



U.S. Department
of Transportation

SMART Program Updates Implementation Report Guidance

April 29, 2024

SMART

Today's Presenters



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On the call:

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1. Overview of Draft Implementation Report
2. Implementation Report Guidance
3. Question Break: Implementation Reports
4. Other Program Updates
5. Question Break: All questions

Questions: there will be reserved time for Q&A during the presentation

1. Type your questions in the Q&A, we will read them out
2. OR, raise your hand and unmute yourself to ask your question

SMART Implementation Report

- (f) Reports.--
- (1) Eligible entities.--Not later than 2 years after the
- date on which an eligible entity receives a SMART grant, and
- annually thereafter until the date on which the SMART grant is
- expended, the eligible entity shall submit to the Secretary an
- implementation report that describes--
- (A) the deployment and operational costs of each
- eligible project carried out by the eligible entity, as
- compared to the benefits and savings from the eligible
- project; and
- (B) the means by which each eligible project carried
- out by the eligible entity has met the original
- expectation, as projected in the SMART grant
- application, including--
- (i) <<NOTE: Data.>> data describing the means
- by which the eligible project met the specific
- goals for the project, such as--

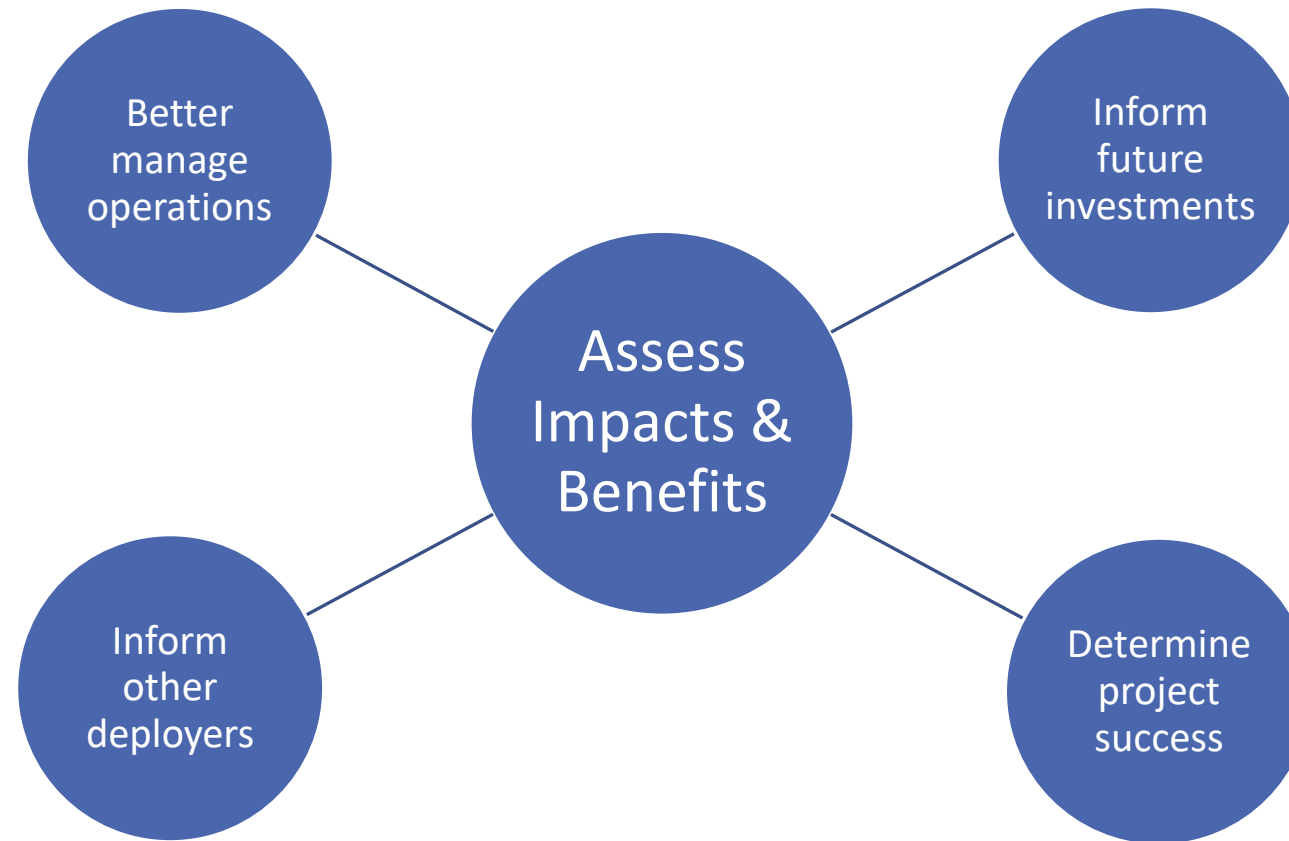
Deliverables	Time Since Grant Start	Date
Draft Implementation Report	12 months	July 15-Sept 15, 2024
Implementation Report	18 months	



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Stage One Draft Implementation Report

The Role of Evaluation



Draft Implementation Report

- **To prepare for the final SMART Grant Implementation Report.**
 - To meet the BIL's requirement for a report to the Secretary.
- **To make the best possible case** for how the proof-of-concept or prototype met expectations and whether full implementation would meet program goals.
- To explore the data, observations, and learnings **needed to build a case for Stage 2.**
- We expect that Draft Implementation Report will be **a consideration in the upcoming Stage 2 NOFO.**

Requirements

Draft Implementation Report

- **The draft report must provide:**
 - If available, initial evaluation findings of the proof-of-concept or prototype including the performance measurement data;
 - The anticipated benefits and costs if implemented at-scale;
 - Challenges, lessons learned, and recommendations;
 - An assessment of the feasibility of at-scale implementation; and
 - An analysis of the successes, challenges, and validity of the initial approach.



[Guidance Document](#)

Draft Report vs. Final Report

Draft Implementation Report

- **Address every topic to the best of your ability.**
- **Acknowledge that the necessary information is not yet available or that the results may change with further analysis.**
- **Lay the groundwork to be well positioned to deliver the final implementation report and advocate for your project.**

Draft Implementation Report

- **The draft implementation report should have 6 parts:**
 1. Introduction and Project Overview;
 2. Proof-of-Concept or Prototype Evaluation Findings;
 3. Anticipated Costs and Benefits of At-Scale Implementation;
 4. Challenges and Lessons Learned;
 5. Deployment Readiness; and,
 6. Wrap-up
- Assume your reader is not familiar with the project but has a high-level understanding of the technologies.
- Use language from your evaluation plan and project proposal but **review the text and adjust for this context.**
- The draft implementation plan will be submitted via email to SMARTReports@dot.gov.

Part 1: Introduction and Project Overview

Draft Implementation Report

- **Description of your project** (1-3 paragraphs & bulleted lists):
 - Motivation.
 - Technologies.
 - Goals.
 - Impacted communities.
 - **Overview of the proof-of-concept or prototype** (1-2 paragraphs):
 - Scale of the Stage 1 deployment (e.g., number of units, intersections, corridor length, partners, service area).
 - Anticipated scale of the Stage 2 deployment.
 - **Summary of project activities** (1-2 paragraphs):
 - Milestones.
 - Media coverage.
 - Deviations from the original proposal.
- Repurpose your evaluation plan and proposal.
 - Descriptions can be brief and high-level.
 - Address all topics, even to explain that information is unavailable.

Part 2: Proof-of-Concept or Prototype Evaluation Findings

Draft Implementation Report

- **Findings on the performance of your proof-of-concept or prototype (1 page):**
 - Restate the performance metrics selected in your evaluation plan.
 - Discuss the data collected.
 - Summarize the findings.
 - **How your Stage 1 project met the original expectations and goals stated in your project proposal (1 paragraph).**
 - **How your Stage 1 project demonstrated improvement in the program goal areas (1 page):**
 - Resiliency.
 - Partnerships.
 - Equity and access.
 - Integration.
 - Climate.
 - Workforce development.
- Focus on the proof-of-concept or prototype being deployed during Stage 1.
 - The evaluation findings should inform and refine your expectations of what would be realistically achievable through at-scale implementation.

Part 3: Anticipated Costs and Benefits of At-Scale Implementation

Draft Implementation Report

- **Anticipated/Estimated impacts of at-scale implementation in the program goal areas (1 page):**
 - Resiliency.
 - Equity and access.
 - Climate.
 - Partnerships.
 - Integration.
 - Workforce development.
 - **Anticipated costs of at-scale implementation (1 paragraph):**
 - If uncertain: key cost drivers, new cost types introduced to scale the project, potential economies of scale, or sources of uncertainty.
 - **Comparison of benefits and costs (1 paragraph).**
 - **If available, baseline data for at-scale implementation (1 paragraph).**
- Focus on your expectations for at-scale implementation of the project (Stage 2).
 - Address all topics, even to explain that information is unavailable.

Part 4: Challenges and Lessons Learned

Draft Implementation Report

- **Challenges, lessons learned, and recommendations** (1 page):
 - Legal, Policy, and Regulatory Requirements (e.g., NEPA, BABA).
 - Procurement and Budget.
 - Partnerships.
 - Technology Suitability / Integration with Incumbent Systems.
 - Data Governance.
 - Workforce Capacity (e.g., impacts on jobs).
 - Internal Project Coordination.
 - Community Impact.
 - Public Acceptance.
 - Cybersecurity.
- Only address the relevant topic areas.
- Descriptions can be brief and high-level.
- Reflect on the challenges and expand on what you have learned from the experience.

Part 5: Deployment Readiness

Draft Implementation Report

- **Project readiness for at-scale implementation (1 page):**
 - Requirements for successful at-scale implementation.
 - Strategies or demonstrated progress.
 - Key obstacles to scaling this project.
 - Topics:
 - Legal, Policy, and Regulatory Requirements (e.g., NEPA, BABA).
 - Procurement and Budget.
 - Partnerships.
 - Technology Suitability / Integration with Incumbent Systems.
 - Data Governance.
 - Workforce Capacity (e.g., impacts on jobs).
 - Internal Project Coordination.
 - Community Impact.
 - Public Acceptance.
 - Cybersecurity.
- **Gaps in understanding the maintenance and operating requirements (1 paragraph).**
- **Assessment of how implementation would harness benefits and mitigate the negative impacts of new technologies on good-paying jobs with the choice to join a union (1 paragraph).**

Part 6: Wrap-Up

Draft Implementation Report

- **Did the proposed solution meet your expectations?**
- **Do you think you would make any notable changes to the proposed solution for at-scale implementation?**
- **What advice would you give to other communities embarking on the same path?**



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Questions: Implementation Reports

Implementation Report Resources

<https://www.transportation.gov/grants/smart/evaluation-resources-smart-grantees>

- General resources for evaluation
- Specific resources for each evaluation area described in the Implementation Report Guidance

New FHWA Transportation Cybersecurity Course: NHI 137055

<https://fhwanhi.geniussis.com/RegistrationByCourse.aspx> (search for course by catalog number)

- 5 hours, self paced
- Quarterly live 'ask me anything' sessions with course participants and FHWA experts
- Free

USDOT Cybersecurity Hub:

- [USDOT ITS Cybersecurity Research Program](#)
- Cybersecurity searchable glossary: [CyberGlossary \(dot.gov\)](#)

Quarterly Reports are due 4/30/24!

Please submit your quarterly report via MS forms by **5pm
ET tomorrow** if you have not already done so.



2024 SMART Summit

July 10-11th, Cambridge, MA

4 attendees per grantee, each person must register separately

Agenda is on the registration page!

Highlights:

- Breakouts by grant year, technical group
- Speakers on data management, cybersecurity, procurement, NEPA, and more
- Senior speakers from OST-R, BIL Implementation Team (White House), Leventhal Center for Advanced Urbanism (MIT), others



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Questions:
All topics