COMPLETE TRIP

ITS4US

Task 10 Training:
Institutional, Partnership, and Financial Plan
Shari Schaftlein
Director
FHWA Office of Human Environment
Agenda

- Brief Program Overview

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

- Resources
  - Useful References
  - Stay Connected
Program Overview
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

**Vision**

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

Source: USDOT
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

- University of Washington
  - OR, WA, MD

- California Association of Coordinated Transportation
  - CA, OR, and WA

- Heart of Iowa Regional Transit Agency
  - Dallas County, IA

- ICF
  - Buffalo, NY

- Atlanta Regional Commission
  - Gwinnett County, GA
Deployment Phases

**PHASE 1: Concept Development**
- Concept Development for Complete Trip Deployment
- Establish Cohort Roundtables

**PHASE 2: Design & Test**
- Design, Test and Deploy Complete Trip Solutions
- Evaluation Framework and Planning

**PHASE 3: Operate & Evaluate**
- Demonstrate Multiple Large-Scale Deployments
- Evaluate Deployments
- Share Data & Lessons Learned

**Operations Maintenance**
- Sustain operations for a minimum period of five years after the program is completed with no supplementary federal funds

**Deployment**
- Up to 12 months
- Up to 24 months
- Minimum of 18 months

**Post-Deployment**
- 5 years
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

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

<table>
<thead>
<tr>
<th>Task 1</th>
<th>User Needs</th>
<th>Project Management</th>
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</thead>
<tbody>
<tr>
<td>Task 2</td>
<td>Concept of Operations</td>
<td></td>
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<tr>
<td>Task 3</td>
<td>Data Management Plan</td>
<td></td>
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<tr>
<td>Task 4</td>
<td>Safety Plan</td>
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<tr>
<td>Task 5</td>
<td>Performance Measurement</td>
<td></td>
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<tr>
<td>Task 6</td>
<td>System Requirements</td>
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<tr>
<td>Task 7</td>
<td>Tech Readiness</td>
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<tr>
<td>Task 8</td>
<td>Human Use Approval</td>
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<tr>
<td>Task 9</td>
<td>Training Plan</td>
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<tr>
<td>Task 10</td>
<td>Institutional, Partnership, and Financial Plan</td>
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<tr>
<td>Task 11</td>
<td>Outreach Plan</td>
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<tr>
<td>Task 12</td>
<td>SEMP</td>
<td></td>
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<tr>
<td>Task 13</td>
<td>Deployment Plan</td>
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<tr>
<td>Task 14</td>
<td>Deployment Readiness Summary</td>
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</tbody>
</table>
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
Task 10 Deliverables

- USDOT requires each site to use the template provided

<table>
<thead>
<tr>
<th>ID</th>
<th>BAA Section</th>
<th>Task 10: Institutional, Partnership, and Financial Plan (IPFP)</th>
<th>Due Date</th>
<th>Format</th>
<th>Site Specific Date</th>
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<tbody>
<tr>
<td>P1T10D1</td>
<td>5.10</td>
<td>Institutional, Partnership, and Financial Plan (Draft)</td>
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<tr>
<td>P1T10D2</td>
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<td>Institutional, Partnership, and Financial Plan (Final)*</td>
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*508 Compliant Deliverables
IPFP Sections
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
Subsection 2.1 Partnership Status Summary

- Identify organizations, roles, and status of agreements
- Focus on groups actively 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
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

### Example Summary Table

<table>
<thead>
<tr>
<th>Institutional Partner</th>
<th>Nature of Support</th>
<th>Deployment Phase</th>
</tr>
</thead>
</table>
| 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) |
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)

<table>
<thead>
<tr>
<th>Local Partner</th>
<th>Nature of Support</th>
<th>Deployment Phase</th>
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</table>
| 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) |
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

<table>
<thead>
<tr>
<th>Business Partner</th>
<th>Nature of Support</th>
<th>Deployment Phase</th>
</tr>
</thead>
</table>
| 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 |
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
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
Useful References (Part 1)

- Complete Trip Webinar #2: Engaging Stakeholders, Developing Partnerships, and Following the Planning Process, February 2020

  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)


- Institutional Architectures to Improve Systems Operations and Management, S2-L06-RR-1, 2012,
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/
Any questions?