



**Region II
University Transportation Research Center**

**GUIDELINES FOR APPLICANTS
SUBMISSION OF FULL-PROPOSAL
CALL CLOSING: DECEMBER 23, 2013**

Introduction

The Region II University Transportation Research Center (UTRC) is pleased to announce the 2013-14 UTRC Faculty Initiated Final Proposal phase for principal investigators whose preliminary proposals were selected in the initial phase of the 2013 UTRC Request of Pre-proposals. The second step of the call starts on November 11th, 2013. Only invited applicants are allowed to submit a Full-proposal (a successful Pre-proposal in the first step is mandatory to enter this Full-proposal-step).

This document provides all additional information needed to submit a full-proposal.

Any fundamental changes between the pre- and full-proposal, e.g. objectives of the project, selected topic invited for full-proposal, will not be permitted.

Full-proposals that are not completed or do not meet any other formal requirement will not be considered in the evaluation process and will not be funded.

An invitation to submit a full grant proposal does not imply or guarantee funding. Full-proposals will be evaluated on a competitive basis by a committee. Final awards will be subject to the governing requirements of the U.S. DOT University Transportation Centers Program and the Research Foundation of the City University of New York.

Full-proposal Submission

Full-Proposals must be submitted electronically in Microsoft Word, .rtf, or pdf format and Budget in Microsoft Excel format, through the [UTRC Online Submission System](http://www.utrc2.org) (visit www.utrc2.org).

The closing date for the full-proposals is December 23rd, 2013 (6:00PM, EST)

To successfully submit a full-proposal, please consider the following at first:

- The abstract or executive summary should include the specific objectives of the proposed project. In case your project is selected for funding, this abstract or executive summary will be published on the UTRC website (www.utrc2.org) and will be entered into the TRB Research In Progress database (<http://rip.trb.org/>);
- All information must be completely and accurately filled in to the best of one's knowledge. Update your existing data, if necessary, at the relevant points.

Contact Information:

The designated contacts for this solicitation are Dr. Ellen Thorson (ethor@utrc2.org) and Penny Eickemeyer (peickemeyer@utrc2.org). Questions seeking clarification on this RFP may be only addressed to the designated contacts.

Program Objectives

The objectives of the UTRC Faculty Initiated Full Proposal Research Program are to:

1. Promote excellent and innovative research projects on transportation problems relevant to U.S. DOT's Region II (including New York, New Jersey, Puerto Rico, and the U.S. Virgin Islands) as well as the nation.
2. Provide practical and workable contributions and solutions to the region's transportation community.
3. Encourage multi-disciplinary and multi-university approaches to research on these problems.
4. Promote collaboration between traditional fields of transportation expertise (e.g. civil engineering and urban planning) and academic research centers in advanced technologies (e.g. nanotechnology, photonics, wireless communication technologies).
5. Further the education of transportation students by involving them in scholarly research.
6. Encourage faculty in the UTRC consortium to compete for research funds.

Proposal Requirements

Each submission must include the following elements:

1. A cover page, following the form in the Template for Technical Proposals on the UTRC website (<http://www.utrc2.org/resources>). A lead institution and Principal Investigator (PI)

should be clearly identified. The Principal Investigator must be a faculty member of a member university of the UTRC consortium.

- Research proposals involving well-structured teams from two or more institutions are encouraged. Such proposals should be submitted as a single entry with appropriate budget.
2. An executive summary briefly describing the problem, proposed approach, and work effort in 400 words or fewer.
 3. The main proposal narrative, not exceeding 4,000 words, describing in more detail:
 - a. The problem being addressed, and its relevance to the region.
 - b. The research approach.
 - c. How this project relates to other work being done on this topic.
 - d. Description of deliverables the research project will produce. (see reporting requirements below).
 4. Proposed tasks and timeline. Each task or subtask should be associated with a timeframe, a specific deliverable, and a percent of effort toward the total budget.
 5. Listing of research obligations of key project personnel for the 2014 Academic Year, including both UTRC and non-UTRC projects that will be underway during that time.
 6. Brief curricula vitae of all principals responsible for the study (not to exceed two pages each).
 7. A budget, using the Template for Faculty Initiated Proposals – Budget Tables, on the UTRC website (<http://www.utrc2.org/resources>):
 - Each proposal must include a detailed estimate of the time and cost to perform the work, including the billing rate for each person.
 - Proposals should include funding for student researchers.
 - Proposals should include funding to present research findings at one academic or professional meeting.
 - No faculty member can receive funding from UTRC exceeding 35% of his/her academic year's time.
 - UTRC's financial contribution must not exceed the amount requested on the pre-proposal and should be fully matched with a non-federal source of funds. Eligible sources of matching funds include hard or in-kind sources of funds from state or local transportation agencies; foundations, business, or civic organizations; or faculty release time or student stipends provided by the university. Sources of matching funds must be documented on a letterhead of the sponsor agency.

Please contact Dr. Ellen Thorson before you submit your proposal if you need guidance on budget preparation or potential sources of a match.

Selection Process

Full-proposals will be evaluated according to following criteria:

- Originality and timeliness of topic.
- Relevance to the UTRC themes and priorities
- Quality, clarity, and feasibility of research plan.
- Qualifications of Principal Investigator(s)
- Collaborative activities
- Educational component
- Transferability of results and products
- Workforce development component
- Justification and allocation of resources

Full-proposals will be ranked in the Groups A, B and C. Those from Group A are strongly recommended to be funded, those from Group B should, if possible, be funded and those from Group C should not be funded.

Limitation

This solicitation does not commit UTRC to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. UTRC reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in UTRC's best interest.

Other Research Policies

Researchers are expected to acknowledge the support provided by the UTRC in all presentations and publications resulting from the research. UTRC will not knowingly support research that is being funded or proposed for funding in whole or in part by other agencies or organizations without a specific agreement for joint funding. Failure to disclose other proposed or in-hand research funding for a project substantially similar to a UTRC project is grounds for termination of a UTRC grant.

Student contributions to research projects must be acknowledged in any publication resulting from research using UTRC funds. Acknowledgment may be by footnote or by co-authorship of reports and articles, depending upon the nature and extent of student contributions.

Reporting Requirements

Quarterly Progress Report:

The Principal Investigator is required to submit quarterly project status reports to the

UTRC Project Manager using the template included in resources for PIs on the UTRC website. These reports should be submitted on or about March 10, June 10, September 10 and December 10 and should reflect activity undertaken within the quarter, description of any issues or problems that may lead to requests for extensions or budget revisions, and suggestions for implementation of the research.

Final Report:

The Principal Investigator is required to submit a draft final report at the conclusion of the project (within one month of project completion or if this deadline cannot be met, at a mutually agreeable date between the PI and UTRC). This draft should include a cover, disclaimer page and a completed USDOT Form 1700, which are available at <http://www.utrc2.org/resources>. The draft will be submitted by UTRC for peer review, but this requirement may be waived if previously reviewed and accepted for publication prior to submission to UTRC. The comments of peer reviewers should either be addressed and included in the final report or the PI should explain to the UTRC project manager why the issue should not be included.

The Principal Investigator is required to submit all project deliverables, first, in draft formats for review and comment by the UTRC Project Manager. The Principal Investigator is required to address the reviewer's comments, as needed, and re-submit to the UTRC Project Manager for review. Upon acceptance by the UTRC Project Manager, the Principal Investigator is required to submit the deliverables to the UTRC Project Manager in final formats.

Research Brief:

A one-page non-technical summary of the project is due when the final report is submitted. A template will be provided by the project manager close to project completion. The brief should summarize the methods, findings, and significance of the research project in non-technical language, suitable for distribution to transportation agencies and policymakers. It may include graphics, photos, information on implementation, publications, and any other information that the PI chooses to include to inform the public about the research.

Upon submission of the final report, UTRC will produce with the researcher a very short video clip of the study's work to be posted on the UTRC website.