U.S. Department of Transportation

COMPLETE TRIP

ITS4US

Task 10 Training:
Institutional, Partnership, and Financial Plan

Shari Schaftlein

Director

FHWA Office of Human Environment

U.S. Department of Transportation
ITS Joint Program Office

COMPLETE TRIP
ITS4US

Agenda

- **Brief Program Overview**

- **Institutional, Partnership, and Financial Plan (IPFP) Development**
  - Deliverable Overview
  - IPFP Overview
  - IPFP Sections

- **Resources**
  - Useful References
  - Stay Connected

COMPLETE TRIP
ITS4US

Program Overview

U.S. Department of Transportation
ITS Joint Program Office

Complete Trip - ITS4US Deployment Program

- A USDOT Multimodal Deployment Effort, led by ITSJPO and supported by OST, FHWA and FTA

- Supports multiple large-scale replicable deployments to address the challenges of planning and executing all segments of a complete trip

TRIP PLANNING

INTERSECTION CROSSING

VEHICLES & MODE TRANSFERS/PAYMENT STOPS & STATIONS

INDOOR NAVIGATION

OUTDOOR NAVIGATION

BOARDING/USING VEHICLES

INDOOR/OUTDOOR TRANSITION

CONNECTING & COMPLETING TRIP SEGMENTS

Source: USDOT

Vision

Innovative and integrated **complete trip deployments** *to support seamless travel for all users across* **all modes**, *regardless of* **location, income, or disability**

COMPLETE TRIP
ITS4US

Program Goals

- Spur high-impact integrated Complete Trip deployments nationwide

- Identify needs and challenges by populations

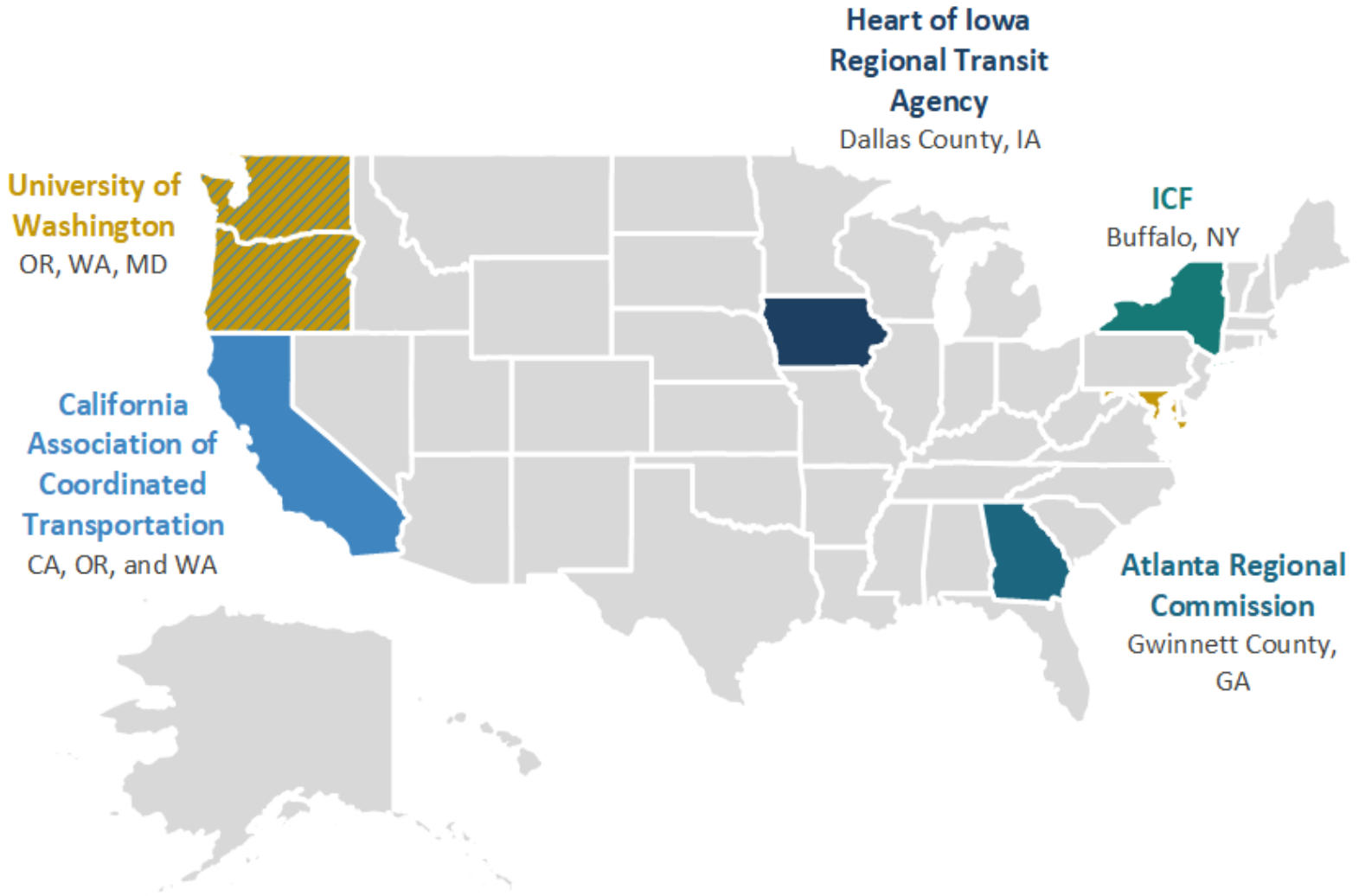- Develop and deploy mobility solutions that meet user needs
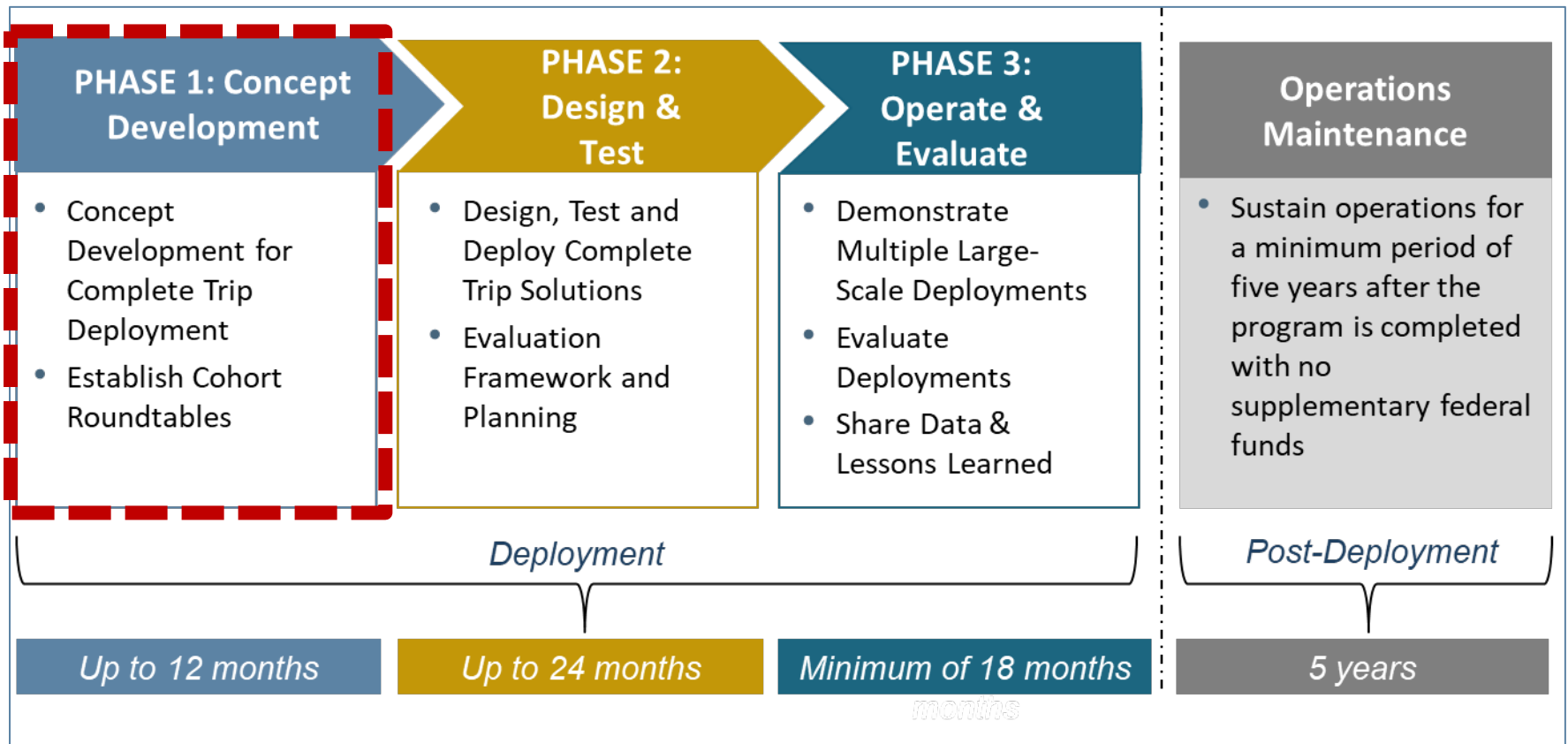
- Measure impact of integrated deployments

- Identify replicable solutions and disseminate lessons learned

Complete Trip Phase 1 Awardees

Heart of Iowa Regional Transit Agency
Dallas County, IA

University of Washington
OR, WA, MD

ICF
Buffalo, NY

California Association of Coordinated Transportation
CA, OR, and WA

Atlanta Regional Commission
Gwinnett County, GA

Deployment Phases

PHASE 1: Concept Development	PHASE 2: Design & Test	PHASE 3: Operate & Evaluate	Operations Maintenance
• Concept Development for Complete Trip Deployment • Establish Cohort Roundtables	• Design, Test and Deploy Complete Trip Solutions • Evaluation Framework and Planning	• Demonstrate Multiple Large-Scale Deployments • Evaluate Deployments • Share Data & Lessons Learned	• Sustain operations for a minimum period of five years after the program is completed with no supplementary federal funds
Deployment			*Post-Deployment*
Up to 12 months	Up to 24 months	Minimum of 18 months	5 years

COMPLETE TRIP
ITS4US

U.S. Department of Transportation
ITS Joint Program Office

Task 10: Institutional, Partnership, and Financial Plan

IPFP Overview

- The IPFP seeks to help create institutional and financial models that enable long term sustainment of deployments by:

  - Describing the team's governance structure

  - Describing and providing definitive documentation of all partnerships and agreements

  - Describing deployment partnership coordination activities

  - Assessing potential institutional and partnership risks

  - Defining a vision for how agreements will be adapted for post-deployment operations

  - Documenting ADA Transition Plans

IPFP Major Components

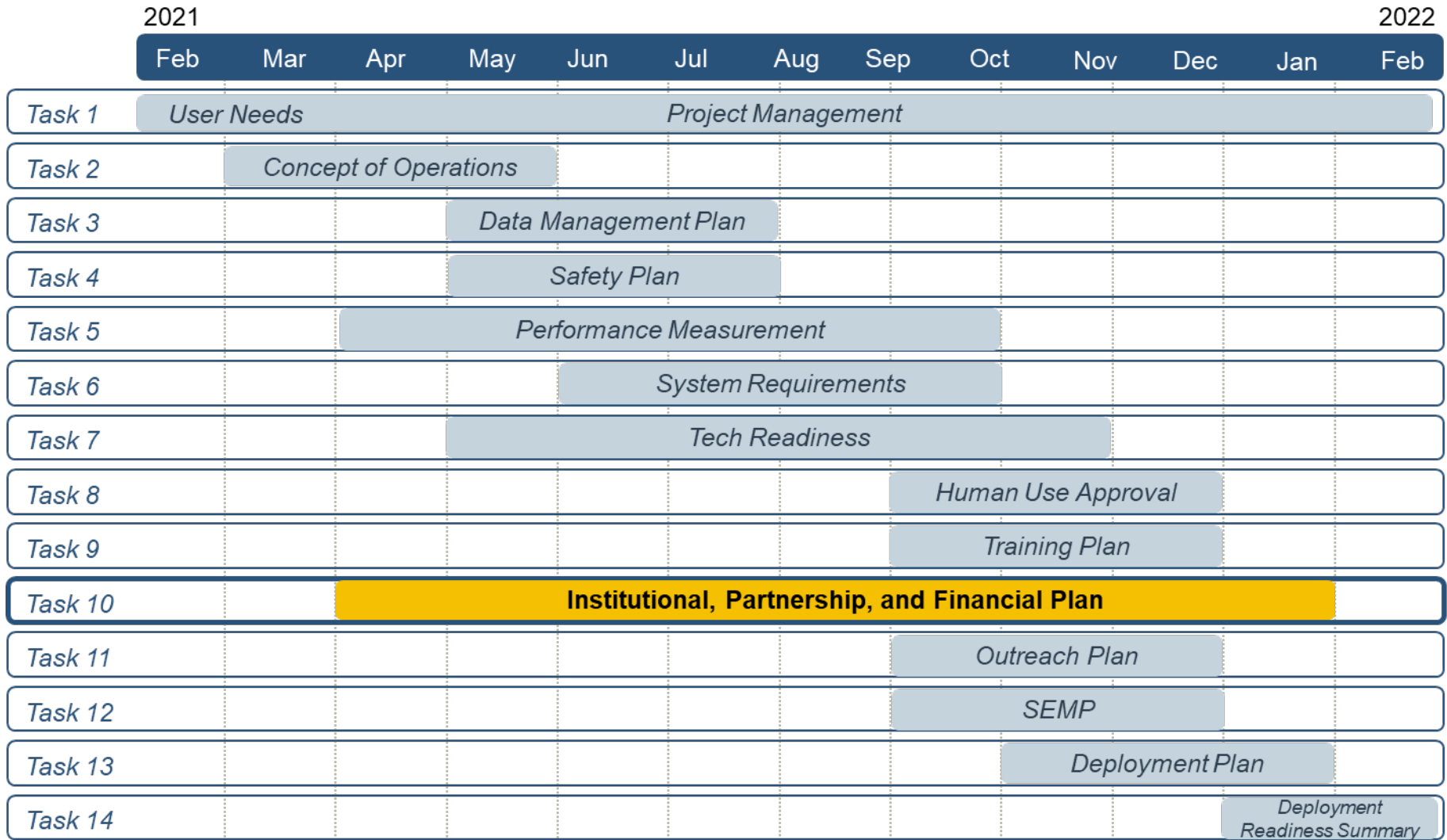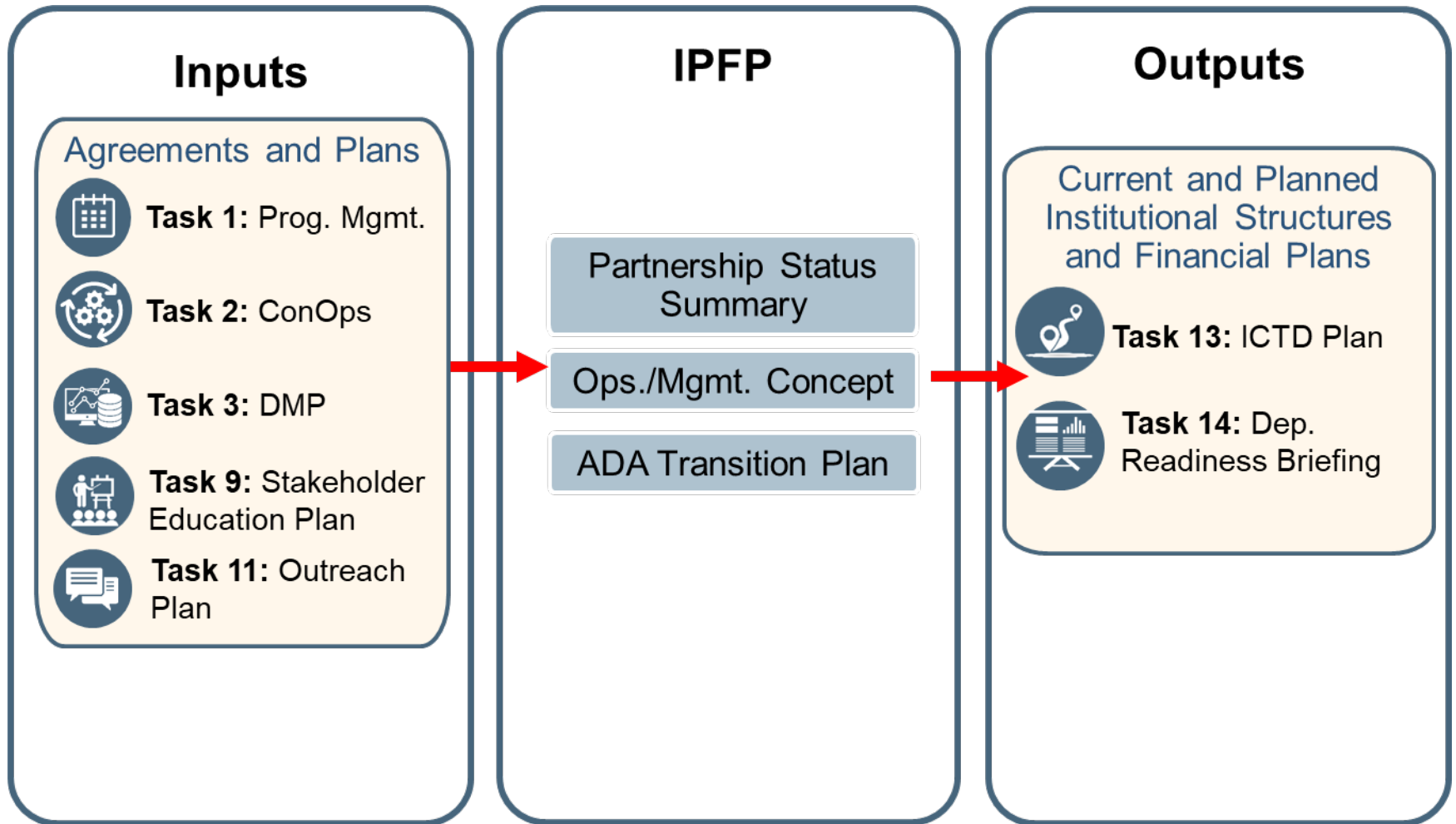| Partnership Status Summary	Document the status of developing and implementing agreements, contracts and subcontracts among partner organizations.
Operations and Management Concept	Describe a practical operations and management concept for Phase 3 and for a period of five years after Phase 3 is completed.
ADA Transition Plans	Disclose the status of any/all ADA Transition Plans for each public sector agency identified as a deployment partner.

IPFP Schedule

	2021												2022
	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb

Task 1 — *User Needs* / *Project Management*

Task 2 — *Concept of Operations*

Task 3 — *Data Management Plan*

Task 4 — *Safety Plan*

Task 5 — *Performance Measurement*

Task 6 — *System Requirements*

Task 7 — *Tech Readiness*

Task 8 — *Human Use Approval*

Task 9 — *Training Plan*

Task 10 — **Institutional, Partnership, and Financial Plan**

Task 11 — *Outreach Plan*

Task 12 — *SEMP*

Task 13 — *Deployment Plan*

Task 14 — *Deployment Readiness Summary*

IPFP Interdependencies

Inputs

Agreements and Plans

- **Task 1:** Prog. Mgmt.
- **Task 2:** ConOps
- **Task 3:** DMP
- **Task 9:** Stakeholder Education Plan
- **Task 11:** Outreach Plan

IPFP

- Partnership Status Summary
- Ops./Mgmt. Concept
- ADA Transition Plan

Outputs

Current and Planned Institutional Structures and Financial Plans

- **Task 13:** ICTD Plan
- **Task 14:** Dep. Readiness Briefing

COMPLETE TRIP
ITS4US

Task 10 Deliverables

- USDOT requires each site to use the template provided

ID	BAA Section	Task 10: Institutional, Partnership, and Financial Plan (IPFP)	Due Date	Format	Site Specific Date
P1T10D1	5.10	Institutional, Partnership, and Financial Plan (Draft)	Kick-off +42 weeks	Word	
P1T10D2	5.10	Institutional, Partnership, and Financial Plan (Final)*	Kick-off +46 weeks	Word	

*508 Compliant Deliverables

IPFP Sections

U.S. Department of Transportation
ITS Joint Program Office

IPFP Sections Overview

- Introduction
- Project Team
  - Partnership Status Summary
  - Deployment Partnership Coordination Activities
- Phase 1 Partnerships and Agreements Details
- Risk Assessment
- Operations and Management Concept
- Americans with Disabilities Act (ADA) Transition Plans
- Appendices

Section 2: Project Team

- Describe the team's governance structure for Phase 1.
  - Document relationships among deployment partner organizations
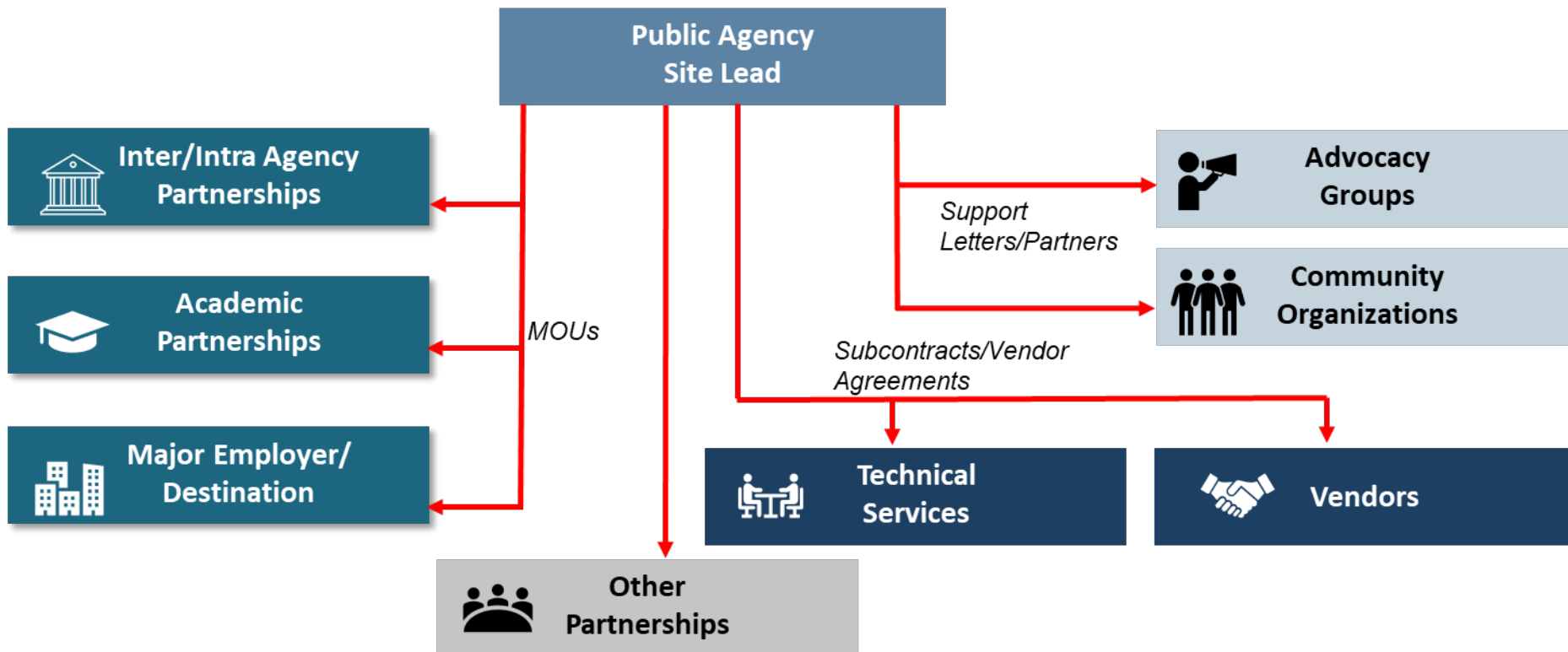
Example Governance Structure Chart

U.S. Department of Transportation
ITS Joint Program Office

Subsection 2.1 Partnership Status Summary

- Identify organizations, roles, and status of agreements
- Focus on groups <u>actively</u> participating throughout the project
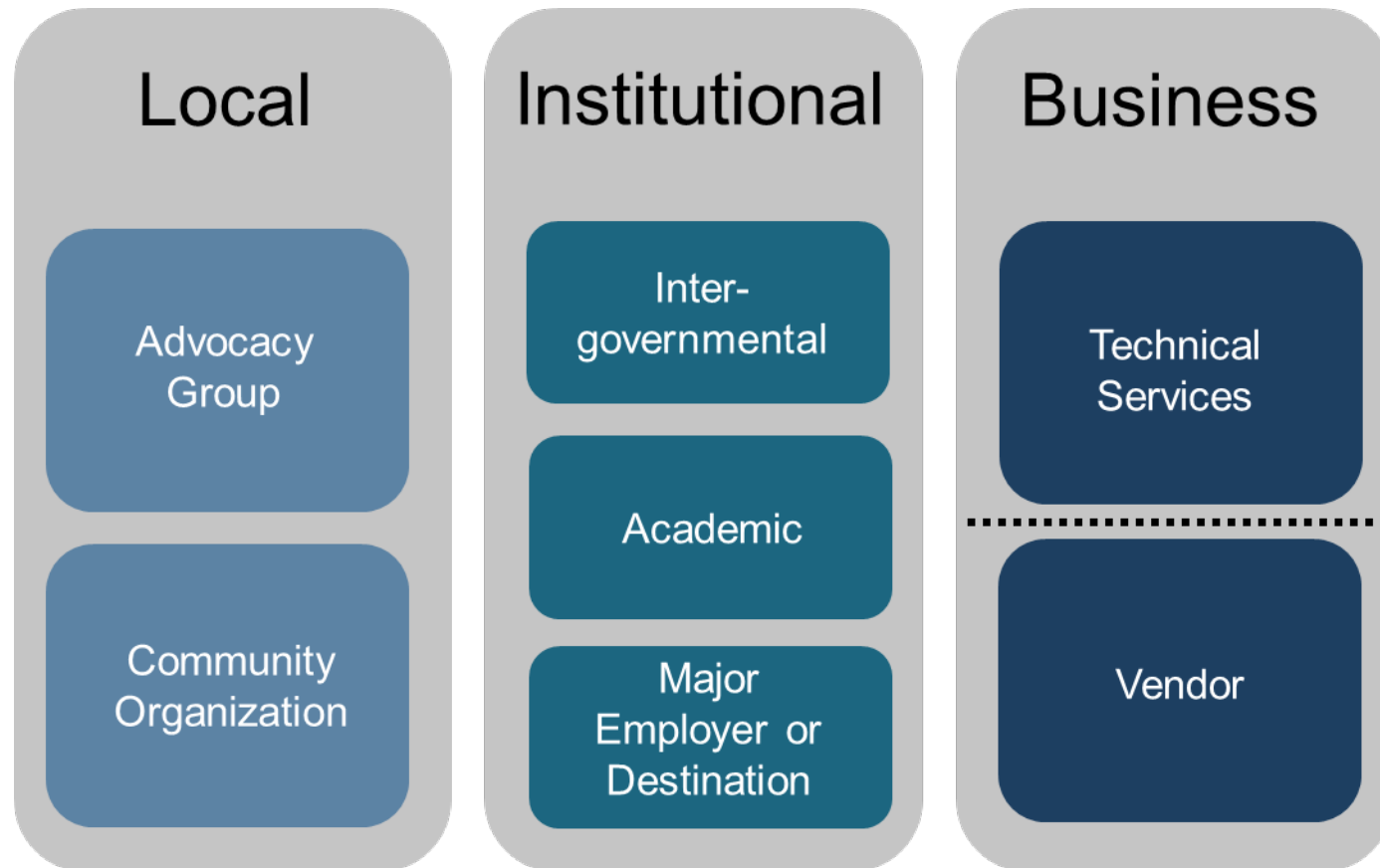
Subsection 2.2: Deployment Partnership Coordination Activities

- Describe stakeholder engagement and coordination conducted to reach agreement on main elements of the deployment
- Summarize broad agreement on deployment elements:

Concept of Operations

Performance Measures and Targets

Operational Changes

Governance Framework and Processes

Data Sharing Agreements

Financial Agreements

COMPLETE TRIP
ITS4US

U.S. Department of Transportation
ITS Joint Program Office

Section 3: Phase 1 Partnerships and Agreements Details

- Provide additional details on supporting documentation and financial agreements for each type of agreement identified in Section 2
- Identify partner, nature of support, and deployment phase(s) when they are expected to engage
  - USDOT Contract
  - Institutional Partnerships
  - Local Partnerships
  - Business Partnerships
    - Vendor Procurement
    - Technical Services
  - Other Supporting Partnerships

Subsection 3.1: Institutional Partnerships

- Examples of Institutional Partnerships include:
  - Local/State DOTs
  - Transit agencies
  - Metropolitan Planning Organizations (MPOs)
  - Academic institutions
  - Inter/intra governmental agencies and departments
  - Major employers

Institutional Partner	Nature of Support	Deployment Phase
Regional Metropolitan Planning Organization (RMPO)	• Committed three staff members for 25% of their duties project to lead user needs gathering activities with mobility managers, county/city DOTs, transit agencies. • Committing full-time technical manager for later phases and partial funding for regional trip planning application.	• Phase 1 (User Needs Assessment) • Phase 2-3 & Post-Deployment (Technical Manager)

Example Summary Table

Subsection 3.2: Local Partnerships

- Examples of Local Partnerships include:
  - Advocacy Groups (e.g., The Arc)
  - Community Organizations (e.g., neighborhood associations, social service groups)

Local Partner	Nature of Support	Deployment Phase
Underserved Community Advocacy Group	• Conduct stakeholder outreach and provide local expertise and inputs on key challenges and problems faced by underserved communities for Phase 1. • Recruit and become active participants in Phase 2 and 3 of the deployment.	• Phase 1 (Concept Development, User Needs Assessment) • Phase 2-3 & Post-Deployment (Recruit Active Participants)

Example Summary Table

COMPLETE TRIP
ITS4US

Subsection 3.3: Business Partnerships

- Examples of Business Partnerships include:
  - Vendor
    - Software developer
    - Hardware & ITS equipment developer
    - Vehicle manufacturer
  - Technical Services
    - Program management
    - Systems engineering/integrators

Business Partner	Nature of Support	Deployment Phase
Systems Engineering Technical Services Provider	• Technical support for project throughout its lifecycle, including stakeholder engagement, user needs analysis, and concept development. • Analyze stakeholder input to develop user needs and system requirements.	• Phases 1-3

Example Summary Table

U.S. Department of Transportation
ITS Joint Program Office

Section 4: Risk Assessment

- Assess potential institutional, partnership, and financial issues and identify risks and mitigation strategies for each
  - **Note:** High-level risks identified should be monitored and tracked actively in the Risk Management Matrix prepared under Task 1
- Obtain insights from:
  - Proposals and kick-off presentations from deployment sites
  - Early deliverables
  - Discussions with partners and stakeholders

Examples & Importance of Risk Assessment

- Example institutional, partnership, and financial risks include:
  - Coordination of different geographic scales of government
  - Agreements with private mobility providers
  - Revenues for financial sustainability during and after deployment
  - Legal authority and regulations

- Documentation of plan and implementation of mitigation strategies reduces risk in later phases

- Lessons learned documentation for handling institutional, business and financial issues are resources for other deployers

Section 5: Operations and Management Concept

- Sustainability must be achieved without reliance on Federal funding

- Need formal commitment to continue to fund project after deployment period

- Must be able to sustain operations after Phase 3 for minimum of 5 years

- Document how the earlier governance structure and partnerships may need to adapt or change to continue operations after the deployment period

- Document partnerships expected to be continued or pursued beyond Phase 3

COMPLETE TRIP
ITS4US

U.S. Department of Transportation
ITS Joint Program Office

Section 6: Americans with Disabilities Act (ADA) Transition Plan

- Identify the status and projected development path of any/all ADA Transition Plans for each public sector agency
  - Examples of Public Agencies:
    - Local/State DOTs
    - Transit agencies
    - Metropolitan Planning Organizations (MPOs)
    - Inter/intra governmental agencies and departments
    - Local governments
- Include any ADA Transition Planning related legal actions:
  - Open
  - Pending
  - Unresolved
- For additional information: https://www.fhwa.dot.gov/civilrights/programs/ada/resources.cfm

Resources

U.S. Department of Transportation
ITS Joint Program Office

COMPLETE TRIP
ITS4US

Useful References (Part 1)

- Complete Trip Webinar #2: Engaging Stakeholders, Developing Partnerships, and Following the Planning Process, February 2020 https://www.its.dot.gov/its4us/pdf/its4us_webinar_2.pdf

- USDOT Guidance for Connected Vehicle Deployments: Institutional and Business Issues and Financial Sustainability, July 2016 https://rosap.ntl.bts.gov/view/dot/31593

- Federal Highway Administration – Office of Civil Rights: ADA Guidance, Resources, Useful Links, and Memoranda (various dates) https://www.fhwa.dot.gov/civilrights/programs/ada/resources.cfm

Useful References (Part 2)

- NCHRP Report 898, A Guide to Developing Financial Plans and Performance Measures for Transportation Asset Management, 2019 https://www.nap.edu/catalog/25285/a-guide-to-developing-financial-plans-and-performance-measures-for-transportation-asset-management

- Guide to Improving Capability for Systems Operations and Management, SHRP 2 Report S2-L06-RR-2, 2011 https://www.nap.edu/catalog/14513/guide-to-improving-capability-for-systems-operations-and-management

- Institutional Architectures to Improve Systems Operations and Management, S2-L06-RR-1, 2012, https://www.nap.edu/catalog/14512/institutional-architectures-to-improve-systems-operations-and-management

Stay Connected

For more information please contact:

Elina Zlotchenko, ITS JPO

ITS4US Program Manager

Elina.Zlotchenko@dot.gov

Shari Schaftlein

ITS4US Partnership Lead

Shari.Schaftlein@dot.gov

Visit the Complete Trip - ITS4US Deployment Program Website

https://its.dot.gov/its4us/

U.S. Department of Transportation
ITS Joint Program Office

Q&A

Any questions?

COMPLETE TRIP
ITS4US

U.S. Department of Transportation
ITS Joint Program Office