



**NCDOT**  
POLICY TO PROJECTS

# Strategic Direction

NCDOT's mission and goals guide the Department's day-to-day tactical and long-term strategic activities.



The first three goals are often referred to as safety, mobility and infrastructure health, and are the fundamental reasons that the Department of Transportation exists. The other two, often called “works well” and “great place”, are supplemental goals that enable us to meet the three primary goals. By working towards these goals we are able to meet our mission.

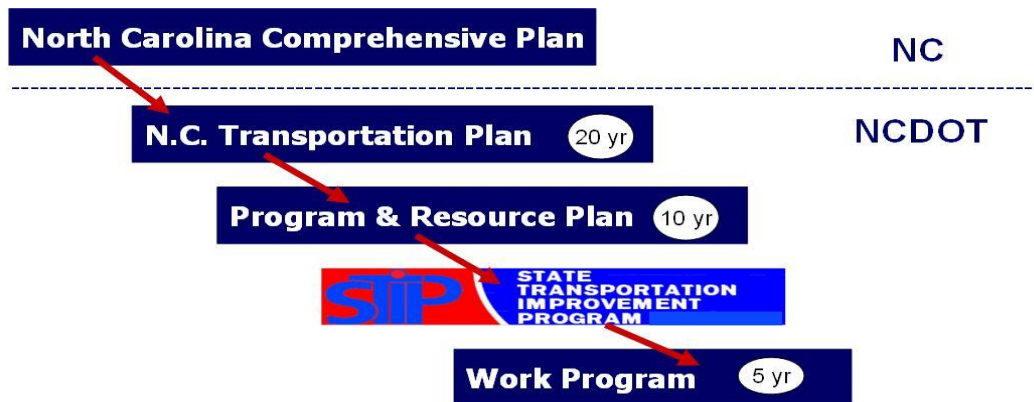
NCDOT employees' day to day tasks are diverse and range from reaching out to high school students about seatbelt usage (safety) to providing intercity rail service (mobility), from sealing cracks in pavement (infrastructure health) to reducing wait time at DMV Offices (works well). These goals apply across the Department and guide the strategic and everyday activities of NCDOT.

(Note: The information in this document was extracted from the Department's “Policy to Projects” Work Program. The complete document with larger graphics can be found on the NCDOT website at the following location:

[http://www.ncdot.gov/download/performance/Policy\\_to\\_Projects.pdf](http://www.ncdot.gov/download/performance/Policy_to_Projects.pdf)

# Strategic Planning Framework

NCDOT has reformed transportation decision-making and improved performance and accountability for our core goals of safety, mobility and infrastructure health by creating 20, 10 and 5-year transportation plans that nest together.



## North Carolina Comprehensive Plan

The North Carolina Comprehensive Plan will be developed and guide all state agencies' actions. Transportation will be one dimension of this over-arching plan. The transportation element of the NC Comprehensive Plan (NCCP) will guide NCDOT. Currently, the NC Comprehensive plan does not yet exist. Until the NCCP is in place, NCDOT will follow the direction provided in the Statewide Logistics Plan.

The [Statewide Logistics Plan](#) focuses on how North Carolina could be more responsive to the needs of freight demand on our transportation network. It was developed based on input from a wide range of stakeholders including state agencies, shippers, carriers and other private sector parties. This plan includes three main components:

- Identification of priority commerce needs
- Enumeration of transportation infrastructure actions including multimodal solutions that will support key industries vital to the state's long-term economic growth and
- A timetable to meet these identified needs

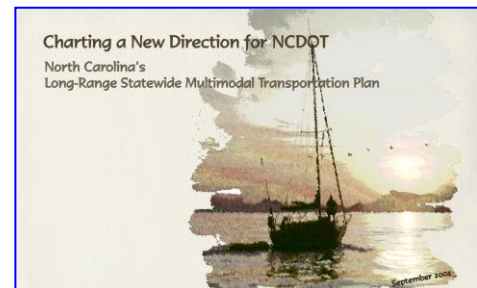
Until a more over-arching NC Comprehensive Plan is in place, NCDOT will use the guidance in the Statewide Logistics Plan to conceptually guide its actions.

## **North Carolina Transportation Plan**

The North Carolina Transportation Plan is a 20-plus year forward-looking document. It defines the mission and goals of the Department and sets out key objectives and strategies that we will use to achieve them. These elements guide decision-making including investment decisions. The plan outlines the resources needed to meet 20-year level of service performance targets and update the future investment strategy that embraces all modes.

This significant plan is developed by transportation professionals including NCDOT and other regional and local bodies with significant public input. It will be published every four years and has a 20 plus year horizon.

The existing [Statewide Transportation Plan](#) (also known as the Long Range Transportation Plan or LRTP) was last updated in 2006. In 2011 NCDOT will begin to update the Transportation Plan. NCDOT's Mission and Goals were established in 2007 and will guide NCDOT until the Statewide Transportation Plan is updated.



## **Program & Resource Plan (10 Year Plan)**

The Program & Resource Plan is a 10-year plan that addresses both transportation needs and fiscal constraints.

Strategic Prioritization enables the Department to apply limited transportation resources to the projects that will best help us meet the mission and achieve our goals in a data-driven and transparent way. The process asks professional staff from NCDOT and regional Metropolitan and Rural Planning Organizations (MPO's and RPO's) to prioritize the transportation needs of their regions. Those needs are categorized by the three goals of safety, mobility and infrastructure health, and then analytically ranked based on objective criteria such as crash data, congestion levels, pavement and bridge conditions, etc. The result is an unconstrained list of North Carolina's transportation needs. The document also identifies 10 year performance targets for our goals of Safety, Mobility, and Infrastructure Health. A technical analysis shows how differing levels and mixes of investment will yield differing results in meeting our goals.

The financial element of the Program & Resource Plan includes a cash-constrained proposed 10-year budget for the Department. It is based on forecasted expenditures, revenues (state and federal), and cash balances, and includes trend analyses of revenues, commitments, reimbursements, payout rates, etc.

**TABLE 2 — BUDGET BY PROGRAM CATEGORIES**  
**PROGRAM & RESOURCE PLAN**  
**2011–2020**

(\$ in Millions)	2011		2012		2013		2014		2015		2016		2017		2018		2019		2020		TOTAL	
	\$	%	\$	%	\$	%	\$	%	\$	%	\$	%	\$	%	\$	%	\$	%	\$	%	\$	%
Construction & Engineering	\$3,154	64%	\$3,201	68%	\$3,143	67%	\$2,989	66%	\$2,845	64%	\$2,711	62%	\$2,853	63%	\$2,836	63%	\$2,693	61%	\$2,408	58%	\$28,833	64%
Maintenance	\$1,277	26%	\$1,021	22%	\$1,044	22%	\$1,053	23%	\$1,069	24%	\$1,108	26%	\$1,137	25%	\$1,161	26%	\$1,186	27%	\$1,210	29%	\$11,265	25%
Operations	\$237	5%	\$220	5%	\$233	5%	\$217	5%	\$235	5%	\$219	5%	\$220	5%	\$221	5%	\$222	5%	\$223	5%	\$2,245	5%
Administration	\$290	6%	\$292	6%	\$296	6%	\$300	7%	\$303	7%	\$303	7%	\$310	7%	\$314	7%	\$318	7%	\$322	8%	\$3,047	7%
<b>Total Program</b>	<b>\$4,958</b>		<b>\$4,734</b>		<b>\$4,715</b>		<b>\$4,558</b>		<b>\$4,452</b>		<b>\$4,341</b>		<b>\$4,520</b>		<b>\$4,531</b>		<b>\$4,418</b>		<b>\$4,163</b>		<b>\$45,390</b>	
Transfers	\$364		\$335		\$327		\$307		\$314		\$321		\$328		\$334		\$342		\$349		\$3,320	
<b>Total Budget</b>	<b>\$5,322</b>		<b>\$5,069</b>		<b>\$5,042</b>		<b>\$4,865</b>		<b>\$4,766</b>		<b>\$4,661</b>		<b>\$4,847</b>		<b>\$4,866</b>		<b>\$4,760</b>		<b>\$4,512</b>		<b>\$48,710</b>	

A critical step in the Program & Resource Plan is the convergence of the strategic prioritization outputs and the cash forecast budget. NCDOT combines the two by applying funding levels and additional funding constraints (such as eligibility, equity, etc.) to the previously unconstrained needs list. The outcome is a 10-year plan that shows the prioritized projects and programs NCDOT plans to do with the projected available funds to achieve defined performance targets.

**TABLE 3 — MULTI-YEAR RESOURCE STRATEGY**  
**PROGRAM & RESOURCE PLAN**  
**2015–2020**



Mode	Cost	Tier	Submode	2010 Estimated LOS <sup>1</sup>	Submitted Needs	GREENSBORO SUMMIT RECOMMENDED STRATEGY			KINSTON SUMMIT RECOMMENDED STRATEGY			NORCANTON SUMMIT RECOMMENDED STRATEGY			NCDOT SUMMIT RECOMMENDED STRATEGY			ACTUAL DRAFT STIP ALLOCATIONS			
						\$	% of Total	Est. LOS <sup>2</sup>	\$	% of Total	Est. LOS <sup>2</sup>	\$	% of Total	Est. LOS <sup>2</sup>	\$	% of Total	Est. LOS <sup>2</sup>	\$	% of Total	Est. LOS <sup>2</sup>	
Autumn	Subregional	Regional	C	\$10,342,500	\$1,136,000	0.3%	D	\$17,920,000	0.2%	D	\$16,133,333	0.2%	D	\$21,720,000	0.2%	D	\$59,782,048	1.0%	B		
			D	\$1,529,000	\$3,330,000	0.0%	D	\$1,120,000	0.0%	D	\$600,000	0.0%	F	\$3,680,000	0.0%	D	\$14,712,390	0.1%	C		
	Mobility	Regional	C	\$3,179,261	\$5,980,000	0.5%	F	\$62,900,000	0.6%	F	\$26,000,000	0.3%	F	\$30,520,000	0.1%	F	\$39,669,666	0.3%	F		
			D	\$7,307,743	\$16,240,000	0.2%	F	\$600,000	0.0%	F	\$600,000	0.0%	F	\$7,000,000	0.1%	F	\$70,730,003	0.7%	C		
	Health	Regional	C	\$1,295,560	\$17,689,000	0.2%	D	\$17,300,000	0.2%	D	\$16,000,000	0.2%	D	\$4,820,000	0.0%	F	\$12,498,280	0.1%	F		
			D	\$170,000	\$7,493,000	0.1%	D	\$1,700,000	0.0%	F	\$2,289,987	0.0%	D	\$700,000	0.0%	F	\$3,824,927	0.0%	D		
Bicycle & Pedestrian	Statewide	D	\$11,716,843	\$178,000	0.0%	D	\$679,000	0.0%	C	\$177,667	0.0%	F	\$666,000	0.0%	A	\$2,040,000	0.0%	A			
		F	\$35,033,361	\$34,620,000	0.2%	F	\$65,497,412	0.7%	D	\$36,666,667	0.2%	F	\$6,100,000	0.1%	F	\$10,220,000	0.1%	F			
Fury	Subregional	Regional	F	\$294,289,340	\$89,280,000	0.8%	D	\$710,224,000	1.0%	D	\$719,896,667	1.1%	D	\$60,000,000	0.0%	D	\$87,150,000	0.3%	F		
			D	\$156,000,000	\$46,600,000	0.9%	D	\$112,440,000	1.1%	C	\$102,000,000	1.0%	D	\$169,800,000	1.6%	C	\$77,600,000	0.7%	D		
	Mobility	Regional	C	\$0	\$83,000,000	0.6%	D	\$40,200,000	0.5%	D	\$55,333,333	0.5%	D	\$625,000	0.0%	D	\$0	0.0%	D		
			D	\$13,810,000	\$14,300,000	0.1%	D	\$11,287,032	0.1%	D	\$11,040,776	0.1%	D	\$36,800,000	0.3%	C	\$1,160,000	0.0%	F		
	Health	Regional	B	\$1,600,000	\$4,808,000	0.0%	C	\$6,061,516	0.1%	B	\$6,435,864	0.1%	B	\$1,575,000	0.0%	C	\$19,000,000	0.0%	C		
			C	\$44,170,000	\$103,646,168	1.2%	D	\$28,896,676	1.3%	C	\$38,281,000	1.2%	C	\$26,200,000	0.7%	D	\$0	0.0%	D		
Public Transportation	Subregional	Regional	C	\$2,314,376,200	\$340,19,430	2.2%	C	\$28,970,400	3.4%	C	\$43,071,416	4.0%	C	\$699,300,000	3.8%	C	\$281,038,000	3.2%	D		
			D	\$687,549,500	\$17,685,329	1.9%	C	\$108,890,000	1.9%	C	\$166,784,000	1.9%	C	\$18,100,000	1.9%	C	\$685,000	0.0%	D		
	Statewide	C	\$0	\$32,690,000	0.2%	C	\$33,600,000	0.3%	C	\$35,000,000	0.3%	C	\$6,420,000	0.1%	D	\$30,240,000	0.3%	C			
		D	\$65,642,200	\$117,536,750	1.1%	C	\$28,721,189	1.2%	C	\$19,236,533	1.4%	B	\$107,790,000	1.9%	C	\$9,844,000	0.1%	D			
	Health	Regional	B	\$136,781,039	\$342,203,269	2.3%	C	\$277,316,141	2.6%	C	\$347,894,451	3.3%	B	\$171,800,000	1.6%	C	\$64,230,000	0.6%	D		
			D	\$9,281,163,079	\$892,423,775	8.5%	D	\$287,117,800	2.9%	D	\$84,172,667	0.9%	D	\$182,800,000	1.7%	D	\$9,000,000	0.1%	D		
<b>Rail</b>	Statewide	D	\$8,739,492,000	\$236,369,000	22.0%		\$1,864,248,708	17.0%		\$1,936,919,819	14.9%		\$1,618,240,000	15.4%		\$75,074,000	7.2%				
Non-Highway (All)	Statewide	Subregional	Mobility	Regional	N/A	\$152,146,000	\$27,694,260	0.4%	N/A	\$43,467,000	0.4%	N/A	\$43,467,000	0.4%	N/A	\$46,056,000	0.4%	N/A	\$21,890,000	0.2%	N/A
					N/A	\$642,279,376	\$9,739,740	0.1%	N/A	\$11,008,400	0.1%	N/A	\$6,323,000	0.1%	N/A	\$70,752,000	0.1%	N/A	\$730,000	0.0%	N/A
		Health	Regional	N/A	\$161,417,706	\$14,726,840	0.1%	N/A	\$172,686,666	0.2%	N/A	\$16,628,000	0.2%	N/A	\$26,404,000	0.3%	N/A	\$14,726,000	0.1%	N/A	
				C	\$873,632,000	\$184,320,000	1.9%	D	\$750,124,400	1.6%	D	\$144,000,000	1.4%	D	\$274,000,000	2.9%	C	\$280,000,000	2.9%	D	
		Mobility	Regional	N/A	\$19,444,281,264	\$6,051,000,200	19.8%	C	\$16,130,646,711	24.0%	C	\$3,161,980,500	29.8%	C	\$3,468,027,000	33.0%	B	\$3,861,797,000	37.2%	B	
				B	\$7,798,696,206	\$381,407,580	3.6%	B	\$572,752,800	5.9%	B	\$589,200,900	5.9%	B	\$398,800,000	3.9%	B	\$401,752,000	3.9%	B	
	Health	Subregional	Regional	N/A	\$6,388,485,241	\$21,853,560	0.9%	N/A	\$416,163,880	4.0%	N/A	\$586,701,000	5.6%	N/A	\$198,400,000	1.9%	N/A	\$558,627,000	4.9%	N/A	
				B	\$1,490,028,960	\$658,297,000	8.2%	D	\$629,244,076	6.0%	D	\$682,211,019	6.4%	C	\$895,700,000	7.7%	C	\$935,987,000	8.2%	A	
		Statewide	Payment (Contract Reinsurance)	D	\$688,166,000	\$116,070,688	2.0%	D	\$346,830,000	3.3%	D	\$321,786,720	3.1%	D	\$469,200,000	4.4%	C	\$440,231,896	4.2%	C	
				N/A	\$683,471,000	\$641,460	0.0%	N/A	\$662,800	0.0%	N/A	\$90,308,000	0.9%	N/A	\$1,305,000	0.0%	N/A	\$49,690,000	0.0%	N/A	
		Mobility	Regional	D	\$1,368,816,000	\$666,531,550	5.4%	D	\$525,353,889	4.9%	D	\$451,173,715	4.2%	D	\$716,000,000	6.8%	C	\$633,043,338	6.1%	D	
				N/A	\$1,498,185,760	\$4,732,000	0.0%	N/A	\$63,759,000	0.6%	N/A	\$63,759,000	0.6%	N/A	\$98,688,000	0.9%	N/A	\$18,200,000	0.1%	N/A	
		Health	Subregional	Payment (Contract Reinsurance)	N/A	\$3,246,211,000	\$1,744,461,107	16.6%	F	\$1,887,286,511	16.1%	F	\$1,234,694,500	11.8%	F	\$895,200,000	8.2%	F	\$963,785,712	9.3%	F
					N/A	\$84,840,804	\$7,890,840	0.1%	N/A	\$9,079,000	0.1%	N/A	\$92,468,700	0.9%	N/A	\$7,768,000	0.1%	N/A	\$4,700,000	0.0%	N/A
		Health	All Tiers	Bids (fixed commitment)	D	\$1,689,000,000	\$1,830,000,000	14.6%	D	\$1,990,000,000	14.6%	D	\$1,930,000,000	14.6%	D	\$1,637,000,000	14.6%	D	\$1,400,000,000	14.6%	D
						\$45,249,361,397	\$8,116,746,760	77.9%		\$6,616,791,232	62.2%		\$9,016,250,681	80.1%		\$888,760,000	84.6%		\$9,043,930,944	92.8%	
		<b>TOTAL ALL BUCKETS</b>					\$4,007,783,383	\$10,900,139,449		\$10,360,000,000		\$10,622,153,900		\$10,500,000,000		\$10,260,424,044					

<sup>1</sup> Actual allocations between goals and tiers based on stated needs.



# Results and Accountability

NCDOT has implemented a framework of strategically nested performance management and business planning elements to enable us to meet our goals. To ensure that NCDOT is delivering and achieving the expected outcomes, a series of accountability tools have been adopted that track and report performance results.

## Executive Metrics

NCDOT establishes outcome-based executive level organizational measures of performance on an annual basis. The measures and associated performance targets gauge the overall success of the Department as an entire organization. This document, called NCDOT's Executive Performance Measures, is reviewed and adopted by the agency's executive staff at the beginning of each state fiscal year.

Each executive level performance measure is assigned an annual target of desired achievement and is associated with meeting at least one of the five organization goals. The performance targets are set independently based on performance trends, previous year results, resources available, national standards and recommendations, or legislative requirements. When performance targets are set they are challenging, yet realistic and achievable by the organization.

These measures are the basis for driving towards a better transportation network and an improved level of service to the State of North Carolina. The results of these executive measures are monitored by management on an on-going basis and reported quarterly in a performance report referred to as the "scorecard." Some of these measures are currently automated and reported more frequently on the Performance Dashboard located at [www.ncdot.gov/performance](http://www.ncdot.gov/performance).