

DEPARTMENT OF TRANSPORTATION

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September 30, 2016

Ms. Francine Shaw Whitson
Office of Transportation Performance Management
Federal Highway Administration, Room E76-338
1200 New Jersey Avenue, SE
Washington, DC 20590

Dear Ms. Whitson:

On behalf of the State of California, the California Department of Transportation (Caltrans) is hereby submitting the "Initial State Performance Report" as required under Title 23 of the United States Code (U.S.C.) section 150(e). The federal requirements call for all states to submit a report no later than four years after the October 1, 2012, enactment date of the *Moving Ahead for Progress in the 21st Century (MAP-21)* legislation. The performance reporting is required every other year commencing with this initial report. U.S.C 150 identifies the following requirements for the performance report:

1. The condition and performance of the National Highway System (NHS) in the State;
2. The effectiveness of the investment strategy document in the State asset management plan for the NHS;
3. Progress in achieving performance targets identified under subsection (d); and
4. The ways in which the State is addressing congestion at freight bottlenecks, including those identified in the national freight strategic plan, within the State.

California has made progress toward the development of a Transportation Asset Management Plan (TAMP) and implementing asset management principles and practices in general. The absence of federal rules called for under MAP-21 has limited the extent to which California can implement the federal asset management requirements contained in the U.S.C.

Specific responses to each of the federal reporting requirements are shown below and are in accordance with the guidance provided by the Federal Highway Administration (FHWA) for this initial report.

Condition and Performance of the National Highway System in California

The requirement to document the current inventory and condition of pavements and bridges that carry the NHS was achieved through the submittal of the Highway Performance Monitoring System (HPMS) data for pavements and the National Bridge Inventory (NBI) data for bridges in California. Data submittals were provided to the FHWA in the June of 2016 for pavement and April of 2016 for bridges satisfying the condition and performance reporting requirement.

FHWA analysis of the NBI data submitted, indicated that the current percentage of “Structurally Deficient” bridge deck area in California was 5.9%, well below the maximum 10% levels established in federal regulation. Based on this initial assessment, California is exempt from the mandated expenditure provisions related to bridge funding through 2020.

The effectiveness of the investment strategy contained in the States Asset Management Plan for the National Highway System

The development of the States TAMP is contingent upon the FHWA finalizing the rules that define specific asset management requirements and performance definitions. Until the rules are finalized, performance targets cannot be set and investment plans to achieve those targets cannot be developed.

The combined California transportation investment in the NHS includes funding from federal, state and local sources, as well as use based tolls and fees. Transportation investment decision making in California is shared between Caltrans, Special Transportation Districts, Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs) and local government agencies. For the development of the TAMP, Caltrans will endeavor to document the combined investment from the many sources in California. It is estimated that over 250 local agencies in California have jurisdiction over some portion of the NHS and coordinating expected investments from this many agencies will be extremely difficult. Our investment plan will rely on estimates of investments in the NHS with a stronger focus on measuring the condition and performance of the system.

Progress in achieving performance targets

Safety – In March 2016, U.S. Department of Transportation (DOT) published the Performance Management 1 Final Rule, which is currently the only final performance management rule. The rule requires that performance targets for number of fatalities, rate of fatalities and number of serious injuries must match National Highway Traffic Safety Administration targets that the Office of Traffic Safety (OTS) sets in California. Caltrans staff have had a series of meetings with OTS to learn how OTS has been setting its targets, and also to set the groundwork for jointly developing those targets next year. OTS has hired a consultant (Cal Poly Pomona) to

assist with setting its targets. Additionally, Caltrans is evaluating target setting methods for the rate of serious injuries, and number of non-motorized fatalities and serious injuries.

Caltrans has also formed an external transportation stakeholder Target Setting Workshop Advisory Committee with representatives from MPOs, local and tribal governments and the FHWA. This Advisory Committee is helping Caltrans plan a Performance Management Safety Target Setting Workshop with California transportation stakeholders for December 2016, with potential follow up workshops around California in early 2017. The intent of the workshops is to engage stakeholders so that safety performance target setting is done in a thoughtful and coordinated manner. The overall objective of setting these targets is the most efficient and effective allocation of safety funds to reduce the greatest number of fatalities and severe injuries.

Pavement and Bridge Condition – MAP-21 requires states to establish performance targets for NHS pavement and bridges within one year of the enactment of the final rule establishing these measures. The Final Rule is not available at the time of this report and therefore the measures cannot be determined, targets cannot be set and investment plans cannot be developed. Caltrans has evaluated the existing NHS inventory against the proposed performance measures and has performed an analysis that will inform the target setting process once the final rule is released.

Caltrans has hosted workshops with our transportation partners to discuss proposed performance measures and the status of the rule making process. With such a large number of agencies having an influence on the combined NHS performance, Caltrans has reached out to our partners to develop strategies for how best to work with them when we begin the target setting process.

A description of the ways in which the State DOT is addressing congestion at freight bottlenecks in California

California highways include over a dozen of the Federal Highway Administration's top 250 United States Freight Bottleneck locations, as well as other congested areas identified through various state studies and system plans. The following items are ways in which Caltrans is addressing congestion at freight bottlenecks:

Data collection and analysis – To better assess freight bottlenecks and congestion for planning and analysis purposes, Caltrans is working with regional agencies to identify critical rural and urban corridors, conducting truck surveys, integrating freight into forecasting and travel demand models, expanding economic analysis capabilities to include freight, backing up National Performance Management Research Data Set (NPMRDS) files onto servers, and exploring ways to integrate data from those files with the Caltrans Performance Measurement System.

Freight projects – Rail crossing separation projects to improve safety and relieve bottlenecks, such as those completed as part of the Trade Corridor Improvement Fund program, will continue

to be pursued. To alleviate congestion along clogged highways and ports, Caltrans is exploring marine corridor and rail mode shifts. A Fostering Advancements in Shipping and Transportation for the Long-term Achievement of National Efficiencies (FASTLANE) project at the border with Mexico includes dedicated commercial truck lanes.

California Sustainable Freight Action Plan (CSFAP) – Ordered by Governor Brown, this multi-agency integrated plan was a collaborative effort for the purpose of improving freight efficiency, transitioning to zero emission technologies, and increasing economic competitiveness. Identifying, planning, and recommending bottleneck relief projects is one of the implementation steps recognized in the plan. In addition, two of the Caltrans-led pilot projects involve advanced technologies to increase efficiencies and reduce freight bottlenecks.

Interstate coalitions – Through coordinated planning and integration activities, Caltrans partners with neighboring states on several important coalitions to address issues that cross state boundaries. As freight is one of the most significant elements discussed, these efforts can affect the entire nation.

Improving operations – Caltrans promotes performance-based multimodal planning that supports transportation system management and operations to maximize the effectiveness of the transportation system. All modes of freight transportation should benefit from integrated corridor management.

Collaboration and leveraging funds – Caltrans works closely with local and regional partners to leverage funding sources to achieve a broad range of mobility related goals. The California Freight Advisory Committee is a standing work group of diverse freight stakeholders, which assists with identifying and resolving freight issues. Caltrans will also facilitate the Freight Efficiencies Group, which will assist with improving system efficiencies.

Freight Research – Caltrans is currently pursuing a statewide needs assessment and bottleneck study. This study will evaluate freight needs including infrastructure, maintenance, freight intelligent transportation systems, operations, and capacity, as well as identify strategies to address and alleviate future freight mobility issues such as bottlenecks. We are also partnering with the University of California, Berkeley to research and implement truck platooning technology.

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Caltrans is looking forward to continuing our implementation of asset management in California in the coming years. Should you have any questions regarding this Initial State Performance Report please feel free to contact me at [REDACTED] or by e-mail at michael.b.johnson@dot.ca.gov.

Sincerely,

MICHAEL B. JOHNSON
State Asset Management Engineer