

DEVELOP AND SUPPORT TRANSPORTATION PERFORMANCE MANAGEMENT CAPACITY DEVELOPMENT NEEDS FOR STATE DOTs

Pooled Fund Organizational Charter
September 2016

1.0 Introduction

This pooled fund focuses on determining and supporting state, MPO and public transportation providers Transportation Performance Management (TPM) capacity development needs. The Rhode Island Department of Transportation (RIDOT) serves as the lead state for the pooled fund and will work with AASHTO to facilitate administrative duties. This charter provides the rules that govern the pooled fund membership, project selection, project management, fiscal management and overall pooled fund management.

2.0 Objectives

The objectives are to research and assess training and educational needs of contributing members, develop and deliver performance management resources, and to facilitate the sharing and retention of performance management best practices as funding allows to:

- 1) *Identify Gaps in TPM Knowledge, Skills and Abilities*—Conduct a needs analysis for learning and capacity development of contributing members resulting in a short and long-term capacity building roadmap;
- 2) *Develop and Deliver Learning and Capacity Development Resources*—Develop training and educational material to meet the gaps identified in the knowledge, skills and abilities;
- 3) *Establish a TPM Information Clearinghouse*—The TPM Information Clearinghouse will be used to showcase PM best practices, foster collaboration, and serve as a repository for PM resources; and
- 4) *Support Knowledge Transfer among Pooled Fund States.*

3.0 Scope

The principal tasks of the TPM Pooled Fund are:

- 3.1 Establish a TPM Pooled Fund Member Group that will be comprised of individuals employed by agencies contributing to the TPM Pooled Fund. Contributing agencies may identify as many TPM Pooled Fund Members as they see fit. The TPM Pooled Fund Members will:
 - Provide advice and guidance concerning the needs analysis, development of the learning and capacity development resources, and the TPM Information Clearinghouse.
 - Serve as a resource for supporting the knowledge transfer activities.
 - Serve as a communication and coordination mechanism between the State DOTs, MPOs, and FHWA to ensure that performance management learning and capacity development needs are developed in a coordinated manner.
- 3.2 Establish Technical Advisory Committee (TAC) that will serve as the administrative body of the TPM Pooled Fund and provide oversight in the administration of the funds associated with this pooled fund project. See Section 4.2, *Operating*

Procedures of the Technical Advisory Committee, for more information on the operating procedures of the TAC.

3.3 Conduct an analysis to identify:

- Short-term and long-term learning and capacity development needs of the member States.
- Knowledge, skills, and abilities (KSAs) needed to effectively administer and implement a performance-based transportation program; optimal organizational structure for effective performance management; resources needed to support KSAs.

3.4 Develop learning and capacity development resources and make them accessible online; to include, but not be limited to areas such as determining data quality, statistical analysis, and target setting. Resources to be developed will be identified based in part on results of the needs analysis. Resources should be suitable for a variety of audiences and should include a regular cycle of review and updating. Develop and maintain a TPM Information Clearinghouse consisting of best practice materials and other training and education resource material to assist State DOTs, MPOs, and public transit providers in implementation of a performance-based transportation program.

3.5 Support knowledge transfer of pooled fund members through the following mechanisms:

- Reimburse travel and per diem expenses for TPM Pooled Fund members to relevant conferences, peer exchanges, or workshops, and applicable expenses for participating in other forums for knowledge and information exchange as identified by the TAC.
- Cover the expenses of speakers and trainers from other organizations, peer state, regional government agencies, and local government agencies in order that they participate in state-based training, workshops, conferences, etc.

4.0 Governance and Guiding Principles

4.1 Membership and Responsibilities

Pooled fund members are those agencies who contribute to the [Solicitation Number: 1394 pooled fund study](#). A minimum commitment of \$30,000 is required, which can be billed at \$10,000 per year or all at once. Each agency will have one person serve on the Technical Advisory Committee (TAC), with voting rights. Other staff can participate in the pooled fund as TPM Pooled Fund Members, but only the TAC member can vote. TPM Pooled Fund Member conference calls will be held, at a minimum, of six times per year. An in-person meeting will be held in conjunction with the AASHTO Standing Committee on Performance Management summer meeting¹. Pooled fund members are expected to participate in meetings, guide the activities, contribute subject matter expertise and identify and share TPM resources.

¹ If the Standing Committee on Performance Management does not hold a summer meeting, the TAC will determine whether or not to hold a separate in-person meeting as a standalone meeting or in conjunction with another meeting.

4.2 Operating Procedures for the Technical Advisory Committee

The TAC will be comprised of one person from each pooled fund member agency and will serve in a voting capacity. The TAC will also include non-voting liaison representatives from the FHWA Office of Transportation Performance Management's Training and Capacity Building team, AASHTO (representing State DOT members) and AMPO (representing MPO members). Each pooled fund member agency will assign one person to serve on the TAC. It is their responsibility to communicate and identify their TAC voting member to AASHTO.

TAC meetings will be held on a quarterly basis, usually by conference call or in person when appropriate. For example, the TAC may meet during Annual Meetings of AASHTO's Standing Committee on Performance Management. It is not the intent to have a separate in-person TAC meeting on an annual basis.

RIDOT, as the Lead Agency for the TPM Pooled Fund, will Chair the TAC and FHWA's Office of Transportation Performance Management's Training and Capacity Building team will serve as the Secretary. AASHTO will provide logistical support for the meetings.

TAC will utilize AASHTO procedural rules for all of its meetings. All decisions will be based on a simple majority vote of the TAC Voting Members.

4.3 Work Plan and Budget

Each year the TAC will develop a work plan, outlining the activities and budget to be completed. Once the TAC approves it, it will be shared with the pooled fund members.

4.4 Administration of Work Plan

In accordance with the executed agreement between RIDOT and AASHTO dated February 10, 2016, RIDOT as the lead state has engaged AASHTO to administer (manage) the Project through AASHTO's Standing Committee on Performance Management (Technical Assistance Committee) with the assistance of an AASHTO staff liaison².

AASHTO shall procure the necessary expertise and provide as needed personnel, facilities and such other services as may be required to fulfill the tasks identified and described in the work plan agreement. The Administrator is responsible to adhere to competitive solicitation requirements, prepare contract documents and perform other functions related to contracts, administration, and management. The Administrator will assure that contracts, schedules, Work Plans and project descriptions are followed. The Administrator will ensure that adequate controls are in place to ensure quality control and evaluation of all work products and deliverables of contractors.

² During the preparation of this charter, AASHTO was going through an assessment of their committees. Depending on the outcome of that assessment, the TPM Pooled Fund will align itself with the relevant new committee that addresses the general area of transportation performance management.

AASHTO shall advise RIDOT regarding the progress of the Project through monthly expenditure and quarterly progress reports. At a minimum, the reports must include information on services provided during the month, total dollar amount expended, aggregate total, balance available, and any other relative information to substantiate the expenditure of funds. RIDOT as the lead agency and in coordination with AASHTO is responsible for providing contract and budget progress reports to the TAC during the Quarterly Update Meetings.

RIDOT is also responsible to submit a Quarterly Report 30 days after the end of the quarter uploaded to the Transportation Pooled Fund Program website. The report summarizes budget activities, progress made during the quarter and expected progress for the upcoming quarter. AASHTO as the administrator must provide RIDOT with all relevant information no later than 15 days after the end of the quarter for compiling such report.

4.5 Travel Reimbursements

The TAC shall designate relevant knowledge transfer opportunities requiring travel as worthy of TPM Pooled Fund support for members and/or speakers. In addition, TPM Pooled Fund members may request travel reimbursement for related activities as well. All travel reimbursement requests will be evaluated on a case by case basis by the TAC and the TAC must pre-approve all travel for these designated events. Each pooled fund agency member would be eligible to reimbursement of their travel for up to two trips for the duration of the project. Priority for travel reimbursement would be given to TAC Voting Members. However, this is subject to change at the discretion of the TAC.

All travel expenses incurred must be in accordance with current travel reimbursement policies of AASHTO and the appropriate federal travel regulations active at the time of travel before they can be reimbursed. Travel reimbursements will be paid by AASHTO and submitted for reimbursement as part of the regular billing cycle from AASHTO to RIDOT.

4.6 Rights in the Project.

Contributing members to the Pooled Fund will retain all rights to intellectual property including patents and copyrights arising from the Project.

RIDOT, AASHTO and all pooled fund members agree that information exchanged and generated as a result of this project, will generally be non-confidential and suitable for publication. Nevertheless RIDOT and other pooled fund members may disclose to AASHTO, during the course of the Project, confidential information including data and statistics not suitable for public dissemination. AASHTO agrees to maintain such information in confidence, and to prevent the disclosure thereof to others to the extent that such information is disclosed in writing and marked as confidential or proprietary; if orally disclosed, noted at the time of disclosure as being confidential and or proprietary, and reduced to writing within thirty (30) days after such oral disclosure, the writing being marked as confidential or proprietary. AASHTO agrees that neither AASHTO nor any of its colleagues, employees or agents shall use any of the confidential information for any

purpose whatsoever, other than to complete this assignment. AASHTO agrees that AASHTO or any of its colleagues, employees or agents shall not keep any copies of the information provided by any of the TAC members that has been identified as confidential or proprietary, and provided pursuant to this Agreement.

4.7 Disclaimer

This intent of this Charter is to provide guiding principles for decision making during the performance cycle of this Pooled Fund project.

It is not the intent of this Charter to override any of the articles of the February 10th, 2016 executed agreement between RIDOT and AASHTO or of the Scope of Work approved as part of [Solicitation Number 1394 Develop and Support Transportation Performance Management Capacity Development Needs for State DOTs Pooled fund study](#).

In the event of a conflict between the documents, the order precedence for these documents shall be Executed Agreement between RIDOT and AASHTO (Primary), Solicitation Number 1394 Scope of Work and then this Charter.