		
		(3) Implement Project Development Phase	3(a) Number of screened PD&Es (based on focused scope of work) completed in FY 2006- (Need to discuss further with Districts) 3(b) Average duration of screened Categorical Exclusions 3(c) Percentage of screened PD&Es that obtain permits concurrent with LDCA 3(d) Percentage of screened PD&Es that meet proposed schedule	3(a) At least 2 per District by July 2006 3(b) 12 months or less 3(c) 50% or more 3(d) 90%		
		(4) Identify Funding Requirements and Efficiencies	4(a) Compare traditional PD&E study costs verses screened PD&E study (we will not have existing PD&E costs,maybe a problem) 4(b) Compare traditional PD&E schedule verses screened PD&E schedule (when project was programmed to when permits were received)	4(a) Cost savings of up to 20% 4(b) Time savings of up to 25%		
		(5) Develop Training	5(a) Publication of Annual CEMO Training Plan based on ITPs 5(b) # and type of statewide workshops and conferences	5(a) By July 1 of each year 5(b) At least 1 Statewide workshops each year (CEMO and ETAT)		

	Objectives	Activities	Performance Indicators (Measures)	Targets (%, #, Score, Timeframe, etc.)	Progress (Current Status)	Person (s) Responsible
Process Management	**Improve Interagency Coordination and Dispute Resolution**	(1) Implement Agency Dispute Resolution Process (DRP)	1(a) Percentage of ETAT that have a dispute and participate in DRP 1(b) Environmental issue that initiated Dispute 1(c) Percentage of Formal Dispute Resolutions completed within 120 days	1(a) 100% participation 1(b) For reporting purposes only 1(c) 70 % or more	(2) EST surveys & Queries	
		(2) Support Agency GIS database development	2(a) Provide technical support to ETAT agencies on GIS database development 2(b) Ensure quality of the interactive ETDM database information	2(a) Satisfaction surveys from ETAT agencies in FY 2006 2(b) Annual review and acceptance of ETAT databases in FY 2006		
		(3) Improve interagency communication and coordination via the Environmental Screening Tool (EST)	(3) Enhanced application of EST for functionality and communication	3(a) Annual survey of users on EST its application, innovation and need for improvement	(4) Established HELP Desk for EST, 1-800…	
		(4) Development & signature of agency agreements and tribal agreements	4(a) Execution of Agency Agreements (Master, Operating and Funding Agreements) 4(b) Re-evaluate agency resource needs	4(a) 100% completion of all agency agreements by July, 2005 4(b) Update agency agreements, as required, and support through budget request		
		(5) Response/Review timeframes for ETAT and FDOT	5(a) Percentage of ETAT reviews (Planning and Programming Screens) completed within 45 days 5(b) Percentage of ETAT Reviews requesting time extensions 5(c) Percentage of ETAT reviews of environmental documents completed within 30 days 5(d) Percentage of projects without RAIs	5(a) 90% 5(b) 10% 5(c) 90% 5(d) 50%		
Process Management	**Develop Environmental Stewardship thru Protection of Environmental Resources**	(1) Environmental Compliance	1(a) Commitment compliance (documents, permits) 1(b) Percentage of projects in construction that had a non-compliance citation	1(a) 100% (through commitment tracking process) 1(b) 5%		
		(2) System Level Mitigation	(2a) Earlier regional mitigation planning (2b) Earlier regional acquisition (early funding)	(2a) Resource agency reports annually on regional mitigation plans identifying projects considered (2b) Resource agency reports annually on projects that have approved mitigation plans prior to project development		
		(3) Protection of Natural Resources	3(a) Total number of wetlands impacted (acres) 3(b) Total number of wetlands mitigated (no net loss) 3(c) Total amount spent on mitigation 3(d) Total amount spent on Endangered Species Act (per unit)	3(a) Establish baseline 3(b) Establish baseline 3(c) For reporting purposes only 3(d) For reporting purposes only		
		(4) Protection of Cultural Resources	4(a) Total number of other findings of "effect" on which opinions are provided - need SHPO input 4(b) Total number of MOAs signed 4(c) Total amount spent on Mitigation	4(a) Establish baseline 4(b) Establish baseline 4(c) For reporting purposes only		
		(5) Protection of the Physical Environment	5(a) Contamination - Discuss with Lou R., identify PI and Targets	5(a) TBD		
		(6) Protection of the Sociocultural Environment	6(a) Enhance Customer and Stakeholder relationships - Discuss with Kathy Neill	6(a) Customer Satisfaction Survey (80% satisfied)		

Figure 7 contain 46 ETDM performance measures. In the beginning stages of monitoring the ETDM Process, the Task Work Group identified 18 performance measures and data that are important to the implementation of ETDM throughout all phases and the assessment of performance relative to streamlining project delivery, resource protection and interagency coordination. The performance measures listed below for each primary performance measures goal are recommended to be continually monitored for streamlining purposes. The list includes quantitative and qualitative performance measures, and indicates how and where the data will be collected.

Integrate ETDM into Project Delivery

- Percentage of ETAT agencies participating who have signed agreements (collected from EST)

- Percentage of Planning Summary Reports collected within 90 days (collected from EST)

- Percentage of Final Programming Summary Reports completed within 60 days (collected from EST)

- Percentage and number of projects in Formal Dispute (collected from EST)

- Average duration of CE (collected from Districts via Web-based survey)

- Percentage of EST screened PD&Es that meet proposed schedule (collected from District via Web-based survey)

Improve Interagency Coordination and Dispute Resolution

- Environmental issues that initiated dispute (collected from EST)

- Percentage of Formal Dispute Resolutions completed within 120 days (collected from EST)

- Measure quality of the interactive ETDM database information (collected via Web-based survey)

- Percentage of ETAT reviews (Planning and Programming Screens) completed within 45 days (collected from EST)

- Percentage of ETAT reviews requesting time extensions (collected from EST)

- Percentage of ETAT reviews or environmental documents completed within 30 days (collected from Web Site Surveys and FDOT Districts)

Develop Environmental Stewardship through Protection of Environmental Resources

- Total number of wetlands impacted (acres) (collected from ETAT agencies, Web Site Surveys and FDOT Districts)

- Total number of wetlands mitigated (no net loss) (collected from ETAT agencies, Web Site Surveys and FDOT Districts)

- Total amount spent on mitigation (collected from Web Site Surveys and FDOT Districts)

- Total amount spent on Endangered Species Act (per unit) (collected from ETAT agencies, Web Site Surveys and FDOT Districts)

- Total number of other findings of "effect" on which opinions are provided (collected from ETAT agencies and FDOT Districts)

- Total number of MOAs signed (collected from ETAT agencies and FDOT Districts)

FINDINGS AND RECOMMENDATIONS

It is recommended that an electronic system be developed to collect and monitor performance measures using the Environmental Screening Tool (EST), surveys and other data collection mechanisms in a comparative analysis with the PD&E baseline. The team has identified data collection elements, ETDM Performance Measures Goals, Activities, Targets, Potential Electronic Monitoring Tools, and reporting systems to implement the management and monitoring plan. The following four sections describe the necessary steps to evaluate and monitor the ETDM Process. First, the data collection efforts necessary to monitor and report on performance measures are described. The next section is a discussion about the monitoring plan, describing the planning, managing and documenting of the data collection. The third section discusses the reporting mechanism necessary to collect and analyze the data to document the streamlining of the environmental review and permitting process. The last section explains the implementation plan which is essential to continuously monitor program area performance, identify problems early and develop efficient and effective solution and recognize and promote successes related to the ETDM process.

Baseline Data Collection

Data collection efforts to monitor and report on performance measures should consist of hard and soft data as specified below. Hard data will include electronic data collection from project files, and reports such as the PD&E baseline survey and Web-based surveys. Soft data or subjective data will include interviews with management, peer reviews and workshops.

- Complete a Web-based survey to establish a baseline to compare the traditional FDOT PD&E process with the ETDM Process. The baseline would focus on information as it pertains to Type 2 CE, SEIR, EA/FONSI and EIS. The baseline electronic database will be established through the FDOT Districts and the Turnpike Enterprise by completing the PD&E baseline survey for projects completed over the past ten years (1994-2004), if available.

- Establish an on-line survey to collect data for performance measures based on the ETDM Performance Measures goals, which will be used for comparative purposes against baseline data.

- Establish performance measures queries for use in the Environmental Screening Tool (EST). The EST is a sizeable database that can be queried to collect agency and environmental data and assess ETDM Performance Measures.

- Paper surveys will be used to obtain feedback from ETAT agencies, regarding expectations, accountability, accomplishments and subsequent procedures in relation to agency performance. Paper surveys can consist of one-on-one discussions and interviews with management.

- Annual peer review meetings in each District to discuss performance measures.

- Workshops, seminars or annual meeting will be hosted by FDOT to facilitate discussions between FDOT and ETAT agencies and obtain feedback, discuss expectations, accountability, accomplishments, performance and next steps.

Monitoring Plan

There are several possible methods or techniques that are recommended to be utilized to collect and monitor ETDM Performance Measures. These include agency reports, interviews, surveys and EST queries.

- *Agency Reports:* One method to collect and monitor ETDM performance measures is through a quarterly and annual report. In 2004, agencies submitted quarterly project reports to FDOT. This enables the agencies to report progress in meeting ETDM Performance Measures as established in the Memorandum of Understanding (MOU), Agency Operating Agreement (AOA) and Funding Agreement (FA). Quarterly project reports are an important component to measure agency involvement and effectiveness within the ETDM Process. As shown in **Appendix B**, the project reports include accomplishments made during the period in different categories such as administration, coordination, and project reviews. In addition, the list of projects reviewed during the Planning and Programming Screens are entered into the Program Review form (as shown in **Appendix B**), which provides an excellent project summary tool for the agencies and FDOT. The project report also includes problems encountered, and anticipated accomplishments for the next quarter.

  Annual Reports will be collected and monitored annually to document, from the ETAT agencies' perspectives, how the agencies have participated in meeting the three primary goals or objectives of the ETDM Process: project delivery, protection of environmental resources and interagency coordination and dispute resolution. In addition, the Annual Report will report on how agencies conducted daily business on FDOT projects before and after ETDM implementation, as shown in **Appendix C**.

- *Interviews/Annual Meetings:* Each ETAT agency will have an Annual ETDM review discussion meeting with FDOT Central Office and FHWA to evaluate the ETDM Process. The interviews/annual meetings will evaluate and compare the before and after effects of implementation of the ETDM Process and how it has impacted the way agencies operate and conduct business with FDOT.

The above-mentioned methods or techniques are recommended to be used to collect and monitor ETDM Performance Measures in order to report on the effectiveness of the ETDM Process using one or a combination of the different reporting instruments listed below.

Reporting System

Other state DOT agencies utilize a variety of reporting instruments to monitor and track funded-position performance. However, FDOT is developing a reporting system that will provide information on the effectiveness of the ETDM Process in terms of ETDM Performance Measures as well as the utility of the funded positions. The system will involve monitoring and reporting on specific performance measures and funded positions using the following reporting instruments.

- ▪ ***Establish a Web-based Tool****:* To monitor progress within the ETDM Process, it is recommended that FDOT develop a reporting system to monitor key performance indicators. This includes Tier 3 objectives related to integration of ETDM into project delivery, improvement of interagency coordination and dispute resolution, and the protection of environmental resources. Key performance indicators should be tracked and reported using a Web-based tool developed by FDOT similar to Panorama Business View (PB Views). PB Views is a performance and balanced scorecard software designed for an organization to achieve its strategic goals by improving alignment and focus, communication and decision making, management reporting and accountability.

- ▪ ***Establish Dashboards:*** Dashboards are project management tools used by organizations such as DOTs to measure performance and report the performance to the public.

Plan Implementation

Currently, data collected to monitor and report on ETDM Performance Measures are derived from the following sources: PD&E Web Site Survey, EST Queries, ETDM Performance Measures, Quarterly Reports and Annual Reports. An electronic performance measures system should be established which will combine the five major components into one Web-based ETDM Performance Measures System. The system will provide quantitative results of the ETDM Process for ETAT agencies, FDOT and FHWA to see how ETDM has streamlined the environmental review and permitting process per Section 1309 of TEA-21.

The first component of the ETDM Performance Measures System is the development of a PD&E baseline database to compare the traditional PD&E process with the ETDM Process. In December 2004, a one-page electronic survey was made available to each FDOT District and the Turnpike Enterprise via the ETDM Web site. FDOT Districts and the Turnpike Enterprise will complete the PD&E survey with as much information as is reasonably available for Major Transportation Improvement Projects completed over the past ten years (1994-2004). The deadline for entering the project information via the on-line survey is February 15, 2005. The survey information will be loaded directly into an Access database, where it will be analyzed, summarized, and refined through a variety of queries and evaluation tools. Once the information has been compiled, the Districts will be able to query the database through a dynamic link on the ETDM Web site. This refined PD&E survey will become a component of a Web-based reporting system. The Web-based reporting system will be able to generate a report to evaluate the performance of the ETDM Process in terms of time savings, cost savings, improved project delivery and enhanced protection of environmental resources.

The second component of the ETDM Performance Measures System is the 18 performance measures that have been identified by the Performance Measures Task Work Group. Dashboard screens for the 18 performance measures will be developed on the ETDM Performance Measures System to give an overview of the status of the ETDM Process in terms of project delivery, interagency coordination and dispute resolution, and protection of environmental resources through environmental stewardship. The performance measures data will be input into the ETDM Performance Measures System, where they will be monitored and evaluated using a three-color indicator. Green indicates that a performance measure is operating efficiently. A yellow color indicates a warning of potential problems, with possible corrective actions necessary. Red indicates that a problem exists with the specific performance measure, and

corrective actions are crucial. The Performance Measures System will produce graphical and tabular reports allowing for the focus on trends and potential problems. In addition, the Performance Measures System will use a scorecard to report how the 18 performance measures are performing. Similar to the dashboard indicators, the scorecard will have a three color indicator – green for success, yellow for mixed results and red for unsatisfactory.

The next component for the ETDM Performance Measures System is queries and information generated from the Environmental Screening Tool (EST). The EST will be queried to collect agency and environmental data and assess ETDM Performance Measures. The following queries will be used to monitor ETDM performance measures:

- Number of ETAT project reviews completed in the Planning Screen
- Number of ETAT Project reviews completed in the programming screen
- Number or percentage of project reviews completed with the 45 day time period
- Number or percentage of projects that ETAT requested time extensions
- Number and type of issues reviewed
- Number of affected projects without supporting comments
- Number of project with dispute resolution required
- Number of Disputes/red flags and issues associated with dispute

The ETDM Performance Measures System will take into account the quantitative and qualitative data collected from the various databases and sources to generate reports to evaluate the performance of the ETDM Process.

The fourth component of the ETDM Performance Measures System entails information contained in the Quarterly Reports. Every quarter ETAT agencies will submit a quarterly report electronically via the EST. Quarterly reports consist of ETAT agencies accomplishments made during the quarter in different categories such as administration, coordination and project review. In addition, ETAT agencies will submit electronically a form for each project reviewed during PD&E, design, ROW or construction. The data will be loaded into the ETDM Performance Measures System, where the data can be queried or a report generated which provides agencies and FDOT an excellent project screening summary.

The last component of the ETDM Performance Measures System is the Annual Report. ETAT agencies will complete an Annual Report electronically via the EST. The information will be loaded into the ETDM Performance Measures System. The Annual Report consists of subjective data that will be converted by the ETDM Performance Measures System into a report format. It will document, from the ETAT agency's perspective, how the ETDM Process has affected the three goals or objectives of the ETDM Process: project delivery, protection of environmental resources and interagency coordination and dispute resolution. In addition, resource and regulatory agencies, FDOT and the FHWA will meet annually to review the funding program, identify process issues and recognize program accomplishments. The notes from these meetings will be loaded onto the ETDM Performance Measures System for review by ETAT agencies and FDOT Districts.

The five components will be incorporated into the ETDM Performance Measures System, where reports and queries can be generated that will evaluate how ETDM has streamlined the

environmental review and permitting process. In October 2005, an Annual EMO conference will be held to share the results of the ETDM Performance Measures System, obtain feedback, and discuss expectations, accountability, accomplishments, performance and the next step of ETDM and the ETDM Performance Measures System.

Next Steps: Phase II

The next step in implementing the ETDM Performance Measures Management and Monitoring Plan is to develop an electronic database that incorporates the major data collection elements and reporting components necessary to comprehensively measure and evaluate the ETDM Process.

Appendix A
FDOT Statewide Business Plan
Tier 1

CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
VISION	The people of DOT…dedicated to making travel in Florida safer and more efficient.					
MISSION	The Department will provide a safe transportation system that ensures the mobility of people and goods, enhances economic prosperity and preserves the quality of our environment and communities.					
1. LEADERSHIP	SO 2003-06 Improve the Leadership Effectiveness System	1 Implement Leadership Core Competencies at Manager level 2 Improve Leadership & Supervisor Academy 3 Establish & monitor Leadership Communication Guidelines & Policy 4 Establish & Implement Leadership training process for Core Competencies	(1) Leadership Effectiveness Score (Score given in Sterling Feedback Report based on review of Leadership Criterion) (2) Survey Leadership Score (Survey Items 5, 12, 16, 18, 23, 32, 35, 44, 52) (3) Survey Credibility Score (Survey Items 12, 24, 35, 44) (4) Guidelines & Policy Established	(1) 2005 Target = 600 (2) 2004 Targets = 2.09 total with no item below 1.80 (3) 2004 Target = 1.85 (4) Guidelines & Policy Established by 03/2004	(1) Leadership Effectiveness Score = **450** (2002) (2) Survey Leadership Score = **(2000 1.91) 2003 2.04** (3) Survey Credibility Score = **(2000 1.65) 2003 1.80** (4) Guidelines & Policy = **Drafted**	Ken Hartman
	SO 2003-08 Improve Communication Effectiveness	1 Instill the Concept of Customizing the Communication for the Audience 2 Enhance Employee Involvement in Decision Making 3 Provide Periodic Open Communication Forums with Employees	TBD	TBD	**Activities plan approved by Executive Board at November 2003 meeting. Team now developing deployment plans and developing performance indicators**	Debbie Hunt

			FDOT STATEWIDE BUSINESS PLAN			
			TIER 1			
CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
2. STRATEGIC PLANNING	SO2003-05 Implement the DOT Business Model Statewide	1 Establish, monitor quarterly & update annually the FDOT Statewide Business Plan (Tier 1) 2 Establish, monitor at least quarterly & update at least annually Statewide Function & Organizational Business Plans (Tier Two) 3 Establish, monitor at least monthly & update at least annually Unit Function Business Plans (Tier Three) 4 Provide materials, training and consultation in support of establishing plans	(1) Tier One Plan established (2) Tier Two Plans for Core Processes established (3) Tier Three Plans for Core Processes established (4) Tier Two Plans for Support Processes established (5) Tier Three Plans for Support Processes established	(1) By April 2004 (2) By July 2004 (3) By July 2005 (4) By December 2004 (5) By July 2005	(1)Tier One Plan = **Drafted December 03** (2)Tier Two Plans for Core Processes = **being drafted** (3)Tier Three Plans For Core Processes = **Preliminary work begun in some Districts. Materials working on Tier Three statewide** (4)Tier Two Plans for Support Processes = **Functions defined. Work to begin Jan 04, plan being accelerated from original schedule** (5)Tier Three Plans for Support Processes = **Work not yet begun, plan accelerated from original schedule**	Larry Ferguson

CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
2. STRATEGIC PLANNING, Continued	EBI – 4 Maintain and Monitor the critical elements of the FDOT Business Plan (See SO2003-05 above for creation of the plan)	1. Maintain and monitor the Florida Transportation Plan (FTP) 2. Maintain and monitor the Short Range Component of the FTP 3. Maintain and monitor the FDOT Strategic Objectives	(1) FTP monitored, implemented, reported and updated (2) Short Range Component monitored quarterly, implemented, and updated annually (3) Strategic Objectives (Business Plans) monitored quarterly and updated annually (4) Appropriate public input included in update of FTP and Short Range Component (5) Appropriate employee input included in Strategic Objectives (6) Analysis of measures used to adjust plans as needed and in update of plans	(1 & 2) See Annual Report to Transportation Commission for Targets (1) FTP updated on 5 year cycle (2) SRC updated annually (3) Business Plan updated annually (4) TBD (5) Business Plans in full effect by July 1, 2006 (6) Measures tracked monthly, quarterly &/or annually & updated as needed at Tiers1, 2 & 3	**(1 & 2) Measures are monitored monthly by the Executive Board and reported annually to the FTC. FTP updated each 5 years (next cycle 2005) and SRC updated annually** **(4) Public hearings and other public input methods are held to meet or exceed requirements set by law and rule** **(3, 5 & 6) Business Plan now in implementation (see SO2003-05 above for progress)**	Ysela Llort (1&2) Larry Ferguson (3)

FDOT STATEWIDE BUSINESS PLAN						
TIER 1						
CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
3. CUSTOMER AND MARKET FOCUS (All Objectives relate to FTP & SRC 3-1 Organizational Excellence: Customer Focus)	FTP & SRC 2-1 Enhance Mobility & Economic Competitiveness	1 Establish, construct & manage Florida's Strategic Intermodal System 2 Provide for smooth & efficient transfers of both passengers and freight between seaports, airports, railroads, highways and other elements of the Strategic Intermodal System 3 Reduce delay for people & goods movement through increased system efficiency and multimodal capacity	(1) Through 2007, at minimum, maintain the rate of change in person hours of delay on the Florida Intrastate Highway System (FIHS) (2) Through 2011, commit approximately 50% of highway capacity improvement program for capacity improvements on the FIHS (3) Through 2011, increase transit ridership at twice the average rate of population growth	(1) Maintain or improve rate of change in person hours of delay on FIHS (2) Highway Capacity Improvement $ committed to FIHS/Total Highway Capacity Improvement $ = 50% (3) Transit ridership rate of growth = 2 times population rate of growth		Ysela Llort

CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
3. CUSTOMER AND MARKET FOCUS (All Objectives relate to FTP & SRC 3-1 Organizational Excellence: Customer Focus), Continued	FTP & SRC 2-2 Enhance Quality of Life	1. Design the transportation system to support communities' visions, compatible with corridors of regional and statewide significance 2. Design the transportation system to include human scale, pedestrian, bicycle, transit-oriented and community enhancing features, where appropriate 3. Design the transportation system in a way that sustains human and natural environments and conserves non-renewable resources 4. Increase access to and use of alternatives to the single-occupant vehicle 5. Enhance the availability of transportation services to persons who are transportation disadvantaged, and ensure the efficiency, effectiveness and quality of those services 6 Ensure that the transportation decision-making process is accessible and fair to all communities and citizens of Florida	TBD	TBD		Freddie Simmons (1, 2, 3) Yesla Llort (2, 3) Marion Hart (4, 5) Transportation Disadvantaged Commission (5) District Secretaries & Turnpike Executive Director (6)

FDOT STATEWIDE BUSINESS PLAN TIER 1						
CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
3. CUSTOMER AND MARKET FOCUS (All Objectives relate to FTP & SRC 3-1 Organizational Excellence: Customer Focus), Continued	FTP & SRC 2-3 Enhance Transportation Safety	1 Reduce the rates of motor vehicle, bicycle and pedestrian fatalities 2 Improve the safety of highways/railroad crossings and other locations where modes intersect 3 Improve the safety of commercial vehicle operations 4 Improve the safety of seaport, rail and public airport facilities 5 Improve the safety of services, vehicles and facilities for transit and for the transportation disadvantaged 6 SO 2003-04 Implement the FDOT Strategic Highway Safety Plan	(1) Reduction in the highway fatality rate on all public roads (2) Reduction in the number of fatalities on all public roads (3) Reduction in the number of fatalities on the State Highway System (4) Reduction in the number of bicycle fatalities (5) Reduction in the number of pedestrian fatalities (6) Reduction in the Commercial Motor Vehicle fatal crash rate on the State Highway System	(1) 1.61 or less per 100 mvmt by 2006 (2) 3196 or less by 2006 (3) 1931 or less by 2006 (4) 75 or less by 2006 (5) 498 or less by 2006 (6) TBD	**(1) 2001 = 1.76** **(2) 2001 = 3013** **(3) 2001 = 1818** **(4) 2001 = 107** **(5) 2001 = 510** **(6) 2001 = .21 per 100 mvmt**	Ed Rice (1 & 6) Fred Wise (2) Graham Fountain (3) Marion Hart (4) Ed Coven (5) Transportation Disadvantaged Commission (5)

FDOT STATEWIDE BUSINESS PLAN TIER 1						
CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
3. CUSTOMER AND MARKET FOCUS (All Objectives relate to FTP & SRC 3-1 Organizational Excellence: Customer Focus), Continued	SO 2003-01 Improve External Customer Satisfaction	1 Conduct Surveys (approximately every two years beginning 2001) 2 Address key issues found in surveys	(1)% External Customer Satisfaction (based on External Customer Surveys) (2)# External Customer Complaints (3)% Improvement in 4 Key Areas: a .Night Visibility b. Business Access c. Timeliness of Completion d. Local Input on Design (based on External Customer Surveys)	(1) 2004 = 83% (2) TBD (3)a 2004 = 77% (3)b 2004 = 56% (3)c 2004 = 44% (3)d 2004 = 72%	% External Customer Satisfaction = **(2001 Baseline 78%)** # External Customer Complaints = **TBD** Improvement in 4 Key Areas: (3)a Night Visibility = **(2001 = 72%)** (3)b Business Access = **(2001 = 51%) Target 04 = 56%** (3)c Timeliness of Completion = **(2001 = 39%)** (3)d Local Input on Design = **(2001 = 65%)**	Ysela Llort (1) Dick Kane (2) Brian Blanchard (3a & 3d) Ananth Prasad (3b & 3c)
	SO 2003-02 Improve Response to External Customer Issues	1 Develop & implement FDOTracker system 2 Address key issues identified by analysis of system	(1) Response Time of DOT to customer issues compared to established baseline (2) Resolved/Complaints	TBD	(1) Response Time and Resolved/Complaints = **Baseline standards being established during initial implementation of FDOTracker**	Dick Kane

			PERFORMANCE INDICATORS	TARGETS (%, #, score, timeframe	PROGRESS	PERSON (S) RESPONSIBLE
FDOT STATEWIDE BUSINESS PLAN **TIER 1**						
CRITERIA						
4. MEASUREMENT, ANALYSIS, AND KNOWLEDGE MANAGEMENT	EBI 1 Develop Department-wide Enterprise System	TBD	TBD	TBD		Nelson Hill
	EBI 2 Implement PBViews	1 Executive Board determines measures to be included in system 2 Design layout with Measure Owners 3 Automate data collection for system 4 Publish measures on Infonet 5 Use system to monitor progress and assess Performance Results	(1) Measures defined in PBViews/All Board defined measures (2) Published measures/All measures in system	(1) 90% by Nov 1, 2004 (2) 75% by Nov 1, 2004	(1) Defined Measures = **9/11 KPM Measures defined. Currently working with Asst. Secretaries to clarify further measures** (1) Layout = **8/11 designed, 2 in progress. 6/8 SO's defined.** (2) Publication = **On hold during clarification of measures**	Rick Kelley

CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
4. MEASUREMENT, ANALYSIS, AND KNOWLEDGE MANAGEMENT, Continued	EBI – 5 Evaluate, refine and validate measurements and analysis used in FDOT	1.Monitor Business Plan Measures at Tier One and Tier Two during development, suggest measure improvements as appropriate 2.Monitor, evaluate and refine FTP and SRC related measures. 3. Update and refine FTP 4. Update and refine SRC	(1) FTP, SRC and Business Plans have associated measures (2) Measures used reflect in-process and output/outcome assessment of quality, cost, or time (3) Measures are tracked by person(s) responsible and are used to make corrections/improvements in tasks, activities, processes and/or systems (4) Measures track upwards with linkage to higher level plans	(1) 100% by July 1, 2005 (2) 2004 = 80% 2005 = 90% 2006 = 100% (3) 2004 = 80% 2005 = 90% 2006 = 100% (4) 2005 = 75% 2006 = 90% 2007 = 100%	**Plans are being drafted. (see schedule for 2. Strategic Planning S.O. 2003-05).** **Plans are being monitored for associated measures during drafting.**	Brian Watts Larry Ferguson

			FDOT STATEWIDE BUSINESS PLAN TIER 1			
CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
5. HUMAN RESOURCE FOCUS	EBI – 5 Evaluate, refine and validate measurements and analysis used in FDOT	1.Monitor Business Plan Measures at Tier One and Tier Two during development, suggest measure improvements as appropriate 2.Monitor, evaluate and refine FTP and SRC related measures. 3. Update and refine FTP 4. Update and refine SRC	(1) FTP, SRC and Business Plans have associated measures (2) Measures used reflect in-process and output/outcome assessment of quality, cost, or time (3) Measures are tracked by person(s) responsible and are used to make corrections/improvements in tasks, activities, processes and/or systems (4) Measures track upwards with linkage to higher level plans	(1) 100% by July 1, 2005 (2) 2004 = 80% 2005 = 90% 2006 = 100% (3) 2004 = 80% 2005 = 90% 2006 = 100% (4) 2005 = 75% 2006 = 90% 2007 = 100%	**Plans are being drafted. (see schedule for 2. Strategic Planning S.O. 2003-05).** **Plans are being monitored for associated measures during drafting.**	Brian Watts Larry Ferguson
5. HUMAN RESOURCE FOCUS	SO 2003-07 Address Workforce Development Issues	Develop Employee Wellness Program	TBD	TBD	**Champion team researching and drafting program (September 03)**	Jim Ely Edward Prescott Ruth Dillard

TIER 1						
CRITERIA AREA	**OBJECTIVES**	**ACTIVITIES**	**PERFORMANCE INDICATORS (Measures)**	**TARGETS** (%, #, score, timeframe, etc)	**PROGRESS (CURRENT STATUS)**	**PERSON (S) RESPONSIBLE** (# = Activities)
	EBI 3 Address Employee Satisfaction Issues	1 Conduct annual employee survey 2 Address issues of statewide impact identified by survey 3 Prepare action plans for all units to address local issues 4 Automate survey & internalize analysis	(1) Scores on targeted employee survey items or clusters for: a. Leadership (Items 5, 12, 16, 18, 23, 32, 35, 44, 52) b. Credibility (Items 12, 24, 35, 44) c. Involvement, Recognition & Pay (Items 29, 43, 47) d. Overall Satisfaction (Items 14, 30, 53) (2) Supervisor work on development and implementation of action plan	(1)a. 2003 = 2.00 an no items below 1.80 (1)b. 2003 = 1.80 Average (1)c. Target = Positive % increase annually (1)d. Raw score increase annually (2) 100%	(1)a. 2000 = 1.91 (base) **2003 = 2.04** **Item 35 = 1.76** **Item 44 = 1.77** (1)b. 2000 = 1.65 (base) **2003 = 1.80** (1)c. 2000 = 1.31 (base) **2003 = 1.61** **23.2%/2000** (1)d. 2000 = 2.28 2001 = 2.27 2002 = 2.32 **2003 = 2.36** (2) **Monitored by Senior Leaders and reported twice per year to the Executive Board**	Joe Peet

FDOT STATEWIDE BUSINESS PLAN TIER 1						
CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
6. PROCESS MANAGEMENT	FTP & SRC 1-1 Preserve the Transportation System	1.Adequately maintain all elements of Florida's Transportation System	(1) Through 2011, ensure 80% of pavement on the State Highway System meets Department standards (2) Through 2011, ensure 90% of FDOT-maintained bridges meet Department standards while keeping all FDOT-maintained bridges open to the public safe (3) Through 2011, achieve 100% of the acceptable maintenance standard on the State Highway System	(1) 80% (2) 90% (3) 100%		Bruce Dietrich (1) Sharon Holmes (2, 3)

FDOT STATEWIDE BUSINESS PLAN TIER 1						
CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
6. PROCESS MANAGEMENT, Continued	FTP & SRC 1-2 Manage an Efficient Transportation System	1 Increase the efficiency of the transportation system using appropriate technologies 2 Manage access on Florida's public roads to preserve capacity and enhance safety & mobility 3 Improve incident management to minimize the impact on traffic flow 4 Improve safety of commercial vehicle operations 5 Minimize response times of each entity responsible for responding to crashes and other incidents 6 Implement hurricane response and evacuation plans in cooperation with emergency management agencies	(1) Deployment of Intelligent Transportation Systems (ITS) technology on critical state corridors (2) Reduction in the Commercial Motor Vehicle fatal crash rate on the State Highway System Additional measures TBD	(1) TBD (2) TBD	(1) **TBD** (2) **2001 = .21 per 100 mvmt**	Ken Morefield Chester Chandler (1) Warren Merrell (2) Lap Hoang (3 & 5) Graham Fountain (4) Ed Rice (5 & 6)

CRITERIA AREA	OBJECTIVES	ACTIVITIES	PERFORMANCE INDICATORS (Measures)	TARGETS (%, #, score, timeframe, etc)	PROGRESS (CURRENT STATUS)	PERSON (S) RESPONSIBLE (# = Activities)
6. PROCESS MANAGEMENT, Continued	FTP & SRC 3-2 Organizational Excellence: Deliver the Work Program	1 SO 2003-03 I mprove Project Delivery: A Improve Customer Satisfaction B Reduce Avoidable/Premium Costs C Integrate ETDM into project delivery D Improve Quality of Design C Improve Quality of CEI E Improve Quality of Cost Estimates 2 Improve Transportation System Safety (See 3 Customer & Market Focus: FTP & SRC 2-3 Enhance Transportation Safety)	TBD	TBD	**Nov 03 – All teams formed and meeting. Initial activities identified.**	Freddie Simmons Ken Leuderalbert (A) David Sadler (B) Leroy Irwin/Bob Crim (C) Brian Blanchard (D) Ananth Prasad (E)
7. ORGANIZATIONAL PERFORMANCE RESULTS	FTP & SRC 3-3 Organizational Performance: Achieve standards of performance set by the Florida Transportation Commission (FTC)	1. Support the FTC in compiling annual performance and production review report	(1) 19 primary measures (2) 14 secondary measures (See annual Report to the FTC for details of the measures)	(See annual Report to FTC for details of targets)	**Measures are monitored monthly by the Executive Board and reported quarterly &/or annually to the FTC**	

LEGEND:

SO   = Strategic Objective
EBI   = Executive Board Initiative
SRC   = Short Range Component   (V6 January 8, 2004)
FTP   = Florida Transportation Plan
TBD   = To Be Determined

Appendix B

Quarterly Project Report Forms and Program Review Form

Project Report for Positions Funded by FDOT

Type of Invoice: ☐ Advance Payment ☐ Reimbursement

Date Submitted:

Name of ETAT Representative:

Agency Name:

Financial No.:

PR/DO No.:

Report No.

Accomplishments made during Period (Accomplishments from the last period for Advance Pay)

I. **Administrative and/or Supervisions Tasks**: *(Includes discussion of management and/or supervision tasks performed during specific quarter.*

Total Staff Hours (for period):

Total Personnel Involved (No. of People):

II. **Coordination**: *(Discussion of non-field interagency and Departmental coordination).*

III. **Project Reviews** *(Including Field Reviews, see attached Project Table)*

   EST (Planning/Programming Screens)

   NEPA/Permitting (Includes Mitigation Activities)

IV. **Performance Measures** *(Discuss how agency has performed based Performance Measures outlined in Agreements)*

Problems Encountered/Suggestions for Improvements

Instruction: This section should provide information on any problems discovered or anticipated and any proposed improvements, which would facilitate the streamlining effort of the process

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Anticipated Accomplishments for next Period (Advance Pay provides details on upcoming Advance Pay Request anticipated work efforts)

Instruction: This section should provide information on future (upcoming) work activities.

Total Staff Hours (future):

Total Personnel Involved (No. of People):

Certification: As the ETAT Agency Project Manager, I certify that the allocated federal funds for this project have been expended or will be expended consistent with the jointly executed ETDM Agreements and in compliance with Section 1309 of ISTEA as shown in this report.

Program Manager _____   _____

   Signature   Date

Program Review Form

ETDM # or FN #	County	Project Description	Phase	Response Date (mm/dd/yyyy)	Review Type	Response Document	Degree of Effect	Review Comments	Action	EST Problems Encountered

Program Review Definitions

Informal Coordination - Project reviews conducted that do not have specific review timelines and do not require agency decisions.

Formal Coordination - Project reviews that have specific review timelines and require agency decisions as identified in state statutes or federal laws.

Field Review - Agency conducts field review of project.

Technical Assistance - Agency provides technical review or technical assistance for project related issues.

Permitting Activities - Agency reviews related to permitting activities.

Advance Notification - Agency review of project Advance Notification.

Other - "Review not identified in pull down menu, Agencies to add Review Type."

Appendix C
Annual Report Questions

ETDM Performance Measures
Annual Report Questions

Before ETDM Implementation

Prior to MOU and agreements, describe in detail how your agency conducted daily business on FDOT projects.

1) Describe how your agency was organized in Florida?
2) How did project information enter your organization?
3) How many staff were involved and how were they allocated?
4) How were projects assigned?
5) How frequently did staff consult or coordinate with FDOT on projects?
6) How many FDOT projects were reviewed and coordinated with FDOT each year?
7) Describe your typical involvement with FDOT projects and at what phase that involvement usually occurred: planning, PD&E, permitting, etc…
8) How many staff hours per month were typically devoted to working on FDOT projects? Planning Phase? PD&E phase? Permitting?
9) What were the major barriers to coordination and involvement with FDOT projects: Budget? Staff? Other Resources? Time? Communication? Meetings? Field Reviews?
10) Describe your involvement with the MPO's planning process?
11) When did your agency typically provide review on DOT transportation projects?
12) How often have you published joint notices with FDOT?

After ETDM Implementation

After MOU and agreements, describe in detail how your agency conducts daily business on FDOT projects.

1) Describe how your agency is organized in Florida?
2) How does project information enter your organization?
3) How many staff are involved and how are they allocated?
4) Describe how Section 1309 funds have been used to streamline process?
5) How are projects assigned?
6) How frequently does staff consult or coordinate with FDOT on projects?
7) How many FDOT projects have been reviewed or coordinated with FDOT over the past year? How does this differ from prior business practice?
8) Describe your typical involvement with FDOT projects and at what phase that involvement occurs: Planning, PD&E, Permitting, etc…
9) How many staff hours per month are typically devoted working on FDOT projects? Planning Phase? PD&E phase? Permitting?
10) Describe your involvement with MPO's planning process?
11) Describe instances of where early collaborative decision-making with FDOT has occurred to eliminate duplication or resolve issues?
12) When did your agency become aware of and receive public input on a transportation project? Planning? Programming? Project development

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13) How often have you published joint notices with FDOT?
14) What are the major barriers to coordination and involvement with FDOT projects: *Issues to consider* Budget? Staff? Other Resources? Time? Communication? Meetings? Field Reviews? Environmental Screening Tool?
15) What are some of the findings or results you have discovered related to your agencies operations, FDOT operations or the environmental process in general since participation in the MOU and agreements?
16) What recommendations would you make to improve the environmental streamlining of the process?

Agency Specific Performance Measures (PM) Questions

1) If your agency has established Performance Measures, describe your Performance Measures and how participation in ETDM process and streamlining has contributed to meeting these measures?
2) Using EST reports, discuss how your agency has met the performance measures established in the ETDM Agreements.