



# MAP-21 Funding and Performance Penalties Washington State

## A guide to understanding MAP-21 program structure, apportionments, set-asides and potential penalties

Washington state apportionment <sup>1</sup>				Potential penalties in Washington state	
MAP-21 core program	WSDOT share	Local share	FFY2014 actual total statewide apportionment	FFY2014 example <sup>2</sup>	How penalty is assessed
<i>Penalties may impact apportionments and limit the flexibility of transfers</i>					
<b>NHPP</b> National Highway Performance Program	94 percent \$337,005,588	6 percent \$21,510,995	\$358,516,583	\$103,138,557  +\$10,111,623	<p><b>Potential pavement penalties:</b> Obligated for NHPP pavement projects from NHPP; the obligation = 100% of old Interstate Maintenance program for FFY2009, plus 2% of that FFY2009 amount for each FFY starting in 2013</p> <p>Transferred from STP to NHPP; the transfer = 10% of FFY2009 Interstate Maintenance apportionment</p> <p><b>Potential bridge penalties:</b> Obligated for NHS bridge projects from NHPP; the obligation = 50% of FFY2009 Highway Bridge Program funds</p>
<b>STP<sup>3</sup></b> Surface Transportation Program	Percent varies to balance 66/34 split		\$171,800,293	None	<p>A pavement penalty (as shown in the example above) would require transfer of STP funds</p> <p>There are no STP penalties, but penalties in other categories may reduce the STP apportionment</p>
<b>CMAQ</b> Congestion Mitigation and Air Quality	0 percent \$0	100 percent \$35,469,204	\$35,469,204	None	Not applicable
<b>HSIP</b> Highway Safety Improvement Program	30 percent \$11,142,150	70 percent \$25,998,349	\$37,140,499	\$38,712,610	<p><b>Potential HSIP penalties:</b> Obligated from HSIP for HSIP; obligation = previous year's HSIP apportionment</p> <p><b>Potential High Risk Rural Roads penalties:</b> Obligated for High Risk Rural Roads projects; penalty = additional obligation which is 200% of the FFY2009 HRRR set-aside<sup>4</sup></p>
<b>PL<sup>5</sup></b> Metropolitan Planning Program	0 percent \$0	100 percent \$6,960,373	\$6,960,373	None	Not applicable
<b>These set-asides from core programs have no penalties:</b>					
<b>TAP</b> Transportation Alternatives Program (Set aside from NHPP, STP, CMAQ, HSIP and PL)	0 percent \$0	100 percent \$12,503,968	\$12,503,968		
<b>SPR<sup>5</sup></b> State Planning and Research (Set aside from NHPP, STP, HSIP and CMAQ)	100 percent \$12,862,895	0 percent \$0	\$12,862,895		
<b>RHC</b> Rail-Highway Crossings (Set aside from HSIP)	100 percent \$4,063,343	0 percent \$0	\$4,063,343		
<b>Total share<sup>6</sup></b>	WSDOT 66 percent	Local 34 percent	100 percent		

**Did you know:**

For each allocation, the funding is first set aside for TAP, SPR and RHC, then distributed between NHPP, CMAQ, HSIP and PL by predetermined percentages

After the initial set asides and distributions, STP funding is split to achieve an overall 66/34 percent balance, with 66 percent going to WSDOT and 34 percent to local jurisdictions

Fifty percent of NHPP, STP, CMAQ and HSIP apportionments may be transferred to meet other program needs or satisfy penalties

Some penalties (for example, HSIP) may exceed the current annual apportionment. Past year's funds or transfers from other programs may be used to account for the difference

Data source: FHWA and WSDOT Capital Program Development and Management Office.

Notes: 1 The apportionment for Washington state is allocated 66 percent to WSDOT and 34 percent to local jurisdictions. For each allocation, the funding is first set aside for TAP, SPR and RHC, then distributed between NHPP, CMAQ, HSIP and PL by predetermined percentages. Finally, STP funding is split to achieve the overall 66/34 percent balance. 2 No penalties have been assessed; for illustration purposes only. 3 Fifty percent of STP funds are distributed by population. 4 MAP-21 eliminated the HRRR set aside found in SAFETEA-LU but created a rule requiring a specified HRRR obligation. 5 Not included in 66/34 split. 6 Does not include Section 164 Penalty Safety Projects totalling \$14,189,258 in FFY2014.





# Comparing MAP-21 and SAFETEA-LU program structure

There are significant differences between MAP-21 and its predecessor, SAFETEA-LU. The MAP-21 Act consolidates 90 highway and transit programs into about 30 and expands a state's ability to shift money from one program to another. The MAP-21 Act requires a focus on performance and accountability; its performance system has two stages. First, the U.S. Secretary of Transportation must develop uniform ways to measure performance on the National Highway System (NHS). Second, states must set specific, quantifiable targets for the new performance measures and report on that performance. Rule making is underway at the federal level to establish performance measures.

The illustration below highlights these differences.

The SAFETEA-LU programs for Interstate Maintenance, the National Highway System and the Highway Bridge Program have been consolidated into the National Highway Performance Program (NHPP) under MAP-21; the major focus of this program is to improve the condition and performance of the National Highway System.

The MAP-21 Act's Surface Transportation Program (STP) consolidate's SAFETEA-LU's Off-System Bridges and Surface Transportation Programs. The new STP program is a flexible, multimodal program that continues the eligibility of the previous STP, with some additions and modifications.

A Transportation Alternatives Program (TAP) in MAP-21 consolidates SAFETEA-LU's Recreational Trails, Safe Routes to Schools and Transportation Enhancements Programs. The major focus of TAP is community-based transportation enhancement programs and state and regional competitive grants for safe streets and walkable communities.

The Congestion Mitigation and Air Quality (CMAQ) of SAFETEA-LU remains the same under MAP-21, intended to improve air quality in areas with high levels of air pollution. Two others remain the same, the Highway Safety Improvement Program (HSIP), designed to improve safety for all road users, and the Metropolitan Planning Program.

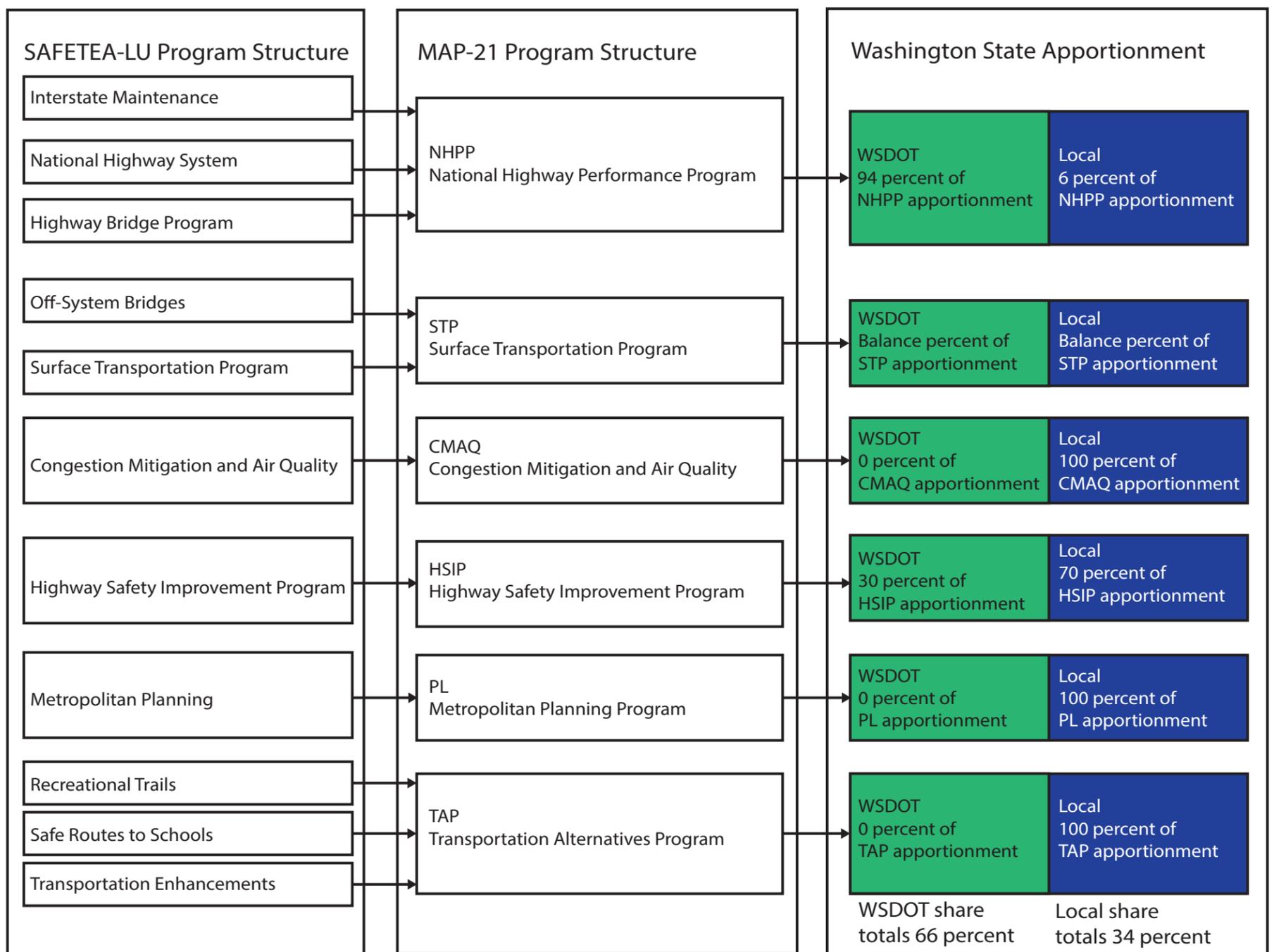
To learn more about MAP-21, see <http://wsdot.wa.gov/accountability/MAP-21>

### What about the penalties?

The word "penalty" conjures thoughts of punishment or unpleasant consequences for breaking a rule. When it comes to MAP-21, which focuses on performance, the "penalty" that is assessed for falling below the acceptable target involves shifting funds to focus on regaining acceptable levels of performance. While penalties may mean a loss of flexibility with regard to how a state spends its MAP-21 funds, the intent is to get back on target. Further, if we are already spending an amount greater than the penalty to achieve the desired result, there would be no additional penalty.

## SAFETEA-LU compared to MAP-21 core programs and Washington state's apportionment

*Current authorization; Apportionment by percentage*



Data sources: FHWA and WSDOT Capital Program Development and Management Office.

### For more information

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WSDOT MAP-21 performance web page:  
<http://wsdot.wa.gov/accountability/MAP-21>

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