



TRANSPORTATION POOLED FUND PROGRAM

# **Transportation Pooled Fund Procedures Manual**

**April 2021**

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## **Chapter 1 – History and Overview of Pooled Funds**

The Transportation Pooled Fund (TPF) Program has existed for more than 20 years. It is a popular means for State Department of Transportation (DOT), commercial entities, and Federal Highway Administration (FHWA) program offices to combine resources and achieve common research goals. Pooling resources reduces marginal costs, and provides efficient use of taxpayer dollars. It also provides greater benefits to participating interests as compared to individual entities conducting or contracting for research on their own. The program was developed through ad hoc processes until 1999 when the FHWA led a workshop to “Reengineer the TPF Program.” This led to the development of standard program management procedures, including the use of a TPF website for managing solicitations, participant pledging, and project progress reporting. While legislation and regulations provide a basis for the TPF mechanism, this document is intended to provide both TPF program and project management guidance covering issues ranging from the TPF project solicitation through close out. The target audience for this manual is both Federal and State highway agency TPF project managers and financial managers/specialists. It contains step-by-step procedures with sample forms and/or letters on “how to” advance a TPF project from conception to close out.

## Chapter 2 – Legislative and Regulatory Requirement

The State Planning and Research Program (SPR) is authorized by 23 USC 505, and is regulated under [23 CFR Part 420](#). The Fixing America's Surface Transportation Act (FAST Act) amended 23 USC 505 and requires that States set aside for State planning and research activities 2 percent of the apportionments they receive from 5 programs: the National Highway Performance Program (NHPP); the Surface Transportation Block Grant Program (STBG); the Highway Safety Improvement Program (HSIP); the Congestion Mitigation Air Quality Improvement Program (CMAQ) Program; and the National Highway Freight Program (NHFP). Of this amount, States must allocate 25 percent for research, development, and technology. These activities involve research on new areas of knowledge; adapting findings to practical applications by developing new technologies; and the transfer of these technologies, including the process of dissemination, demonstration, training, and adoption of innovations by users.

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards found in 2 CFR Part 200 and commonly referred to as the “Supercircular” establishes uniform administrative rules for the U.S. Department of Transportation’s grants and cooperative agreements and sub-awards to State, local and Indian tribal governments. Section 505 of Title 23 United States Code provides guidance on what activities are eligible for SPR funding. Section 505(b)(2) allows the U.S. Secretary of Transportation to waive the funds match requirement for a project administered under the Transportation Pooled Fund mechanism. The authority to waive the funds match requirement has been delegated to the FHWA Associate Administrator for Research, Development and Technology. To improve the financial accountability of TPF projects, the lead agency will have all funds transferred to them and will be responsible for project financing (obligating funds, tracking expenses, paying invoices, and returning unused funds to participating entities). The transfer authority in Title 23 USC 104(k) allows for a simplified TPF program fiscal management. It enables a TPF project’s lead agency to be responsible and control all associated funds from inception through final closeout. Three methods are available for transferring committed (pledged) funds to a lead agency: (1) Direct transfers of Federal funds via the transfer forms FHWA 1575-C; (2) Payment contributions (via check) directly to the lead State (non-State DOT agencies or entities only), or (3) PAY.GOV (a system provided by the U.S. Department of Treasury to make secure electronic payments to Federal Government Agencies). Please Note: *PAY.gov is only available to contribute non-Federal funding to an FHWA-led project.; More details on the transfer of funds are covered in Chapter 11*

## Chapter 3 – Program Requirements

A TPF study is intended to address a new area of planning, research or technology transfer or provide information that will complement or advance those areas. Program requirements are as follows:

1. TPF studies must be sponsored by either a State DOT or the FHWA.
2. To qualify as a TPF study, at a minimum, a State DOT, if a state led project or FHWA, if a FHWA led project, must partner with at least one of the following:
  - Another State DOT
  - FHWA
  - Metropolitan/Municipal Planning Organization
  - College/University
  - Private Company (See page 9)
  - Approved foreign governments (See page 9)

The partner agencies must find the subject important enough to pledge funds or other resources to conduct the research, planning, and technology innovation activity.

- a. Local and regional transportation agencies, private industry, foundations, and colleges/universities may partner with any or all of the lead agencies to conduct pooled fund projects. However, they may not lead or solicit the initiation of a study.
3. The proposed study must be documented in the State's work program. If the subject matter has been previously studied, new information that will complement or advance previous investigations of the subject matter should be provided.
4. The target duration of a Pooled Fund Project should not exceed five years. If the project has a viable reason to extend beyond five years, the project should be closed and a new Pooled Fund Project established to continue the research. This will enable the funding to be balanced on the old project. The old project should continue until the current contract requirements have been met, the final invoice paid, and the contracts closed. The old and new projects may need to run concurrently until the old project can be closed. No new contracts should be awarded on the old project after five years.

## **State Planning and Research Part 2 Funding Match Waiver**

TPF studies are eligible for a match waiver to the SPR Part 2 funds if the FHWA determines that the interest of the Federal-aid Highway Program are best served (23 CFR 420.119(d)).

A “Waiver Request Letter” should be submitted to the local FHWA Division Office once the Solicitation has been entered into the Pooled Fund Website. The Solicitation Number should be included in the request letter.

## **Foreign Government or Private Organization Participation and Requirements**

### **The Pooled Fund Program can accommodate international participation**

International participation in the Pooled Fund Program is welcomed and encouraged. Any country with a treaty in good standing with the US Government is welcome to participate. Information regarding the process for non-federal contributions can be found in [Chapter 11](#).

### **Administrative Requirements**

FHWA, or a State DOT if a State Led Project, will perform or contract the research and will conduct the administrative functions of the study. As the process owner of the study monitoring activities, the FHWA lead Program office, or State DOT if a State Led Project, must ensure that study partners receive all reports (e.g., annual, quarterly, and final) and deliverables in a timely manner. All reports are to be posted on the pooled fund website to provide broad availability of the reports. Furthermore, study information maintained on the pooled fund website is to be regularly reviewed and updated by the lead agency to ensure that the information provided is current. Additional information regarding project management requirements is provided in [Chapter 12](#).

**How to Participate:** The contracting and acquisition laws and regulations of FHWA or the Lead state, if the project is led by a State DOT, will govern the project delivery process including such things as consultant selection, contract management, and reporting and title VI requirements.

- Partner countries can be provided a User ID and Password to the Pooled Fund Website to enable them to view current projects and solicitations as well as make a financial commitment to any project in which they decide to participate. They can also be added to a list to receive automatic e-mails notices of new posted solicitations
- For FHWA Pooled Fund led projects, foreign government funds are transferred via Pay.gov to FHWA and placed under a FHWA-led Pooled Fund Project. Procedures for using pay.gov are also under this “How to Participate” tab.

- Funds provided to a State led Pooled Fund Project are handled between the State DOT and the country involved. Unless a fund transfer is worked out between the lead state and the country involved, a check must be sent to the lead state for participation in the project.
- Foreign government participants would have a member on the Technical Advisory Committee (TAC) of each partner project.
- Foreign partners would also share in the research results of each project in which they participate.

## Chapter 4 – Transportation Pooled Fund Website

The current Transportation Pooled Fund (TPF) web site ([www.pooledfund.org](http://www.pooledfund.org)) is funded under the NCHRP Project SP-04, “New Generation Transportation Pooled Fund Website.” Use of the web site is required and is considered to be the central communication tool for tracking the status of pooled fund studies and permits: online project solicitations and commitments by project partners, the posting of work plans, progress reports, final report/deliverables, implementation activities, and other relevant information.

The TPF web site includes:

- Program news and updates
- A central place to solicit partners for new studies
- A central place for committing funds
- A centralized database for storing records of solicitations, commitments, and studies
- A place to report progress of ongoing studies

Interactive Features include:

- Automatic notifications
- New solicitations
- Updates on study activities
- Reminders to obligate funds

### Authorized User Access

Authorized user access to the TPF website is necessary to manage solicitation and project information, as well as expressing interest to participate in a project via a pooled fund commitment. Currently, password restricted access is provided to members of the AASHTO Research Advisory Committee (RAC) and their staff, FHWA staff who are serving as project managers of pooled fund studies, R&T Contacts, and Financial Managers in the Headquarters and Division offices.

The approval of additional authorized users from a State DOT is at the discretion of the AASHTO RAC member from that State. The current list of AASHTO RAC members can be found at the following link: <http://research.transportation.org/Pages/RACRoster.aspx>. The different levels of user roles are discussed below. If you are unable to identify the AASHTO RAC member for your State DOT, please contact the Transportation Pooled Fund Program Manager (PFPM) for assistance.

FHWA staff members who are serving as a Pooled Fund Project Manager, Financial Manager, or Research and Technology (R&T) Contact are granted access to the authorized user section of the website by the PFPM. Questions regarding access to the TPF website for additional FHWA staff should be directed to the PFPM. The approval of authorized users from the FHWA is at the discretion of the PFPM.

### **TPF Website Person Roles:**

**FHWA Associate Administrator for Research, Development, and Technology** - The person with the authority to approve a transportation pooled-fund (TPF) research study and authorize expenditure of 100 percent SPR funds.

**FHWA Associate Administrator for Planning and Environment** - The person with the authority to approve 100 percent SPR funding for planning pooled-fund studies.

**FHWA Division Administrator** - The person at each FHWA division office who receives correspondence concerning transportation pooled-fund studies.

**Pooled Fund Program Manager (PFPM)** – The employee of FHWA who manages the overall Pooled Fund Program.

**Investigator** - The contractor's employee who is primarily responsible for conducting the study.

**Subscriber** - A person who subscribes to be notified of new solicitations.

**Technical contact** - The person in a study partner organization with interest/expertise in the subject matter of the study who is available for consultation during the period of solicitation.

**Visitor** - The person who visits the public area of the TPF web site.

**TPF Website Person Roles (Authorized Users)** - Users who are authorized to use password protected areas of the web site.

**Pooled Fund Program Administrative Assistant** - The employee of FHWA with responsibility for the Transportation Pooled-Fund Program administrative functions and who also tracks and assigns study numbers.

**FHWA Technical Liaison** - An employee of FHWA who serves as a resource to the technical advisory committee by contributing knowledge of the national research and technology program.

**Funding Contact** - The person in a sponsoring agency or partner organization who is authorized to solicit or commit funds. Typically, the funding contact for a state transportation agency is a member of the AASHTO Research Advisory Committee (RAC).

**Lead Agency Contact** (State DOT or FHWA) - The lead agency employee who is primarily responsible for administering the study.

**Lead Agency Facilitator (State DOT or FHWA)** – Assists the Lead Agency with managing the solicitation or study.

**Member, Technical Advisory Committee** - A person who is a member of the pooled fund project's technical advisory committee.

**Webmaster** - An employee of the organization that is hosting the TPF web site and is designated to receive e-mail sent to the web site.

### **TPF Website – Listing of Study Statuses**

**Solicitation Posted** - The sponsoring organization has completed the problem statement; posting the solicitation on the web site. Two types of notifications are sent for this status:

- Three-month extension of expiration date by system quarterly scheduler (system sends message to funding contact for sponsoring agency).
- Funding target has been met or exceeded (system sends message to funding contact in sponsoring agency and to PFPM).

**Solicitation Withdrawn** - The sponsoring organization has withdrawn the solicitation because the funding target has not been met or will not be met within the maximum one-year posting period.

**Cleared by FHWA** - The funding target has been met. The PFPM has assigned a study number and cleared the study to proceed.

**Contract Signed** - The contractor has signed the contract to perform the study.

**Study Cancelled** - The lead agency has cancelled the study.

**Objectives Fulfilled** - The contractor has fulfilled the terms of the contract, and submitted the final bill to the Lead agency.

**Closed** – The Lead Agency has balanced the funding and submitted the “Closeout Funding Spreadsheet to the PFPM. A “Closeout Letter” is e-mailed to the partners and the PFPM has closed the project on the Pooled Fund Website.

### **TPF Website – Listing of General Codes**

#### **Document types:**

- Work Plan
- Request for Proposals
- Quarterly Progress Report
- Annual Report
- Memorandum
- Report
- Final Report
- Study Summary
- Follow-up Questionnaire

## Chapter 5 – Establishing a Pooled Fund Project

This chapter provides guidance on the steps to establish a pooled fund project.

### State-led

1. To establish a pooled fund project, the lead agency is to ensure that the proposed project is in the State's work program.
2. It is suggested, but not required, that the lead agency develop a project proposal that would include the following information:
  - Identification of the lead agency for the proposed project.
  - A Problem Statement (if applicable)
  - A detailed description of the specific research activities to be undertaken (detailed work plan)
  - The total estimated costs as well as the requested contribution (per participant, per fiscal year)
  - The estimated duration of the project.
3. Submit a request to establish the pooled fund project to your local FHWA Division office for processing and approval. *Note: If the primary source of funding for the project will be State, Planning and Research (SPR) and the lead agency is interested in requesting the waiver for the use of 100% SPR funding. A "Waiver Request Letter" should be submitted to the FHWA Division Office of the Lead Agency once the Solicitation has been posted to the Pooled Fund Website. The Solicitation number should be included in the Waiver Request Letter. The Research Coordinator at the Division will forward the Waiver Request Letter to the PFPM.*
  - a. The lead agency will be notified of the waiver request's approval via an e-mail from the Pooled Fund Administrative Assistant. The duration of this process is approximately 2-3 weeks.

Sample language to request the SPR waiver is as follows:

*"In support of the current pooled fund solicitation # 1221, "Support of the Motorcycle Crash Causation Study," the Michigan DOT is requesting the waiver of the non-Federal funding match for State Planning and Research Funds for use on the proposed project. Michigan DOT will serve as the lead agency of this proposed project. The estimated number of partners will be 6, including the lead agency, and the approximate level of funding required to complete the research is \$750 thousand.*

*Motorcycle crashes have increased dramatically for the past decade in the United States. Motorcycle rider fatalities rose 127 percent between 1997 and 2006. During the same time, fatality numbers and rates for passenger car crashes dropped. In 2006 and 2007, motorcycle rider fatalities surpassed pedestrian fatalities, comprising more than 10 percent of the total motor vehicle related fatalities. In 2006, motorcycle crash-related fatalities (4,810) increased by over 5 percent from 2005, making motorcycle rider fatalities a significant contributor to the slight overall increase that year in the national highway fatality rate. In 2007, while overall motor vehicle related fatalities decreased almost 4 percent from 2006, motorcycle crash-related fatalities (5,154) increased by 7 percent. The objective of this transportation pooled fund study is to provide additional funding to help support the Crash Causation Study in the collection of data from additional motorcycle crashes. “*

4. The project manager is to post the pooled fund solicitation on the TPF website ([www.pooledfund.org](http://www.pooledfund.org)). The lead agency should post the solicitation online and include the Solicitation number in the Waiver Request letter.
  - a. The project manager, “Lead Agency Contact”, is to monitor the status of their Pooled Fund Solicitation and indicate when the sufficient level of funding commitments has been received by changing the commitments received indicator on the TPF website to “YES” when appropriate. In response, an automated message will be generated by the TPF website and sent to the PFPM. The PFPM will clear the pooled fund solicitation and assign and official study number with the number prefix, TPF-5[XXX]).
5. Upon receipt of the official study number, the project manager, Lead Agency Contact, is to develop an “Acceptance Letter” that formally acknowledges their willingness to accept funding, and lead and manage the pooled fund project. The Acceptance Letter, along with the transfer form FHWA-1575 (State-to-State transfer), is to be used by the project partners to formally transfer their committed funding to the designated lead agency.

#### FHWA-Led

1. Submit a request to establish the pooled fund project to the PFPM for processing and approval. This request may be via e-mail. Note: If the primary source of funding for the project will be State, Planning and Research and the lead agency is interested in requesting the waiver for the use of 100% SPR funding, a “Waiver Request Letter” should be submitted to the PFPM once the Solicitation has been posted to the Pooled Fund Website. The Solicitation number should be included in the Waiver Request Letter.

2. It is suggested, but not required, that a project proposal be developed and includes the following information:
  - Identification of the lead agency for the proposed project.
  - A detailed description of the specific research activities to be undertaken (detailed work plan)
  - A Problem Statement (if applicable)
  - The total estimated costs as well as the requested contribution (per participant, per fiscal year)
  - The estimated duration of the project.
3. The project manager, Lead Agency Contact”, is to post the pooled fund solicitation on the TPF website ([www.pooledfund.org](http://www.pooledfund.org)).
4. Sample language to request the waiver is available in the State-led section of this chapter.
  - a. The lead agency will be notified of the waiver request approval via an e-mail from the Pooled Fund Administrative Assistant. The duration of this process is approximately 2-3 weeks.
5. The Lead Agency Contact is to monitor the status of their pooled fund solicitation and indicate when the sufficient level of funding commitments has been received by changing the commitments received indicator on the TPF website to “YES” when appropriate. Once a sufficient level of funding commitments has been received, the PFPM will clear the pooled fund solicitation and assign an official study number (i.e., TPF-5[XXX]).
6. The Lead Agency Contact is to develop an “Acceptance Letter” that formally acknowledges their willingness to accept the funds for use on the project. The “Acceptance Letter”, along with the transfer form FHWA-1575-C, will be used by the project partners to formally transfer their committed funding to the designated project manager’s office in FHWA.

## Chapter 6 – How to Post a Pooled Fund Solicitation

**Reminder: Only the FHWA or a State DOT can post a pooled fund solicitation.**

Within each State DOT and the FHWA, specific individuals have the authority to post a project solicitation on behalf of their agency. \*\*See [Chapter 4](#) for a list of TPF Website Person Roles.

### **How to Post a New Pooled Fund Project Solicitation on the TPF Website**

After logging onto the TPF website,

1. Select the “Post/Update Solicitation” from the light grey toolbar, directly under the heading “How to Participate.”
2. Select “Post a Solicitation” and enter the following information:
  - Title
  - Project Objectives
  - Background
  - Scope of Work
  - Commitments Required (Total Cost of Project)
  - Duration of Project
  - Start and End Year for Commitments
3. The information contained in the project solicitation should be **as specific as possible** to generate the maximum interest in the project and reach the required level of funding commitments.
  - a. It is suggested, but not required, that a proposal be attached to the solicitation, as supporting documentation, in an effort to generate the maximum level of participation and funding commitments.
4. Upon completion of your entry, please click on the submit button. The TPF website will automatically generate a solicitation number for the proposed project, as well as a confirmation page that may be printed for record keeping purposes. At the conclusion of the aforementioned steps, the transaction to post a solicitation is now complete.

## **How to Upload a Proposal to the Pooled Fund Solicitation**

To upload a document to a pooled fund solicitation:

1. Log onto the TPF website and select “Post/Update Solicitation” in the light grey toolbar.
2. Type in the study number or title in the search box and click on “Search.” You can also simply scroll down the screen until you find the solicitation of your choice.
3. Click on “Manage Documents”
4. Under “New Document,”
  - a. Enter the name of the document in the “Title” field.
  - b. Click on “Browse” to locate the file in which you’d like to upload.
  - c. Select the desired document type.
  - d. Specify level of privacy. Note: Private documents can only be viewed in the authorized user section of the TPF website. Public documents can be viewed by anyone.
  - e. Date Due/Date Received: These fields are **not required**; however, they may be of use to the lead agency when posting information that requires a response that is time-sensitive.
5. Click on Save Document.
6. The transaction to upload a document to a solicitation is now complete.

## **How to Update a Pooled Fund Solicitation**

To update a solicitation:

1. Log onto the TPF website and select “Post/Update Solicitation” in the light grey toolbar.
2. Type in the study number or title in the search box and click on “Search.”
3. A variety of options that are specific to the project will appear on the screen. Find the column in between “Status” and “Manage” and click on “Update Study Information.”

4. The project information will appear on the screen. Update the information as desired.
5. At the conclusion of your update, click on the submit button.
6. The transaction to update the solicitation is now complete.

### **Timeframe for Solicitations**

A solicitation may remain posted on the TPF website for up to 1 year. Lead Agencies are asked to review their solicitations on a quarterly basis. If the solicitation does not garner an adequate amount of funding that would allow the pooled fund project to be initiated within 10 months of its initial posting, the lead agency should consider withdrawing and reposting the solicitation at a later date. The solicitation withdrawn section of the TPF website contains a list of potential projects that did not receive sufficient funding to be initiated. This information is provided as a reference for potential lead agencies with similar research interest, to help them decide whether or not to pursue the effort.

**Important Notice: If the level of required commitments is not received within the 1-year timeframe of its initial posting, the solicitation will be withdrawn by the PFPM.**

## Chapter 7 – Posting a Pooled Fund Commitment (Pledge)

Within the TPF Program, the definition of a commitment is essentially a pledge or promise to formally transfer a specific level of funding to the lead agency of the pooled fund project when requested. **Note: A commitment should not be considered the actual obligation of funding.**

All funding commitments are to be recorded online, via the TPF website. To do so, you must have access to the authorized user section of the website, as well as the authority to commit funds on behalf of your organization. The role for such authority on the TPF website is called a “Funding Contact.” When a State DOT is committing SPR Part 2 funds, they are acknowledging that the project and requested funding are included in the Federal-aid Research Program work program. For the Lead State DOT, this means that the project is formally included in the work program. For partner States this means that they have identified that funds will be transferred from their Federal-aid Research Program to the lead agency.

### **State DOTs**

Each State DOTs should contact their AASHTO RAC member to obtain the name of the individual within their agency that has been designated as its Funding Contact, and can post funding commitments on the TPF website. For more information regarding the AASHTO RAC members who are authorized to access the TPF website, please refer to [Chapter 4](#).

### **FHWA Project Partners**

All FHWA staff designated as Lead Agency Contacts or Lead Agency Funding Contacts have the ability to pledge funding on behalf of their agency, via the TPF website. As a reminder, a related User ID and Password is required to commit funds. A “forgot username/password” feature is located on the homepage of the website, if needed. Additional requests to gain access to the TPF website are to be directed to the PFPM for consideration.

### **How to Post a Pooled Fund Commitment Online (authorized users)**

1. At the homepage, on the top right-hand side of the screen, enter your user name and password in the box provided, and click on “Login.” You should now see the Authorized Home Page.
2. Click on the words “Add/Update Commitments.” You will be taken to a new page with a list of solicitations that are still seeking funding participants. Additionally, you will see a listing of active projects where the commitment end year has been extended.

3. Enter the solicitation number, study number or project title in the box provided and click on “Search. You will be taken to a new screen entitled “Commit Funds.”
4. Under the column “Your Commitments” click on “Commit Funds. Enter the required data fields.
  - a. The name of the Funding Contact and their information will be populated in the field.
  - b. From the drop down box, select the name of “technical contact” that will represent your agency as a member of the project’s Technical Advisory Committee. If the individual you would like to identify as the technical contact is not available in the drop down list, please click on “Add/Update/Person/Agency from the grey toolbar, and add the name, so that it can be selected from the drop down listing.
5. Once the name has been added, you may complete the commitment information as follows:
  - a. Select the year, amount, and source of funds that will be contributed to the pooled fund project.
  - b. Place any additional information (i.e., source of funding other than SPR) regarding the contribution in the comment box provided and click on “Save.”
  - c. A summary sheet of the funding commitment will be provided for your records. Please print out the summary sheet for your information.
6. The process to post a funding commitment is now complete.

### **How to Monitor the Status of a Funding Commitment**

The Lead Agency Contact or Lead Agency Facilitator can monitor the status of a funding commitment by completing the following steps:

1. Log onto the TPF website and from the grey toolbar, select “View All Records.”
2. Locate the project of your choice and click on “View Commitment Details.”
3. You will be taken to a new page that will provide you with a list of funding commitments from each project partner, per fiscal year. This list will contain the name

of the funding contact as well as the technical contact, should you have any questions regarding their funding commitment information.

## **How to View a Complete Listing of Your Agency's Commitments to Various Projects**

An agency that has pledged funds to various projects can also view the entire listing of their commitments by completing the following steps:

1. Log onto the TPF website and from the “Tools” section, located on the right side of your screen, select “Agency Commitments.”
2. You should see a screen entitled “Agency Commitments” which contains a current listing of your agency’s commitments. This listing includes active projects and those that are still in solicitation.

## **Minimum Funding Contributions**

There is no minimum funding requirement for participation in a pooled fund project. However, the lead agency may note a suggested minimum contribution in the comment section of their solicitation based on the estimated cost of the project and the required number of partners needed. By doing so, the potential partners will have a clear understanding as to the level of participation you’re seeking, and can better determine their ability to contribute funding for the duration of the project.

When choosing to suggest a minimum contribution for new studies, lead agencies should keep in mind the funding needs of the project, as well as the potential partner’s ability to pay (e.g., States with smaller research budgets). Potential partners who cannot meet the suggested minimum contribution, but are interested in joining the project nonetheless, should consult with the lead agency contact listed in the solicitation to discuss the possibility of making a smaller funding contribution that would better fit within their budget.

## **“In-Kind” Contributions**

Although typical partner contributions are monetary, some projects may require other resource (e.g., equipment, facilities, test roadway, etc.) contributions and expertise that would be beneficial to conducting the research. Potential partners who want to offer resources other than a monetary contribution should contact the lead agency to discuss an “in kind” contribution that might fit the needs of the project.

### **Third Party In-Kind Contributions**

The value of third party in-kind contributions may be accepted as the match for SPR funds, in accordance with the provisions of 49 CFR 18.24(a)(2) or 49 CFR 19.23(a) and may be on either a total planning work program basis or for specific line items or projects. The use of third party in-kind contributions must be identified in the original work program/scope of work and the grant/subgrant agreement, or amendments thereto. The use of third-party in-kind contributions must be approved in advance by the FHWA Division Administrator of the contributing agency and may not be made retroactive prior to approval of the work program/scope of work or an amendment thereto. For more information regarding third party in-kind contributions that are used as a match for SPR funds, please contact your local FHWA Division office.

## Chapter 8 – 100 Percent SPR Waiver Requests/Approvals

***Note: If the SPR waiver is requested, once the solicitation has been posted to the Pooled Fund Website, it must be approved prior to the assignment of an official project number.***

The normal match for State Planning and Research (SPR) funds is at least 20 percent non-Federal funding, with maximum participation being 80 percent Federal funding. Section 505(b) (2) of 23 USC allows the U.S. Secretary of Transportation to waive the funds match requirement for a project administered under the Transportation Pooled Fund mechanism. The authority to waive the funds match requirement has been delegated to the FHWA Associate Administrator for Research, Development and Technology for research-related projects; and the Associate Administrator for Planning and Environment, for planning-related projects.

The receipt of the SPR waiver is not automatically granted. A state transportation agency, serving as the lead organization for a proposed pooled fund project must submit its request for approval for the use of 100 percent SPR funds through its affiliated FHWA division office. If the division office agrees that the proposed TPF study is in the best interest of the Federal-aid Highway Program (23 CFR 420.119(d)), they will forward the request to the PFFM for processing and approval.

### **How to Obtain the 100 Percent SPR Waiver**

#### **State-led projects**

1. Submit a Waiver Request Letter to the R&T Contact in their local FHWA Division Office that includes the following information:
  - The pooled fund solicitation number from the TPF website
  - Official project title
  - Identification of the lead agency
  - Estimated number of partners that will be involved in the project
  - Amount of funding requested to complete the project.

Sample language is provided in Chapter 5.

*A sample SPR Waiver Request Letter from a lead State agency is available in Appendix III.*

Upon receipt of the Waiver Request Letter from the lead agency, the R&T Contact in the FHWA Division Office will confirm that the proposed project is in the State's work program and an appropriate use of SPR funding. The R&T Contact will forward a copy of the State's Waiver Request Letter to the PFPM, along with their endorsement to establish the study. *Note: An e-mail of the endorsement is sufficient.*

**Once the SPR waiver request has been received by the PFPM:**

1. The PFPM will consult with the FHWA Director or Assistant Director in the area of expertise of which the project is being proposed, in the Office of Research Development and Technology and ask that a technical expert review the project description on the TPF website (and proposal, if provided) and that a FHWA Technical Liaison be assigned to serve as a resource to the lead agency.
2. The FHWA Technical Liaison will be provided with the link to the project solicitation on the TPF website (and proposal, if applicable). The FHWA Technical Liaison will review the information to ensure that the proposed project is viable and non-duplicative from a national perspective, and provide their endorsement of the proposed research to the PFPM.
3. Upon receipt of the FHWA Technical Liaison's endorsement, the PFPM will draft a memo from the FHWA Associate Administrator for Research, Development and Technology to the Division Administrator in the local FHWA Division office of the lead State DOT, stating that the proposed project meets the criteria for SPR funds to be used for research and development studies without state matching funds.
4. The timeline for this process is approximately 3 weeks.

**When the waiver is approved:**

1. The PFPM will update the status of the SPR waiver request to "approved" on the TPF website. An automated message of the approval will be sent to the Lead Agency Contact and individuals who are identified as Funding Contacts and posted commitments to the proposed project.
2. A copy of the letter approving the SPR waiver will be sent to the FHWA Division Administrator of the lead State, as well as the FHWA R&T Contact via e-mail. The R&T Contact in the FHWA Division office is to forward a copy of the approved SPR waiver memo to the lead agency for their information via e-mail.

## **FHWA-led Projects**

To obtain the SPR waiver:

1. The Lead Agency Contact is to submit a Waiver Request Letter to the PFPM. The request should include the solicitation number, project title, identification of the lead agency and estimated number of partners that will be involved in the project.
2. Upon receipt of the request, the PFPM will then draft a memo from the FHWA Associate Administrator for Research, Development and Technology to the FHWA Director of the applicable program office that has the lead for managing the project. The memo will state that the proposed project meets the criteria for SPR funds to be used for R&D studies without State matching funds.
3. When the SPR waiver is approved, the PFPM will update the status of the waiver request to “approved” on the TPF website. An automated message of the approval status will be sent to the Lead Agency Contact, Lead Agency Facilitator and individuals identified as Funding Contacts who committed funds to the proposed project.
4. A copy of the memo approving the SPR waiver will be sent to the Project Manager (i.e., Lead Agency Contact) for his/her information.

## Chapter 9 – Project Approval

### **Sufficient Commitments Received**

When the estimated level of required funding commitments has been met or exceeded, the Lead Agency Contact is to check the box “Sufficient Commitments Received” to “YES” on the solicitation page of the TPF web site. In response, the PFPM will clear the solicitation and assign an official project number.

*Note: If sufficient funds have not been committed within a time frame decided by the Lead State, or FHWA, if a FHWA led project, the project can proceed to the project stage with reduced objectives and funding requirements if they have the concurrence of the participating partners.*

### **Approving Pooled Fund Studies/Assignment of an Official Project Number**

The assignment of a project number is the official action to indicate that the pooled fund project has been approved. The website solicitation status will indicate that the project has been cleared by FHWA. An automatic message will be sent to all of the project partners who posted funding commitments online, stating that the project is cleared, an official project number has been assigned, and the program partners should proceed with transferring their funds to the lead agency. *At this point, a Technical Advisory Committee (TAC) should be established to discuss the planned research. Establishing the TAC is the responsibility of the lead agency. Please see [Chapter 13](#) for more information on the TAC.*

### **Acceptance Letter**

After the solicitation is cleared and an official project number is assigned, the Lead Agency Contact or Lead Agency Facilitator is to prepare an “Acceptance Letter” that will be used by the project partners to acknowledge its role as the lead for the project and to receive the funding. The specific language that is used in the Acceptance Letter is at the discretion of the lead agency. However, it should include the project number, title, and indicate that the organization is willing to accept the responsibility to lead and administer the project, and also to accept the transferred funds from partners that pledged their financial support to the project as well as obligate, expend, and track the funding. At the discretion of the TAC, acceptance memos may be requested on an annual basis. Sample acceptance memos are available in Appendix IV.

- **State-led Project**

If the project is being led by a State DOT, the Acceptance Letter is to be written to the Division Administrator in their local FHWA office. A copy of the signed Acceptance Letter is to be sent to the PFPM for the official record. Additionally, **the lead agency is to forward a copy of the**

**Acceptance Letter to all partners, as it is required that the Acceptance Letter accompany all Form 1575-C transfer requests.**

- **FHWA-led Project**

If the project is being led by the FHWA, the Lead Agency Contact is to develop an Acceptance Letter that is written to the PFPM from the FHWA Director whose office has the lead role in managing the pooled fund project. Once the memo is signed, the Lead Agency Contact and the PFPM will retain a copy of the acceptance memo in the official project file. Additionally, the lead agency is to forward a copy of the Acceptance Letter to all partners, as it is required that the Acceptance Letter accompany all Form 1575-C transfer requests.

## Chapter 10 –Transferring TPF Program Funds

When the solicitation period for a pooled fund project has closed and sufficient commitments have been received, its status will be updated on the TPF website to “Cleared by FHWA” by the PFFPM. At that time, the committed funds are to be transferred to the lead agency for use on the project.

### **How to Transfer Pooled Fund Contributions**

State DOT’s may transfer their Federal-aid funds (typically State Planning and Research program funds) to the lead agency of the pooled fund project, using FHWA transfer forms—FHWA-1575-C. An example of each transfer form can be found in Appendix II. Detailed instructions on using the fund transfer form can be found on the TPF website [here](#), as well as an [overview video](#).

### **State-led Projects: Transferring Federal (Apportioned) Funds**

Participating States who have committed Federal funding to a State-led pooled fund project through the TPF website ([www.pooledfund.org](http://www.pooledfund.org)) must submit a transfer request form FHWA 1575-C, and a copy of the lead agency Acceptance Letter, to their local FHWA Division Office to actually transfer the funds to the Lead Agency. The details of this process are as follows:

1. The local FHWA Division Office is to ensure that the committed funds are available, verify the existence of the lead agency's Acceptance Letter for the project, and sign the transfer form in the section “FHWA Division Administrator Concurrence.”
2. The FHWA Division office will e-mail the approved transfer request, along with a copy of the project’s Acceptance Letter, to the FHWA Headquarters CFO’s Office for transferring the funds to the Lead State in FMIS. **Important Notice: The transfer will be e-mailed to the CFOs Office at: [FHWA\\_Transfers@dot.gov](mailto:FHWA_Transfers@dot.gov). The CFOs Office will make the transfer in FMIS**
3. The FHWA Headquarters CFO’s Office will document the receipt of the transfer request from the Division Office and track the status of the transfer request via an Excel spreadsheet. The Excel spreadsheet is updated on a bi-weekly basis and available in the authorized user section of the TPF website ([www.pooledfund.org](http://www.pooledfund.org)), under “Tools.”
4. The FHWA Headquarters CFO’s Office will forward the transfer request to the Fiscal Management Information System (FMIS) team for further processing.

5. At the completion of the funding transfer process, the FHWA Headquarters CFO's Office is to notify the division office sending the transfer (via e-mail) that the transfer has been processed.
6. The Lead Agency will control all funding and undertake the activities of the pooled fund project using the appropriate acquisition method (e.g. contracts, task orders, inter-agency agreements, etc.) within this process:
  - The Lead Agency is to obligate the funds that were transferred into FMIS.
  - The Lead Agency has the right to refuse to accept the funds by choosing not to accept the funding commitment.
7. FHWA Program Offices that are committing Federal (allocated) funding to a State-led project are to **use the standard allocation procedures (e.g., Authority to Obligate memo).**

***Note:* Any Allocated Funds (not Federal-aid Apportioned funds) that may be contributed to a State Led Pooled Fund Project from a FHWA Program Office cannot be de-obligated by the receiving State and transferred to another State for another Pooled Fund Project. The funds would first have to be pulled back from the original State and project by the FHWA issuing Program Office and the program Office would then have to issue a new "Authority to Obligate" (Allocation Memo) document to the new Lead State and project.**

### **FHWA-led Projects: Transferring Federal (Apportioned Funds)**

Requests to transfer Federal (e.g., SPR) funding to an FHWA-led project must be submitted via a transfer request form FHWA 1575-C, along with a copy of the Acceptance Letter, to the local FHWA Division Office for processing. The details of this process are as follows:

1. The Financial Manager in the local FHWA Division Office or Headquarters office will a) ensure that committed funds are available for transfer; b) verify the existence of the lead agency's Acceptance Letter; and c) sign the transfer form in the section "FHWA Division Administrator Concurrence."
2. The Financial Manager will e-mail the approved form 1575-C transfer request and Acceptance Letter to the FHWA Headquarters CFO's Office for transfer to the correct FHWA Program Office... **Important Notice: When preparing the e-mail to the**

**FHWA CFOs Office , please include the following addressees in the e-mail distribution:**

- a. **Financial Manager in the FHWA Program Office that is leading the project.**  
**\*\*Please refer to the Acceptance Letter to obtain the name of this individual.**
  - b. **The FHWA Lead Agency Contact (Please refer to the Acceptance Letter to obtain the name of this individual).**
3. The FHWA Headquarters CFO's Office will document the receipt of the transfer request and track the status via an Excel spreadsheet. **The Excel spreadsheet is updated on a bi-weekly basis and available in the authorized section of the TPF website ([www.pooledfund.org](http://www.pooledfund.org)), under "Tools."**
4. The FHWA Headquarters CFO's Office will transfer the funds from FMIS to the appropriate FHWA program office leading the project. Once the FMIS team has completed the transfer process, the FHWA Headquarters CFO's Office will issue an advice of funds for the pooled fund project. Funds will be transferred into an accounting string (example: 15X0100060). The allotment will be to the first three bytes of the BPAC (Budget Program Activity Code). For example, the BPAC for the Office of Infrastructure would be **050**TPF5046. The first three numbers of the BPAC (**050**) will indicate the program office responsible for the pooled fund project. The last four numbers (i.e., 5046) will designate the project number.
5. At the conclusion of the funding transfer, the FHWA Headquarters CFO's Office will e-mail a copy of the advice of funds to the individuals that were included in the initial e-mail to HCF-10. **\*\*Please note step 2 of this process.**
6. The Financial/Program Financial Manager in the office of the FHWA-led pooled fund project is to formally request that the funds be placed into Delphi.
7. The advice of funds will include all supporting documentation. This allows the Program Office/Project Manager of the FHWA-led project to track contributions, and manage the contributions. After the funds are transferred to the program office of the FHWA-led project, the Office of Acquisition Management will award the funds on a contract/agreement, task order, etc., and the funds will be obligated by Federal Aviation Administration (FAA) in Oklahoma City.
8. The funds will be solely tracked and monitored in the Delphi accounting system. Similar to any other Federal contract, the Lead Agency Contact and/or the Contracting Officer's

Representative (COTR), whichever is applicable, is responsible for monitoring the status of the funding of the project and its availability.

### **Monitoring and Tracking Funding Transfers**

All funding transfers are tracked in a spreadsheet that is maintained by the FHWA Headquarters CFO's Office. The spreadsheet will show the project number, the name of the transferee, the name of the recipient, the fiscal year of the funds that are being transferred, and the amount of funds that are being transferred. Additionally, the spreadsheet will indicate the date the transfer request was received by FHWA, received by the Office of Budget, the date that the Office of Financial Management processed the request in FMIS, and the date an advice of funds was issued for FHWA led projects. Please note that there are two tabs at the bottom of the spreadsheet: Pooled Funds in Process and Pooled Funds Completed. **If a specific transfer is not evident on the spreadsheet, it should be assumed that the request has not been received by the Office of Budget.**

This funding transfer spreadsheet will be posted in the authorized user section of the TPF web site ([www.pooledfund.org](http://www.pooledfund.org)), under "Tools" and updated on a bi-weekly basis.

**Please Note: Upon completion of the funding transfer, confirmation of funds received can be obtained via FMIS Business Objects. For more information, please refer to [Chapter 12](#) under "Sources for Financial Tracking of Active Projects."**

### **Multiple Year Funding Commitments (Pledges)**

States that wish to commit funding for multiple years should **only transfer funds that can be obligated by the lead agency in the current fiscal year.** The participating agency is to verify with the lead agency of the pooled fund project that the transferred funds will be obligated before any funds are released. Note: The Federal government fiscal year is from October 1 to September 30.

It is important to remember that Federal funds have an expiration date. Meaning, at some point the funds and their availability for use will expire. Federal funds transferred to a lead agency will consist of contract authority, and an equivalent amount of obligation authority/limitation. Apportioned contract authority is available for 4 years (example: FY 2013 funds would lapse at the end of FY 2016). An obligation limitation is only available for 1 year. At the project closeout the lead agency would return any unused contract authority and an equivalent amount of current year limitation. For further information please refer to the FHWA publication "*Financing Federal-Aid Highways*" (FHWA-PL-07-017): <http://www.fhwa.dot.gov/reports/financingfederalaid/>. Non-Federal funds contributed to FHWA-led projects do not have an obligation limitation. ***\*\*\*When participating entities transfer funds, the obligation authority and obligation limitation are also transferred to the lead agency.***

## Chapter 11 - PAY.gov or Pay by Check

Participating States and agencies that would like to contribute non-federal funds to a FHWA led study can be made via pay.gov or through sending a check to FHWA.

PAY.gov is a system provided by the U.S. Department of Treasury, to make secure electronic payments to Federal government agencies. As of November 2008, this system replaced the use of the FHWA lockbox. Within the TPF Program, State DOT's and private organizations that are interested in contributing non-federal funds to an FHWA-led project may do so at the PAY.gov website using either credit card or ACH debit transfer. PAY.gov imposes transaction limits of \$24,999.99 per credit card payment and \$99,999,999.99 for ACH debit transfer allowing the contributing organization payment flexibility to meet their needs.

*Please Note: PAY.gov is not available for contributing funds to State-led pooled fund projects. State DOT's or private organizations interested in contributing non-federal funds to a State-led pooled fund project must contact the lead agency to discuss the options that are available for making such a contribution.*

### **How to Make a Payment to a Pooled Fund Project Contribution via PAY.gov**

To contribute non-Federal funds to an FHWA-led project, the process is as follows:

1. Go the homepage, [www.PAY.gov](http://www.PAY.gov)
2. At the first screen, click on the “Red” button that says **“Make a Payment”**
3. **At the next screen on line 2 type in “FHWA Research” and click “Search”**
4. At the next screen select “Federal Highway Research Project Contribution Payment Form” and click on “Continue to Form”
5. At the next screen “Accepted Payment Methods” click on “Continue to Form”
6. At the form, under “Recipient” click the drop down menu and select “FHWA Pooled Funds” and complete the remaining fields. An explanation of the fields is below.

An explanation of the fields in the Federal Highway Pooled Fund Request Payment Form is as follows:

Field Name:	Field Description
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**Contact Name:** Name of the organization

**Contact Phone Number:** Please include the name and telephone number of the person that should be notified if questions arise regarding the contribution

**Project #:** Official project number (i.e., TPF-5(XXX))

**Recipient:** Contributing State DOT or organization, select "FHWA Pooled Funds" from Drop Down Menu

**Official Project Name:** Official study title

**Contribution Amount:** Amount of funds being sent via PAY.gov

**FY of Funds:** This field is primarily used by a Federal agency. If contribution is being made by a State or private organization, please type in the box "**Not Applicable**"

**Program Code or N/A:** This field is primarily used by a Federal agency. If contribution is being made by a State or private organization, please type in the box "**Not Applicable**"

**Transfer to:** Routing code of FHWA office where funds will be applied. *Note: This information is included in the pooled fund project "Acceptance Letter".*

**[For more detailed information please contact the Pooled Fund Program Manager](#)**

## **Procedures for Sending a Check to a Pooled Fund Project**

Advise the “Lead Agency Contact” that a check will be sent; ask for the “Office Code” and “Pooled Fund Project Number” to include with the check.

Below is the form to complete with the instructions. **Send the form with the check!**

**Mail Check Payment to the following address for Paper Check Conversion (PCC) processing: Include this Form.**

### **Regular Mail**

DOT/FHWA  
c/o ESC, AMK-324  
P.O. BOX 268865  
OKLAHOMA CITY, OK 73125

### **FedEx – Overnight Mail**

FHWA-Accounts Receivable  
HQ Room 265  
6500 S. MACARTHUR BLVD.  
OKLAHOMA CITY, OK 73169

### **Notice to Customers Making Payment by Check**

When you provide a check as payment, you authorize us either to use information from your check to make a one-time electronic fund transfer from your account or to process the payment as a check transaction.

When we use information from your check to make an electronic fund transfer, funds may be withdrawn from your account as soon as the same day we receive your payment, and you will not receive your check back from your financial institution.

### **Comments Box:**

**In this comments section the sender should include:**

The **Pooled Fund Project Number**  
The **FHWA Lead Organization and Organization Code**  
The **FHWA Lead Contact and Phone Number**

**If you'd like to receive an invoice include that request and the contact information (address/email) to return the invoice/receipt of funds to.**

***This information is essential for getting the funds to the correct FHWA Office.***

Questions about this process can be directed to:

Tricia Sergeson– Transportation Pooled Fund Program Manager (202) 493-3166  
patricia.sergeson@dot.gov

## **Chapter 12 – Project Management**

Regardless of the lead agency, project managers must maintain detailed records of the project's funding (e.g., list of organizations that made funding contributions and the type of funds).

### **How to Manage Pooled Fund Projects**

#### **FHWA-led Projects**

FHWA has the authority to enter into agreements and/or contracts that are necessary to achieve the research objective. For these contracts, the Federal Acquisition Regulations will apply. That is, in virtually all cases, a research contractor is selected competitively to conduct the work on a pooled fund project.

#### **State-led Projects**

State-led pooled fund studies are typically administered under contracts that are awarded in accordance with State's acquisition regulations, and managed by the lead State DOT. Additionally, all Federal-aid requirements, including the "common rule" 49 CFR 18, will apply. For more information on the common rule, please refer to [Chapter 2](#), Legislative and Regulatory Requirements.

#### **Project Monitoring and Reporting**

Active monitoring of all elements of the project is critical to the overall success and impact of the pool-funded effort. The lead agency is the process owner of the project monitoring activities. The TAC members are to be actively involved in reviewing and providing comments on progress reports and preliminary findings that are developed by the investigator. State DOTs are to follow the FHWA approved Federal-aid Program delivery process that is outlined in their manual.

#### **Quarterly Reports**

On a calendar quarter basis, the lead agency will provide project status and progress reports. These quarterly reports are integral to successful communication with project partners about progress within the project and to communicate with the transportation community at large about research in progress. The progress reports will include project and funding status information and

any preliminary findings. The lead agency should also include a review of tasks completed in the previous quarter and a plan of tasks to be completed in the upcoming quarter. All progress report information, including reports on projects managed by FHWA, are due within 30 days of the end of the reporting period per 23 CFR 420.117(c). A copy of the quarterly report is to be uploaded to the project description on the TPF website. Quarterly reports that are posted on the TPF website may be password protected if the information is of a confidential nature.

The schedule for quarterly reporting is as follows (period of performance is in parenthesis): Due: April 30 (January - March) Due: July 31 (April - June) Due: October 31 (July - September) Due: January 31 (October - December)

As of July 2011, there is a required format for quarterly reporting. The form is available for download in Adobe and Word formats in the authorize user section of the TPF website, under "Tools." An example of a completed quarterly report form is provided in Appendix V of this manual.

### **Failure to Submit Timely Quarterly Reports**

Failure to submit quarterly reports in a timely manner will result in the following actions:

#### **State-led Projects**

1. If the quarterly report is not posted **within 2-weeks** of its due date. The R&T Contact will be asked to provide assistance with obtaining the report for posting to the TPF website.
2. If the quarterly report is not posted **within 30 days** of its due date, the FHWA Division Administrator for the lead agency will be notified of the State's failure to submit the quarterly report on time. The FHWA Division Administrator will be asked to provide assistance with obtaining the report for posting to the TPF website.
3. A list of Past Due Quarterly Reports will be posted each month on the Pooled Fund Website identifying the past due project and the Lead State. If the project is FHWA led, the "Lead Agency Contact" will be listed.

#### **FHWA-led Projects**

1. If the quarterly report is not posted on the TPF website **within 2-weeks** of its due date. The Team Leader or Office Director will be asked to provide assistance with ensuring the quarterly report is received and posted to the TPF website.

2. If the quarterly report is not posted on the TPF website **within 30 days** of its due date, the Project Manager’s Office Director or Associate Administrator (whichever is appropriate) will be notified of the Lead Agency Contact’s failure to submit the quarterly report on time. The Office Director or Associate Administrator will be asked to provide assistance with obtaining the report from the Project Manager for posting to the TPF website.
3. A list of Past Due Quarterly Reports will be posted each month on the Pooled Fund Website.

## **Sources for Financial Tracking of Active Projects**

### **Excel Funding Transfer Spreadsheet – Updated Bi-Weekly**

Each contributing State DOT or FHWA office may verify the status of a pooled fund transfer by checking the funding transfer spreadsheet that is provided by the FHWA Headquarters CFO’s Office and posted in the “Authorized User” section of the TPF website, under “Tools.” **Note: This spreadsheet will only provide the status of the transfer. Upon its completion, please check FMIS Business Objects for official information regarding the funds.**

### **FMIS Business Objects**

Business Objects within FMIS is to be used to confirm receipt of funding transferred into a pooled fund project. The steps to obtain this information are as follows:

1. Log into FMIS
2. From the main menu (FHWA – FMIS 5.0), select “Reports”
3. From the “Report Options” menu, select “Business Objects Ad hoc Reports”
4. A new screen will appear in your web browser, for “Business Objects Info view.” Under the “Title” column, please select “Fund Control Transaction Reports”
5. Click on the item “Pooled Fund Transfers by State”
6. You should now see complete the list of pooled fund transfers by State

### **Obtaining Information for a Specific Project Number**

1. Click on “Refresh Data” located on the right side of the top tool bar. A new box will appear on your screen entitled “Prompts.”
2. Click on the words “Enter Pooled Fund study (eg: TPF-5(200)...”
3. Click on the narrow blank box where you see the words “Type values here” and enter the desired pooled fund study number. As an example, the numbering sequence for

TPF-5(###) would be entered on the screen as: TPF5(###); please note that the dash has been eliminated.

4. Click on the right arrow. The project number should now be listed in the box on the right side of the Prompts screen.
5. Click on the project number to ensure that it is highlighted in blue, and then click on “Run Query.”
6. You should now see a list of pooled fund transfers for the desired project number.

### **Guidelines for Project Completion**

1. An orderly and planned wrap up of the project is necessary to increase the implementation potential of the project findings, conclusions, or recommendations. The three key elements of successful completion are the delivery of useful and usable products, a final report with an easily understandable executive summary, and final payment to the investigator.
2. Submission of a completed “Closeout Funding Spreadsheet” should be e-mailed to the Pooled Fund Program Manager (PFPM). The spreadsheet identifies all partners and how much each partner contributed, as well as all obligations, expenditures, and remaining funds (i.e. undelivered Orders).

### **Deliverables Received**

The lead agency, working with the TAC members, needs to ensure that the plan of work includes the delivery of useful and usable products. The investigator is expected to deliver these products. Deliverables may include reports, models, recommendations, software, new/improved products, etc. Where applicable, technology innovation sessions should be scheduled for the investigator to demonstrate, explain, or provide instruction on the project deliverables. Opportunities to showcase the project findings, recommendations, and conclusions should be pursued by the TAC members. The TAC members will approve the acceptance of the project deliverables.

### **Final Report and Summary**

A final report of work processes, findings, and recommendations will be required for each project. An executive summary will accompany each final report. The summary may be in a format proposed by the lead agency, (e.g., short multi-page report), flyer, etc., and should provide concise and useful information on the study, and provide direction on how readers may easily gain access to the full report and to information on other individual deliverables. When appropriate, the final report should include the following: a discussion of the problem that was researched, review of current practices, in-depth review of the procedures and processes used to conduct the project, conclusions and recommendations, references, bibliography, and

acknowledgments with a listing of TAC members for the project. The lead agency and TAC members, consistent with the project plan of work, may request additional elements.

### **Product Distribution**

The lead agency will ensure that all of the project partners receive all project reports and deliverables. All reports are to be made available on the TPF website to ensure a broad availability of the reports.

### **Report and Summary Distribution**

At the direction of the TAC members, the lead agency may distribute the project report and all or some of the project deliverables beyond the project partners. This direction will be based on the nature of the project and the advisability of broader based distribution. Issues of fiduciary fairness and responsibility will need to be considered by the TAC members in this decision. Since these projects virtually always use Federal or at least public funds, any limitations on distribution of reports, especially via the internet, should be exceptions. The desirability of broad-based implementation will also be considered in accordance with the implementation plan. If appropriate, project products should be sent to the relevant AASHTO Standing Committee and to the relevant TRB committee or subcommittee. In order to comply with 23 CFR 420.209(4), final report information should be entered into TRIS. Additionally, the full text of all reports should be made available on the TPF website and should be linked to TRIS Online. These reports should be in an accessible format, such as HTML or Adobe Acrobat (The cost of putting the full text of the report on line should be borne by the lead agency). The same distribution policies used for routine SPR part 2 final reports apply to the TPF studies. This includes assuring that the key depository libraries receive copies of the reports.

### **Research Implementation**

The Transportation Pooled Fund Program is primarily an applied research, planning, and technology innovation funding and contracting mechanism. Definable and measurable implementation is crucial to overall program viability. An implementation plan should be part of the pooled fund project. Follow-up implementation strategy should identify implementation at the end of the research, and, at the discretion of the TAC members, track near-term (1 year) and long-term (3 to 5 years) effects of program investments.

*Note: Once a Pooled Fund Project has been completed, the Final Report delivered, and contracts closed, the research results of the study cannot be implemented using SPR2 funds.*

## Chapter 13 - Technical Advisory Committee (TAC)

Each project partner may appoint a technical expert to serve on the Technical Advisory Committee (TAC). The TAC will serve for the duration of the project.

### Roles of the TAC

The roles of the committee may include:

- Selecting the best qualified researchers to conduct the project
- Review of project progress reports and annual reports
- Acceptance of project deliverables and final reports
- Completing implementation activities

### **Vacancy in TAC Membership**

If vacancies occur in the TAC the project partner from which the vacancy occurred is to appoint a new technical expert within 30 days of the vacancy occurring.

### **TAC Participation**

TAC members should expect to participate in all project-related meetings and briefings. Advanced communication technologies (i.e., conference calls, webinars, and videoconferences) are to be used to the greatest extent possible to participate in meetings and briefings, and reduce the need for unnecessary travel. However, when the need to travel is determined, please be advised that the appropriate use of SPR funding is required. The following are examples of eligible and ineligible SPR travel and training:

### **Examples of SPR Eligible Travel and Training**

1. A State DOT employee is using SPR funds to develop and implement the bridge management system and attends a meeting on PONTIS. **Since development of bridge management systems is eligible for SPR funds, travel and training necessary to perform the SPR funded work would be eligible.**
2. Travel of a principal investigator working on a SPR funded research study who attends a conference where technical information that would benefit performance of the study is

being presented or to make a presentation on the SPR study at the annual TRB meeting or other meeting would be **eligible**.

### **Examples of Ineligible Travel and Training**

The head of the State's planning or research units or other similar management personnel who are not actually performing specific eligible SPR work may not charge their salaries to SPR funds and therefore, **may not** charge the cost of travel or training regardless of the subject.

Travel to attend annual AASHTO meetings is considered to be an indirect cost and may not be charged to SPR funds. Similarly, attendance at AASHTO committee meetings which would generally benefit multiple activities would be an indirect cost benefit, but employees who are working on an SPR funded activity may charge the cost of attendance at such meetings **if attendance is necessary to perform the SPR funded work**.

### **Use of SPR Funds for Technology Transfer Related Travel**

Technology transfer means those activities that lead to the adoption of a new technique or product by users and involves dissemination, demonstration, training, and other activities that lead to eventual innovation.

Sometimes, technology transfer activities can be included within the scope of individual SPR funded research projects. In such cases, travel costs incurred as part of the technology transfer activity (for instance, presenting the results of the study at a meeting or conference) **should be included in the study budget and may then be charged to that study**.

The travel must be integral to the technology transfer function, e.g., travel to give a demonstration, conduct training, or disseminate the results of a study to a specific audience. **It is inappropriate to use SPR funds under a technology transfer line item for travel to a general meeting, or even a meeting of a technical nature, unless the purpose is to conduct a previously approved SPR technology transfer activity or present the results of a completed SPR funded research study that is no longer included in the work program.**

### **Work Statement Development**

The lead agency will use a process to develop a work statement consistent with the direction of the TAC. The work statement will be incorporated into a plan of work that should include the following elements: list of partners, statement of problem, work statement, researcher requirements, project performance timeline, estimated budget, project communications requirements, deliverables, and implementation plan.

## **Investigator/Contractor Selection**

The lead agency will use the plan of work to initiate the investigator selection process. In addition to the Federal-aid requirements for the project, the contracting laws and regulations of the lead agency will drive and govern the actual selection process. The TAC member input will be considered to the greatest extent possible in the selection of the successful investigator. Any TAC member concerns or grievances should be addressed within the communication structure that is adopted by the committee. If the lead agency and the TAC member cannot mitigate the concerns and grievances, the option to withdraw from the project may be exercised.

Upon the successful selection of the best qualified investigator, the project is initiated through an agreement, work order, or contract that is consistent with the Conduct of Research Procedures of the lead agency. **FHWA acquisition regulations will apply for FHWA-led projects.** The lead agency will include the members of the TAC in the project kick-off meeting/discussion. At this point the project monitoring and reporting process starts.

## **Chapter 14 – Transfer of Lead Agency Role**

The transfer of “Lead Agency” can only be accomplished by closing the existing project and establishing a new project by the “new” “Lead Agency”. The former lead agency would have to complete current contracts, pay the final invoice, post a final report, balance the funding, and provide the “Closeout Funding Spreadsheet to the PFPM. Any remaining funds would need to be returned to the partners of the study via Form 1575-C. The new project would need to be established as an original solicitation and partners can make commitments to the new solicitation/project.

## Chapter 15 – Project Closeout Procedures (State-led)

The lead agency will:

1. Log onto the TPF website and, a) post the project’s final report on the TPF website and, b) update its status on the TPF website as “objectives fulfilled.”
2. Confirm that all project-related bills have been paid and no additional invoices will be submitted.
3. Complete the “Closeout Funding Spreadsheet” to reconcile the project’s financial records that outline the receipt of funds from each project partner; obligations, expenditures, and undelivered orders (left over funds). . . An example of a “Closeout Funding Spreadsheet” is available for review in the “Tutorial/Help” section under “Pooled Fund Training Webinars Archive” of the TPF website’s toolbar. Additional information as to how to compute the data for the final funding spreadsheet is available in [Chapter 17](#).
4. Prepare a separate transfer form FHWA-1575-C to return any remaining funds listed in the UDO section of the “Closeout Funding Spreadsheet”, to each project partner.
  - a. The forms are to be provided to your FHWA Financial Manager for signature approval.
  - b. The Financial Manager is to follow the steps outlined in [Chapter 10](#) of this manual to complete the funding transfer process.
5. Send notification to the PFPM, along with an electronic copy of the “Closeout Funding Spreadsheet”, stating that that the work on the project is completed and it can be identified as “closed” on the TPF website. An e-mail is sufficient.
6. Upon receipt of the “Closeout Funding Spreadsheet”, an official close out memo will be issued from the Director of the Office of Corporate Research, Technology and Innovation Management. The memo will indicate that any remaining funds listed in the UDO column of the final funding spreadsheet will be returned to the project partner via the transfer process.
7. The project is now officially closed.

## Chapter 16 – Project Closeout Procedures (FHWA-led)

1. Ensure that the COTR works with the contracting officer to close all awards. Confirm that all project-related bills have been paid and no additional invoices will be submitted.
2. Provide the PFPM with a copy of the certification that all awards have been closed.
3. Log onto the TPF website and: a) upload the project’s final report and b) change the status of the project to “objectives fulfilled” on the TPF website.
4. Complete the “Closeout Funding Spreadsheet” to reconcile the project’s financial records that outlines the receipt of funds from each project partner; obligations, expenditures, and undelivered orders (left over funds), An example of a “Closeout Funding Spreadsheet” is available for review in the in the “”Tutorial/Help ”, Pooled Fund Training Webinars Archive, section of the TPF website’s toolbar. Additional information as to how to compute the data for the final funding spreadsheet is available below in [Chapter 17](#).
5. Prepare a separate transfer form FHWA-1575-C to return any remaining funds listed in the UDO section of the “Closeout Funding Spreadsheet”, to each project partner.
  - a. The forms are to be provided to your FHWA Financial Manager for funds certification.
  - b. The Financial Manager is to follow the steps outlined in [Chapter 10](#) of this manual to complete the funding transfer process.
6. Send notification to the PFPM, along with an electronic copy of the “Closeout Funding Spreadsheet” stating that that the work on the project is completed and it can be identified as “closed” on the TPF website. An e-mail is sufficient.
7. Upon receipt of the final funding spreadsheet, an official close out memo will be issued from the Director of the Office of Corporate Research, Technology and Innovation Management. The memo will indicate that any remaining funds listed in the UDO column of the final funding spreadsheet will be returned to the project partner via the transfer process.
8. The project is now officially closed.

## Chapter 17 - How to Compute Data for the “Closeout Funding Spreadsheet”

The following information is provided as a resource to help the “Lead Agency Contact” prepare “The Closeout Funding Spreadsheet”.

Obtain from your budget office fiscal information with regard to funds transferred to the project by each partner, obligations, expenditures, and remaining funds.

### Closeout Funding Spreadsheet Definitions

- **Program Code:** Source of Federal funding contributed to the project.
- **Funds Transferred to project by partners:** Amount of funding transferred to the pooled fund project via the transfer form FHWA-1575-C; or Authority to Obligate Memo (if applicable to FHWA-led projects).
- **Funds Obligated:** The Amount of funds obligated on contracts.
- **Contribution Percentage per Partner:** The percentage that each partner transferred compared to the total amount transferred to the project.
- **Amount Invoiced:** The dollar amount invoiced - by partner percentage.
- **Total Expenditures per Partner:** Should equal the amount invoiced per partner.
- **Actual Expense % per Partner:** The expense per partner as a percentage.
- **Undelivered Orders (UDO)-Un-expended Funds:** The remaining balance of funds after all invoice have been paid.
- **UDO-Un-expended Funds to be Returned to Partners:** Should be the same as Undelivered Orders column.

## Appendix I: Closout Funding Spreadsheet

### Closeout Funding Spreadsheet - Pooled Fund Project: TPF-5(XXX)

Lead Agency Contact:

As of 5/14/20XX

Example Only

State/Partner	Program Code (e.g., L560)	Funds Transferred to Project Per Partner	Funds Obligated	Contribution Percentage Per Partner	Amount Invoiced	Total Expenditures Per Partner	Actual Expense % Per Partner	Un-Delivered Orders Un-Expended Funds	UDO Un-Expended Funds to be Returned to Partners
<b>FHWA</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Florida</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Georgia</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Hawaii</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Iowa</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Idaho</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Illinois</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Minnesota</b>	L56E	15,000.00	15,000.00	7.1429%	14,715.01	14,715.01	7.1429%	284.99	<b>284.99</b>
<b>Mississippi</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Montana</b>	L550	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>New York</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Ohio</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Texas</b>	L560	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Wisconsin</b>	L550	15,000.00	15,000.00	7.1429%	14,715.08	14,715.08	7.1429%	284.92	<b>284.92</b>
<b>Totals</b>		<b>\$210,000.00</b>	<b>210,000.00</b>	<b>100.00%</b>	<b>\$206,011.05</b>	<b>\$206,011.05</b>	<b>100.00%</b>	<b>\$3,988.95</b>	<b>\$3,988.95</b>

Note:

Remaining UDO/Unexpended balances will be transferred back to partners via form 1575 (State Led) or (1576) FHWA Led.

## Appendix II: 1575-C Form

### FHWA FUNDS TRANSFER REQUEST

[Reset Form](#)

Type of Transfer: Select from list (required)

In accordance with provisions of title 23 U.S.C., the State transportation department indicated below requests that Federal-aid Highway Program contract authority and obligation authority be transferred as shown.

Requesting Agency: Enter Agency Name Here or Select From List

Transfer Name   
 Request Title   
 Contact: Email   
 Phone

Tracking Numbers	
Requestor	FHWA

Transfer to State: Select State DOT from List

OR

Transfer to Other: Select FHWA Office or Other Agency from List

This form can be used only for apportioned funds that appear in the FMIS. Check here to acknowledge read receipt in order to proceed.

#	Description of Fund - From	Fiscal Year	Program Code	Demo ID or Urban Area Code	Amount
1					
2					
3					
4					
5					
6					
7					
8					
<b>From/To out of balance by:</b>					<b>TOTAL FROM</b>

From Item #	Description of Fund or Entity - To	Program Code	Demo ID or Urban Area Code	Amount
<b>TOTAL TRANSFER</b>				

**Enter Item #, Pooled Fund Project Number and Description, or any additional information**

**For transfer of contract authority and obligation authority**

Has the State entered into an agreement with the agency indicated above to receive, obligate, expend and manage these funds for specified project(s)?

Yes     N/A  
 No

**FHWA Comments**

STATE DEPARTMENT OF TRANSPORTATION

I certify that the funds requested for transfer are in accordance with the applicable provisions of title 23 U.S.C.; that the funds are unobligated and uncommitted; and that the percentage of funds to be transferred combined with previous transfers does not exceed the permissible amount eligible for transfer under the affected program categories according to applicable State and Federal laws and regulations. Where applicable, concurrence from affected Metropolitan Planning Organizations and other agencies has been obtained and recorded in this office. Further, I certify that I have the authority to approve the transfer of Federal-aid Highway program funds.

FHWA DIVISION ADMINISTRATOR CONCURRENCE

I certify that I have reviewed the request to transfer funds as itemized above; that this request is in accordance with provisions of title 23 U. S. C. and FHWA policy and procedures; and I have the authority to approve transfer of Federal-aid Highway programs funds.

Enter your title (below) and Date of Approval (right) **BEFORE** signing

Enter your title (below) and Date of Approval (right) **BEFORE** signing

Signature

Title of Approving Official

Select a date  
Date of Approval

Print Form

Signature

Title of Approving Official

Select a date  
Date of Approval

OMB Control No. 2125-0620  
Form FHWA-1575C 12/2020

## Appendix III: SPR Waiver Memo (Approval) and SPR Waiver Request



# Memorandum

6300 Georgetown Pike  
McLean, VA 22101

Subject: **INFORMATION:** Pooled Fund Solicitation #1361  
"The Use of Bridge Management Software in the  
Network Analysis of Big Bridges"

Date: JUL 29 2014

From: Michael F. Trentacoste *Michael F. Trentacoste*  
Associate Administrator for Research,  
Development, and Technology  
McLean, VA

In Reply Refer To:  
HRTM-10

To: Russell L. Jorgenson  
Division Administrator (HDA-MI)  
Lansing, MI

This is in response to the July 14, e-mail from Donald Cameron of your staff, requesting the waiver of the non-Federal funding match for State Planning and Research (SP&R) funds for pooled fund solicitation 1361 "The Use of Bridge Management Software in the Network Analysis of Big Bridges". We understand that the Michigan Department of Transportation will be the lead agency for this project.

The proposed study meets the criteria for use of SP&R funds used for Research and Development studies without non-Federal matching funds. The approval status will be reflected on the Transportation Pooled Fund website: [www.pooledfund.org](http://www.pooledfund.org), which serves as the primary mechanism for communication regarding pooled fund studies.

It is important to remember that the lead agency contact is required to report on the status of the pooled fund study on a timely basis. The contact should indicate when a contract is signed, and electronic copies of the quarterly and final reports and other relevant study documents should be posted on the website. By doing so, the lead agency will be fulfilling its obligation to provide information to its partners on the status of the project.

Derek Constable, Office of Bridges and Structures, Senior Bridge Management Engineer will be the Federal Highway Administration's Technical Liaison for this study. Mr. Constable can be reached via phone at (202) 366-4606 or e-mail: [Dconstab@dot.gov](mailto:Dconstab@dot.gov). We hope that Mr. Constable will have the opportunity to participate in the study activities as a technical resource to the project.

You may contact David Pamplin (202) 493-3166 in the Office of Corporate Research, Technology, and Innovation Management if you have any questions or need further assistance.



State of Utah

GARY R. HERBERT  
*Governor*

SPENCER J. COX  
*Lieutenant Governor*

DEPARTMENT OF TRANSPORTATION

CARLOS M. BRACERAS, P.E.  
*Executive Director*

SHANE M. MARSHALL, P.E.  
*Deputy Director*

June 3, 2014

Mr. John Haynes  
Research & Innovation Program Manager  
Federal Highway Administration – Utah Division  
2520 West 4700 South, Suite 9A  
Salt Lake City, Utah 84129

RE: Pooled Fund 100 Percent SP&R Waiver Request – Solicitation # 1374 – Western  
Maintenance Partnership

Dear Mr. Haynes:

The Utah Department of Transportation (UDOT) would like the Federal Highway Administration (FHWA) approval to establish a pooled fund study using 100 percent SP&R funding for solicitation # 1374 – Western Maintenance Partnership.

We estimate up to ten state DOTs and Federal agencies will participate in this project with UDOT serving as the lead agency. We anticipate that most of the participating state DOTs will use SP&R funding, while some may use funds from their state budgets. This is a continuation of the recently closed TPF-5(145) study.

Your approval to establish this pooled fund study at 100 percent SP&R funding, while waiving the non-Federal funds match requirement, would be greatly appreciated. If you have any questions, please feel free to contact me at 801-589-8340.

Sincerely,

A handwritten signature in blue ink, appearing to read "David K. Stevens".

David K. Stevens  
Pooled Fund Research Manager

CC: Cameron Kergaye, UDOT Research  
Kevin Griffin, UDOT Maintenance

## Appendix IV: Sample Acceptance Memo (STATE)



State of Utah

GARY R. HERBERT  
*Governor*

GREG BELL  
*Lieutenant Governor*

### DEPARTMENT OF TRANSPORTATION

JOHN R. NJORD, P.E.  
*Executive Director*

CARLOS M. BRACERAS, P.E.  
*Deputy Director*

October 11, 2011

Mr. Steven Call  
Planning and Technology Engineer  
Federal Highway Administration  
2520 West 4700 South, Suite 9A  
Salt Lake City, UT 84118-1847

Re: Evaluation of Spliced Sleeve Connections for Precast RC Bridge Piers

Dear Mr. Call:

The Utah Department of Transportation is the lead state for the pooled fund study TPF-5(257) "Evaluation of Spliced Sleeve Connections for Precast RC Bridge Piers."

The Utah Department of Transportation accepts the role of lead agency and agrees to receive, obligate, expend and manage contributions from participating agencies.

The participating agencies are requested to submit a copy of this letter with their funding transfer request form for this project to their respective FHWA Division Office for concurrence.

Please contact Daniel Hsiao, P.E. Research Manager, 4501 South 2700 West, Salt Lake City, Utah 84119, 801-965-4638, or [dhsiao@utah.gov](mailto:dhsiao@utah.gov), if you have any questions.

Sincerely,

A handwritten signature in blue ink that reads "Cameron Kergaye".

Cameron Kergaye  
Research Director

DH

## Appendix IV: Sample Acceptance Memo (FHWA)



# Memorandum

Subject: **INFORMATION**: Lead Agency for Pooled Fund Study TPF-5(xxx), "Title" Date:

From: (Director Title), (Director, (Program Office) (Location)) In Reply Refer To: (Name) x(ext) (Office code)

To: Patricia Sergeson  
Pooled Fund Program Manager  
Office of Corporate Research, Technology, and Innovation Management  
McLean, Virginia 22101

+

The Federal Highway Administration (FHWA) is the lead Agency for the Transportation Pooled Fund Study TPF-5(xxx) "Title". The FHWA Office of Infrastructure Research and Development accepts the role of lead Agency and agrees to receive, obligate, expend, and manage contributions from participating agencies.

Participating States and agencies utilizing federal funds will be asked to submit their funding transfer requests using Form FHWA-1575-C from the TPF Website ([www.pooledfund.org](http://www.pooledfund.org)), along with a copy of this memorandum, to their respective FHWA Division Office for concurrence. When completing Form 1575-C, FHWA Transfer Request, the column on the right-hand side entitled "Description of Entity to", (please type in "Program Office and code according to [routing symbols](#) eg Office of Corporate Research, Technology and Innovation Management, HRTM-1, BPAC). We will also inform participating States and agencies that non-federal contributions to the subject study can be made via [pay.gov](http://pay.gov) and refer them to review Chapter 11 of the TPF Program Procedures Manual (updated February 2017) available on the TPF Website.

The lead agency coordinator for this pooled fund study, (Lead Agency Contact), can be contacted at (phone) or (email). The FHWA technical liaison, (insert technical liaison if different than lead agency contact), can be contacted at (phone) or (email) for any questions about this study.

Cc: (Lead Agency Contact)

## Appendix V: Sample Quarterly Report Format

### TRANSPORTATION POOLED FUND PROGRAM QUARTERLY PROGRESS REPORT

Lead Agency (FHWA or State DOT): Alabama DOT

**INSTRUCTIONS:**

*Project Managers and/or research project investigators should complete a quarterly progress report for each calendar quarter during which the projects are active. Please provide a project schedule status of the research activities tied to each task that is defined in the proposal; a percentage completion of each task; a concise discussion (2 or 3 sentences) of the current status, including accomplishments and problems encountered, if any. List all tasks, even if no work was done during this period.*

<b>Transportation Pooled Fund Program Project #</b> <i>(i.e., SPR-2(XXX), SPR-3(XXX) or TPF-5(XXX))</i>  <p style="text-align: center;">TPF-5(228)</p>	<b>Transportation Pooled Fund Program - Report Period:</b> <input checked="" type="checkbox"/> Quarter 1 (January 1 – March 31) <input type="checkbox"/> Quarter 2 (April 1 – June 30) <input type="checkbox"/> Quarter 3 (July 1 – September 30) <input type="checkbox"/> Quarter 4 (October 4 – December 31)	
<b>Project Title:</b> <p style="text-align: center;">Superpave Regional Center, Southeastern Region</p>		
<b>Name of Project Manager(s):</b> <p style="text-align: center;">Don Watson and Randy West</p>	<b>Phone Number:</b> <p style="text-align: center;">(334) 844-7306</p>	<b>E-Mail</b> <p style="text-align: center;">Watsonde@auburn.edu</p>
<b>Lead Agency Project ID:</b> <p style="text-align: center;">ALDOT Research Project No. 930-763P</p>	<b>Other Project ID (i.e., contract #):</b>	<b>Project Start Date:</b> <p style="text-align: center;">April 28, 2010</p>
<b>Original Project End Date:</b> <p style="text-align: center;">September 30, 2012</p>	<b>Current Project End Date:</b> <p style="text-align: center;">September 30, 2012</p>	<b>Number of Extensions:</b> <p style="text-align: center;">0</p>

Project schedule status:

On schedule     
  On revised schedule     
  Ahead of schedule     
  Behind schedule

Overall Project Statistics:

Total Project Budget	Total Cost to Date for Project	Percentage of Work Completed to Date
\$627,129.00	\$51,585.17	82%

Quarterly Project Statistics:

Total Project Expenses and Percentage This Quarter	Total Amount of Funds Expended This Quarter	Total Percentage of Time Used to Date
\$65,739.00 (10.5% of budget)	\$14,154.34	50%

**Project Description:**

The Southeastern Superpave Center has been supported by state agencies through a pooled-fund project that has been largely used to provide training, verify ruggedness of equipment, check equipment calibrations, provide materials research, and aid in keeping agency personnel abreast of changes in asphalt technology. In order to continue the efforts in training, technology transfer, and implementable research, it is essential that the pooled-fund effort be continued.

NOTE: This pooled-fund project is not limited to states located in the southeast. Agencies throughout the country are invited to participate and take advantage of the research and training opportunities provided by the Southeastern Superpave Center.

**Objectives:**

Several short-term and long-term objectives of the Southeastern Superpave Center are listed below. Several objectives deal with evaluating recently-developed performance test equipment and conducting research to address materials and tests issues. Some objectives of the Center are:

1. Conduct training in regard to Superpave binders, mix design, and performance testing, and provide training on special topics as requested by participating agencies.
2. Conduct hands-on-training for technicians who wish to learn procedures for hot mix asphalt equipment operation.
3. Provide training on special topics to participating agencies as requested at their on-site locations.
4. Perform research, both cooperatively and agency-specific, sponsored by members of the pooled fund.
5. Perform precision and bias testing for asphalt mix design performance test equipment.
6. Conduct noise studies in an effort to develop quieter pavements.

**Progress this Quarter (includes meetings, work plan status, contract status, significant progress, etc.):**

**TRAINING:**

A Superpave Mix Design course was prepared and taught for technician certification by Georgia Dept. of Transportation. The course covered all aspects of mix design from binder testing and overview to mixture volumetrics and laboratory performance testing such as TSR moisture testing and APA rut testing.

A special workshop was planned for Warm Mix Asphalt and Crumb Rubber Modified Asphalt in Puerto Rico. The workshop will be conducted in April. Guest speakers have been invited and case studies from local contractors will be presented.

Agencies also sent participants to the Asphalt Technology course delivered at NCAT Jan. 31 - Feb. 4 and from Feb. 28 - Mar. 4, 2011.

**SPECIFICATION DEVELOPMENT:**

Funding was also provided this quarter to develop specifications for use of ground tire rubber in hot mix asphalt applications. A cross-section of specification documents from agencies across the U.S. was reviewed and used to develop a draft specification. The specification has been reviewed and agency comments have been addressed.

**Anticipated work next quarter:**

A final version of ground tire rubber specifications will be supplied to the sponsor.  
Follow up will be made on several research ideas discussed at the annual SSC Management Committee meeting.

**Significant Results:**

A total of 14 technicians have been certified to perform Superpave Mix Design testing for Georgia Dept. of Transportation.

**Circumstance affecting project or budget. (Please describe any challenges encountered or anticipated that might affect the completion of the project within the time, scope and fiscal constraints set forth in the agreement, along with recommended solutions to those problems).**

No problems have been encountered to date.

**Potential Implementation:**

The SMA mix design course was conducted to establish a basis for participants to become certified to perform SMA mix designs acceptable to the state agency.

## Appendix VI: Glossary of Pooled Fund Terms

**100 percent SPR funds** - The normal match for SPR funds is 80 percent federal and 20 percent non-federal funding, but the FHWA has the authority to approve the use of 100 percent federal SPR funding for pooled-fund studies if it is in the interest of the federal-aid highway program. A sponsoring organization that is a state transportation agency submits its request for approval of 100 percent SPR funds through its affiliated FHWA division office.

**Advice of Funds** – Funds that are available for obligation when memo is sent to a Lead State or FHWA led project.

**Appropriation number (APPR)** - Indicates the authorization act that authorized the funds and the category of funds within the act.

**Cleared by FHWA** - The funding target has been met. The FHWA facilitator has assigned a Project number and cleared the Project to proceed.

**Closed** - FHWA has reimbursed the lead agency for all expenses associated with the Project.

**Commitment** - Acknowledgment by a Project partner that it will participate in a project for a given amount by Fiscal Year.

**Commitments Required** - Total dollar amount needed to complete the Project.

**Contract signed** - The contractor has signed the contract to perform the Project.

**Deliverables** - Products of the Project, such as reports, models, recommendations, software, or new/improved designs, to be delivered by the contractor. Deliverables are specified in the work statement.

**FMIS** – Fiscal Management Information System (FMIS) is FHWA's primary financial information system for tracking and managing Federal funded highway projects within the Federal-aid Highway Program.

**M85A** – A funding report in FMIS for the Pooled-Fund, SPR and National Cooperative Highway Research Programs

**Objectives fulfilled** - The contractor has fulfilled the terms of the contract, and the lead agency has submitted the final bill..

**Obligation** - The process of 1) formally assigning eligible federal funds to a Project or 2) providing funds via check to FHWA or to the sponsoring agency after the TPF number is assigned.

**Problem statement** - The document that the sponsoring agency completes to post a solicitation on the pooled-fund web site. The problem statement includes the Project title, funds (commitments) required, background, Project objectives, scope of work, estimated Project duration, and contact information for the sponsoring agency funding contact. It also specifies the lead agency. If the FHWA has approved the use of 100 percent SPR funding, that information is included as well.

**Project** - An activity, program or project that is funded through the Transportation Pooled Fund Program. The duration of a Project may be fixed or indefinite.

**Project cancelled** - The lead agency has cancelled the Project.

**Project number** - The number assigned to the Project by FHWA by which the Project is referenced in FMIS.

**RASPS** - The Rapid Approval & State Payment System (RASPS) is the primary method used to reimburse States for their Federal share of highway construction and highway related projects.

**Request for proposals** - A document issued by the lead agency inviting proposals to conduct the work described in the work statement. The contracting laws and regulations of the lead agency will govern the process for selecting a contractor. Not all studies will involve a request for proposals.

**RFP posted** - The lead agency has issued and posted the request for proposals developed by the technical advisory committee.

**Solicitation** - The process whereby a sponsoring agency proposes a Project through the pooled-fund web site to find Project partners that will contribute funding.

**Solicitation posted** - The sponsoring organization has completed the problem statement, posting the solicitation on the web site.

**Solicitation withdrawn** - The sponsoring organization has withdrawn the solicitation because the funding target has not been met or will not be met within the maximum one-year posting period.

**Statement of Work** - A statement (2-3 pages in length) drafted by the lead agency that outlines research activities to be undertaken, estimated budget needs and time line of research. It is sometimes also referred to as a proposal; it is posted on the pooled fund website as a solicitation.

**Work statement** - Developed under the direction of the technical advisory committee, the work statement serves as the basis for the agreement with the contractor and includes the following:

statement of problem, description of work to be accomplished, researcher requirements, Project performance timeline, estimated budget, Project communications requirements, deliverables required, and implementation plan.

## **Appendix VII: Frequently Used Acronyms within the TPF Program**

**AASHTO** – American Association of State Highway Transportation Officials

**BPAC** – Budget Program Activity Code

**COTR** – Contracting Officer’s Technical Representative

**FAA/OKC** – Federal Aviation Administration/Oklahoma City

**FMIS** – Fiscal Management Information System

**PFPM** – Pooled Fund Program Manager

**RAC** – Research Advisory Committee

**RASPS** - The Rapid Approval & State Payment System

**RFP** – Request for Proposals

**SPR** – State Planning and Research

**TAC** – Technical Advisory Committee

**TPF** – Transportation Pooled Fund

**TFHRC** – Turner-Fairbank Highway Research Center

**UDO** – Undelivered Orders