



U.S. Department of Transportation  
Research and Innovative Technology Administration

# **GRANT DELIVERABLES AND REQUIREMENTS FOR UNIVERSITY TRANSPORTATION CENTERS (UTCs)**

**JANUARY 2012**

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### **1. Website**

The Grantee shall establish and maintain an up-to-date, informational website containing at least items 2, 5 and 6 noted below plus any other information the Grantee wishes to include in order to make interested stakeholders aware of its work under the UTC grant. At least a basic framework for this website must be available for public viewing no later than three months after DOT awards the grant. The grantee shall provide the RITA Grant Administrator the link to the UTC's website which will be included in the UTC program's website at [utc.dot.gov](http://utc.dot.gov).

### **2. Directory of Key Center Personnel**

The Grantee shall prepare a "Directory of Key Center Personnel" that includes the names, phone/fax numbers, mailing addresses, and e-mail addresses of key Center personnel, including the Director's primary administrative staff person and at least one contact person at each university in a consortium, if any. This information must be placed on the Center's website no later than three months after DOT awards the grant and the Center Director shall ensure that the information remains posted and is current throughout the life of the grant.

### **3. Financial and Annual Recipient Share Reports**

#### **a. Federal Financial Report**

The Center Director or designated university official shall prepare and submit to the RITA Grant Administrator the standard Federal Financial Report SF425 on a quarterly basis. Submission via e-mail is preferred. The SF425 does not need to be posted on the UTC's website. SF425s shall cover three-month reporting periods ending on March 31, June 30, September 30, and December 31, and the reports are due 30 days after each of these reporting-period end dates. A final SF425 is due 90 days after the grant's termination date.

#### **b. Annual Recipient Share Report**

The Center Director or designated university official shall submit to the RITA Grant Administrator a report on the required recipient share of the grant indicating the percentage of non-federal share (match) by source categories – state department of transportation, Local/Tribal Technical Assistance Program, university, local government, public transportation agencies, non-governmental organizations (NGO), private, other. The report shall be submitted via e-mail within 30 days of the end of each year throughout the life of the grant.

#### **4. Federal Financial Accountability and Transparency Act (FFATA) Subaward and Executive Compensation Reporting Requirement**

As required by the Federal Funding Accountability and Transparency Act of 2006, recipients of federal awards, i.e., grants, cooperative agreements, and other forms of Federal financial assistance, must report information on sub-awards they make and executives' total compensation. This guidance applies to all entities that apply for or receive federal grant awards, or receive subawards under those awards, with certain exemptions and exceptions. Please refer to Exhibit A.

#### **5. Research Project Descriptions**

Within one month after project selection, the Center Director shall do the following:

- a. Submit to the Transportation Research Board's Research in Progress (RiP) database a project description for each project. The project information can be entered into the RiP database directly at [rip.trb.org](http://rip.trb.org). Grantees are required to provide full submissions to RiP including, in particular, the fields stating start and completion dates and current and total planned costs for each project. For help with submissions or to request login credentials, please contact Lisa Loyo, TRB's Manager of Information Services, [lloyo@nas.edu](mailto:lloyo@nas.edu). The Center Director is responsible for updating and maintaining project information in RiP.
- b. Post on the Center's website information similar to that in RiP for each new research project selected. This information must remain on the Center's website at least until the project's Final Research Report has been posted there.

#### **6. Final Research Reports**

The Center Director shall submit a final report for each research project conducted with UTC Program funding including matching funds. Final research reports shall give a complete description of the problem, approach, methodology, findings, conclusions, and recommendations developed as a result of the project and shall completely document all data gathered, analyses performed, and results achieved. The inside of the front cover shall show a disclaimer including the following:

##### *DISCLAIMER*

*The contents of this report reflect the views of the authors, who are responsible for the facts and the accuracy of the information presented herein. This document is disseminated under the sponsorship of the U.S. Department of Transportation's University Transportation Centers*

*Program, in the interest of information exchange. The U.S. Government assumes no liability for the contents or use thereof.*

Within two months after the completion of each project, the Center Director shall:

- a. Publish on the Center's website the full text of each report.
- b. Notify the Transportation Research Board (TRB) of the URL of the full text report so that the report may be indexed and abstracted in TRB's Transportation Research International Documentation Database (TRID). Notification should be made by e-mail to [TRIS-TRB@nas.edu](mailto:TRIS-TRB@nas.edu). For help with TRID, contact Lisa Loyo, TRB's Manager of Information Services, [lloyo@nas.edu](mailto:lloyo@nas.edu).
- c. Transmit each report electronically to the National Transportation Library at [NTLDigitalSubmissions@dot.gov](mailto:NTLDigitalSubmissions@dot.gov). E-mails to this address may include URLs or attached PDF documents.
- d. Also distribute each report in the format noted to the following addresses:
  - i. Transportation Library  
Northwestern University  
1970 Campus Drive  
Evanston, IL 60208-2300  
(Submit on CD)
  - ii. [phernand@library.berkeley.edu](mailto:phernand@library.berkeley.edu)  
Paul Hernandez  
Institute of Transportation Studies Library  
University of California, Berkeley  
(Send URL via e-mail)
  - iii. [Susan.Dresley@dot.gov](mailto:Susan.Dresley@dot.gov)  
Volpe National Transportation Systems Center  
U.S. Department of Transportation  
(Send URL via e-mail)
  - iv. [FHWAlibrary@dot.gov](mailto:FHWAlibrary@dot.gov)  
FHWA Research Library  
Turner-Fairbank Highway Research Center  
(Send URL)

- v. [input@ntis.gov](mailto:input@ntis.gov)  
U.S. Department of Commerce  
National Technical Information Service  
(Send URL or PDF via e-mail)

### **7. Program Progress Performance Report**

The Center Director shall prepare and submit to the RITA Grant Administrator the Program Progress Performance Report (PPPR) using the outline and instructions in Exhibit B. The PPPR shall be posted on the Center's website. The PPPR follows the new, uniform format developed by the National Science Foundation for use in progress reporting on Federal research grants. Exhibit A shows RITA's customized version for UTC Program grants showing which elements must be reported (please note that RITA will use the SF425 for reporting financial information). The PPPR shall be submitted electronically to the designated Grant Administrator.

### **8. Annual Performance Indicators Report**

On an annual basis the Center Director shall report program performance indicators using the format specified in Exhibit C. The Annual Performance Indicators Report shall be submitted electronically to the designated Grant Administrator.

### **9. UTC Grantees' Meetings**

RITA will convene two meetings per year of all UTC Grantees for the purposes of information exchange, identification of best practices in UTC Grant management, and administrative streamlining. Meetings are typically held in January in Washington, DC (in conjunction with the Transportation Research Board Annual Meeting) and in approximately June or July at a university that volunteers to host the event. RITA expects the Center Director to attend both of these meetings.

### **10. UTC Program Outstanding Students of the Year**

To recognize and honor the students supported by the UTC Program, RITA sponsors an annual awards banquet in collaboration with the Council of University Transportation Centers in January in Washington, DC. Each Center shall choose or decline to choose one outstanding student of the year by the deadline established by the UTC Program Office. The Center shall provide the student's information and headshot photo for inclusion in the Student of the Year Awards Program. Each participating Center shall award its Student of the Year \$1,000 and the costs for the student to attend the award ceremony and the TRB Annual Meeting in Washington, DC. For restrictions pertaining to SOY eligibility see *General Provisions of Grants for University Transportation Centers*, section III.5.

**EXHIBIT A****Federal Financial Accountability and Transparency Act (FFATA) Subaward and Executive Compensation Reporting Requirement**

As required by the Federal Funding Accountability and Transparency Act of 2006, recipients of federal awards, i.e., grants, cooperative agreements, and other forms of Federal financial assistance, must report information on sub-awards they make and executives' total compensation.. This guidance applies to all entities that apply for or receive federal grant awards, or receive subawards under those awards, with certain exemptions and exceptions.

1. This requirement is for both mandatory and discretionary grants awarded on or after October 1, 2010.
2. All sub-award information must be reported by the prime awardee.
3. For those new Federal grants as of October 1, 2010, if the initial award is equal to or over \$25,000, reporting of sub-award and executive compensation data is required.
4. If the initial award is below \$25,000 but subsequent grant modifications result in a total award equal to or over \$25,000, the award will be subject to the reporting requirements, as of the date the award exceeds \$25,000.
5. If the initial award equals or exceeds \$25,000 but funding is subsequently deobligated such that the total award amount falls below \$25,000, the award continues to be subject to the reporting requirements.
6. Prime awardees of Federal grants must register with the Central Contractor Registration (CCR) system, <http://www.ccr.gov>.
7. Reporting of first-tier subawards
  - a. What to report.. You must report each action that obligates \$25,000 or more in Federal funds for a subaward to an entity. The \$25,000 threshold does not include Recovery funds.
  - b. Where and when to report. You must report each obligating action to <http://www.fsrs.gov>. For subaward information, report no later than the end of the month following the month in which the obligation was made.
8. Reporting Total Compensation of Recipient Executives
  - a. What to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year.

- b. Where and when to report. You must report executive total compensation as part of your registration profile at <http://www.ccr.gov>. Report this information by the end of the month following the month in which this award is made, and annually thereafter.

**9. Reporting of Total Compensation of Subrecipient Executives**

- a. What to report. You must report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year.
- b. Where and when to report. You must report subrecipient executive total compensation by the end of the month following the month during which you make the subaward. You will report subaward recipient executive compensation information at <http://www.fsrs.gov>.

**10. None of the requirements regarding reporting names and total compensation of an entity's five most highly compensated executives apply unless in the entity's preceding fiscal year, it received:**

- a. 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
- b. \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
- c. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)

**11. Exemptions.** If, in the previous tax year, your institution had gross income from all sources under \$300,000 you are exempt from the requirements to report subawards, and the total compensation of the five most highly compensated executives of any subrecipient. RITA reserves the right to request authoritative documentation that would support a request to exercise this exemption.

**12. Exception:** 2 CFR 170.110 provides an exception from the executive compensation reporting requirements by a primary award recipient, or a subrecipient's organization (in case of reporting executive compensation for sub-recipient executives).

13. All prime recipients awarded through the UTC Program who do not have an exemption under 2 CFR 170.110 are required to have the necessary processes and systems in place to comply with the reporting requirements. RITA encourages you to visit [www.fsrs.gov](http://www.fsrs.gov), which is the reporting portal for subrecipient and executive compensation information. In addition, [www.usaspending.gov](http://www.usaspending.gov), has many resources available on the subrecipient and executive compensation reporting requirements.

**EXHIBIT B**

**Program Progress Performance Report for University Transportation Centers**

**COVER PAGE DATA ELEMENTS**

- Federal Agency and Organization Element to Which Report is Submitted
- Federal Grant or Other Identifying Number Assigned by Agency
- Project Title
- Program Director (PD) Name, Title and Contact Information (e-mail address and phone number)
- Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD
- Submission Date
- DUNS and EIN Numbers
- Recipient Organization (Name and Address)
- Recipient Identifying Number or Account Number, if any
- Project/Grant Period (Start Date, End Date)
- Reporting Period End Date
- Report Term or Frequency (annual, semi-annual, quarterly, other)
- Signature of Submitting Official (signature shall be submitted in accordance with agency- specific instructions)

**REPORT LENGTH:** The PPPR should not exceed 20 pages in length including cover page. Shorter lengths are encouraged as long as the content reported is commensurate with the level of effort and expenditures.

**SUBMITTAL AND WEBPOSTING:** The PPPR shall be submitted by email to the designated Grant Administrator as a Word document or PDF, and shall be posted on the Center's website.

**FREQUENCY OF REPORTING:** The first report shall cover the first six months of activities and shall be submitted no later than 15 days after the end of the first six months. Subsequent reports shall cover activities of each quarter and shall be submitted no later than 15 days after the end of the quarter until all grant funds have been fully expended.

## REPORTING CATEGORIES

**1. ACCOMPLISHMENTS:** What was done? What was learned?

The information provided in this section allows the RITA grants official to assess whether satisfactory progress has been made during the reporting period.

**INSTRUCTIONS - Accomplishments**

The Program Director is reminded that the grantee is required to obtain prior written approval from the RITA grants official whenever there are significant changes in the project or its direction.

- What are the major goals and objectives of the program?
- What was accomplished under these goals?
- What opportunities for training and professional development has the program provided?
- How have the results been disseminated? If so, in what way/s?
- What do you plan to do during the next reporting period to accomplish the goals and objectives?

*What are the major goals of the program?*

List the major goals of the program as stated in the approved application or as approved by RITA. If the application lists milestones/target dates for important activities or phases of the program, identify these dates and show actual completion dates or the percentage of completion.

Generally, the goals will not change from one reporting period to the next. However, if RITA approved changes to the goals during the reporting period, list the revised goals and objectives. Also explain any significant changes in approach or methods from the RITA approved application or plan.

*What was accomplished under these goals?*

For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results, including major findings, developments, or conclusions (both positive and negative); and 4) key outcomes or other achievements. Include a discussion of stated goals not met. As the program progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

Generally, the activities and expected outputs, outcomes and impacts should not change from one reporting period to the next. However, if there are changes, please list the revisions and explain the reason(s) for the changes.

*How have the results been disseminated?*

If there is nothing significant to report during this reporting period, state "Nothing to Report." Describe how the results have been disseminated. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of these program activities, for the purpose of enhancing public understanding and increasing interest in learning and transportation careers.

*What do you plan to do during the next reporting period to accomplish the goals?*

If there are no changes to the agency-approved application or plan for this effort, state "No Change."

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.

**2. PRODUCTS: What has the program produced?**

Publications are the characteristic product of research projects funded by the UTC Program. RITA may evaluate what the publications demonstrate about the excellence and significance of the research and the efficacy with which the results are being communicated to colleagues, potential users, and the public, not the number of publications. Many research projects (though not all) develop significant products other than publications. RITA may assess and report both publications and other products to Congress, communities of interest, and the public.

**INSTRUCTIONS - Products**

List any products resulting from the program during the reporting period. Examples of products include:

- Publications, conference papers, and presentations;
- Website(s) or other Internet site(s);
- Technologies or techniques;
- Inventions, patent applications, and/or licenses; and

- Other products, such as data or databases, physical collections, audio or video products, software or NetWare, models, educational aids or curricula, instruments, or equipment.

If there is nothing to report under a particular item, state "Nothing to Report."

*Publications, conference papers, and presentations*

Report only the major publication(s) resulting from the work under this award. There is no restriction on the number. However, RITA is interested in only those publications that most reflect the work under this award in the following categories:

*Journal publications:* List peer-reviewed articles or papers appearing in scientific, technical, or professional journals. Include any peer-reviewed publication in the periodically published proceedings of a scientific society, a conference, or the like. A publication in the proceedings of a one-time conference, not part of a series, should be reported under "Books or other non-periodical, one-time publications."

*Identify for each publication:* Author(s); title; journal; volume; year; page numbers; status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no).

*Books or other non-periodical, one-time publications:* Report any book, monograph, dissertation, abstract, or the like published as or in a separate publication, rather than a periodical or series. Include any significant publication in the proceedings of a one-time conference or in the report of a one-time study, commission, or the like.

*Identify for each one-time publication:* author(s); title; editor; title of collection, if applicable; bibliographic information; year; type of publication (book, thesis or dissertation, other); status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no).

*Other publications, conference papers and presentations:* Identify any other publications, conference papers and/or presentations not reported above. Specify the status of the publication as noted above.

**NOTE:** Please do not send or attach any publications, papers or presentations.

*Website(s) or other Internet site(s)*

List the URL for any Internet site(s) that disseminates the results of the research and/or program activities. A short description of each site should be provided. It is not necessary to include the publications already specified above in this section.

*Technologies or techniques*

Identify technologies or techniques that have resulted from the research activities. Describe the technologies or techniques and how they are being shared.

*Inventions, patent applications, and/or licenses*

Identify inventions, patent applications with date, and/or licenses that have resulted from the research. Submission of this information as part of an interim research performance progress report is not a substitute for any other invention reporting required under the terms and conditions of an award. For additional requirements pertaining to Patents and Copyrights, refer to *General Provisions of Grants for University Transportation Centers, Section III, 14.*

*Other products*

Identify any other significant products that were developed under this program. Describe the product and how it is being shared. Examples of other products are:

- Databases
- Physical collections
- Audio or video products
- Software or NetWare
- Models Educational aids or curricula
- Instruments or equipment
- Data & Research Material
- Other

**3. PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS: Who has been involved?**

RITA needs to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations.

**INSTRUCTIONS - Participants & Other Collaborating Organizations**

Provide the following information on participants:

- What individuals have worked on the program?
- What other organizations have been involved as partners?
- Have other collaborators or contacts been involved?

*What individuals have worked on the program?*

*Provide the following information for: (1) program director and principal investigators (PD/PIs); and (2) each person who has worked in a research capacity at least 8 hours per month in the program during the reporting period, regardless of the source of compensation.*

*Provide the name and identify the role the person played in the project. Indicate the nearest whole person month (Calendar, Academic, summer) that the individual worked on the project. Show the most senior role in which the person has worked on the project for any significant length of time. For example, if an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student, preferably explaining the change in involvement.*

*Describe how this person contributed to the project and with what funding support. If information is unchanged from a previous submission, provide the name only and indicate "no change".*

*Identify whether this person is collaborating internationally. Specifically is the person collaborating with an individual located in a foreign country and whether the person had traveled to the foreign country as part of that collaboration and length of stay during the reporting period. The foreign country(ies) should be identified.*

Example:

Individuals Who Have Worked on the Program

Name	Mary Smith
Program/Project Role	Graduate Student
Number of hours worked during the reporting period	60
Contribution to Program/Project	Ms. Smith has performed work in the area of combined error-control and constrained coding.
Funding Support	The Ford Foundation (Complete only if the funding support is provided from other than this award.)
Collaborated with individual in foreign country	Yes
Country(ies) of foreign collaborator	China
Travelled to foreign country	Yes
If traveled to foreign country(ies), duration of stay	2 weeks

*What other organizations have been involved as partners?*

If there is nothing significant to report during this reporting period, state "Nothing to Report." Describe partner organizations – academic institutions, other nonprofits, industrial or commercial firms, state or local governments, schools or school systems, or other organizations (foreign or domestic) – that have been involved with the program. Partner organizations may provide financial or in-kind support, supply facilities or equipment, collaborate in the research, exchange personnel, or otherwise contribute.

Provide the following information for each partnership:

Organization Name:

Location of Organization: (if foreign location list country)

Partner's contribution to the project (identify one or more)

- Financial support;
  - In-kind support (e.g., partner makes software, computers, equipment, etc., available to project staff);
  - Facilities (e.g., project staff use the partner's facilities for project activities);
  - Collaborative research (e.g., partner's staff work with project staff on the project);
- and
- Personnel exchanges (e.g., project staff and/or partner's staff use each other's facilities, work at each other's site).

*Have other collaborators or contacts been involved?*

If there is nothing significant to report during this reporting period, state "Nothing to Report."

Some significant collaborators or contacts within the lead or partner universities may not be covered by "What people have worked on the project?" Likewise, some significant collaborators or contacts outside the UTC may not be covered under "What other organizations have been involved as partners?" For example, describe any significant:

- Collaborations with others within the lead or partner universities; especially interdepartmental or interdisciplinary collaborations;
- Collaborations or contact with others outside the UTC; and
- Collaborations or contacts with others outside the United States or with an international organization.
  - Country(ies) of collaborations or contacts.

**4. IMPACT:** What is the impact of the program? How has it contributed to transportation education, research and technology transfer?

Over the years, this base of knowledge, techniques, people, and infrastructure is drawn upon again and again for application to commercial technology and the economy, to health and safety, to cost-efficient environmental protection, to the solution of social problems, to numerous other aspects of the public welfare, and to other fields of endeavor.

The taxpaying public and its representatives deserve a periodic assessment to show them how the investments they make benefit the nation. Through this reporting format, and especially this section, UTCs provide that assessment and make the case for Federal funding of research and education.

DOT uses this information to assess how the research and education programs:

- increase the body of knowledge and techniques;
- enlarge the pool of people trained to develop that knowledge and techniques or put it to use; and,
- improve the physical, institutional, and information resources that enable those people to get their training and perform their functions.

**INSTRUCTIONS - Impact**

This component should describe ways in which the work, findings, and specific products of the program have had an impact during this reporting period. Describe distinctive contributions, major accomplishments, innovations, successes, or any change in practice or behavior that has come about as a result of the program relative to:

- The development of the principal discipline(s) of the project;
- Other disciplines;
- The development of human resources;
- Physical, institutional, and information resources at the university and/or other partner institution;
- Technology transfer (include transfer of results to entities in government or industry, adoption of new practices, or instances where research has led to the initiation of a start-up company); or
- Society beyond science and technology.

*What is the impact on the development of the principal discipline(s) of the program?*

If there is nothing significant to report during this reporting period, state "Nothing to Report."

Describe how findings, results, techniques that were developed or extended, or other products from the program made an impact or are likely to make an impact on the base of knowledge, theory, and research and/or pedagogical methods in the principal disciplinary field(s) of the program. Summarize using language that an intelligent lay audience can understand (*Scientific American* style).

How the field or discipline is defined is not as important as covering the impact the work has had on knowledge and technique. Make the best distinction possible, for example, by using a "field" or "discipline", if appropriate, that corresponds with a single academic department (i.e., physics rather than nuclear physics).

*What is the impact on other disciplines?*

If there is nothing significant to report during this reporting period, state "Nothing to Report."

Describe how the findings, results, or techniques developed or improved, or other products from the program made an impact or are likely to make an impact on other disciplines.

*What is the impact on the development of transportation workforce development?*

If there is nothing significant to report during this reporting period, state "Nothing to Report." Describe how the program made an impact or is likely to make an impact on transportation workforce development. For example, how has the program:

- Provided opportunities for research and teaching in transportation and related disciplines;
- Improved the performance, skills, or attitudes of members of underrepresented groups that will improve their access to or retention in transportation research, teaching, or other related professions;
- Developed and disseminated new educational materials or provided scholarships; or provided exposure to transportation, science and technology for practitioners, teachers, young people, or other members of the public?

*What is the impact on physical, institutional, and information resources at the university or other partner institutions?*

If there is nothing significant to report during this reporting period, state "Nothing to Report."

Describe ways, if any, in which the program made an impact, or is likely to make an impact, on physical, institutional, and information resources that form infrastructure, including:

- Physical resources such as facilities, laboratories, or instruments;
- Institutional resources (such as establishment or sustenance of societies or organizations); or
- Information resources, electronic means for accessing such resources or for scientific communication, or the like.

*What is the impact on technology transfer?*

If there is nothing significant to report during this reporting period, state "Nothing to Report."

Describe ways in which the program made an impact, or is likely to make an impact, on commercial technology or public use, including:

- Transfer of results to entities in government or industry;
- Instances where the research has led to the initiation of a start-up company; or
- Adoption of new practices.

*What is the impact on society beyond science and technology?*

If there is nothing significant to report during this reporting period, state "Nothing to Report." Describe how results from the program made an impact, or are likely to make an impact, beyond the bounds of science, engineering, and the academic world on areas such as:

- Improving public knowledge, attitudes, skills, and abilities;
- Changing behavior, practices, decision making, policies (including regulatory policies), or social actions; or
- Improving social, economic, civic, or environmental conditions.

#### **5. CHANGES/PROBLEMS**

The grantee is required to obtain prior written approval from the RITA grants official whenever there are significant changes in the project or its direction. See agency specific instructions for submission of these requests. If not previously reported in writing, provide the following additional information, if applicable:

- Changes in approach and reasons for change
- Actual or anticipated problems or delays and actions or plans to resolve them.
- Changes that have a significant impact on expenditures.
- Significant changes in use or care of animals, human subjects, and/or biohazards

#### **INSTRUCTIONS - Changes/Problems**

If not previously reported in writing to RITA through other mechanisms, provide the following additional information or state, "Nothing to Report, if applicable:

*Changes in approach and reasons for change*

Describe any changes in approach during the reporting period and reasons for these changes. Remember that significant changes in objectives and scope require prior approval of the RITA grant administrator.

*Actual or anticipated problems or delays and actions or plans to resolve them*

Describe problems or delays encountered during the reporting period and actions or plans to resolve them.

*Changes that have a significant impact on expenditures*

Describe changes during the reporting period that may have a significant impact on expenditures, for example, delays in hiring staff or favorable developments that enable meeting objectives at less cost than anticipated.

*Significant changes in use or care of human subjects, vertebrate animals, and/or biohazards*

Describe significant deviations, unexpected outcomes, or changes in approved protocols for the use or care of human subjects, vertebrate animals, and/or biohazards during the reporting period. If required, were these changes approved by the applicable institution committee and reported to the agency? Also specify the applicable Institutional Review Board/Institutional Animal Care and Use Committee approval dates.

*Change of primary performance site location from that originally proposed*

Identify any change to the primary performance site location identified in the proposal, as originally submitted.

**Additional information regarding Products and Impacts**

UTCs are encouraged to consider identifying program results by outputs, outcomes or impacts as suggested by the examples below. Impacts should be linked to National goals expressed in the Secretary's Strategic Goals.

**Outputs** are the direct, tangible products of your research, education/workforce development, and technology transfer activities, such as:

- Research projects awarded;
- Publications, conference papers, and presentations;
- Websites;
- Technologies or technology assessments; databases, software or models;
- Outreach activities;
- Courses and workshops; patents filed and/or issued, licenses.

**Outcomes** are broader changes that are expected to result from the products, such as:

- Increased understanding and awareness of transportation issues;
- Improved body of knowledge;
- Improved processes, techniques and skills in addressing transportation issues;
- Enlarged pool of trained transportation professionals;

- Greater adoption of new technology;
- Other impacts.

**Impacts** are the longer-term, fundamental changes intended as a result of your activities, such as:

- Safer driver behavior;
- Increased travel time reliability;
- Increased intermodal transportation operations;
- Reduction in carbon and other harmful emissions from transportation sources;
- Other impacts.

## 6. SPECIAL REPORTING REQUIREMENTS

Respond to any special reporting requirements specified in the award terms and conditions, as well as any award specific reporting requirements.

### Annual Performance Indicators

See Exhibit C. Submit annually either as part of this report or separately.

**EXHIBIT C**

**Performance Indicators for University Transportation Centers (UTCs)**

**Part I – Program-Wide Indicators**

Report the program-wide indicator metrics for the completed grant year and for the institution(s) comprising your UTC, unless the indicators are included in Part II below.

In the event that a sub-grantee university participates in more than one UTC, include only the metrics corresponding with your grant.

<b>Program-wide Indicators</b>	
1.	Number of transportation-related courses offered during the reporting period that were taught by faculty and/or teaching assistants who are associated with the UTC. <ul style="list-style-type: none"> <li>• Undergraduate courses _____</li> <li>• Graduate courses _____</li> </ul>
2.	Number of students participating in transportation research projects funded by this grant <ul style="list-style-type: none"> <li>• Undergraduate students _____</li> <li>• Graduate students _____</li> </ul>
3.	Number of transportation-related advanced degree programs that utilize grant funds to support graduate students. <ul style="list-style-type: none"> <li>• Master’s Level Programs _____</li> <li>• Doctoral Level Programs _____</li> </ul>
4.	Number of graduate students supported by this grant <ul style="list-style-type: none"> <li>• Master’s Level Students Supported _____</li> <li>• Doctoral Level Students Supported _____</li> </ul>
5.	Number of students supported by this grant who received degrees <ul style="list-style-type: none"> <li>• Master’s Level Degrees _____</li> <li>• Doctoral Level Degrees _____</li> </ul>
6.	Number and total dollar value of research projects selected for funding using UTC grant funds (Federal and/or Recipient Share) that you consider to be applied research and advanced research: <ul style="list-style-type: none"> <li>• Applied research projects &amp; dollar value _____</li> <li>• Advanced research projects &amp; dollar value _____</li> </ul>

**Part II – UTC-Specific Indicators**

Report here the annual performance metrics that you identified in your application for each category below, include the description of the indicator and the corresponding metric.

In the event that a sub-grantee university participates in more than one UTC, include only the metrics corresponding with your grant.

<b>Category</b>	<b>Description of indicator</b>	<b>Metric</b>
1. Research Capability		
2. Leadership		
3. Education and Workforce Development		
4. Technology Transfer		
5. Collaboration		

**EXHIBIT D****Schedule of Grant Deliverables and Requirements**

<b>Deliverable/Requirement</b>	<b>Due Date</b>	<b>Duration Covered</b>
Website	By third month	NA
Directory of Key Personnel	By third month	NA
Research Project Descriptions	One month after project selection - send to RiP & post on website	NA
SF 425	April 30	Months 1-3
PPPR #1	15 calendar days after completion of first 6 months of award	Months 1-6
SF 425	July 30	Months 4-6
PPPR #2	15 calendar days after the end of quarter	Months 7-9
SF 425	October 30	Months 7-9
PPPR #3	15 calendar days after the end of quarter	Months 10-12
Performance Indicators	30 calendar days after the end of the first year	Months 1-12
Recipient Share Report	30 calendar days after the end of the first year	Months 1-12
SF 425	January 30	Months 10-12
PPPR #4	15 calendar days after the end of quarter	Months 13-15
SF 425	April 30	Months 13-15
PPPR #5	15 calendar days after the end of quarter	Months 16-18
SF 425	July 30	Months 16-18
PPPR #6	15 calendar days after the end of quarter	Months 19-21
SF 425	October 30	Months 19-21
PPPR #7	15 calendar days after the end of quarter	Months 22-24
Performance Indicators	30 calendar days after the end of the second year	Months 13-24
Recipient Share Report	30 calendar days after the end of the second year	Months 13-24
Final Research Reports	Two months after project completion reports are posted on website and distributed to designated repositories	NA
SF 425	January 30 <i>After this point, SF 425s shall be submitted quarterly as long as the grant is active. A final SF 425 is due 90 days after the termination of the grant.</i>	Months 22-24
FFATA Reporting	As required (See Exhibit A)	
PPPR #8 and beyond	15 days after the end of the quarter as long as the grant is active	Each quarter beyond month 24

**Exhibit E**

**List of Acronyms**

CCR	Central Contractor Registration system
DOT	U.S. Department of Transportation
FFATA	Federal Financial Accountability and Transparency Act of 2006
FHWA	Federal Highway Administration
PPPR	Program Progress Performance Report
RiP	Research in Progress
RITA	Research and Innovative Technology Administration
SF	Standard Form
TRB	Transportation Research Board
TRID	Transportation Research International Documentation Database
UTC	University Transportation Center