Collaboration Guidance

LEVEL 2 TO LEVEL 3

Why Collaboration is Important

The development and implementation of TSM&O requires a collaborative approach. The effectiveness of most strategies is dependent on improving the coordinated performance of each partner.

Improvement Target

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<th>Regular collaboration at regional level (L2)</th>
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<td>Collaborative interagency adjustment of roles/responsibilities by formal interagency agreements (L3)</td>
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Key Sub-dimensions

- Public Safety Agency Collaboration
- MPO/RTPA/Local Government Cooperation
- Outsourcing/Public-private Partnerships
Public Safety Agency Collaboration Action Plan (L2 to L3)

Strategy Summary

Develop and formalize basis for cooperation at interagency level

Key Actions

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<td>Execute formal interagency agreement to develop cooperative approach to TSM&amp;O including formal interagency working group—both emergency and incident management</td>
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<td>Conduct transportation incident and emergency executive forums for senior management</td>
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<td>Develop and implement protocols for communication of key incident and emergency management data items among key players in real time to support effective management, including establishment of voice and data communications interoperability and information transfer</td>
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<td>D</td>
<td>Develop and administer interagency and cross-functional guidance for traffic and emergency incident response and scene management functions and procedures, including associated training and credentialing programs</td>
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<td>Establish a major incident and emergency debriefing process for review and rationalization of responsibilities and procedures as developed in previous actions</td>
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ACTIONS

Action A: Execute formal interagency agreement to develop cooperative approach to TSM&O including formal interagency working group—both emergency and incident management

Rationale: The interagency commitments, relationships and procedures regarding traffic incidents and transportation emergency response activities must be established on a stable, sustainable basis (surviving staff/organizational changes) to support continuous improvement.

A.1 Establish a Traffic Incident Management/Systems Operations Working Group including an executive committee and technical committees as appropriate. Include both field and management personnel and identify leadership.

A.2 Develop an agenda building on traffic incident and emergency operations debriefings including operation concepts, drawing on peer and national best practice materials as appropriate.
Responsibility and Relationships: DOT executive sponsorship will be necessary (both agencies), supported by central office staff development of agreement in conjunction with public safety agency staff.

Action B: Conduct transportation incident and emergency executive forums for senior management

Rationale: Effective TSM&O requires cooperation at the overall agency level to cope with varying priorities and resources and support mutual objectives, and will require adjustments in policies, programs, technology, and staff development that must be addressed by leadership across agency boundaries.

B.1 Identify key leadership that is essential to improved TSM&O on an interagency basis and develop briefing material. The working group established in Action A above may be used for this purpose.

B.2 Conduct executive briefings on key topics with policy implications including the benefits associated with improved management, and as related to national and state requirements, professional standards and conventions; identify key issues for executive consideration.

Responsibility and Relationships: DOT executive sponsorship will be necessary with materials developed by central office staff.

Action C: Develop and implement protocols for communication of key incident and emergency management data items among key players in real time to support effective management including establishment of voice and data communications interoperability and information transfer

Rationale: Effective incident and emergency management requires real time communication of key information needed by all participants.

C.1 Building on the identified information transfer needs (see L1-L2), obtain agreement on data items, formats and sequences for their communication at each stage in incident and emergency management.

C.2 Test and implement protocols.

Responsibility and Relationships: Central office staff working with district/regional traffic management centers and partners.
**Action D:** Develop and administer interagency and cross-functional guidance for traffic and emergency incident response and scene management functions and procedures, including associated training and credentialing programs

**Rationale:** Guidance, training, and drills are important to develop and institutionalize common procedures and protocols.

**D.1** Update or develop/adapt incident and emergency management guidance regarding roles and relationships and protocols and procedures consistent with agreed-upon performance levels—and adapted to the specifics of both statewide and regional contexts.

**D.2** Consider the use of self-assessment as the basis for identifying training, drilling and other program development needs (as available from FHWA) as identified in Action B above.

**D.3** Access training and drilling resources as appropriate. (See the National Traffic Incident Management Responder Training Program [SHRP 2 L12/L32] in the references.)

**Responsibility and Relationships:** Senior TSM&O staff working with public safety counterparts and in consultation with agency training unit.

**Action E:** Establish a major incident and emergency debriefing process for review and rationalization of responsibilities and procedures as developed in previous actions

**Rationale:** To establish the basis for continuous improvement on a cooperative basis, it is important to start with mutual reviews of major incidents to identify the relationships between safety and mobility.

**E.1** Define “major” incident as mutually satisfactory to merit debriefing and identify a procedure for convening and conducting debriefings and managing follow-up.

**E.2** Exercise debriefing procedures.

**Responsibility and Relationships:** Conceptual agreement may require senior executive sponsorship with central office developing criteria in cooperation with districts/regions and their public safety agency partners. A lead staff manager/convener/coordinator will be necessary.
Action F: Develop joint agreement to performance measurement and process improvement approach

Rationale: Reduction in disruption from traffic incidents and other events can only take place in the context of measuring procedural outputs and service outcomes.

F.1 Develop mutual agreement on performance metrics (see Performance Measurement Dimension) for the purposes of establishing a basis to measure the relationship between changes in procedures and improved performance.

F.2 Collect and analyze performance data for incidents, emergencies, and events of different types and utilize as part of debriefing process.

Responsibility and Relationships: Executive sponsorship at both the DOT and relevant public safety agencies will be necessary—supported by staff development units—to develop policy to collaborate an appropriate joint administrative and technical approach.

Examples/References:

  This primer was written for transportation professionals and public safety officials from cities, counties, and states that are responsible for day-to-day management and operations within a metropolitan region. It is intended to help agencies and organizations, and the operations people within them, understand the importance of regional collaboration and coordination, how it happens, and how to get started.


- For state of the practice material: http://ntimc.transportation.org/Pages/default.aspx and http://ops.fhwa.dot.gov/eto_tim_pse/index.htm

MPO/RTPA/Local Government Cooperation Action Plan (L2 to L3)

Strategy Summary

Undertake collaborative planning and budgeting for priority improvements

Key Actions

A. Support integration of TSM&O considerations into regional plans and cooperative approach to planning and budgeting

B. Develop joint agreement to performance measurement and process improvement approach to be applied to regional operations in real time

C. Execute formal interagency-level agreement for cooperative TSM&O real time operational activities, respecting the objectives of all parties and committing to performance-based continuous improvement

D. Identify and initialize cross-discipline training activities utilizing both local and national resources

ACTIONS

Action A: Support integration of TSM&O considerations into regional plans and cooperative approach to planning and budgeting

Rationale: Regional transportation development programs may be focused on jurisdiction-specific legacy capital improvements and overlook cost-effective opportunities for cooperative regional service improvement.

A.1 Provide persuasive materials for the regional planning and programming process regarding TSM&O role in short-term mobility, safety, livability, and sustainability, and support regional planning staff in appropriate briefings.

A.2 Review opportunities to modify regional (metro and rural) planning processes to incorporate TSM&O improvements and identify potential cooperative projects, including traffic operations, integrated corridors, ramp metering, HOV, bus operations, etc.

A.3 Incorporate traffic signal systems management and transportation public safety communications interoperability elements into statewide and regional long range transportation plans, transportation improvement programs, and transportation programming processes.
A.4 Review respective (state and local) resource allocation process to identify opportunities for cost-effective synergism, cost sharing, and staging.

**Responsibility and Relationships:** Central office and district planning and operations staff taking initiative with MPO/RTPA staff through appropriate regional planning task force. Senior district/regional executive support may be essential to establish framework.

**Action B:** Develop joint agreement to performance measurement and process improvement approach to be applied to regional operations in real time

**Rationale:** Developing improved TSM&O effectiveness requires alignment of operational objectives, operational concepts, plans and activities—driven by performance objectives aligned among all key collaborators. A good measurement program can improve program credibility and support program expansion.

3.1 Identify mutually acceptable start-up performance measures with agreed upon measures and an approach to measurement and analysis. The measures may be continuous or event-related.

3.2 Develop an interjurisdictional performance review process with debriefings as appropriate, focused on operations adjustments to improve performance and an approach to reporting performance to decision-makers and the public.

**Responsibility and Relationships:** Central office and district planning and operations staff taking initiative with MPO/RTPA staff through appropriate regional planning task force. Senior district/regional executive support may be essential to establish framework.

**Action C:** Execute formal interagency-level agreement for cooperative TSM&O real time operational activities, respecting the objectives of all parties and committing to performance-based continuous improvement

**Rationale:** Beyond planning, there may be opportunities for improved interjurisdictional operational coordination to improve service in real time.

C.1 Review opportunities for improved network operations across jurisdictional boundaries and facility types such as improved roadway network and corridor operations and related improvements supporting transit operations.

C.2 Establish the performance management process as per **Action B** above.
Responsibility and Relationships: Senior executive sponsorship may be essential to establish framework. Central office and district planning and operations staff taking initiative with MPO/RTPA staff through appropriate regional planning task force.

Action D: Identify and initialize cross-discipline training activities utilizing both local and national resources

Rationale: Training is important to develop and institutionalize common procedures and protocols that may be involved in regional traffic operations and intermodal operations.

D.1 Consider the use of self-assessment as the basis for identifying training and other program development needs (as available from FHWA), identified in Action B above.

D.2 Access training resources as appropriate.

Responsibility and Relationships: Central office and district/regional operations staff taking initiative with MPO/RTPA staff through appropriate regional planning task force.

Examples/References:

- Enhance collaboration by sharing office space among operations stakeholders: http://www.itslessons.its.dot.gov/its/benecost.nsf/ID/7CAC2DE1EC1D0A8E8525707E0061C4E8
Outsourcing/Public-Private Partnerships Action Plan (L2 to L3)

Strategy Summary

Develop policy on outsourcing if relevant

Key Actions

A Where outsourcing or new forms of public-private partnership are relevant, develop business model regarding role, costs and benefits of outsourcing on a "make or buy" basis

B Develop performance procurement/contract management approach for any outsourced service

C Coordinate outsourcing among agency client units

ACTIONS

Action A: Where outsourcing or new forms of public-private partnership are relevant, develop business model regarding role, costs and benefits of outsourcing on a "make or buy" basis

Rationale: The decision regarding outsourcing may imply a change in agency business model regarding the provision of service delivery and organizational and managerial responsibilities.

A.1 Where outsourcing is under consideration, develop an annualized operations program resourcing and staffing plan that integrates public and private sector resources. Consider the shift in basic staff management focus, size, type, and skill needs associated with outsource.

A.2 Where an agency has limited outsourcing experience, consider a pilot test of certain function(s) or in specific districts/regions, including opportunities to run comparisons of staff vs. private provision in parallel contexts (different regions) for comparative purposes.

Responsibility and Relationships: Central office working with key district/regional staff. Outside technical support may be helpful in analyzing options based on peer experience.
**Action B: Develop performance procurement/contract management approach for any outsourced service**

**Rationale:** A key advantage of outsourcing is the ability to impose performance management through contract performance levels.

- **B.1** Review industry experience with performance contracting, including review of contract documents from peer agencies and develop or access needed expertise.

- **B.2** Consider multi-stage test of outsourcing contract framework allowing for periodic adjustment of performance targets and other scope matters.

**Responsibility and Relationships:** Central office operations and procurement staff, working with key district/regional staff for specific projects. Outside technical support may be helpful in analyzing options based on peer experience.

**Action C: Coordinate outsourcing among agency client units**

**Rationale:** In states with multiple, ongoing outsourced and interacting TSM&O functions, standardization and coordination at the management level is important.

- **C.1** Develop organized, consistent approach to outsourcing contract management, performance requirements, reporting, and other features to ensure uniformity, comparability, and coordination where contractors and managers intersect.

**Responsibility and Relationships:** Central office staff with involvement of all relevant units outsourcing TSM&O activities. Senior sponsorship may be essential for appropriate span of control.

**Examples/References:**