

State Planning and Research (SPR) Guide for SPR-B Peer Exchanges

Publication No.: FHWA-HRT-23-101

July 2024



© myphotobank.com.au / AdobeStock.com, © goodluz / AdobeStock.com, © Dan Burden / pedbikeimages.org,
© Alexandra Gl / AdobeStock.com, © Dan Burden / pedbikeimages.org, © Prostock-studio / AdobeStock.com



FOREWORD

This document provides guidance for State Planning and Research (SPR) peer exchanges. The document contains information about the purpose of peer exchanges and the use of peer exchanges to strategically improve research programs and guidance and resources on conducting peer exchanges.

This document should be of interest to State research directors, Federal Highway Administration (FHWA) division offices, and others at FHWA responsible for working on State peer exchange panels.

Kelly Regal, Ph.D.
Associate Administrator, Office of Research,
Development, and Technology

Notice

This document is disseminated under the sponsorship of the U.S. Department of Transportation (USDOT) in the interest of information exchange. The U.S. Government assumes no liability for the use of the information contained in this document.

Non-Binding Contents

Except for the statutes and regulations cited, the contents of this document do not have the force and effect of law and are not meant to bind the States or the public in any way. This document is intended only to provide information regarding existing requirements under the law or agency policies.

Quality Assurance Statement

The Federal Highway Administration (FHWA) provides high-quality information to serve Government, industry, and the public in a manner that promotes public understanding. Standards and policies are used to ensure and maximize the quality, objectivity, utility, and integrity of its information. FHWA periodically reviews quality issues and adjusts its programs and processes to ensure continuous quality improvement.

Disclaimer for Product Names and Manufacturers

The U.S. Government does not endorse products or manufacturers. Trademarks or manufacturers' names appear in this document only because they are considered essential to the objective of the document. They are included for informational purposes only and are not intended to reflect a preference, approval, or endorsement of any one product or entity.

TECHNICAL REPORT DOCUMENTATION PAGE

1. Report No. FHWA-HRT-23-101	2. Government Accession No.	3. Recipient's Catalog No.	
4. Title and Subtitle <i>State Planning and Research (SPR) Guide for SPR-B Peer Exchanges</i>		5. Report Date July 2024	
		6. Performing Organization Code:	
7. Author(s) Office of Research, Development, and Technology and Office of Planning		8. Performing Organization Report No.	
9. Performing Organization Name and Address Office of Research, Development, and Technology Federal Highway Administration 6300 Georgetown Pike McLean, VA 22101-2296		10. Work Unit No.	
		11. Contract or Grant No.	
12. Sponsoring Agency Name and Address Office of Research, Development, and Technology Federal Highway Administration 6300 Georgetown Pike McLean, VA 22101-2296		13. Type of Report and Period Covered Guide: June 2023 to March 2024	
		14. Sponsoring Agency Code HRTM-10	
15. Supplementary Notes			
16. Abstract Guidance for SPR-B peer exchanges.			
17. Key Words Peer exchange, SPR-B, guidance		18. Distribution Statement No restrictions. This document is available to the public through the National Technical Information Service, Springfield, VA 22161. https://www.ntis.gov	
19. Security Classif. (of this report) Unclassified	20. Security Classif. (of this page) Unclassified	21. No. of Pages 23	22. Price N/A

Form DOT F 1700.7 (8-72) Reproduction of completed page authorized.

Recommended citation: *Federal Highway Administration, State Planning and Research (SPR) Guide for SPR-B Peer Exchanges* (Washington, DC: 2024) <https://doi.org/10.21949/1521433>

TABLE OF CONTENTS

1. Introduction.....	1
Regulatory Requirements for Peer Exchanges	1
Overview of Guide.....	3
2. Peer Exchange Purpose.....	5
Finding the Best Peer Exchange Format for a State.....	5
3. Guidance and Resources on Conducting Peer Exchanges	9
Key Considerations.....	9
Recommended Peer Exchange Cycle for State DOT Director of Research.....	9
Options for Peer Exchange Activities	10
Resources for Peer Exchange Planning and Logistical Support	10
Additional Peer Exchange Resources	10
4. Frequently Asked Questions	13
What Is the Peer Exchange Process?.....	13
What Is the Objective of the Peer Exchange Process?	13
How Often Are Peer Exchanges Conducted?.....	13
Who Will Be on the Peer Exchange Panel?	13
Must the Peer Exchange Be an Overview of the State’s Whole Research Program?	14
Can Peer Exchanges Be Funded With SPR Funds?.....	14
Is a Face-to-Face Peer Exchange in One State the Only Format That Can Be Used?	14
Does Participation in Meetings Like the AASHTO National RAC Fulfill the Peer Exchange Requirement?	14
Is the SPR-B Panel Required To Report Its Findings?.....	15
What Does a Closeout Meeting With the Host State’s Management Entail?.....	15
Does FHWA Hold States Responsible for Specific Action Items in the Report?.....	15
Must Panel Members Be Selected From an “Approved” List?.....	15
Who Can Help To Identify Panel Members?	16
5. Appendix: Peer Exchange Checklist for FHWA Divisions.....	17
REFERENCES.....	19

1. INTRODUCTION

The SPR-B peer exchange process is intended to enhance the quality and performance of the State's Research, Development, and Technology (RD&T) management through peer involvement. SPR-B refers to the State Planning and Research regulations contained in 23 CFR Part 420 Subpart B, "Research, Development, and Technology Transfer Program Management," which prescribes requirements for RD&T activities, programs, and studies undertaken by State DOTs and their subrecipients with FHWA planning and research funds (Code of Federal Regulations (CFR) 2002c).

The peer exchange process grew out of the original concept of peer review, as conducted by professional engineering and construction organizations. The review teams work primarily with the organization's chief executive officer (CEO) to review standard and predetermined aspects of the organization's operations, conduct confidential interviews with employees, and present findings at a closeout meeting with the CEO at the conclusion of the exchange. FHWA retained many of these elements from this peer exchange methodology in the development of a customized peer exchange process.

23 U.S. Code (USC) 505, "State Planning and Research," establishes statutory requirements for the use of SPR funds by State departments of transportation (DOTs) (CFR 2021b). 23 USC 505(b)(1) requires that not less than 25 percent of the SPR funds apportioned to a State for a fiscal year be expended by the State for RD&T transfer activities (CFR 2021a). The regulatory provisions for carrying out the SPR Program are reflected within 23 CFR Part 420, "Planning and Research Program Administration" (CFR 2002b).

FHWA established peer exchanges to provide State DOT RD&T program staff with opportunities to examine and evaluate their programs through collaborative teams of peers, experts, and persons involved in the process.¹ The goal of the peer exchanges was to foster the exchange of visions, ideas, and best practices to benefit the programs of State DOTs and participating stakeholders and peer exchange participants.

Generally, a peer exchange is the exchange of an in-depth analysis of a program element, as outlined in the report titled *NCHRP [National Cooperative Highway Research Program] 20-111(G) Best Practices for State DOT Peer Exchanges* (Bittner 2017). An information exchange is the sharing of many stakeholder program elements. This guide provides information and guidance on the peer exchange.

Regulatory Requirements for Peer Exchanges

Resources that help assist agencies in understanding regulatory requirements for peer exchange are outlined in the following two sections.

¹All instances of "peer exchange" in this document refer to SPR-B peer exchanges.

Resources on Peer Exchange Purpose

23 CFR 420.203 (CFR 2002a)

Peer exchange means a periodic review of a State DOT's RD&T program, or portion thereof, by representatives of other State DOT's, for the purpose of exchange of information or best practices. The State DOT may also invite the participation of the FHWA, and other Federal, State, regional or local transportation agencies, the Transportation Research Board, academic institutions, foundations or private firms that support transportation research, development or technology transfer activities.

23 CFR 420.205(a) (CFR 2002f)

It is the FHWA's policy to administer the RD&T program activities utilizing FHWA planning and research funds consistent with the policy specified in § 420.105 and the following general principles in paragraphs (b) through (g) of this section (CFR 2024).

23 CFR 420.205(b) (CFR 2002f)

The State DOTs must provide information necessary for peer exchanges.

Resources on Peer Exchange Management Process

23 CFR 420.209(a) (CFR 2002d)

As a condition for approval of FHWA planning and research funds for RD&T activities, a State DOT must develop, establish, and implement a management process that identifies and results in implementation of RD&T activities expected to address high priority transportation issues. The management process must include. . .

23 CFR 420.209(a)(5) (CFR 2002d)

Procedures to determine the effectiveness of the State DOT's management process in implementing the RD&T program, to determine the utilization of the State DOT's RD&T outputs, and to facilitate peer exchanges of its RD&T Program on a periodic basis.

23 CFR 420.209(a)(7) (CFR 2002d)

Participation in peer exchanges of its RD&T management process and of other State DOTs' programs on a periodic basis. To assist peer exchange teams in conducting an effective exchange, the State DOT must provide to them the information and documentation required to be collected and maintained under this subpart. Travel and other costs associated with the State DOT's peer exchange may be identified as a line item in the State DOT's work program and will be eligible for 100 percent Federal funding. The peer exchange team must prepare a written report of the exchange.

23 CFR 420.209(b) (CFR 2002d)

Documentation that describes the State DOT's management process and the procedures for selecting and implementing RD&T activities must be developed by the State DOT and submitted to the FHWA Division office for approval. Significant changes in the management process also must be submitted by the State DOT to the FHWA for approval. The State DOT must make the documentation available, as necessary, to facilitate peer exchanges.

Overview of Guide

This guide will cover the purpose of peer exchanges, the use of peer exchanges to improve research programs, and guidance and resources on conducting peer exchanges.

2. PEER EXCHANGE PURPOSE

State DOTs have been conducting peer exchanges of their research programs since the mid-to-late 1990s. Peer exchanges provide State DOT RD&T programs with the opportunity to examine and evaluate their own programs through a collaborative team of peers, experts, and stakeholders involved in the process. This exchange of visions, ideas, and best practices benefits their program, the key stakeholder programs, and the programs of the peer team participants. A peer exchange is a purposeful collaboration among transportation research colleagues through which a host State can evaluate research program processes.

Peer exchanges also may be used to examine more focused areas of a State DOT's research program. With periodic peer exchanges, a State DOT can help ensure that its research program remains viable, vibrant, and productive.

Finding the Best Peer Exchange Format for a State

Singular Host State

A traditional peer exchange is held onsite at a host State's venue and lasts for two to three days. Participants can include representatives from the host State, other State research programs, FHWA Headquarters and FHWA division offices, Tribal Governments, universities, and other stakeholders and transportation decisionmakers.

Multiple Host States

Peer exchanges can be conducted in a multiple host State format, particularly if several States need to examine a similar focus. Peer exchanges involving more than two States can be held onsite at one of the partner States, at a central location, online, or as hybrid platforms. It is suggested that peer exchanges with multiple host States be limited to three host partners, but additional States can take part as participants. This limit is based on NCHRP 20-111(G) *Best Practices for State DOT Peer Exchanges* (Bittner 2017). This suggested limit can ensure that the format is a peer exchange with goal-oriented outcomes, instead of an informational exchange. A peer exchange is the exchange of an indepth analysis of a program element, as outlined in *NCHRP 20-111(G) Best Practices for State DOT Peer Exchanges* (Bittner 2017). In contrast, an information exchange is the sharing of many stakeholder program elements.

Participants

Participants at a multiple host State peer exchange may include panelists beyond the representative peer exchange States. It can be beneficial to have an equal or greater number of representatives other than those of the peer exchange States. Representatives from FHWA, Tribal Governments, universities, and public and private stakeholders may augment the panel. An in-person, multiple host State format does not give the same access to facilities and senior management staff as the onsite format for a single State. However, multiple State examples can provide stakeholders with multiple program examples to compare and contrast and may provide additional insights that can benefit all parties.

Location

For in-person events, choosing an easily accessible and oftentimes central location can be beneficial. Other key considerations are hotel and travel costs, accessibility to airlines, and potential site visits that can enhance the peer exchange, such as visiting a project example. Anticipating travel costs for in-person peer exchanges can ensure greater participation.

Time

The length of a single or multiple host State peer exchange is typically two to three days, to allow participants travel time, create a focused agenda, and allow State representatives time to present materials and address specific concerns. Each peer exchange is unique and can include both in-person and virtual elements. For example, if course materials are available online to ensure equal understanding of a process or procedure, participants can take the course prior to the peer exchange. The peer exchange itself can then focus on a specific project or process.

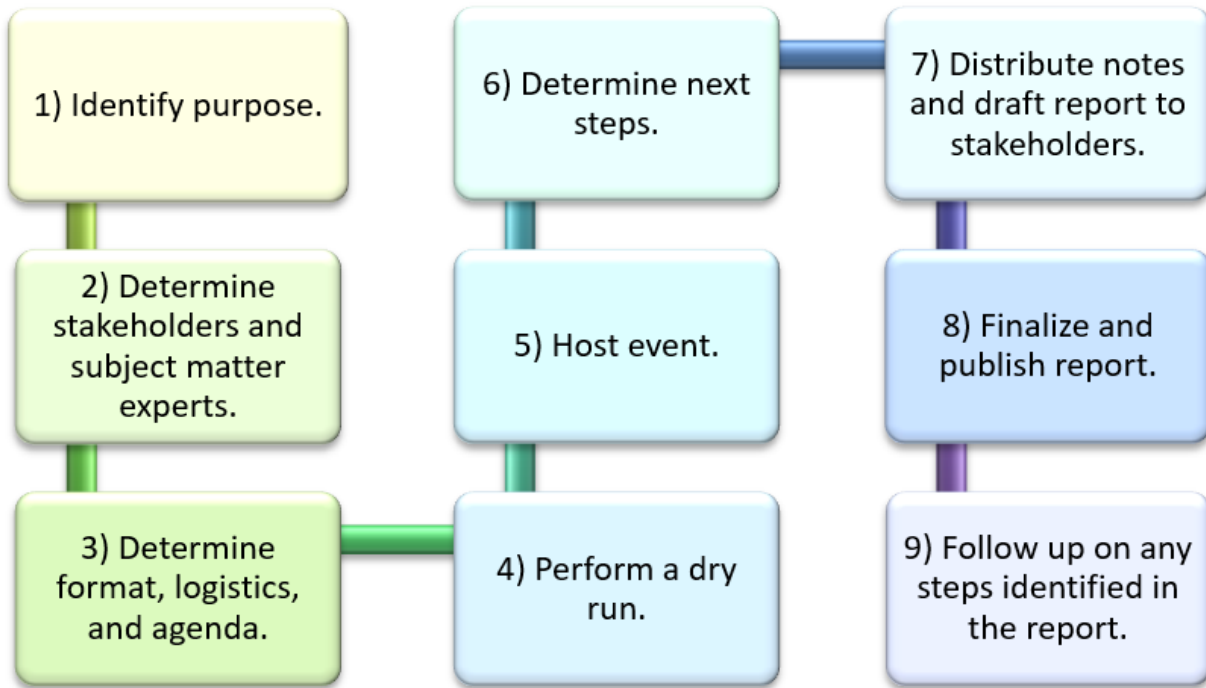
Virtual

Virtual peer exchanges can be a beneficial way to harness the involvement of multiple stakeholders. Both in-person events and virtual events have their own unique set of benefits and challenges. Virtual events may allow more participants and be more cost-effective than in-person events, but keeping participants actively engaged can be challenging. Virtual events tend to be shorter time blocks to account for “screen fatigue.” In-person events allow for more engagement in and outside the meeting space but can be cost-prohibitive and may have lower overall participation, as funding may only allow for limited travel. Participants can include the same array of representatives as for other formats; that is, the host State(s), other State research programs, FHWA division office staff, universities, and others.

Hybrid

Hybrid peer exchanges can also be a beneficial way to harness the involvement of multiple stakeholders. Hybrid peer exchanges combine virtual and in-person options. Participants able to attend in person can benefit from in-person networking and team-building activities. Virtual participants can participate in a more limited fashion from a virtual environment. This option can increase the number and variety of stakeholders and participants but can also come with challenges. For example, virtual participants may feel left out of team-building exercises and networking opportunities. Facilitators may find ensuring equal participation between virtual and in-person participants challenging.

Figure 1 illustrates suggested steps for conducting a peer exchange (virtual, in person, or hybrid format).



Source: FHWA.

Figure 1. SPR-B peer exchange steps.

3. GUIDANCE AND RESOURCES ON CONDUCTING PEER EXCHANGES

The State is responsible for initiating a peer exchange. The peer exchange activity and composition, the depth of issues covered, the duration, and other factors are at the State's discretion. The State should work in consultation with its FHWA division office to reach an agreement on what will best fulfill the SPR regulatory requirements for periodic peer exchanges (Kalla 2018).

Key Considerations

Following are some key considerations when planning a peer exchange, as discussed in the State Planning and Research Program Research, Development, and Technology Transfer Program Management Guidance (Kalla 2018):

1. Periodic peer exchanges should convene with an agenda that demonstrates efforts to address (a) the State DOT RD&T program's management process, in whole or in part and/or (b) value-added enhancements to the State DOT RD&T program.
2. Peer exchanges should be planned activities with required information and documentation provided by the host State.
3. The State DOT's director of research should prepare a follow-up report prior to the peer exchange summarizing changes that have or have not been made to the program based on the previous peer exchange. This report should be submitted to the FHWA division office and the State DOT's senior management.
4. The State DOT must provide materials and resources required to be collected and maintained under 23 CFR 420.209(a) (CFR 2002d). FHWA recommends a peer exchange be conducted periodically, as referenced in the 2018 guidance (Kalla 2018).
5. The peer exchange team may include a panel of participants from other State research programs, FHWA staff, universities, and other relevant stakeholders. The host State also may want to consider inviting research directors who are new in the role to give them peer exchange experience and a chance to network with other transportation research leaders.
6. The peer exchange team must prepare a written report of the exchange; see 23 CFR 420.209(a) (CFR 2002d).
7. The host State should hold a close-out meeting with their FHWA division office representative to discuss next steps and any additional support or resources needed.

Recommended Peer Exchange Cycle for State DOT Director of Research

The State DOT director of research, in consultation with the FHWA division office, has the discretion to determine when the peer exchange occurs. Based on the principle and philosophy of the peer exchange, State DOTs can benefit from considering the use of peer exchanges to strategically improve research programs. A peer exchange can also be the result of a new

management process or in support of new employees. Available resources and staff participation should also be considered.

If a State's peers exchanges are more than five years apart, a full evaluation of the peer exchange management process may be warranted to ensure it still provides the appropriate framework for the State's research program. Alternatively, if a State is confident in its management process or on a shorter cycle of hosting peer exchanges every two years, the State may choose to conduct a peer exchange on another topic of interest to its research program.

Future peer exchanges may also undergo a similar evaluation of the best focus and format to ensure the exchange will result in the most advantageous benefits to the research program. The number of peer exchanges held is at the discretion of the State, and the State should consider the value that holding a peer exchange adds to benefit the State DOT's RD&T program.

Options for Peer Exchange Activities

FHWA divisional SPR-B coordinators are available to collaborate with and support State DOTs in determining peer exchange activities and agendas. It is recommended that peer exchange activities fill at least a two- to three-day agenda within a five-year span.

A maximum of three host States are suggested to participate as hosts in a multiple host State peer exchange (Bittner 2017). This suggested limit does not exclude additional States from participating as stakeholders.

Resources for Peer Exchange Planning and Logistical Support

The following is a list of stakeholders and resources that may add value to a peer exchange.

- University Transportation Centers or universities are excellent resources to support functions related to peer exchanges and are encouraged to participate.
- State Local Technical Assistance Program Centers are excellent resources to support functions related to peer exchanges and are encouraged to participate.
- The FHWA Tribal Technical Assistance Program is an excellent resource to support research with Tribal Governments.
- Contractors that specialize in meeting facilitation can support peer exchange functions.
- FHWA Division personnel are a resource to assist in strategic and planning functions for peer exchanges.
- A Transportation Pooled Fund project is a resource that may be established and administered by States to support peer exchanges.

Additional Peer Exchange Resources

Following are more suggested resources on peer exchanges:

- The website for the American Association of State Highway and Transportation Officials (AASHTO) Special Committee on Research and Innovation and its Research Advisory Committee (RAC) includes a collection of peer exchange reports created by States (AASHTO n.d.). Additionally, the AASHTO RAC 101 course is an onboarding presentation for new research coordinators.
- National Cooperative Highway Research Program (NCHRP) Project 20-38A, Development of a Manual for State Transportation Research: A project that sought to prepare a guide document to assist State DOTs in developing comprehensive transportation research manuals (National Academies of Science, Engineering, and Medicine 2022).
- Best Practices for State DOT Peer Exchanges: This report seeks to “produce a comprehensive document on best practices for conducting State DOT peer exchanges.” It summarizes the participation of State DOTs in past peer exchanges, describes how they benefited, and concludes that peer exchanges can be valuable management tools (Bittner 2017).
- “Peer Exchange Produces Results”: This article highlights the success and value of the peer exchange process (Louisiana Transportation Research Center 2004).

4. FREQUENTLY ASKED QUESTIONS

What Is the Peer Exchange Process?

According to 23 CFR 420.203: “. . . Peer exchange means a periodic review of a State DOT's RD&T program, or portion thereof, by representatives of other State DOT's, for the purpose of exchange of information or best practices. The State DOT may also invite the participation of the FHWA, and other Federal, State, regional or local transportation agencies, the Transportation Research Board, academic institutions, foundations or private firms that support transportation research, development or technology transfer activities” (CFR 2002a).

What Is the Objective of the Peer Exchange Process?

The peer exchange process seeks to enhance the quality and performance of the State's RD&T management through peer involvement and to help State DOTs improve the caliber and effectiveness of their research management processes. A peer exchange provides an opportunity for a State to examine its research program, particularly relative to its management process. A peer exchange can be a practical and effective tool for fostering excellence in RD&T program management. Peer exchanges provide panelists with opportunities to share best practices and management innovations with each other.

The general approach for setting up a peer exchange is to invite an outside panel of managers to meet with the host agency to discuss and review its RD&T management process. Information on the host agency's policies and procedures, including its management process and work program, are shared with panel members in advance of the peer exchange. During the peer exchange, panel members may meet with managers, staff, stakeholders, and customers to gain further insight into the host State's program. The information gathered from the exchange is presented to agency management.

How Often Are Peer Exchanges Conducted?

Under 23 CFR 420.209 (a)(7), a State is required to conduct peer exchanges on a periodic basis (CFR 2002d). FHWA guidance indicates that a State should conduct a peer exchange at least once every five years to ensure management process regulations are met (Kalla 2018).

Who Will Be on the Peer Exchange Panel?

Peer exchange panels can include representatives of other States' research programs, universities, and stakeholders of the research program. States are also encouraged to include a representative from the FHWA division office and FHWA Headquarters or other USDOT modes, as applicable. Panel members are chosen for their technical expertise, experience in managing a research program, and knowledge of customer needs. The host State may consider inviting research directors who are new to the role to give them experience on a peer exchange and an opportunity to network with other transportation research leaders.

Must the Peer Exchange Be an Overview of the State’s Whole Research Program?

No. While an overview peer exchange can be very valuable for a State to conduct, many periodic peer exchanges are focused on specific areas of the State’s research program. For example, some States focus on performance measurement or technology transfer. If a State chooses to conduct a peer exchange on a focused area, it should still address the general intent of the peer exchange process, which is to enhance the quality and performance of the State’s RD&T management through peer involvement.

Can Peer Exchanges Be Funded With SPR Funds?

Yes. According to 23 CFR 420.209 (a) (7), “Travel and other costs associated with the State DOT's peer exchange may be identified as a line item in the State DOT's work program and will be eligible for 100 percent Federal funding” (CFR 2002d).

Is a Face-to-Face Peer Exchange in One State the Only Format That Can Be Used?

No. The guidelines permit several formats, as described below. However, in all cases, the host State(s) must ensure the format will meet the intent of the Federal regulation for the peer exchange process to enhance the quality and performance of the State's RD&T management through peer involvement, as outlined in 23 CFR 420.209 (CFR 2002d).

Formats for peer exchanges can include the following:

- Onsite in host State: A fully in-person peer exchange held at the host State’s site or at a central location if there are multiple hosts.
- Multiple host States: A multiple host State format may be feasible, particularly if several States need to examine a single focus. It is suggested that how many States can participate be unlimited, but that only three States can participate as hosts and earn credits (Bittner 2017).
- Virtual: A virtual peer exchange may be feasible to ensure broader participation.
- Hybrid: A combination of in-person and virtual peer exchange.

Does Participation in Meetings Like the AASHTO National RAC Fulfill the Peer Exchange Requirement?

No. Participation in meetings, including national meetings of the AASHTO RAC, is certainly beneficial. However, such meetings do not meet the Federal requirements for a formal peer exchange.

A peer exchange is designed to focus on a State's research program, using a knowledgeable panel to gather information on the host State's program, and make constructive recommendations. A crucial part of a peer exchange is the panel's opportunity to present findings and recommendations to the host State's senior management and key decisionmakers. One of the benefits of peer exchanges has been the opportunity to make senior managers more aware of how

research supports their overall program and helps them address customer needs. Even in a multiple host State peer exchange, a good practice may be for hosts to go back to their home States and brief senior leadership and other staff on the results of the peer exchange and the processes that will be improved as a result of the exchange.

Is the SPR-B Panel Required To Report Its Findings?

Yes. According to 23 CFR 420.209(a)(7), “the peer exchange panel must prepare a written report of the exchange” (CFR 2002d). If possible, the report should be written before the closeout meeting with the senior management of the host State(s).

Before the next peer exchange, the State DOT’s director of research should prepare a follow-up report or memorandum summarizing changes that were or were not made to the program based on the previous peer exchange and submit it to their FHWA division office and their State DOT senior management, as per 23 CFR 420.117 (CFR 2002e).

What Does a Closeout Meeting With the Host State’s Management Entail?

A closeout meeting can be of great benefit if conducted with senior management of the host State. It should highlight positive aspects of the host State’s research program, including any aspects that visitors intend to incorporate into their own programs. Any suggestions the panel agrees to should also be presented to the host State’s senior management, with the understanding that senior management support is necessary to make significant changes. For peer exchanges with multiple host States, host States returning home should conduct these briefings as soon as possible after returning.

Does FHWA Hold States Responsible for Specific Action Items in the Report?

No. Peer exchanges are opportunities for States to identify both successes and areas for improvement in their research programs. The host States and their peer exchange panels identify action items as ways the host States can improve their programs. The host State is responsible for following up on action items to gain the greatest benefit from the peer exchange (FHWA 2010).

Before the next peer exchange, the State’s director of research prepares a follow-up report or memorandum. This document summarizes changes that have and have not been made to the State’s research program based on the previous peer exchange. The director of research submits this document to their FHWA division office and their State DOT senior management (FHWA 2010).

Must Panel Members Be Selected From an “Approved” List?

No. FHWA no longer requires formally trained peer exchange members on the panel, as per FHWA’s (2010) State Planning and Research Guide for Peer Exchanges.

Peer exchange panels often include representatives from other State research programs, universities, and research program customers and stakeholders. States are also encouraged to include a representative from the FHWA division office or FHWA Headquarters. Panel members

may be chosen for their technical expertise, experience in managing a research program, or knowledge of customer needs.

It can be beneficial for a few participants to have experience with peer exchanges, but the host State may also want to consider inviting research directors who are new in the role to give them experience on a peer exchange and a chance to network with other transportation research leaders.

Who Can Help To Identify Panel Members?

There are a number of ways to identify potential panel members. Nominations may be solicited from State DOT staff, FHWA Division and Headquarters staff, partners, and stakeholders. The host State may solicit names of potential panel members from scientific and professional societies. AASHTO's RAC maintains a list of RAC members on its Special Committee on Research and Innovation and RAC website, and the RAC national or regional listservs can be used to solicit volunteers from other States (AASHTO n.d.)

5. APPENDIX: PEER EXCHANGE CHECKLIST FOR FHWA DIVISIONS.

Table 1 provides a checklist that can be used as a tool for developing and managing peer exchanges.

Table 1. SPR-B Peer exchange checklist.

Peer Exchange Item	Checked
State DOT research staff initiates peer exchange.	<input checked="" type="checkbox"/>
The staff develops an agenda that demonstrates efforts to address: a) the State DOT RD&T program’s management process or work program, in whole or in part, and b) value-adding enhancements to the State DOT’s RD&T program.	<input checked="" type="checkbox"/>
The staff determines the peer exchange team. Stakeholders can include participants from other State DOT research programs, FHWA, universities, and other relevant organizations.	<input checked="" type="checkbox"/>
The peer exchange includes a site visit to review the research project when appropriate/as possible.	<input checked="" type="checkbox"/>
The peer exchange team prepares a written report of the exchange.	<input checked="" type="checkbox"/>
The host State holds a closeout meeting about the peer exchange with their FHWA division representative and their State DOT research manager.	<input checked="" type="checkbox"/>
Before the next peer exchange, the State DOT director of research prepares a follow-up report or memorandum summarizing changes that were or were not made to the program based on the previous peer exchange and submits it to their FHWA division office and their State DOT senior management.	<input checked="" type="checkbox"/>

REFERENCES

- AASHTO. n.d. "Special Committee on Research and Innovation" (web site).
<https://transportation.org/research/>, last accessed July 21, 2023.
- Bittner, Jason. 2017. *Best Practices for State DOT Peer Exchanges*. Report No. 20-111(G). Washington, DC: AASHTO Research Advisory Committee.
- CFR. 2002a. "How Does the FHWA Define the Terms Used in This Subpart?" 23 CFR § 420.203.
- CFR. 2002b. "Planning and Research Program Administration." 23 CFR § 420.
- CFR. 2002c. "Research, Development, and Technology Transfer Program Management." 23 CFR § 420(b).
- CFR. 2002d. "What Are the Conditions for Approval?" 23 CFR § 420.209.
- CFR. 2002e. "What Are the Program Monitoring and Reporting Requirements?" 23 CFR § 420.117.
- CFR. 2002f. "What Is the FHWA's Policy for Research, Development, and Technology Transfer Funding?" 23 CFR § 420.205(b).
- CFR. 2002g. "What Costs Are Eligible?" 23 CFR § 420.113.
- CFR. 2021a. "State Planning and Research: Minimum Expenditures on Research, Development, and Technology Transfer Activities." U.S. Code 23, § 505(1)(b).
- CFR. 2021b. "State Planning and Research." U.S. Code 23, § 505.
- CFR. 2024. "What Is the FHWA's Policy on Use of FHWA Planning and Research Funds?" 23 CFR § 420.105.
- FHWA. 2010. *State Planning and Research Guide for Peer Exchanges*. Document No. FHWA-HRT-10-048. Washington, DC: Federal Highway Administration.
- Kalla, Hari. 2018. "State Planning and Research Program Research, Development, and Technology Transfer Program Management Guidance for Implementing 23 CFR Part 420, Subpart B" (memorandum).
https://www.fhwa.dot.gov/publications/research/general/spr/subpartB/spr_subpartB.pdf, last accessed January 26, 2024.
- Louisiana Transportation Research Center. 2004. "Peer Exchange Produces Results." *Technology Today* 18, 24.

National Academies of Science, Engineering, and Medicine. 2022. “NCHRP 20-38 (Completed): Development of a Manual for State Transportation Research” (project web page). Washington, DC: National Academies of Science, Engineering, and Medicine.



U.S. Department of Transportation
Federal Highway Administration

Recommended citation: Federal Highway Administration,
*State Planning and Research (SPR) Guide for SPR-B
Peer Exchanges* (Washington, DC: 2024)
<https://doi.org/10.21949/1521433>

HRTM-10/07-24(WEB)E