

Implementation Assistance

Available Applications

3D Utility Location Data Repository (R01A)

Performance Specifications for Rapid Renewal (R07)

Railroad-DOT Mitigation Strategies (R16)

Planning Process Bundle (C02/C08/C09/C12/C15)

Implementation Q&As

Leadership Endorsement

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Implementation Assistance Application for Planning Process Bundle (C02/C08/C09/C12/C15)



Background

The Planning Process Bundle combines SHRP2 products within the Capacity focus area that address elements of transportation planning, programming, and project development that benefit from collaboration with entities outside the primary transportation agency.

Transportation decision-making encompasses a broad and diverse range of topics best addressed early within the transportation planning, programming, and project decision-making processes. The five products in this bundle are all tied to the Decision Guide within [PlanWorks: Better Planning, Better Projects](#) – formerly known as Transportation for Communities - Advancing Projects through Partnerships (TCAPP). The products in the Planning Process Bundle are:

- Performance Measures for Highway Capacity Decision-Making (C02)
- Transportation Visioning for Communities (C08)
- Incorporating Greenhouse Gas Emissions into the Collaborative Decision-Making Framework (C09)
- Guide to Public-Private Partnerships and Non-Standard Procurements (C12)
- Integrating Freight Considerations into the Highway Capacity Planning Process (C15)

Over the past several years, the Federal Highway Administration (FHWA) has promoted policies, programs, and professional capacity-building opportunities together with technical assistance and training to advance the state of the practice associated with these topics. Examples can be found at <http://www.fhwa.dot.gov/hep/> and <http://www.fhwa.dot.gov/ipd/>. For the purposes of implementing the Planning Process Bundle products, successful applicants will need to demonstrate innovative uses of these products in addressing critical "gaps" within existing planning, programming, and project decision-making processes. In general, FHWA and the American Association of State Highway and Transportation Officials (AASHTO) will be looking for implementation projects resulting in best practices that can be used as case studies to eventually be integrated within PlanWorks.

Additional information on the Planning Process Bundle is available on the [Planning Process Bundle Product Page](#). The following is a brief synopsis of each of these products, as well as specific implementation expectations from FHWA and AASHTO.

- *Performance Measures for Highway Capacity Decision-Making (C02)*: This product provides a framework and web-based tool for selecting performance measures to evaluate major transportation projects, and details how performance measures can be used in long-range planning, programming, environmental review, and permitting. Well-chosen performance measures help stakeholders understand transportation problems and can form the basis for transparent and objective decisions. This in turn builds project support and avoids or reduces delays.

Key implementation expectations for C02 include:

- Demonstrate the practical application of performance measures in long-range transportation planning, programming, corridor/subarea studies, and/or in the project development/environmental review (NEPA)

process that demonstrates the use of performance measures via FHWA's *Performance-Based Planning and Programming (PBPP)* process at key decision points aligned with the TCAPP/PlanWorks Decision Guide.

- Document the effects on decisionmaking based on anticipated outcomes indicated by the selected performance measures, which should be apparent throughout the PBPP process leading to project selection and implementation.
 - Develop a plan to monitor system performance toward achieving desired outcomes after implementation.
- *Transportation Visioning for Communities (C08)*: Community visioning processes are significant sources of input for transportation planning processes. Visioning processes now extend beyond issues of connectivity and design to consider community livability and a host of interrelated issues, while also improving transportation outcomes (e.g., enhancing economic competitiveness, environmental stewardship, and community resources). C08 is a new suite of visioning tools that includes a model approach, step-by-step process, case studies, and a guide and web site for generating consensus and shared outcomes for transportation projects.

Key implementation expectations for C08 include:

- Further integrate scenario planning in a collaborative manner that yields a range of solutions/outcomes within the context of long-range, systems-level transportation planning, program development, and/or corridor/subarea studies.
 - Demonstrate how transportation agencies engage and build consensus among a variety of partners and community stakeholders in creating a vision for a region, subarea, or corridor.
 - Metropolitan Planning Organization (MPO) integration of C08 with the MAP-21 "optional scenario development" provision in developing long-range transportation plans.
 - Opportunities for small- and mid-size MPOs to undertake a manageable sequence of visioning activities in support of a long-range transportation plan update.
- *Incorporating Greenhouse Gas Emissions into the Collaborative Decision-Making Framework (C09)*: In response to the science-based claim that humans are accelerating a change in the earth's climate through greenhouse gas (GHG) emissions, State, regional, and local governments and organizations in the United States have been enacting policies aimed at reducing energy consumption and GHG emissions. C09 produced a framework that includes a guidebook, web site, and step-by-step procedures for considering, estimating, and reducing GHG emissions.

Key implementation expectations for C09 include:

- Development of greenhouse gas analysis at the planning, corridor, or subarea levels.
 - Further integration of greenhouse gas strategies and analysis into scenario planning.
 - More robust analysis of greenhouse gas emissions reduction strategies and policies for use in climate change action plans, long-range transportation plans, and to meet State greenhouse reduction targets and goals.
- *Guide to Public-Private Partnerships and Non-Standard Procurements (C12)*: Interest in tolling and the use of public-private partnerships (P3) procurement strategies to deliver transportation improvements continues to grow. In addition to their potential for innovative solutions and lifecycle cost efficiencies, P3s may provide private financing that can be attractive in situations where public funding limitations would otherwise delay a desired project. C12 provides a business process to help determine when and how to consider private-sector participation in the project planning process. The report addresses tolling, design-build, design-build-operate, leasing, and other forms of private-sector involvement and helps assess how and when to consider P3s as a means to procure transportation improvements.

NOTE: States must have existing P3 enabling legislative authorities and mechanisms (e.g., guidelines and/or decision matrices on the development of P3 projects) in order to be eligible for assistance related to C12.

Key implementation expectations for C12 include:

- Demonstrate the value of engaging private industry early in the planning process.
 - Encourage use in all stages of planning including long-range and corridor-level planning. Especially consider P3s early and for projects that are able to generate their own revenue.
 - Demonstrate use on a project, corridor/subarea, or system level totaling at least \$100 million (construction).
 - Consideration of community impacts and how P3s fit into the broader environmental process.
 - Encourage the development of guidelines, for example (<http://www.vappta.org/>).
- *Integrating Freight Considerations into the Highway Capacity Planning Process (C15)*: Freight transportation capacity demands continue to grow. When transportation agencies act to improve capacity, they often fail to consider the economics of supply chains and how freight movement is likely to respond. C15 produced a transportation practitioner's guide that provides a blueprint for appropriate consideration of freight transportation (from international to local) in the planning and project development processes, including the key decision points that benefit from freight stakeholder participation. This tool is intended to help State departments of transportation, MPOs, decision makers, and stakeholders determine the appropriate consideration of freight for both transportation and economic development needs.

Key implementation expectations for C15 include:

- Encourage use in long-range transportation planning, programming, corridor/subarea studies, and/or project

development/environmental (NEPA) processes.

- Demonstrate practical applications for multi-state and/or multi-region collaboration.
- Encourage small- and mid-size MPOs to undertake freight planning activities in support of a long-range transportation plan update.

Benefits

SHRP2 has developed this bundle of process-focused collaboration tools to help transportation agencies address critical issues early and throughout the planning, programming, and project decision-making processes. This bundle provides State DOTs, MPOs, and regional planning agencies with process-focused tools and approaches for collaboratively considering these diverse issues at the outset.

Implementation Goals

An Implementation Planning Workshop (IPW) was held in June 2014, and included representatives from State DOTs and MPOs. The participants collaboratively identified goals reflecting their vision for success at the organizational and procedural levels over the next three to five years. The identified implementation goals are to:

- Promote widespread awareness and adoption of the Planning Process Bundle products by practitioners at State, regional, and local levels.
- Ensure that the Planning Process Bundle products are sustainable over the long-term, even as new trends and practices emerge.
- Ensure that the Planning Process Bundle products are accessible, scalable, and can be used by professionals from various disciplines.
- Ensure that practitioners recognize that the Planning Process Bundle products are applicable to a variety of transportation modes and project types.
- Advance the state of the practice of transportation planning, programming, and project decisionmaking through capacity building and peer-to-peer learning.

Applications that describe a systematic approach for responding to these goal areas will receive stronger consideration for funding. In evaluating applications, FHWA and AASHTO will also consider:

- Whether the proposal makes appropriate use of the applicable Planning Process Bundle products and methods.
- Whether the agency can complete the proposed work with available resources.
- The level of agency commitment to the use of the applicable Planning Process Bundle products and methods.
- The extent to which the proposed work will broaden the user community for the Planning Process Bundle products and methods.

Leadership Endorsement

Each application submitted from an organization or agency must have the endorsement of the Chief Executive Officer or designee. The letter of endorsement is submitted as an attachment to the application. Guidance for creating an endorsement letter appears in the application below.

Priority Ranking

When an organization or agency submits multiple applications, it must designate priority. Please rank each application in a single grouping, including all product submissions from your agency. Do not separate your organization's applications into categories for individual products, or levels of incentives (i.e., Lead Adopter or User Incentive).

For example, if your agency submits four applications (one for C02/C08/C09/C12/C15, one for R01A, one for R16, and one for R07), your agency must rank each application in priority order from 1 to 4, with 1 as the highest priority and 4 as the lowest priority. For your convenience, you will find a box later in this application to designate the priority ranking. FHWA and AASHTO will take into consideration the agency's rankings when reviewing and evaluating the applications for implementation assistance. Your priority ranking should be expressed as "X of Y," as in "1 of 4."

Available Implementation Assistance

For Lead Adopter

Lead Adopter Incentives Using a Combination of at Least Two Planning Process Bundle Products: Performance Measures for Highway Capacity Decision-Making (C02), Transportation Visioning for Communities (C08), Incorporating Greenhouse Gas Emissions into the Collaborative Decision-Making Framework (C09), Guide to Public-Private Partnerships and Non-Standard Procurements (C12), or Integrating Freight Considerations into the Highway Capacity Planning Process (C15).

Type of Assistance: Lead Adopter Incentives to demonstrate the integration of at least two of the Planning Process Bundle products within the applicant's transportation planning, programming, and/or project decisionmaking processes.

Objectives:

- Demonstrate integration of the concepts, approaches, and methodologies from a minimum of any two Planning Process Bundle products into existing transportation planning, programming, and/or project decisionmaking

processes (e.g., a combination of C02 and C08 could demonstrate how desired community goals and objectives might impact transportation system performance; a combination of C09 and C08 could demonstrate how GHG mitigation strategies relate to scenario planning/visioning; a combination of C02 and C12 could demonstrate how performance measures lead to project selection/outcomes and implementation for P3-based solutions; or a combination of C15 and C02 could demonstrate how freight considerations are tied to transportation system performance).

- Document how the combination of these Planning Process Bundle products promotes more collaborative and holistic transportation planning, programming, and/or project decisionmaking.
- Document how these results will be used to better inform transportation planning, programming, and/or project decisionmaking.

Number of Awards in this Category: Up to 8.

Funding Level: Up to \$300,000, with a period of performance not to exceed 18 months.

Lead Adopter Incentives will entail a combination of technical assistance and funding.

For User Incentive

User Incentives for Performance Measures for Highway Capacity Decision-Making (C02), Transportation Visioning for Communities (C08), Incorporating Greenhouse Gas Emissions into the Collaborative Decision-Making Framework (C09), Guide to Public-Private Partnerships and Non-Standard Procurements (C12), or Integrating Freight Considerations into the Highway Capacity Planning Process (C15).

Type of Assistance: User Incentives to demonstrate specific applications of C02, C08, C09, C12, or C15.

Objectives:

- Demonstrate integration and effectiveness of any of these Planning Process Bundle products into existing transportation planning, programming, and/or project decision-making processes.
- Demonstrate application and effectiveness of these Planning Process Bundle products.
- Document how any of these Planning Process Bundle products promotes more collaborative and holistic transportation planning, programming, and/or project decision-making.
- Document how these results were used to better inform transportation planning, programming, and/or project decision-making.

Number of Awards in this Category: Up to 8 awards.

Funding Level: Up to \$50,000, with a period of performance not to exceed 12 months

User Incentives could take two forms:

1. Funding to support implementation activities, such as conducting internal assessments, implementing process changes, and organizing peer exchanges.
2. Facilitation of a workshop by FHWA to provide additional information on the selected Planning Process Bundle product(s) and assist with developing a tailored action plan to implement the selected Planning Process Bundle product(s).

Who Can Apply

For both Lead Adopter and User Incentives, applications will be accepted from State DOTs, MPOs, or regional planning agencies. Additional consideration will be given to applications involving multi-agency collaboration (e.g., an MPO partnered with a State DOT, local agency, Federal Land Management Agency, Federally-recognized Tribe, or transit agency).

Requirements

1. Application of the Planning Process Bundle products to a significant issue calling for enhanced collaboration in transportation planning, programming, and decision-making processes. Lead Adopter incentives must use at least two of the Planning Process Bundle products in combination with one another, while User Incentives must use at least one of the Planning Process Bundle products.
2. Commitment by the applicant to prepare information for publication on process approaches and methodologies in enough detail to enable replication of the results.
3. Commitment of State DOT, MPO, and/or regional planning agency leadership to test and adopt approaches and methodologies from the Planning Process Bundle (if the test is successful).
4. Participation in product evaluation activities including a qualitative, organizational, and/or before/after assessment conducted by an independent consultant for FHWA.
5. Willingness to share knowledge with other organizations interested in implementing the Planning Process Bundle products.
6. Willingness to participate in regional or national knowledge-sharing events to promote the Planning Process Bundle products.

Application Form

Follow these steps to apply for implementation assistance:

1. Review all background information located on this product's application page.
2. Download the form you wish to submit with this application:
 - o [Planning Process Bundle Lead Adopter \(C02/C08/C09/C12/C15\)](#)
 - o [Planning Process Bundle User Incentive \(C02/C08/C09/C12/C15\)](#)
3. Iterate, revise, and secure approvals before uploading the final application and [Leadership Endorsement Letter](#) to this site.
4. Once you have completed this form and secured the required Leadership Endorsement Letter(s), return to application page and complete the contact information fields.
5. Upload this form and the Leadership Endorsement Letter to the page.
6. Click submit; you will receive an email confirmation that includes the uploaded endorsement letter and application form.

Attach letter of endorsement from CEO or designee

No file chosen

[View Leadership Endorsement Guidance](#)

Attach completed application form. Be sure you are attaching the application form that matches this application.

No file chosen

- o Download the [Planning Process Bundle Lead Adopter \(C02/C08/C09/C12/C15\)](#)
- o Download the [Planning Process Bundle User Incentive \(C02/C08/C09/C12/C15\)](#)

Type of Assistance

Number of applications your organization is submitting to Round 5

Rank this application relative to the total

Contact Information

Point of Contact

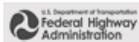
Business Phone

Organization

State

I wish to subscribe to SHRP2 Email Updates.

Be sure to click submit only one time.



SHRP2 Implementation Assistance Program

Round 5 Application Form - *Application period closes February 13, 2015.*

Lead Adopter Incentives Using a Combination of at Least Two Planning Process Bundle Products (C02/C08/C09/C12/C15)

FHWA Product Lead Names:

Performance Measures for Highway Capacity Decision-Making (C02) – egan.smith@dot.gov, (202) 366-6072

Transportation Visioning for Communities (C08) – brian.betlyon@dot.gov, (410) 962-0086

Incorporating Greenhouse Gas Emissions into the Collaborative Decision-Making Framework (C09) – diane.turchetta@dot.gov, (202) 493-0158

Guide to Public-Private Partnerships and Non-Standard Procurements (C12) – mark.sullivan@dot.gov, 202-366-5785 or neel.vanikar@dot.gov, (202) 366-2068

Integrating Freight Considerations into the Highway Capacity Planning Process (C15) – spencer.stevens@dot.gov, 202-366-0149 or crystal.jones@dot.gov, (202) 366-2976

Overall Implementation Specialist- larry.anderson@dot.gov, (720) 963-3268

This collection of SHRP2 products is part of Round 5 of the Implementation Assistance Program. For more information about these products or about applying for implementation assistance, visit the [Implementation Assistance Program page](#) or this product bundle's application page on the GoSHRP2 Web site.

Point of Contact (POC):

The SHRP2 Implementation Assistance Program is designed to foster peer learning, and as a result, applicants are encouraged to share their experience implementing SHRP2 products with others. By submitting this application, your organization grants permission to FHWA to publish and distribute the name and business email address of a **staff member from the applying organization** who is familiar with the implementation project. Please provide:

POC Name: Provide your response here.

POC Business Email Address: Provide your response here.

Application Criteria

Successful applications will explain how proposed projects will:

General

- Implement a combination of **at least two products from the Planning Process Bundle** that demonstrate innovative uses of the products within existing transportation planning, programming, and/or project decision-making processes.
- Examples of implementation combinations could include (but are not limited to):

- A combination of C02 and C08 could demonstrate how desired community goals and objectives might impact transportation system performance;
 - A combination of C09 and C08 could demonstrate how GHG mitigation strategies relate to scenario planning/visioning;
 - A combination of C02 and C12 could demonstrate how performance measures lead to project selection/outcomes and implementation for P3-based solutions; or
 - A combination of C15 and C02 could demonstrate how freight considerations are tied to transportation system performance.
- Serve as a peer champion to other State DOTs, MPOs, and regional planning agencies wanting to implement the product bundle.
 - Develop case study examples based off implementation work that demonstrate the value of the product and can be integrated within [PlanWorks: Better Planning. Better Projects.](#)

Product-Specific

- **Performance Measures for Highway Capacity Decision-Making (C02):** This product provides a framework and web-based tool for selecting performance measures to evaluate major transportation projects, and details how performance measures can be used in long-range planning, programming, environmental review, and permitting. Well-chosen performance measures help stakeholders understand transportation problems and can form the basis for transparent and objective decisions. This in turn builds project support and avoids or reduces delays.

Key implementation expectations for C02 include:

- Demonstrate the practical application of performance measures in long-range transportation planning, programming, corridor/subarea studies, and/or in the project development/environmental review (NEPA) process. Also, demonstrate the use of performance measures via [FHWA's Performance-Based Planning and Programming \(PBPP\)](#) process at key decision points aligned with the TCAPP/PlanWorks Decision Guide.
 - Document the effects on decisionmaking based on anticipated outcomes indicated by the selected performance measures, which should be apparent throughout the PBPP process leading to project selection and implementation.
 - Develop a plan to monitor system performance toward achieving desired outcomes after implementation.
- **Transportation Visioning for Communities (C08):** Community visioning processes are significant sources of input for transportation planning processes. Visioning processes now extend beyond issues of connectivity and design to consider community livability and a host of interrelated issues while also improving transportation outcomes (e.g., enhancing economic competitiveness, environmental stewardship, and community resources). C08 is a new suite of visioning tools that includes a model approach, step-by-step process, case studies, and a guide and Web site for generating consensus and shared outcomes for transportation projects.

Key implementation expectations for C08 include:

- Further integrate scenario planning in a collaborative manner that yields a range of solutions/outcomes within the context of long-range, systems-level transportation planning, program development, and/or corridor/subarea studies.

- Demonstrate how transportation agencies engage and build consensus among a variety of partners and community stakeholders in creating a vision for a region, subarea, or corridor.
 - Metropolitan Planning Organization (MPO) integration of C08 with the MAP-21 “optional scenario development” provision in developing long-range transportation plans.
 - Opportunities for small- and mid-size MPOs to undertake a manageable sequence of visioning activities in support of a long-range transportation plan update.
- ***Incorporating Greenhouse Gas Emissions into the Collaborative Decision-Making Framework (C09):*** In response to the science-based claim that humans are accelerating a change in the earth’s climate through greenhouse gas (GHG) emissions, State, regional, and local governments and organizations in the United States have been enacting policies aimed at reducing energy consumption and GHG emissions. C09 produced a framework that includes a guidebook, Web site, and step-by-step procedures for considering, estimating, and reducing GHG emissions.

Key implementation expectations for C09 include:

- Development of greenhouse gas analysis at the planning, corridor, or subarea levels.
 - Further integration of greenhouse gas strategies and analysis into scenario planning.
 - More robust analysis of greenhouse gas emissions reduction strategies and policies for use in climate change action plans, long-range transportation plans, and to meet State greenhouse reduction targets and goals.
- ***Guide to Public-Private Partnerships and Non-Standard Procurements (C12):*** Interest in tolling and the use of public-private partnerships (P3) procurement strategies to deliver transportation improvements continues to grow. In addition to their potential for innovative solutions and lifecycle cost efficiencies, P3s may provide private financing that can be attractive in situations where public funding limitations would otherwise delay a desired project. C12 provides a business process to help determine when and how to consider private-sector participation in the project planning process. The report addresses tolling, design-build, design-build-operate, leasing, and other forms of private-sector involvement and helps assess how and when to consider P3s as a means to procure transportation improvements.

NOTE: States must have existing P3 enabling legislative authorities and mechanisms (e.g., guidelines and/or decision matrices on the development of P3 projects) in order to be eligible for assistance related to C12.

Key implementation expectations for C12 include:

- Demonstrate the value of engaging private industry early in the planning process.
- Encourage use in all stages of planning including long-range and corridor-level planning. Especially consider P3s early and for projects that are able to generate their own revenue.
- Demonstrate use on a project, corridor/subarea, or system level totaling at least \$100 million (construction).

- Consideration of community impacts and how P3s fit into the broader environmental process.
- Encourage the development of guidelines, for example (<http://www.vappta.org/>).
- **Integrating Freight Considerations into the Highway Capacity Planning Process (C15):** Freight transportation capacity demands continue to grow. When transportation agencies act to improve capacity, they often fail to consider the economics of supply chains and how freight movement is likely to respond. C15 produced a transportation practitioner’s guide that provides a blueprint for appropriate consideration of freight transportation (from international to local) in the planning and project development processes, including the key decision points that benefit from freight stakeholder participation. This tool is intended to help State Departments of Transportation, MPOs, decisionmakers, and stakeholders determine the appropriate consideration of freight for both transportation and economic development needs.

Key implementation expectations for C15 include:

- Encourage use in long-range transportation planning, programming, corridor/subarea studies, and/or project development/environmental (NEPA) processes.
- Demonstrate practical applications for multi-state and/or multi-region collaboration.
- Encourage small- and mid-size MPOs to undertake freight planning activities in support of a long-range transportation plan update.

Questions:

1. Select the Planning Process Bundle products that will be implemented in combination (**at least two** must be selected for Lead Adopter incentive consideration):

___ Performance Measures for Highway Capacity Decision-Making (C02)

___ Transportation Visioning for Communities (C08)

___ Incorporating Greenhouse Gas Emissions into the Collaborative Decision-Making Framework (C09)

___ Guide to Public-Private Partnerships and Non-Standard Procurements (C12)*

___ Integrating Freight Considerations into the Highway Capacity Planning Process (C15)

**If you are an agency selecting C12, you must have statutes already in place that enable the use of various P3 approaches for the development of transportation infrastructure.*

2. Please provide a title/name of your implementation project using a combination of **at least two** Planning Process Bundle products.

Provide your response here.

3. Describe your organization's interest in (and goals for) adopting these products and methods. What do you hope to gain? How do you define success?

Provide your response here.

4. What specific question(s)/issue(s) do you plan to address with these Planning Process Bundle products?

Provide your response here.

5. What is your agency's/organization's past experience in using the concepts and principles outlined within the Planning Process Bundle products?

Provide your response here.

6. Describe the other partners and stakeholders (if any) that will be involved with implementing these Planning Process Bundle products. What expertise will these other partners and stakeholders bring?

Provide your response here.

7. Briefly describe (no more than one page total) your approach and work plan (e.g., tasks, deliverables, and approximate milestone dates) for your use of the implementation assistance. What is your expected level of agency/organization staff, consultant, and/or university involvement?

Provide your response here.

8. To what extent, if any, will other SHRP2 Capacity and/or Reliability products and/or other related methods and principles be integrated into this work plan?

Provide your response here.

9. Describe any challenges and risks you expect to encounter in implementation, and how you plan to address them.

Provide your response here.

10. What cost/labor match, if any, is being provided?

Provide your response here.

11. What is your intent/plan for adopting these Planning Process Bundle products on a sustainable basis as part of your agency's/organization's "everyday business," after the implementation assistance project is complete?

Provide your response here.

12. What actions will you take to broaden the planning community's use of this combination of Planning Process Bundle products?

Provide your response here.

- a. Would another agency/organization interested in using this combination of Planning Process Bundle products be able to closely follow and adapt your efforts?

Provide your response here.

- b. To what extent are you planning to communicate your experiences and lessons learned with these Planning Process Bundle products at events such as regional professional conferences and/or peer exchanges?

Provide your response here.

- c. To what extent would your agency/organization be willing to share experiences and lessons learned as part of future case study development to demonstrate the benefit and value of the use of these Planning Process Bundle products?

Provide your response here.

Extra Credit:

- Multi-agency collaboration (e.g., an MPO partnered with a State or local agency, Federal Land Management Agency, Federally recognized Tribe, or transit agency, with a specific issue or need for using the proposed combination of Planning Process Bundle products).
- Applications that utilize a combination of **more than two** of the Planning Process Bundle products (at least two are required for the Lead Adopter incentive) within the transportation planning, programming, and/or project decision-making processes.
- Applications that also make effective use of other SHRP2 Capacity and/or Reliability products and/or other related methods and principles.
- Commitment to case study development demonstrating how this combination of Planning Process Bundle products contributes to collaborative transportation decisionmaking.

Resources:

C02

- TRB Project Report: <http://www.trb.org/Publications/Blurbs/161859.aspx>.
- FHWA Report: [Model Long-Range Transportation Plans: A Guide for Incorporating Performance-Based Planning](#).
- FHWA Report: [Performance Based Planning and Programming Guidebook](#).
- Additional Resources:
http://www.fhwa.dot.gov/planning/performance_based_planning/resources/.

C08

- TRB Project Report - <http://www.trb.org/Publications/Blurbs/166047.aspx>.
- Leverage C08 with the FHWA Scenario Planning and Visualization in Transportation Web site at http://www.fhwa.dot.gov/planning/scenario_and_visualization/.
- Build on noteworthy and innovative practices
http://www.fhwa.dot.gov/planning/scenario_and_visualization/scenario_planning/scenpractices.cfm

C09

- TRB Project Report: <http://www.trb.org/Main/Blurbs/166940.aspx>.
- [Handbook for Estimating Transportation Greenhouse Gases for Integration into the Planning Process](#).
- [A Performance-Based Approach to Addressing Greenhouse Gas Emissions Through Transportation Planning](#)

C12

- TRB Project Report: <http://www.trb.org/Main/Blurbs/168535.aspx>.
- Use [P3 Toolkit from HIN](#), [P3-SCREEN - Public-Private Partnerships \(P3\) Delivery Options Screening Checklist](#) and all available resources from FHWA's Office of Innovative Program Delivery.

C15

- TRB Project Report: <http://www.trb.org/Main/Blurbs/170008.aspx>.
- FHWA's Freight Planning Web site: http://www.fhwa.dot.gov/planning/freight_planning/.

As a reminder:

1. Review all background information located on this product bundle's application page.
2. Once you have completed this form and secured the required Leadership Endorsement Letter, return to application page and complete the contact information fields.
3. Upload this form and the Leadership Endorsement Letter to the page. **Be sure you are attaching the form to the correct application page.**
4. Click "Submit." You will then receive an email confirmation that includes the uploaded endorsement letter and application form.
5. Application period will close February 13, 2015.

For more information or to find this product bundle's application page, visit the [Implementation Assistance Program Web page](#).

SHRP2 Implementation Assistance Program

Round 5 Application Form - *Application period closes February 13, 2015.*

User Incentives Using **One** of the Products from the Planning Process Bundle (C02/C08/C09/C12/C15)

FHWA Product Lead Names:

Performance Measures for Highway Capacity Decision-Making (C02) – egan.smith@dot.gov, (202) 366-6072

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Guide to Public-Private Partnerships and Non-Standard Procurements (C12) – mark.sullivan@dot.gov, (202) 366-5785 or neel.vanikar@dot.gov, (202) 366-2068

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This collection of SHRP2 products is part of Round 5 of the Implementation Assistance Program. For more information about these products or about applying for implementation assistance, visit the [Implementation Assistance Program page](#) or this product bundle's application page on the GoSHRP2 Web site.

Point of Contact (POC):

The SHRP2 Implementation Assistance Program is designed to foster peer learning, and as a result, applicants are encouraged to share their experience implementing SHRP2 products with others. By submitting this application, your organization grants permission to FHWA to publish and distribute the name and business email address of a **staff member from the applying organization** who is familiar with the project. Please provide:

POC Name: Provide your response here.

POC Business Email Address: Provide your response here.

Application Criteria

Successful applications will explain how proposed projects will:

General

- Implement **one product from the Planning Process Bundle** that demonstrates innovative uses of the product within existing transportation planning, programming, and/or project decision-making processes.

- Develop case study examples based off implementation work that demonstrate the value of the product and can be integrated within *PlanWorks: Better Planning. Better Projects.*

Product-Specific

- **Performance Measures for Highway Capacity Decision-Making (C02):** This product provides a framework and web-based tool for selecting performance measures to evaluate major transportation projects, and details how performance measures can be used in long-range planning, programming, environmental review, and permitting. Well-chosen performance measures help stakeholders understand transportation problems and can form the basis for transparent and objective decisions. This in turn builds project support and avoids or reduces delays.

Key implementation expectations for C02 include:

- Demonstrate the practical application of performance measures in long-range transportation planning, programming, corridor/subarea studies, and/or in the project development/environmental review (NEPA) process. Also, demonstrate the use of performance measures via [FHWA's Performance-Based Planning and Programming \(PBPP\)](#) process at key decision points aligned with the TCAPP/PlanWorks Decision Guide.
 - Document the effects on decisionmaking based on anticipated outcomes indicated by the selected performance measures, which should be apparent throughout the PBPP process leading to project selection and implementation.
 - Develop a plan to monitor system performance toward achieving desired outcomes after implementation.
- **Transportation Visioning for Communities (C08):** Community visioning processes are significant sources of input for transportation planning processes. Visioning processes now extend beyond issues of connectivity and design to consider community livability and a host of interrelated issues while also improving transportation outcomes (e.g., enhancing economic competitiveness, environmental stewardship, and community resources). C08 is a new suite of visioning tools that includes a model approach, step-by-step process, case studies, and a guide and Web site for generating consensus and shared outcomes for transportation projects.

Key implementation expectations for C08 include:

- Further integrate scenario planning in a collaborative manner that yields a range of solutions/outcomes within the context of long-range, systems-level transportation planning, program development, and/or corridor/subarea studies.
 - Demonstrate how transportation agencies engage and build consensus among a variety of partners and community stakeholders in creating a vision for a region, subarea, or corridor.
 - Metropolitan Planning Organization (MPO) integration of C08 with the MAP-21 "optional scenario development" provision in developing long-range transportation plans.
 - Opportunities for small- and mid-size MPOs to undertake a manageable sequence of visioning activities in support of a long-range transportation plan update.
- **Incorporating Greenhouse Gas Emissions into the Collaborative Decision-Making Framework (C09):** In response to the science-based claim that humans are accelerating

a change in the earth's climate through greenhouse gas (GHG) emissions, State, regional, and local governments and organizations in the United States have been enacting policies aimed at reducing energy consumption and GHG emissions. C09 produced a framework that includes a guidebook, Web site, and step-by-step procedures for considering, estimating, and reducing GHG emissions.

Key implementation expectations for C09 include:

- Development of greenhouse gas analysis at the planning, corridor, or subarea levels.
 - Further integration of greenhouse gas strategies and analysis into scenario planning.
 - More robust analysis of greenhouse gas emissions reduction strategies and policies for use in climate change action plans, long-range transportation plans, and to meet State greenhouse reduction targets and goals.
- **Guide to Public-Private Partnerships and Non-Standard Procurements (C12):** Interest in tolling and the use of public-private partnerships (P3) procurement strategies to deliver transportation improvements continues to grow. In addition to their potential for innovative solutions and lifecycle cost efficiencies, P3s may provide private financing that can be attractive in situations where public funding limitations would otherwise delay a desired project. C12 provides a business process to help determine when and how to consider private-sector participation in the project planning process. The report addresses tolling, design-build, design-build-operate, leasing, and other forms of private-sector involvement and helps assess how and when to consider P3s as a means to procure transportation improvements.

NOTE: States must have existing P3 enabling legislative authorities and mechanisms (e.g., guidelines and/or decision matrices on the development of P3 projects) in order to be eligible for assistance related to C12.

Key implementation expectations for C12 include:

- Demonstrate the value of engaging private industry early in the planning process.
 - Encourage use in all stages of planning including long-range and corridor-level planning. Especially consider P3s early and for projects that are able to generate their own revenue.
 - Demonstrate use on a project, corridor/subarea, or system level totaling at least \$100 million (construction).
 - Consideration of community impacts and how P3s fit into the broader environmental process.
 - Encourage the development of guidelines, for example (<http://www.vappta.org/>).
- **Integrating Freight Considerations into the Highway Capacity Planning Process (C15):** Freight transportation capacity demands continue to grow. When transportation agencies act to improve capacity, they often fail to consider the economics of supply chains and how freight movement is likely to respond. C15 produced a transportation practitioner's guide that provides a blueprint for appropriate consideration of freight transportation (from international to local) in the planning and project development processes, including the key decision points that benefit from freight stakeholder

participation. This tool is intended to help State Departments of Transportation, MPOs, decisionmakers, and stakeholders determine the appropriate consideration of freight for both transportation and economic development needs.

Key implementation expectations for C15 include:

- Encourage use in long-range transportation planning, programming, corridor/subarea studies, and/or project development/environmental (NEPA) processes.
- Demonstrate practical applications for multi-state and/or multi-region collaboration.
- Encourage small- and mid-size MPOs to undertake freight planning activities in support of a long-range transportation plan update.

Questions:

1. Select the Planning Process Bundle product(s) that will be implemented

___ Performance Measures for Highway Capacity Decision-Making (C02)

___ Transportation Visioning for Communities (C08)

___ Incorporating Greenhouse Gas Emissions into the Collaborative Decision-Making Framework (C09)

___ Guide to Public-Private Partnerships and Non-Standard Procurements (C12)*

___ Integrating Freight Considerations into the Highway Capacity Planning Process (C15)

**If you are an agency selecting C12, you must have statutes already in place that enable the use of various P3 approaches for the development of transportation infrastructure.*

2. Please provide a title/name of your project utilizing the Planning Process Bundle.

Provide your response here.

3. Describe your organization's interest in adopting the products and methods. (What do you hope to gain? How do you define success?)

Provide your response here.

4. What specific question(s)/key challenges do you plan to address with the product?

Provide your response here.

5. What is your agency's/organization's past experience in using the concepts and principles outlined within this Planning Process Bundle product?

Provide your response here.

6. Describe the other partners and stakeholders (if any) that will be involved with implementing these Planning Process Bundle products. What expertise will these other partners and stakeholders bring?

Provide your response here.

7. Briefly (no more than one page total) describe your work plan (e.g., tasks, deliverables, and approximate milestone dates) for your use of the implementation assistance. What is your expected level of agency/organization staff, consultant, and/or university involvement? Also indicate whether you are interested in receiving FHWA assistance in developing an action plan for the selected Planning Process Bundle product.

Provide your response here.

8. Describe any challenges and risks you expect to encounter in implementation, and how you plan to address them.

Provide your response here.

9. What cost/labor match, if any, is being provided?

Provide your response here.

10. What is your intent/plan for adopting one of these Planning Process Bundle products on a sustainable basis as part of your agency's/organization's "everyday business," after the implementation assistance project is complete?

Provide your response here.

11. What actions will you take to broaden the planning community's use of this Planning Process Bundle product?

Provide your response here.

- a. To what extent are you planning to communicate your experiences and lessons learned with this Planning Process Bundle product at events such as regional professional conferences and/or peer exchanges?

Provide your response here.

- b. To what extent would your agency/organization be willing to share experiences and lessons learned as part of future case study development to demonstrate the benefit and value of the use of this Planning Process Bundle product?

Provide your response here.

Extra Credit:

- Multi-agency collaboration (e.g., an MPO partnered with a State or local agency, Federal Land Management Agency, Federally recognized Tribe, or transit agency,

- with a specific issue or need for using the proposed combination of Planning Process Bundle products).
- Applications that utilize **more than one** of the Planning Process Bundle products within the transportation planning, programming, and/or project decisionmaking processes.
 - Commitment to case study development demonstrating how this combination of Planning Process Bundle products contributes to collaborative transportation decisionmaking.

Resources:

C02

- TRB Project Report: <http://www.trb.org/Publications/Blurbs/161859.aspx>.
- FHWA Report: [Model Long-Range Transportation Plans: A Guide for Incorporating Performance-Based Planning](#).
- FHWA Report: [Performance Based Planning and Programming Guidebook](#).
- Additional Resources: http://www.fhwa.dot.gov/planning/performance_based_planning/resources/.

C08

- TRB Project Report: <http://www.trb.org/Publications/Blurbs/166047.aspx>.
- Leverage C08 with the FHWA Scenario Planning and Visualization in Transportation Web site at http://www.fhwa.dot.gov/planning/scenario_and_visualization/.
- Build on noteworthy and innovative practices http://www.fhwa.dot.gov/planning/scenario_and_visualization/scenario_planning/scenpractices.cfm.

C09

- TRB Project Report: <http://www.trb.org/Main/Blurbs/166940.aspx>.
- [Handbook for Estimating Transportation Greenhouse Gases for Integration into the Planning Process](#).
- [A Performance-Based Approach to Addressing Greenhouse Gas Emissions Through Transportation Planning](#).

C12

- TRB Project Report: <http://www.trb.org/Main/Blurbs/168535.aspx>.
- Use [P3 Toolkit from HIN](#), [P3-SCREEN - Public-Private Partnerships \(P3\) Delivery Options Screening Checklist](#) and all available resources from FHWA's Office of Innovative Program Delivery.

C15

- TRB Project Report: <http://www.trb.org/Main/Blurbs/170008.aspx>.
- FHWA's Freight Planning Web site: http://www.fhwa.dot.gov/planning/freight_planning/.

As a reminder:

1. Review all background information located on this product bundle's application page.
2. Once you have completed this form and secured the required Leadership Endorsement Letter, return to application page and complete the contact information fields.

3. Upload this form and the Leadership Endorsement Letter to the page. **Be sure you are attaching the form to the correct application page.**
4. Click “Submit.” You will then receive an email confirmation that includes the uploaded endorsement letter and application form.
5. Application period will close February 13, 2015.

For more information or to find this product bundle’s application page, visit the [Implementation Assistance Program page](#) on the GoSHRP2 Web site.