



### SPTC 15.1 Proposal Preparation Workshop

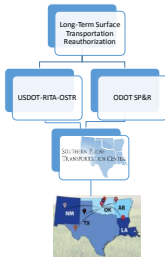
### Workshop Topics

- SPTC Program Overview
- Competition (general)
- Dates
- RFP and Forms

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### SPTC Program Overview



The SPTC programs support the USDOT's Strategic Goal of *State of Good Repair*.

**Climate-Adaptive Transportation and Freight Infrastructure** is the primary focus of the SPTC's research, education and outreach activities.



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### SPTC Program Overview



The SPTC Strategic Plan emphasizes research projects that produce **implementable results** and are **economically beneficial** to the improvement of our region's and nation's transportation systems.

- Seeks collaboration and cooperation among consortium members and industry partners
- Funds projects that will advance the Strategic Plan of the SPTC and enhance the ability of DOTs to meet critical agency needs



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### SPTC15.1 Funding Competition

Per the RFP

- **Only proposals selected through the preproposal competition are eligible for funding**
- RFP information is available at [www.sptc.org](http://www.sptc.org) (Research tab)
- Proposals to be submitted to [sptc@ou.edu](mailto:sptc@ou.edu)
- Any RFP amendments will be posted on the website
- Lead applicant must be a consortium member
- Partnerships with other institutions/industry are encouraged
- One year funding



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### SPTC15.1 Funding Competition

Each SPTC consortium member has received funds to support projects that advance the SPTC goals and the DOT priorities. The **amount available** to a consortium member and **submission dates** may be obtained by contacting the respective Associate Director:

- Langston University: Dr. Sharon Lewis; [salewis@langston.edu](mailto:salewis@langston.edu)
- Louisiana Tech University: Dr. David Hall; [dhall@latech.edu](mailto:dhall@latech.edu)
- Oklahoma State University: Dr. Kelvin Wang; [kelvin.wang@okstate.edu](mailto:kelvin.wang@okstate.edu)
- Texas Tech University: Dr. Sanjaya Senadheera; [sanjaya.senadheera@ttu.edu](mailto:sanjaya.senadheera@ttu.edu)
- The University of Oklahoma: Dr. Gerald A. Miller; [gamiller@ou.edu](mailto:gamiller@ou.edu)
- University of Arkansas: Dr. Kevin Hall; [kdhall@ark.edu](mailto:kdhall@ark.edu)
- The University of New Mexico: Dr. Rafiqul Tarefder; [tarefder@unm.edu](mailto:tarefder@unm.edu)
- The University of Texas at El Paso: Dr. Soheil Nazarian; [nazarian@utep.edu](mailto:nazarian@utep.edu)

### SPTC15.1 Request for Proposals

- Dollar-for-dollar match is required for projects selected for funding. Each project must show qualified matching funds equal to or greater than the amount requested from the SPTC.
- Documentation of the original source of all matching funds must be included in the proposal.

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### SPTC15.1 Request for Proposals

#### EVALUATION CRITERIA

Peer reviewers in general evaluate all proposals according to the following criteria:

- **Merit of the project (30%)**
- **Ability to perform the project (20%)**
- **Potential for short-term impact (30%)**
- **Potential for long-term impact (20%)**

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### SPTC15.1 Request for Proposals

#### Merit of the project (30%)

- The degree to which the proposal reflects an understanding of the topic(s) listed in this RFP
- Significance of the proposed work, and the degree to which it addresses implementable solutions to transportation and freight infrastructure challenges and issues that are important to Region 6 and the nation
- The creativity and perceived benefits of the proposed project, including economic benefits
- The degree to which diversity and workforce development are addressed
- The degree to which it addresses the SPTC primary focus and Strategic Plan
- The degree to which SPTC funds are leveraged beyond the required match

### SPTC15.1 Request for Proposals

#### Ability to perform the project (20%)

- The appropriateness of the proposed techniques, methods, and processes
- The qualifications of the project team
- The adequacy of the existing and/or proposed resources, including facilities
- The appropriateness of the budget and the quality of the match
- The strength of the equipment request (if applicable)
- The appropriateness of proposed time schedule

### SPTC15.1 Request for Proposals

#### Potential for short-term impact (30%)

- Probability that proposed project will produce implementable results within the one-year project period
- Potential beneficial impacts of project for transportation stakeholders

### SPTC15.1 Request for Proposals

#### Potential for long-term impact (20%)

- The degree to which the proposal advances the SPTC mission and vision to develop climate adaptive transportation and freight infrastructure
- The degree to which the proposal meets the needs of government, industry, and other key SPTC constituencies
- The degree to which undergraduate and graduate students are prepared for careers in the transportation sector
- The degree to which the project increases diversity of human resource in the transportation sector
- The degree to which the project establishes or strengthens ties among the SPTC partner universities, industry, government agencies, and other UTCs
- The degree to which the project produces implementable results (e.g., technology, test methods, special provisions, specifications, etc.)

## SPTC15.1 Request for Proposals

### REVIEW PROCESS

- Proposals checked for compliance (format, budget, match, etc.); non-compliance may result in no review
- Proposals reviewed by domain experts from DOT, academia and/or the private sector (technical review, alignment w SPTC Strategic Plan, DOT needs)
- Funded projects shall strive to develop solutions that are not only feasible, but innovative, economical, and implementable
- PI will receive a copy of the written review comments
- All issues related to intellectual property rights will be the responsibility of the submitting organization(s) and will be subject to applicable state and federal laws.

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## SPTC15.1 Request for Proposals

### PROPOSAL SUBMISSION REQUIREMENTS

- Email to [sptc@ou.edu](mailto:sptc@ou.edu) by deadline
- Receipt affirmation will be emailed by SPTC to submitter during business hours (8:00 a.m. - 5:00 p.m., Oklahoma CDT, Monday through Friday)
- Submitter may telephone the SPTC at (405) 325- 4682 to affirm receipt during business hours
- Editable RFP forms available online at [www.sptc.org](http://www.sptc.org)
- Proposals will not be accepted via facsimile**
- SPTC may return proposals that are judged to be incomplete or inappropriately completed, without review
- There is no limit on the number of proposals that may be submitted by an individual either as PI or as a Co-PI
- SPTC recommends the proposal be submitted several days prior to the deadline
- PROPOSALS (or supplemental material) WILL NOT BE ACCEPTED AFTER DEADLINE [NO EXCEPTIONS]

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## SPTC15.1 Request for Proposals

### REQUIRED MATERIALS

- Send an electronic copy of the entire proposal including the transmittal letter as a single file using the Adobe Acrobat™ (.pdf)
- Name the file SPTC15.1-XX-PI Last Name.pdf (e.g. SPTC15.1-15-Smith.pdf) (XX emailed to you by SPTC after preproposal received)
- Post-award submission instructions are listed in the RFP

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## SPTC15.1 Request for Proposals

### PREPARATION INSTRUCTIONS

Proposals that are difficult to read, exceed page limits, violate format requirements, or omit required sections may be returned without review

#### General

- 8½ x 11-inch sheets with 1.0 inch margins on all four sides
- Acceptable fonts, font sizes and spacing listed in RFP
- Material must not be appended in an effort to circumvent the page limitations
- Number all pages in a continuing sequence beginning with Section I

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## SPTC15.1 Request for Proposals

### PREPARATION INSTRUCTIONS

#### Required Proposal Sections

Each proposal must include the following sections **in the order indicated**. If a section is not applicable the heading must be included, but the text denoted as "Not Applicable."

#### Cover Letter

- |                            |   |
|----------------------------|---|
| I. Cover Page Form         | VII. Prospects for Future Funding                     |
| II. Summary                | VIII. References                                      |
| III. Table of Contents     | IX. Senior Personnel                                  |
| IV. Project Description    | X. Budget, Budget Footnotes, and Budget Justification |
| V. Equipment Justification | XI. Proposal Appendix                                 |
| VI. Matching Funds         |   |

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## SPTC15.1 Request for Proposals

### PREPARATION INSTRUCTIONS

#### Required Proposal Sections

- Cover:** The first page shall be an official transmittal letter from an authorized institution representative.

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SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS**

**Required Proposal Sections**

**I. Cover Page Form (Items A-J) (required)**

- Use the Cover Page Form provided ([www.sptc.org](http://www.sptc.org))
- Cover Page Form is public information

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SPTC15.1 Proposal Forms – Cover Page

Name of Principal Investigator:  SPTC15.1-  
**SPTC Research, Education and Outreach Support**  
**SPTC15.1 Proposal**

**I. Cover Page**

**A. Title of proposal (Required: limit to 60 characters)**

**B. Mark the area of primary focus in the proposal:**

Research	Education and/or Outreach
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**C. Requested Start Date:**

**D. Amount of SPTC Funds Requested (do not include Match):**

Year 1 \$	Is Equipment costing \$1000 or more required?
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SPTC15.1 Proposal Forms – Cover Page

**E. Mark, with 1 being the most important, one or more areas that represent the discipline tools to be used in the project. Additional terms may be added.**

Business	Environmental Sustainability	Meteorology
Chemical Engineering	Geotechnology	Political Science
Chemistry	Geography	Project Management
Civil Engineering	Human Relations	Psychology
Climatology	Industrial Engineering	Regional & City Planning
Computer Science	Information Technology	Sociology
Construction Engineering	Infrastructure Mgmt.	Structural
Economics	Materials	Transportation Engineering
Electrical Engineering	Mechanical Engineering	
Environmental Science	Mechanics	

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SPTC15.1 Proposal Forms – Cover Page

**F. Select (X) up to five subject categories related to the proposed project.**

Administration & Management	Geographic Information Systems	Pipelines
Aviation	Highways	Planning & Forecasting
Bridges & other Structures	History	Policy & Legal Issues
Climate Prediction Models	Intermodal Transportation	Public Transportation
Construction	Land Use/Land Cover Modeling	Railroads
Data & Information Technology	Maintenance & Preservation	Safety & Human Factors
Design	Marine Transportation	Security & Emergencies
Education & Training	Materials	Society
Energy & Environment	Motor Carriers	Transportation (General)
Finance & Economics	Operations & Traffic Management	Vehicles & Equipment
Freight Transportation	Pavements	Weather Forecasting Models
Geotechnology	Pedestrians & Bicycles	

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SPTC15.1 Proposal Forms – Cover Page

**G. Six keywords that describe the project.**

**H. Principal Investigator (PI) Information – the PI is at the lead organization**

Name:  Terminal Degree

Position or Title:

Organization of Principal Investigator:

Mailing Address (include department, division or equivalent, street, city, state, zip):

Phone:

Fac:

E-mail:  URL of PI:

**I. Co-Principal Investigator (Co-PI) Information (box size may be increased). Include the information in Item H for each Co-PI**

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SPTC15.1 Proposal Forms – Cover Page

**J. For each proposed matching source, complete the following (copy table, if needed, to cover all matching sources).**

Co-Sponsoring/Matching Agency Name:	Amount of Matching: \$
Contract or Grant Number or Project Title of Matching:	Original Source of Matching Funds:
Co-Sponsor Project Manager:	
Address (include street, city, state, zip):	Phone:
	Fax:
	E-Mail:

## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS****Required Proposal Sections****II. Summary** (One page maximum) (required)

- Must be a self-contained document, suitable for publication, and include the topic being proposed, need for the study, and the proposed activities
- Clearly identify the expected results and the impact of those results, if the project is funded
- Must be prepared in simple text format with no graphics, equations and tables
- Must provide clear understanding of the proposed project from the summary
- Summary is public information and will be posted on the TRB's Research in Progress (RIP) website

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS****Required Proposal Sections****III. Table of Contents** (One page maximum) (required)

The Table of Contents may be prepared in any generally accepted format.

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****IV. Project Description** (Ten pages maximum, including illustrations such as figures, graphs and charts, for sections A-E) (required)**A. Introduction**

- **A.1. Problem Statement:** A paragraph that summarizes the problem to be addressed by the project as well as the collaborative approach and broader regional impact of the project.
- **A.2. Background:** describe the background of the problem being addressed and current state-of-the-art with supporting reference citations (the actual references are placed in the Reference section), and relevance to the SPTC. Further, this section shall show how this work is distinguished from previous work or adds to the body of knowledge.
- **A.3. Past and Current Effort:** describe the relationship of the proposed project to the past or current efforts by the team.
- **A.4. Objectives:** describe the specific objectives of this project. Include the potential deliverables at the end of the one-year project.

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****IV. Project Description** (Ten pages maximum, including illustrations such as figures, graphs and charts, for sections A- E) (required)**B. Approach, Tasks, and Timeline**

- **B.1. Approach/Tasks:** describe the approach and the tasks proposed to accomplish the project objectives. Describe each task and provide specifics (e.g., the methods to be used, the number of tests to be conducted, etc.) that will allow the reviewers to evaluate the strength and innovativeness of the study.
- **B.2. Timeline:** indicate with an X the month(s) for the tasks one-year duration of the project. Use the general format below for each month of the project.

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****IV. Project Description** (Ten pages maximum, including illustrations such as figures, graphs and charts, for sections A- E) (required)**C. Results/Impacts**

- clearly indicate the expected outcomes or results (e.g., technology, new test method, special provision, specification, cost effective maintenance, etc.) of the project
- An itemized list of deliverables is preferable
- Indicate the significance of these results. Discuss the likelihood and that the project will be completed within the one-year project period.

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****IV. Project Description** (Ten pages maximum, including illustrations such as figures, graphs and charts, for sections A- E) (required)

- **D. SPTC Vision and Mission:** explain how the project addresses the SPTC vision and mission including diversifying the pool of transportation professional professionals and workforce development. In addressing the impact of the proposed work, the proposal must cite the significance of the project to key SPTC constituencies and to national transportation issues.
- **E. Technology Transfer and Implementation:** include plans for technology transfer including papers submitted for presentation or publication; demonstrations to agencies or other organizations; awards, patents, etc. List steps to be taken for the implementation or deployment of the expected products. Describe additional work needed beyond this project, e.g., additional training additional test procedures, or new/ changed specifications.

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****IV. Project Description** (One page maximum for each PI/Co-PI, required)

- **F. Qualifications of the team** (One page maximum for each PI and co-PI): For each PI and co-PI include qualifications of the individual and a description of the work he/she will perform on the project.
- **G. Facilities available** (One page maximum for each PI and co-PI): For each PI and co-PI include the use of specialized computing, equipment and laboratory facilities available to the team for the proposed study.

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****V. Equipment Request Justification** (required, denote as Not-Applicable when equipment is not requested)

- Indicate here any equipment, consisting of items costing at least \$5,000 per unit and with total cost between \$5000 and \$25,000, being requested from the SPTC, and complete Appendix B of the proposal.
- Equipment items are contingent upon approval being granted by RITA or other funding authority upon selection of the proposal for funding. In the event RITA or other funding authority denies an equipment request, the proposal will require revising prior to release of the award. No Facilities and Administration (F&A) costs are allowed for equipment purchases.

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****VI. Matching Funding** (2 pages maximum)

- Proposals must cite the source of the matching funds and explain how the matching funds and the SPTC funds will be expended to create a unified project
- This section must also identify the manner in which SPTC funds will be leveraged beyond the required matching funding.

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****VII. Prospects for Future Funding** (1 page maximum) (required)

- Proposals must explain how funding the proposed project would enhance the capacity of the applicant's institution to compete for federal funds or make the services of the partner SPTC institutions more attractive to stake holders

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****VIII. References** (No page limit) (required)

- References must be inserted into the proposal to meet the highest standards of scholarship, but may be cited in any generally accepted format, e.g., Transportation Research Board (preferred) or American Society of Civil Engineers
- Each reference must be complete including title, source, page number, etc. For web references, the complete reference must be provided in addition to the web access point and the date of last access must be within three months of the proposal deadline. Comments or quotations must not be inserted into the References Section in an attempt to circumvent page limitations.

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## SPTC15.1 Request for Proposals

**PREPARATION INSTRUCTIONS - Required Proposal Sections****IX. Senior Personnel** (Two pages maximum for each PI and Co-PI) (required)

- A two-page National Science Foundation Style biographical sketch must be included for the PI and each Co-PI that includes their education, appointments, activities relevant to this proposal, awards, and up to ten publications (up to five most relevant publications and up to five other significant publications)

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## SPTC15.1 Request for Proposals

### PREPARATION INSTRUCTIONS - Required Proposal Sections

#### X. Budget, Budget Footnotes and Budget Justification (No page limit) (required)

- The budget must be prepared in the format prescribed by the Research and Innovative Technology Administration (RITA) for UTCs. The required budget form can be down loaded from the SPTC web site (<http://www.sptc.org>).
- Sources of matching funds must clearly be identified. The match funds are detailed by budget line item.
- Foreign travel is allowed, if recommended for funding by the reviewers; however, it must be approved by the Center Director and by RITA. The Budget Justification needs to provide a clear justification (relevance, need) for such travels or reference the discussion in the work plan. Such requests will most likely delay the start of funding for the project.



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## SPTC15.1 Proposal Forms – Budget

Name of Institution: \_\_\_\_\_  
 Name of PI: \_\_\_\_\_  
 Project Number: SPTC15.1 \_\_\_\_\_

**EXHIBIT B (applicants must use this form)**

**Center Budget Plan**  
 Budget Period: Year 1 (do not use dates)

Category	Budgeted Amount from Federal Share	Budgeted Amount from Matching Funds	Explanatory Notes
Center Director Salary	50	50	
Faculty Salaries			
Administrative Staff Salaries			
Other Staff Salaries			
Student Salaries			
Staff Benefits			
<b>Total Salaries &amp; Benefits</b>	<b>50</b>	<b>50</b>	
Student Tuition			
Permanent Equipment			
Expendable Property, Supplies, and Services			



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## SPTC15.1 Request for Proposals

### BUDGET JUSTIFICATION INSTRUCTIONS

- Each proposal must contain a budget for the year of requested support including match.
- Include the matching funds budget form if the project includes more than one source of matching funds.
- Any restriction on the use of SPTC funds applies equally to matching funds.
- Grantees shall comply with Uniform Guidance, 2 CFR 200, as applicable.
- Carefully prepare an accompanying justification of the budget. Incomplete justification may result in an item being deleted by the reviewers.
- Account for all project funds – both monies requested from the SPTC and the proposed matching funds by budget line item. All amounts should be in dollars (no cents).
- The approved budget amount is established by the reviewers and cannot be increased after the date of the award. If obvious budget items are omitted, provide information regarding the alternative resources available to provide for these items in the budget justification.

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## SPTC15.1 Request for Proposals

### BUDGET JUSTIFICATION INSTRUCTIONS

- Salaries.** For each project employee indicate the percent of time or effort in relation to total professional activities. Where appropriate, indicate whether the amounts requested for the Principal Investigators, and other personnel are for summer salaries and/or academic year salaries, and indicate the formulas for calculating these salaries. Budget fringe benefits to the extent that they are treated consistently by the applicant organization as a direct cost to all sponsors. Explain fringe benefit calculation. Overload/pay is not an allowable expense.
- Scholarships.** Funds may be used to provide student scholarships, i.e., financial assistance which is not compensation for labor. Students, who receive financial scholarship support without compensation for labor, including those under consideration for such honorary programs as the SPTC Student of the Year Award, must be U.S. citizens or permanent residents of the United States.
- Tuition.** Project funds may be used to provide tuition support to any student, regardless of citizenship status, during the period that the student is actively employed on the grant.
- Expendable Property, Supplies, and Services.** Tangible items such as expendable laboratory supplies and services such as printing and publication are detailed in this section.
- Equipment.** Items of equipment having a unit acquisition cost of \$5,000 or more are considered "permanent equipment." Permanent equipment may be requested from the federal RITA funds to be awarded in this funding competition. The use of equipment purchased by an awardee as a part of the project from matching funds is contingent upon prior approval being obtained from RITA.

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## SPTC15.1 Request for Proposals

### BUDGET JUSTIFICATION INSTRUCTIONS

- Domestic Travel.** Divide the justification into two parts: Project Travel and Professional Meeting travel. Describe the purpose of any travel, giving the number of trips and the professional activities involved, the destination(s) and the number of individuals for whom funds are requested. The amount requested for travel must be fully explained.
- Foreign Travel.** Foreign travel may be requested; however, such travel must not begin until the traveler(s) has/have the approval of the appropriate Associate Director, Center Director and RITA. Such approval could take more than 30-days to receive from RITA. Depending on the nature of the travel, the award contract may be delayed until approval has been obtained from RITA. Documentation will be submitted to RITA by the Center Director. Divide the justification into two parts: Project Travel and Professional Meeting Travel. Describe the purpose of any travel, giving the number of trips and the professional activities involved, the destination(s) and the number of individuals for whom funds are requested. The amount requested for travel must be fully explained.
- Other Direct Costs.** Itemize other anticipated direct costs not mentioned above. When at all possible, budgeted items should be included in a category other than Other Direct Costs.
- Facilities & Administrative (Indirect) Costs.** Facilities and administrative (F&A) costs, formerly referred to as "indirect" costs, are those incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular project or program. Use your institution's federally negotiated F&A rate.
- Project and Budget Changes.** The Grantee shall obtain prior written approval from the SPTC before making any significant changes in the scope or objectives of the Grantee's approved project. The Grantee shall also obtain prior written approval from the SPTC for transfers of funds among direct-cost budget categories if the cumulative amount of such transfers exceeds 10% of the approved total budget.

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## SPTC15.1 Request for Proposals

### PREPARATION INSTRUCTIONS - Required Proposal Sections

#### XI. Proposal Appendix (Five pages maximum)

- A. Letters of commitment, e.g., state transportation agencies and private sector entities that will implement the project results. This section must not exceed 5 pages.
- B. Equipment purchase materials. Include letters of support from potential users as well as other required documentation, not to exceed 5 pages.

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SPTC15.1 Request for Proposals

**Other RFP items for proposer information regarding SPTC policy:**

- RELEASE OF INFORMATION
- REGULATORY ISSUES
- FINANCIAL RECORDS
- PERFORMANCE EVALUATION

Thank you for your interest!

QUESTIONS?

[dominiquep@ou.edu](mailto:dominiquep@ou.edu)

[aphagen@ou.edu](mailto:aphagen@ou.edu)

